

## Management System Certification Audit Summary Report

Organisation:	Constance Care Limited
Address:	Suite 1, Munro Business Park Munro Place Kilmarnock KA1 2NP

Standard(s):	ISO 9001:2008 - Quality Management System Certification	Accreditation Body(s):	UKAS
--------------	---	------------------------	------

Representative:	Rosalind Carr		
Site(s) audited:	All	Dates(s) of audit(s):	1 <sup>st</sup> /2 <sup>nd</sup> July 2009
EAC Code	38	NACE Code:	85.11
No of Employees:	50	No of Shifts:	One
Lead Auditor	Andrew Coyle	Additional team member(s)	Nil
This report is confidential and distribution is limited to the audit team, client representative and the SGS office			

### 1. Audit objectives

The objectives of this audit were:

- To confirm that the management system conforms with all the requirements of the audit standard;
- To confirm that the organisation has effectively implemented the planned management system;
- To confirm that the management system is capable of achieving the organisations policy objectives.

### 2. Scope of certification

ISO 9001:2008 - Quality Management System Certification	The provision of a care at home service.
---	--

Has this scope been amended as a result of the audit? Yes No

This is a multi-site audit and an Appendix listing all relevant sites and/or remote locations has been

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	GS304 Stage 2 Audit Report	Issue N°	9	Page N°:	5

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	UK CRF 29	Issue N°:	5	Page N°:	2 1

established (attached) and agreed with the client.

Yes No

### 3. Current audit findings and conclusions

The audit team conducted a process-based audit, focusing on significant aspects/risks/objectives required by the standard(s). The audit methods used were interviews, observation of activities and review of documentation and records.

The structure of the audit was in accordance with the audit plan and audit planning matrix included as annexes to this summary report.

The audit team concludes that the organisation has established and maintained its management system in line with the requirements of the standard and demonstrated the ability of the system to systematically achieve agreed requirements for products and services within the scope and the organisations' policy and objectives.

Number of non conformities identified:   0   Major   0   Minor

Therefore the audit team recommends that, based on the results of this audit and the systems' demonstrated state of development and maturity, management system certification be:

Granted / Continued / Withheld / Suspended until satisfactory corrective action is completed.

### 4. Previous audit results

The results of the last audit of this system have been reviewed, in particular to assure appropriate correction and corrective action has been implemented to address any nonconformity identified. This review has concluded that there were no formal non conformances issued at the previous SGS visit.

### 5. Audit findings

The audit team conducted a process based audit, focusing on significant aspects/risks/objectives. The audit methods used were interviews, observations of activities and review of documentation and records.	Yes	No	
The management system documentation demonstrated conformity with the requirements of the audit standard and provided sufficient structure to support implementation and maintenance of the management system.	Yes	No	
The organisation has demonstrated effective implementation and maintenance/improvement of its management system.	Yes	No	
The organisation has demonstrated the establishment and tracking of appropriate key performance objectives and targets and monitored progress towards their achievement.	Yes	No	
The internal audit program has been fully implemented and demonstrates effectiveness as a tool for maintaining and improving the management system.	Yes	No	
The management review process demonstrated capability to ensure the continuing suitability, adequacy, effectiveness of the management system.	Yes	No	

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	GS304 Stage 2 Audit Report	Issue N°	9	Page N°:	5

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	UK CRF 29	Issue N°:	5	Page N°:	21

Throughout the audit process, the management system demonstrated overall conformance with the requirements of the audit standard.	Yes	No	
Certification claims are accurate and in accordance with SGS guidance.	n/a	Yes	No

## 6. Significant audit trails followed

The specific processes, activities and functions reviewed are detailed in the Audit Planning Matrix and the Audit Plan. In performing the audit, various audit trails and linkages were developed, including the following primary audit trails, followed throughout:

### Document and Data Controls

This is now being maintained at each registered location through the issue of two activities.

1. A controlled CD is now being issued with the quality procedures and work instructions included.
2. Forms in use continue to be managed through the issue of hard copies at each registered office.

Verified the current CD's (Dated 3<sup>rd</sup> Feb 2009) along with the ISO sign off sheet.  
 These records were verified as in place at all four offices.

### Enquiry procedure (CCP-001 revision 0)

Enquiries come in through two methods. Social work contracted hours and private funding contracts. (All are recorded on internal form CCF-001).

Social work contracts are in place for all areas. ie  
 Kilmarnock – 2300 hours. Contract extended to 2011.  
 Ayr – 800 + hours. Contract renewal due 2010.  
 South Lanarkshire - 2500 hours. Contract renewal due 2012.  
 East Renfrewshire – 700 + hours. Contract renewal due 2011.

Verified the CCF-001's at  
 Kilmarnock – Six recent new referrals. (Five social, one private)  
 Ayr –  
 South Lanarkshire –  
 East Renfrewshire -

### Purchase procedure CCP-003 revision 3

Approved suppliers listing stands at revision 6. All recent movements have been discussed at the recent management review. This is in accordance with the documented procedure.

Purchase orders were viewed and are in the most for stationary products. All purchase requests are managed through the Kilmarnock office. Each other office will make a request to Kilmarnock. Most purchases are verbal and details recorded on an internal spreadsheet maintained.

These spreadsheets are then place within a File which covers each supplier used and then split into each office location. This allows tracking of costs per office. These are also used to monitor deliveries and

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	GS304 Stage 2 Audit Report	Issue N°	9	Page N°:	5

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	UK CRF 29	Issue N°:	5	Page N°:	21

issues. No recent issues with any of the suppliers.

**Care Procedure (Care Manager Software) (CCP-004 revision 4)**

Care Manager 3 software in use at all locations to manage the allocation of carers and their contracted hours with the clients. Verified in all four offices.

See also comment in section 8 of this report.

**Monitoring visits**

These are planned to take place at least twice per annum. Additional checks will take place as a result of issues or complaints received about carer service. Verified action taken on instances noted in East Lanarkshire office.

**Risk Assessments**

Two types of risk assessments in place. (Client centred and system based).

See comment in section 8 of this report.

**Client Satisfaction / telephone Surveys**

New approach since the last visit was the introduction of a client telephone survey form (CCF-073) to accompany the client survey (CCF-064LP)

**Internal Audits**

2009 internal audit schedule in place. All audits completed to schedule.

See also comment noted in section 8 of this report

**Management review / Communications**

Recent management review meetings took place on 29<sup>th</sup> April and 18<sup>th</sup> April. Minutes in place and very good level of detail noted.

Additional meetings held include:-

Staff Forums – held as required when issues identified. Minutes maintained centrally for each registered location.

- Kilmarnock - 6<sup>th</sup> June, 17<sup>th</sup> February 2009.
- South Lanarkshire (Blantyre) – 27<sup>th</sup> May, February 2009. (meeting due now??)
- Ayr – February 2009. (Meeting due now??)
- East Renfrewshire – 25<sup>th</sup> May 2009, 18<sup>th</sup> November 2008

Staff meetings – This is a new innovation and it is possible that these may be held twice yearly. This has still to be fully reviewed internally.

**7. Nonconformities**

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	GS304 Stage 2 Audit Report	Issue N°	9	Page N°:	5

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	UK CRF 29	Issue N°:	5	Page N°:	2 1

There are no non conformances issued through this visit

## 8. General Observations and Opportunities for Improvement

It is noted that the work instruction in place for the risk assessment of medication (CCWI – 004-014) is presently under internal review. This should be completed soon and you are asked to ensure that the following points are addressed in this review

- Ensure that clarity is achieved to show that the decision to self administer is taken by social services and not Constance Care or the individual carers.
- Also consider modifying clause 3.3 to clarify that a review to ensure the safety of the carer is undertaken rather than a defined risk assessment as stated.
- Possibly able to delete the third paragraph of clause 5.2. This is not used recorded in East Renfrewshire and South Lanarkshire.

Also note that there does not appear to be any clear methodology available to allow consistent completion of other risk assessment documents available but not yet required to be used.

Work Instruction 39 also requires review. This appears to only address manual handling issues and not all other possible risk assessment options open to you and it does not reflect

You should now ensure that related work instructions are included within the scope of the internal audits that are being carried out.

**Based upon the results of this renewal visit, continuing registration and conversion to ISO 9001:2008 is being recommended.**

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	GS304 Stage 2 Audit Report	Issue N°	9	Page N°:	5

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	UK CRF 29	Issue N°:	5	Page N°:	21

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	GS304 Stage 2 Audit Report	Issue N°	9	Page N°:	5

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	UK CRF 29	Issue N°:	5	Page N°:	21

### Audit Plan

<b>Organisation:</b>	Constance Care Limited		
<b>Address:</b>	Suite 1, Munro Business Park Munro Place Kilmarnock KA1 2NP		
<b>Visit Number:</b>	1	<b>Actual Visit Date:</b>	1 <sup>st</sup> and 2 <sup>nd</sup> July 2009.
<i>Visit Due by Date:</i>	10 <sup>th</sup> August 2009	<i>For Auditor Information only</i>	
<b>Lead Auditor:</b>	Andrew Coyle		
<b>Team Member(s):</b>	Nil		

<b>Standard(s):</b>	ISO 9001:2008 - Quality Management System Certification
---------------------	---

<b>Audit Language:</b>	English
------------------------	---------

*Audit objectives: To confirm that the management system has been established and implemented in accordance with the requirements of the audit standard.*

Date	Time	Auditor	Area / Department / Process / Function	Key Contact
Day 1	0915	AC	Arrive at Kilmarnock	Ros and Jeanette
	0930	AC	Review quality documentation (Stage 1 review)	As above
	1100	AC	Enquiry procedure. (CCP-001)	As above
	1130	AC	Purchase procedure. (CCP-003)	As above
	1145	AC	Care Procedures (CCP-004)	As above
	1200	AC	Staff Training. (CCP-010)	As above
	1300	AC	Client Risk Assessments. (CCP-009)	As above
	1400	AC	As above at Ayr office	As above
	1630	AC	Return to Kilmarnock office	
Day 2	0930	AC	As above at East Renfrewshire Office	As above
	1230	AC	As above at South Lanarkshire Office	As above
	1500	AC	Return to Kilmarnock office	
	1545	AC	Complaints	As above
	1600	AC	Internal audits	As above
	1630	AC	Management review	As above
	1640	AC	Assessor time	
	1700	AC	Closing meeting	As above

**Notes to Client:**

- Times are approximate and will be confirmed at the opening meeting prior to commencement of the audit.
- SGS auditors reserve the right to change or add to the elements listed before or during the audit depending on the results of the on-site investigation.
- A private place for preparation, review and conferencing is requested for the auditors use.

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	GS304 Stage 2 Audit Report	Issue N°	9	Page N°:	5

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	UK CRF 29	Issue N°:	5	Page N°:	2 1

- Please provide a light working lunch on-site each audit day.
- Your contract with SGS is an integral part of this audit plan and details and confidentiality arrangements, audit scope, information on follow up activities and any special reporting requirements.

### Audit Plan

<b>Organisation:</b>	Constance Care Limited		
<b>Address:</b>	Suite 1, Munro Business Park Munro Place Kilmarnock KA1 2NP		
<b>Visit Number:</b>	<b>2</b>	<b>Actual Visit Date:</b>	
<i>Visit Due by Date:</i>	10 <sup>th</sup> August 2010	<i>For Auditor Information only</i>	
Lead Auditor:	Andrew Coyle		
Team Member(s):	Nil		

<b>Standard(s):</b>	ISO 9001:2008 - Quality Management System Certification
---------------------	---

<b>Audit Language:</b>	English
------------------------	---------

*Audit objectives: To confirm that the management system has been established and implemented in accordance with the requirements of the audit standard.*

Date	Time	Auditor	Area / Department / Process / Function	Key Contact
Day 1	0915	AC	Arrive at Kilmarnock	
	0930	AC	Review quality documentation (Stage 1 review)	
	1100	AC	Enquiry procedure. (CCP-001)	
	1130	AC	Purchase procedure. (CCP-003)	
	1145	AC	Care Procedures (CCP-004)	
	1200	AC	Staff Training. (CCP-010)	
	1300	AC	Client Risk Assessments. (CCP-009)	
	1400	AC	As above at Ayr office	
	1630	AC	Return to Kilmarnock office	
Day 2	0930	AC	As above at East Renfrewshire Office	
	1230	AC	As above at South Lanarkshire Office	
	1500	AC	Return to Kilmarnock office	
	1545	AC	Complaints	
	1600	AC	Internal audits	
	1630	AC	Management review	
	1640	AC	Assessor time	
	1700	AC	Closing meeting	

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	GS304 Stage 2 Audit Report	Issue N°	9	Page N°:	5

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	UK CRF 29	Issue N°:	5	Page N°:	21



**Notes to Client:**

- Times are approximate and will be confirmed at the opening meeting prior to commencement of the audit.
- SGS auditors reserve the right to change or add to the elements listed before or during the audit depending on the results of the on-site investigation.
- A private place for preparation, review and conferencing is requested for the auditors use.
- Please provide a light working lunch on-site each audit day.
- Your contract with SGS is an integral part of this audit plan and details and confidentiality arrangements, audit scope, information on follow up activities and any special reporting requirements.

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	GS304 Stage 2 Audit Report	Issue N°	9	Page N°:	5

Job N°	214970	Report Date:	2 <sup>nd</sup> July 2009	Visit Type:	Recertification Audit	Visit N°:	1
<b>CONFIDENTIAL</b>		Doc Name:	UK CRF 29	Issue N°:	5	Page N°:	21