



## Audit Report for Thornbury Nursing Services 2019

# 99.78%

# Diamond

# Status

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# 1 Summary

This is the 7th annual independent audit conducted at Thornbury Nursing since 2013, the set criteria are ever evolving in order to ensure that the business meets the needs of the patient/ service user – as well as ensuring that all current legislation and regulations are met throughout the business.

Thornbury Nursing was able to demonstrate their continued commitment to providing highly skilled, expert and compliant candidates to their various clients (including NHS & Private organisations as well as CCGs, local authorities and clients at home in the community). The Internal staff training, as well as robust, all-inclusive policies, processes & practices ensures that sufficient safeguarding and employment checks are completed on all candidates prior to their deployment.

Neuven was very impressed with ongoing improvements being implemented within the bespoke CRM systems. It was seen that the Neuven Audit team, although not trained on the Thornbury Nursing CRM system, found it easy to navigate, each piece of required compliance was located with ease. The current recruiter system acts as an additional safeguard in the prevention of non-compliance due to human error.

Thornbury Nursing staff complete a comprehensive induction process, requiring them to learn and understand their roles and responsibilities and receive such a high level of training that they are not dependent on the recruiter system for highlighting areas of non-compliance.

The importance of compliance is evident throughout each stage of the registration and recruitment of a candidate. Initially, all candidates are required to satisfy the comprehensive compliance list tailored by Thornbury Nursing (specific to their job role and place of work) in order to be considered and introduced to a client. Once placed, ongoing checks are completed by Thornbury Nursing to guarantee that any candidate placed in assignment continues to meet the necessary standards, but also, is still suitable for said role.

Overall, the audit confirmed that 46 out of 50 candidate files were 100% compliant. Neuven tested 2705 points of compliance within the selected candidate files, with only 6 items highlighted as non-compliant. These were one (1) DBS check, one (1) 10-year work history and four (4) timesheet process checks.

Thornbury Nursing achieved another excellent audit result of 99.78% (Diamond), again confirming Thornbury Nursing's ongoing commitment to provide fully vetted, safe and compliant agency workers to their clients.



## 2 Audit overview

**Date started:** 03.09.2019

**Date completed:** 04.09.2019

Auditors: Ben Clark, June Marlow & Julia Dixon

Contact: Pamela Selfe

### Audit schedule:

Day 1: Introduction to audit & begin file audit

Day 2: File audit completed - 50 files in total, audit of internal processes, accreditation, & feedback.

Day 3: Compiling and completion of the report.

### Aims:

To carry out an annual audit on a random selection of 50 agency workers files; including timesheets, internal processes and procedures using the Thornbury Nursing audit criteria. The audit criteria set for the audit encompasses all aspects of the Thornbury Nursing business; from registration of an applicant, ongoing compliance maintenance; to policies and procedures. The agency worker names were selected a week prior to the audit and provided to the agency to assist in ensuring that all relevant documentation was available to the auditors upon arrival.

Further to the above, the aim is to ensure that any recommendations made in previous audits have been implemented by Thornbury Nursing, as they look to continuously improve on current policies, processes and practices, resulting in higher levels of service and quality.

### Scoring:

Red	<70%
Amber	70.01% - 89.99%
Green	90% - 94.99%
Diamond	>95%



## 3 Audit result and criteria

### Thornbury Nursing September 2019 audit result

#### AUDIT PASS/FAIL

**Compliance Score:** 2718

**Available Score:** 2724

**Percentage Score:** 99.78%

#### Audit snapshot:

- The total score achieved was 'Diamond.'
- The overall compliance score achieved was 2718 out of 2724 individual checks.
- Out of the 50 files audited, there were 6 non-compliances highlighted.
- 2705 of the checks made were in relation to the worker files viewed (sample of 50).
- 490 of the checks were against 50 randomly selected timesheets audited - 11 checks per timesheet.
- 46 of the checks were against the internal procedures, processes, practices, accreditations and legal requirements.

#### Audit criteria

The audit criteria set by Thornbury Nursing ensures that a high level of compliance is maintained throughout the business and furthermore, ensures that all parties involved are thoroughly safeguarded against (i.e. patients, agency workers, clients, business).

The 15 areas of compliance which must be satisfied prior to an applicant being placed into a job role are as follows:

- Statutory and Mandatory Training
- Immunisations
- Agency worker induction
- DBS / Update Service check and convictions
- Registration with Professional and Regulatory Bodies
- ID badge verified
- Contract of engagement (in line with EAA guidelines)
- Verified proof of identity
- Verified right to work
- Face to face/Skype interviews
- 10 year work history
- References verified
- Fully completed registration (including application forms and skill assessments)
- Professional qualifications
- Professional Indemnity Insurance (where applicable)

By meeting all the above requirements sufficiently, Thornbury Nursing can offer a recruitment solution where the client can have peace of mind that the candidate being placed into an assignment, has undergone comprehensive vetting to a high standard and does not pose a threat to the business, client or jeopardise patient safety.

## 4 Compliance

During the auditing of the randomly selected candidate files, 6 areas of improvement were identified (detailed below):

Contract reference	Description of non-compliance	Action
Evidence DBS completed in all names, including middle names, previous names and any other name used	DBS issued in 2014 but not on the Update Service includes Full name checks (Third-Party). 2015 DBS that is on the DBS Update Service does not include Full names not checked. ThirdParty DBS. No check on middle name	Thornbury Nursing must ensure that all DBS update service checks and Third-Party DBS checks includes middle names, previous names and any other name used.
10-year work history provided with all gaps accounted for	Gaps in work history 06/11 - 10/11 and 09/14 - 01/15 with no recorded explanation – explained 1 was relocation between studying	Thornbury Nursing must ensure that all gaps in work history are recorded on the candidate CV/ employment history
Breaks section completed on the time sheet, with the standard break deducted automatically if section is not completed.	Candidate has worked for 6 hours and 15 mins. 'Break' section has not been completed with 'No Break' requirement, but rather, completed with a 'line' through the box. Standard break should have been deducted but was not.	Thornbury Nursing must ensure that when in receipt of an agency worker timesheet whereby the break section is not completed, the break deduction should be automatically made in line with internal procedures.
Day, date, time of shift is completed on the time sheet	No 'day' detailed on the timesheet.	Thornbury Nursing must ensure that when in receipt of an agency worker timesheet, the Day, date, time of shift is completed in line with internal procedures.
Nurse signature is on the time sheet	Not Evidenced Candidate has worked for 6 hours and 15 mins. 'Break' section has not been completed with 'No Break' requirement, but rather, completed with a 'line' through the box.	Thornbury Nursing must ensure that when in receipt of an agency worker timesheet, the Nurses signature is completed in line with internal procedures.
Breaks section completed on the time sheet, with the standard break deducted automatically if section is not completed	Candidate has worked for 6 hours and 15 mins. 'Break' section has not been completed with 'No Break' requirement, but rather, completed with a 'line' through the box.	Thornbury Nursing must ensure that when in receipt of an agency worker timesheet whereby the break section is not completed, the break deduction should be automatically made in line with internal procedures



## 5 Complaints process

A comprehensive and robust complaints process exists at Thornbury Nursing, which ensures that all concerns, incidents and complaints notified to the business are appropriately dealt with in accordance with company policy and best practice within the industry. Reporting mechanisms are in place which allow for such grievances to be reported easily to Thornbury Nursing. A further update has been applied whereby the Complaints and Incidents Form is now available online for persons to access and complete. This ensures that all mandatory information is supplied to Thornbury in order to speed up the Complaints Process whilst also ensuring that a comprehensive investigation can be undertaken with the full and necessary information supplied in advance. In order to best manage expectations of all involved (including acknowledgment and resolution) as well as ensuring that a comprehensive investigation is completed, timescales have been set which underpin the complaints process.

The internal Datix software system, where the complaint/incident information and communications are recorded in full, was evidenced and demonstrated as part of the audit.

Examples of varying types of complaints were sighted with numerous examples shown of different graded complaints, acknowledgment & resolution times, escalation points (where necessary) and finally, their closure. Thornbury Nursing's internal policy and procedure was evidenced for how the agency would report any concerns and complaints to regulatory bodies (i.e. NMC), but also escalation to other relevant parties (where necessary). The need for escalation does occur within the business, with evidence again provided to further verify that the processes in place are followed throughout the business.

## 6 Operations team & staffing

Thornbury Nursing has in place a full 24/7 service available to all its workers and clients. This ensures that all shifts and queries are handled in a timely manner – the goal being to improve patient safety by supporting clients with the shortest of notice, when no one else can. At all times, there is at least one (1) Registered Nurse on shift within the business, but in some instances this number is greater.

Internal processes require all internal staff to have their personnel files kept up to date at all times by Thornbury Nursing, to ensure that their (the nurse's) Professional and Regulatory Body Membership remains in date and valid.

The offices are staffed 24/7, 365 days of the year. There is no "on-call" service provided, as the offices are staffed throughout the year (AM and PM) by Thornbury Nursing personnel, where clinical staff are always available. Rotas were viewed as part of the audit process which further confirms the staffing standards and expectations applied by Thornbury Nursing is being adhered to.



## 7 Community rapid response

Compliance checks were undertaken on the policies, processes and practices instilled and followed by the Community Care division of the business. The checks included looked to confirm that the following requirements were sufficiently being observed:

- Care plans received prior to agreement and placement of a Thornbury Nursing worker
- Client and family specific rules and preferences are applied to the care and recruitment conducted in relation to the care being provided
- Upskilling and training for workers transitioning into a community care setting
- Rules in place to match the correct worker to the correct assignment
- Registered nurse sign off on all care plans
- Incident Handling
- Thornbury terms & conditions agreed and signed by the client prior to care supplied

Once again, the auditors sighted each stage of the above criteria via Thornbury Nursing's internal CRM. Evidence was supplied that ensured that only safe and high levels of care/service are provided. In some instances, it is apparent to Thornbury Nursing that a temporary worker solution is not the best outcome for a client and will therefore provide advice and guidance to both authorities and clients as to what sort of care and organisations would be better suited to meet the needs detailed within a care plan.

All care plans must at first be agreed by all parties involved and must be signed off by a registered nurse before any further action can be taken. There is no compromise to this policy, therefore ensuring client safety and worker safety continues, which is paramount to the business.

# Status



## 8 Agency internal processes, procedures and practices

Policies, processes and practices were included within the scope of this audit. In relation to the 'client booking process', the full spectrum was evidenced during the course of the audit. This included all communications received in relation to the recruitment of a candidate, to the booking of a worker into a shift. In order to obtain a satisfactory overview of the processes in place, auditors sighted instances for updating clients relating to the progress of filling a booking; the process for client feedback and how bespoke client rules are used. The comprehensive checks in place allow Thornbury Nursing to confidently recruit the most suitable worker for a vacant post.

During the 2019 audit, Neuven Solution auditors sat amongst the Thornbury Nursing internal staff. From their observations it was very clear that all staff take great pride in quality and consistency with regards to the recruitment, registration and placement of nursing staff into their varying clients.

Each of the 50 files was prepared in advance and was presented in a standardised electronic format. This meant that auditors were required to use Thornbury Nursing's CRM (Staff Manager). The system in place is user friendly and allows for a seamless audit to be conducted.

Thornbury Nursing ensure that at all times they adhere to any current (and future) legislation and regulations regarding data protection and confidentiality. Files are securely stored and retained for a compliant period, in line with the Information Commissioners Office (ICO). Evidence of Thornbury Nursing membership with the ICO was provided as part of the audit process (details below):

**ICO Membership Number:** Z1154928

**Registration Start Date:** 19.12.2007

**Registration Expiry Date:** 18 December 2019

Thornbury Nursing has received ISO 27001: 2005 certification – further verifying their ability in establishing, implanting, maintaining and continually improving on their information security management system:

**International Organisation for Standardisation  
ISO 27001:2005**

**Certificate Expiry Date:** 11.06.2023

Thornbury Nursing hold current & valid business insurance, with evidence supplied as part of the audit process (details below):

**Employers Liability:** £10,000,000

**Public Liability:** £10,000,000

**Professional Indemnity:** £10,000,000

