Audit Committee, 6 September 2016

The use of (ISO) standards at HCPC

Executive summary and recommendations

Introduction

At its meeting of 16 June 2016, the Audit Committee requested that the Executive produce a paper on the use and benefits of ISO standards to the HCPC.

This paper details those ISO standards currently in use, why and how we use them, the benefits obtained by certification, and considers any other ISO standards that may be of use in future.

Decision

This paper is for information only. No decision is required.

Background information

Reference to;
ISO9001:2008,
ISO27001:2013 & ISO27002:2013,
ISO10002:2014

Resource implications

None

Financial implications

None

Appendices

None

Date of paper

24 August 2016

Introduction

HCPC is certified to three ISO standards. Each of these standards requires a Management System, and HCPC share core processes across Management Systems where possible. The Management Systems sit on HCPC's intranet, and are available to all employees and contractors with access to the computer network.

HCPC EMT & CDT use standards as a framework to run the business. The various support processes of risk management, reporting, management escalation, resource planning and investigation of errors and complaints are mapped out in ISO compatible formats which are logical and easy to understand. The regulatory operational processes are clearly defined with owners, and version control, but are in a HCPC friendly format to match HCPC culture, rather than standard auditor friendly methods.

Additionally, the externally validated standards to which we adhere offer a further level of assurance to Council and stakeholders that our processes are robust enough to stand up to the additional dimension of scrutiny, that some of our fellow regulators do not attempt.

The standards to which HCPC is certified are listed below with a brief description of their use and benefit. The various standards, and the audit programmes which support them, provide a more process focused analysis of our performance, and adherence to our agreed processes, and the interactions between those processes, across the organisation.

ISO9001:2008 Quality Management Systems

ISO 9001:2008 specifies requirements for the development, management and ongoing improvement of all standard business functions; Finance, Procurement, Human Resources, IT, Facilities, Governance; along with regulator specific functions such as Registration, Fitness to Practise, Education, Policy & Standards and Communications, which are based on the requirements of the Health & Social Work Professions Order 2001.

HCPC use the mapped out processes of departmental functions to train new employees, and as the background to carryout internal audits. It serves as a framework for internal compliance.

ISO 9001 was the first standard HPC certified against in July 2004. ISO 9001 covers the whole of HCPC. This standard covers all aspects of the business, including the outsourcing of some services to suppliers.

The GMC is working toward certification to this standard.

ISO27001:2013 Information Security Management Systems

ISO 27001:2013 helps HCPC adhere to its target requirements of Confidentiality, Integrity and Availability within the context of the organisation. It includes requirements for the assessment and treatment of information security risks based on the needs of the HCPC and its stakeholders. We apply the standard across IT systems, buildings, employees, partners and suppliers.

We list our use or non-use of a standard set of 114 controls (from ISO27002:2013) in a Statement of Applicability. HCPC certified against the ISO27001 standard in June 2015.

This standard has been widely adopted as best practice for information security management around the world, and is used in UK government. Although government departments are

generally not externally audited against these standards directly (and are therefore not certified) they adhere to them.

The standard helps HCPC prove to stakeholders that we are following a methodology that covers information security in the widest possible sense, without having to provide implementation detail to multiple external parties with whom we work. The ICO look more favourably on those organisations that have gone to the effort of certifying when there are inevitable losses of data.

The GMC certified to this standard for part of the GMC organisation in 2006.

ISO10002:2014 Quality management -- Customer satisfaction -- Guidelines for complaints handling in organisations

ISO 10002:2014 provides guidance on the handling of complaints related to products or services, and includes the planning, design, operation, maintenance, and improvement of those processes. The complaints-handling process described is suitable for use as one of the processes of an overall quality management system. HCPC certified against this standard in 2016. As HCPC are a sole supplier of regulation in many professions, we must ensure we have robust processes to deals with complaints concerning our operations and service levels.

The GMC certified to this standard in 2016.

Future use of ISO standards at HCPC

Risk Management and its components are key to managing organisations quality, information security and customer service. All HCPC's certifications have a component of Risk Management associated with them.

An ISO Risk Management standard (ISO 31000) is currently available, but it is not possible to be certified against this standard. It does not follow the exact format of the recently updated standards

BSI have approached the HCPC concerning developing an auditable Risk Management standard that can be used for health sector regulation in particular. This would initially be developed as a Publically Available Specification (PAS) [1].

It may be beneficial to HCPC to work with a certification body on an adaptation of the existing ISO31000 standard, over the coming years. This would bolster HCPC's position as being at the cutting edge of regulatory use of international standards, and ensure the models of risk management adopted by the PAS, and subsequently adopted as potential BSI or ISO standards are compatible with HCPC's existing practice.

If the HCPC did decide to pursue this, the Business Process Improvement department would work with selected fellow regulators to develop the PAS, and support it through the adoption as a certifiable standard at some stage in the future.

[1] A PAS is a document that standardizes elements of a product, service or process. PASs are usually commissioned by industry leaders – be they individual companies SMEs, trade associations or government departments. Commissioning a PAS puts you in the driving seat for setting the agenda in your sector, helping you work with regulators, set an agreed level of good practice or quality or establish trust in an innovative product or service.