

TSI Stage One CCAS Approval Checklist

Boxes E1.1 to E1.7

Has an appropriate statistician been appointed and their qualifications verified? Yes No Unclear N/A

Box E1.8

This box should contain a brief list of the performance indicators that the potential code sponsor proposes to use.

Are performance indicators provided? Yes No Unclear N/A

Do the proposed measures seem appropriate? Yes No Unclear N/A

Are all of the measures quantifiable? Yes No Unclear N/A

Do the proposed measures cover:

i) Compliance with the code; Yes No Unclear N/A

ii) Analysis of complaint trends; and Yes No Unclear N/A

iii) Customer satisfaction levels? Yes No Unclear N/A

Are all elements of the code covered by the proposed performance indicators? Yes No Unclear N/A

Are the proposed measures available at both the individual member and overall code level? Yes No Unclear N/A

Are the measures amenable to aggregation both within elements of the code and between members? Yes No Unclear N/A

Do the proposed measures all enable the potential code sponsor to determine the extent to which the code is:

i) Delivering benefit to consumers; or Yes No Unclear N/A

ii) Reducing consumer detriment? Yes No Unclear N/A

Box E1.9

Do the sections of the proposed code of practice identified here properly address the development of appropriate measures to assess the effectiveness of the code? Yes No Unclear N/A

Box E1.10 (E1 Checklist)

This box should contain a reference to a document containing more detailed information describing why the measures have been proposed and what data will be collected (including how and why) to support the measures listed in Box E1.8.

Is a valid reference given to an appropriate document? Yes No Unclear N/A

In the document:

Are the proposed measures adequately justified? Yes No Unclear N/A

Is it clear what data will be collected, how and why? Yes No Unclear N/A

Are sufficient data collected to underpin all of the proposed performance indicators? Yes No Unclear N/A

Are elements of the code prioritised appropriately? Yes No Unclear N/A

Are all high priority elements of the code checked in an appropriately regular manner? Yes No Unclear N/A

Is appropriate use made of both remote and on-site compliance checks? Yes No Unclear N/A

Are data relating to compliance failure recorded in sufficient detail and available for subsequent analysis? Yes No Unclear N/A

Will sufficient access to member records be provided in order to properly monitor compliance? Yes No Unclear N/A

Is a suitable point-scoring system used to measure compliance and appropriate thresholds identified? Yes No Unclear N/A

Are business demographic data recorded and available for subsequent analysis? Yes No Unclear N/A

Are customer feedback questionnaires appropriately worded? Yes No Unclear N/A

Are customer feedback questionnaires appropriately distributed and collected? Yes No Unclear N/A

Are data relating to customer feedback questionnaires recorded in sufficient detail and available for subsequent analysis? Yes No Unclear N/A

Are data relating to complaints recorded in sufficient detail and available for subsequent analysis? Yes No Unclear N/A

Is there a review process in place to ensure that the compliance and performance assessment scheme evolves over time? Yes No Unclear N/A

Box E1.11

Does this box satisfactorily address any issues identified above? Yes No Unclear N/A

If so, which ones?

Does this box raise any issues with regards this criterion other than those already identified above? Yes No Unclear N/A

Box E2.1

This box should briefly list how the applicant intends to analyse the data described in the E1 Checklist, to produce the indicators listed in Box E1.8.

Are all performance indicators listed in Box E1.8 covered here? Yes No Unclear N/A

Are the data stored in an appropriate manner and readily amenable to analysis and reporting? Yes No Unclear N/A

Are reasonable steps taken to ensure data quality? Yes No Unclear N/A

Are high-risk members identified both directly and using the member demographic data? Yes No Unclear N/A

Are high-risk code areas identified? Yes No Unclear N/A

Are the data on compliance failure analysed and used to improve the performance of the scheme? Yes No Unclear N/A

Are the customer feedback data analysed and used to improve the performance of the scheme? Yes No Unclear N/A

Are complaint trends monitored? Yes No Unclear N/A

Are the complaints data analysed appropriately and used to improve the performance of the scheme? Yes No Unclear N/A

Is there a system in place to motivate and undertake code-wide remedial action? Yes No Unclear N/A

Is there a system in place to identify the root causes of compliance failure, poor customer feedback and complaint patterns? Yes No Unclear N/A

Will the performance measures be presented in an appropriate manner to the public? Yes No Unclear N/A

Will the performance measures be presented in an appropriate manner to the TSI? Yes No Unclear N/A

Box E2.2

This box should contain details of the regularity at which the various measures listed in Box E1.8 will be updated.

- Are the update intervals described for all measures given in Box E1.8? Yes No Unclear N/A
- Are all of the proposed update intervals appropriate? Yes No Unclear N/A
- Will all of the measures be updated on at least an annual basis? Yes No Unclear N/A
- Does the application make clear that the measures listed in Box E1.8 will be provided on the applicant's web site? Yes No Unclear N/A

Box E2.3

- Do the sections of the proposed code of practice identified here properly address the development of appropriate measures to assess the effectiveness of the code? Yes No Unclear N/A

Box E2.4 (E2 Checklist)

The first box should contain a reference to a document containing more detailed information on what statistical methods will be used to produce the measures listed in Box E1.8 based upon the data described in Box E1.10.

- Is a valid reference given to an appropriate document? Yes No Unclear N/A

In the document:

- Are any statistical methods used both appropriate and valid? Yes No Unclear N/A
- Could additional analyses be undertaken in order to improve the effectiveness of the code? Yes No Unclear N/A
- Are the data used and combined in an appropriate way to produce the proposed indicators? Yes No Unclear N/A
- Are complaint trends produced appropriately? Yes No Unclear N/A
- Where members are randomly selected for audit, are appropriate sampling methods used? Yes No Unclear N/A
- Where sampling takes place are statistical methods used to determine appropriate sample sizes? Yes No Unclear N/A

Are complaints monitored at both the code and individual member level? Yes No Unclear N/A

Is full use of the data made in order to improve the scheme and to reduce consumer detriment? Yes No Unclear N/A

Are any changes observed in the performance indicators over time assessed to determine whether or not they are statistically significant? Yes No Unclear N/A

Are appropriate methods used to identify and correct any biases observed in sample-based data e.g., customer feedback questionnaires? Yes No Unclear N/A

Is the 95% rule correctly and appropriately applied? Yes No Unclear N/A

Where statistical tests, models, regression lines or time series are used, are they properly interpreted and checked for validity? Yes No Unclear N/A

The second box should contain a reference to a validation certificate issued by the statistician referred to in E1.1 or E1.2 as appropriate.

Is a valid reference given to an appropriate document? Yes No Unclear N/A

Does the certificate confirm the validity of the documentation supplied in support of this application? Yes No Unclear N/A

Box E2.5

Does this box satisfactorily address any issues identified above? Yes No Unclear N/A

If so, which ones?

Does this box raise any issues with regards this criterion other than those already identified above? Yes No Unclear N/A