

Thornbury Nursing Services

Independent Audit Report

Date: 10.11.2023

Introduction:

Date of Audit: 07-10.11.2023

Auditor: Nicola Price

Supplier Contact: Rachel Trueman - Director of Resourcing and Recruitment

Score: 100%

Aim:

Neuven Consult to undertake a review of 50 Agency Worker files and score them against the relevant audit criteria. Agency Worker files were to be selected at random by Neuven Consult and the Agency informed at point of audit being booked in.

In turn, the audit will assist the Supplier in identifying areas for improvement within current policies, processes and practices – as well as providing an overview of the current levels of compliance in place across all relevant departments within the business.

Scoring:

Thornbury Nursing Services received an audit score based on the information evidenced during the audit. This score will determine the current level at which the files are being maintained too – and act as a starting point for the business to improve on.

FAIL	< 90.49
PASS	90.50% - 94.99%
DIAMOND	> 95%

It is hoped that by using the above system of grading, the auditee will have a clear and concise understanding of the organisation's compliance, and where they are positioned in relation to the compliance grades.

Overall Thornbury Nursing Services achieved a total percentage score of 100%, which has resulted in a Diamond Pass.

AUDIT PASS/FAIL	
Compliance Score	2890
Available Score	2890
Percentage Score	100%

Overall Summary:

This is an independent audit requested by Thornbury Nursing Services for their Nursing & Care Workforce. The audit was performed remotely whereby documents were uploaded to a secure portal for which only the Supplier and the Auditor had access over 4 days. Neuen Consult picked 50 files at random with the Supplier being informed of selected names at point of audit being confirmed. The Supplier uploaded the required documents of the 50 Temporary Worker files and uploaded where required, post 9am documentation which was permitted within the audit timeframe.

The audit process and criteria were sent to the Supplier in advance of the audit. This included a breakdown of the agreed audit criteria, scoring methodology, audit process and audit standard operating procedure to support the Supplier with the preparation of the selected files. The point of contact for the audit was the Director of Resourcing and Recruitment.

Documentation was provided in an organised manner which made the audit review pleasant to conduct. The criteria is broken down into 6 sections: Recruitment – Pre Employment, Regulation Training Compliance – Ongoing Compliance, Deployment, Payroll, Operations Team Staffing and Complaints and Incidents. The Auditor also reviewed insurance documentation & ICO Registration.

The Pre Employment process appears to be conducted remotely with solid use of their CRM system (Staff Manager), HireVue to conduct interviews and Amiqus as the IDSP verification tool for a smooth recruitment process.

Where any Temporary Workers had a compliant or incident logged, evidence was provided against the audit criteria of the start and end process of Operations Team logging the report right to the resolution.

Overall, Thornbury Nursing Services achieved a total percentage score of 100%, which has resulted in a Diamond Pass.

Final feedback was given to the Supplier via a Teams call with the Auditor advising how well the systems in place were robust and where any recommendations could be added.

Summary of findings across the files

Name	Contract Ref:	Description of Non-Compliance	Action
F0287 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0298 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0321 - RMN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0335 - RMN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0358 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0369 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0372 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0374 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0379 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0390 - RNLD		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0424 - HCA		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0430 - RMN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0444 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0445 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0447 - HCA		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0469 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0474 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0482 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0499 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0501 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0508 - RM		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0512 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0514 - RMN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0525 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0531 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0533 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0541 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0544 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0547 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0548 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0565 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0566 - RM		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0593 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0615 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0642 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0584 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0658 - RNLD		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0670 - RM		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0671 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0692 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0693 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0694 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0701 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0729 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0748 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0806 - RGN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0811 - RMN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0817 - RMN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0844 - RMN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Name	Contract Ref:	Description of Non-Compliance	Action
F0878 - RSCN		Temporary Worker confirmed as fully compliant against Audit Criteria Standards.	

Audit Criteria

Recruitment – Pre-Employment
Evidence of interview assessment completed and decision to proceed documented.
Confirm candidate on screen corresponds to photo ID provided. Screen shot taken during interview.
HireVue: check we have followed up on a poor-quality recording or questions that need discussion (confirmed via the contact log on Staff Manager)
Evidence of NMC registration for all interviewers
Evidence of enhanced DBS check on file prior to placement (number and date on staff manager)
Evidence DBS check completed in all names, including middle names, previous names and any other name used
Evidence DBS adults and children workforce check completed prior to placement on SM
If DBS Update Service used: appropriate certificate viewed, consent obtained (online form), and evidence of online check
If portable DBS used: check DBS completed within previous 12 months, at an enhanced level, child & adult workforces, nothing disclosed since issue, original seen. If ported, and only 1 part of workforce checked, the TNS DBS will check both adult and children's workforce and be completed within 4 weeks of registration
For positive disclosure, copy of caution statement decision completed by applicant on file prior to placement
For positive disclosures a copy of management decision documentation completed and on file
If NMC / HCPC referrals indicated on application form, evidence we have received the paperwork or discussed the outcome
NMC/ HCPC check completed prior to placement
Evidence workbook completed (certificate)
Evidence of relevant Adult /Child drug calculations test completed
Evidence Child protection level 3 completed for those working in A&E, Paediatrics, Midwifery, CAMHS, ANP's/ENP's (can accept a self-declaration)
Evidence of ID confirmed: either 2 forms of photo ID and one address doc or 1 photo ID and 2 forms of address
Either ID verification form with Original seen and copied OR Amiquis check report
If no photo ID, evidence of photo endorsement form completed

RTW in line with current home office guidance at the point of registration (PP, Online Sharecode check, Birth certificate and NI)
Evidence of name change if applicable, if evidence not available reason documented.
Check Next of Kin / emergency contact details obtained
10-year work history provided with all gaps accounted for
At least 2 references on file confirming 6 months experience or 12 months for specialist nurses in last 2 years, except where we have had to resort to minimum 1 reference from current or previous employer in line with NHS Employer adjusted COVID guidance.
References provided cover previous 3 years of clinical work history, except where we have had to resort to minimum 1 reference from current or previous employer in line with NHS Employer adjusted COVID guidance or where applicant does not have 3 year clinical work history.
At least 1 reference from current/previous employer
At least 1 reference verified by stamp, letterhead, email /SM. Email references don't need to be verified
References sent to work address - any deviation communicated on SM, including reasons why
Student reference if within preceding 3 years - can accept a university certificate, except where we have had to resort to minimum 1 reference from current or previous employer in line with NHS Employer adjusted COVID guidance.
Anything deemed poor/below expectations/unsatisfactory followed up and documented on SM
Relevant code for clinical work on DTF prior to placement
Evidence BLS/ILS/PLS/NLS/ALS on file (if ALS, less than 12 months old)
Evidence of moving and handling on file
For substantive or bank workers evidence of most recent refresher or full course for PMVA. If agency worker, evidence of most recent full course or most recent 2 refreshers. Most recent course cannot be more than 12 months ago, unless it is a full course that was completed, then it must be within 16 months (Mental Health workers only)
Training provider forms sent to work email address or signed if paper copy
Self-declarations (RN's only), if no certificate evidence obtained
Copy of pre employment information provided
In date OH clearance on file prior to placement
Any request for risk assessment followed up
Cleared to EPP standard for A&E, Theatres (scrub setting only) and Midwifery. For A&E nurses who don't have EPP clearance a restriction will be put on area of placement
Confirmation of indemnity insurance or indemnity advised (self-dec on online form/evidence) (not HCAs)
Documents are correctly validated
Check qualifications on badge match recruitment decision and contain name, logo, expiry date and pin if applicable (badge machine)

Electronic Contract of Engagement completed at the end of recruitment process
Second quality check completed on file before placement

Regulation Training Compliance – Ongoing compliance

Life support in date or worker Not Now. May be BLS/ILS/ALS with ALS less than 12 months since completion, otherwise require annual BLS or LSS too. If recruited in last 12 months can have a certificate valid for longer than 12 months. May be Adult and/or paed
If self declared, file requires a quarterly Action 1 for us to follow up unless used as a piece of supporting information.
Manual Handling in date or worker not now. May be online alternate years. If recruited in last 12 months can have a certificate valid for longer than 12 months
If self declared, requires a quarterly Action 1 for us to follow up unless used as a piece of supporting information
Training provider forms generated post registration will be verified by our team in QX, or the electronic version sent via SM
Workbook in date or worker Not Now
OH clearance in date for temporary clearances or Not Now
EPP for relevant clinical areas in date for temporary clearances or not now. If restrictions apply these should be noted in message box or 'By TNS request'
Annual Update in date or Not Now
Evidence of annual DBS in date or worker Not Now. Completed with all names- first , middle, and previous surnames where applicable
DBS update service consent form completed where applicable and online check carried out
Positive disclosures post reg, evidence of worker statement and retention decision
NMC/HCPC in date or worker Not Now. Exception for NMC extension for revalidation purposes
Fitness to Practice notification on message box
CPL3 if required. If A&E, notification in message box. If expired & Paeds only then worker Not Now
CPL3 Update in interim years following full course. If expired & Paeds only then worker Not Now
Chemo nurses – if expired chemo annual update, chemo skill removed and/or worker Not Now
Post reg where applicable – check RTW in line with Home Office Guidance appropriate to pre and post 6 April 2022 changes. If out of date worker Not Now. RTW reminder and expiry dates in Action 1

Deployment

The staff deployed will have the relevant skills suitable to the requirements of the shift (The SM file, skills checklist and communications sheet will all identify the specific skills of a staff member)
Alternative staff supplied will be clearly communicated and documented (The comments box on a specific shift will identify alternatives and reasons for those alternatives, along with communication with the client)
Shifts are confirmed back to clients once filled.
Client rules – Clients are able to impose specific rules to be adhered to when TNS are covering their shifts
Shifts entered online by clients are identified as such, and not released for online booking until checked by a placement coordinator
Shifts can only be booked by a worker online if they have suitable skills for that shift
Shifts booked by workers online are identified as such, for final sign off by placement coordinator before confirming back to client

Payroll

Completed Client details are on the time sheet, or an identifiable code for confidential purposes in the case of a community client
Name of Nurse is completed on the time sheet
TNS Number is completed on the time sheet
Day, date, time of shift is completed on the time sheet
Breaks section completed on the time sheet, with the standard break deducted automatically if section is not completed
Nurse signature is on the time sheet
Client Signature is on the time sheet if the client is able or authorised to sign, which is not always possible when working in the community or with NHS Professionals clients
Printed Client Name is on the time sheet if the client is able or authorised to sign, which is not always possible when working in the community or with NHS Professionals clients
Date of Client Signature is on the time sheet if the client is able or authorised to sign, which is not always possible when working in the community, or with NHS Professionals clients
All agency workers are paid via PAYE and are not working via PSC's or Umbrella companies

Operations Team Staffing

There is always a minimum of two people working at all times, every day of the year. The Call centre rota will identify this
We do not operate an on call service; the phone lines are manned at all times with two people, with an RN always available via the relevant Operations/Business Manager, should escalation out of hours be required

Complaints and incidents

Complaints/incident reporting form completed by Operations teams and sent to Complaints in a timely manner
Telephone conversations recorded and dated on Datix following all telephone interactions
Email/letter sent to acknowledge incident/complaint - copy stored on Datix
Action taken/remove agency worker if applicable
Next steps communicated to worker
Consider referral to statutory body when appropriate, including CQC and NMC
Relevant documents uploaded to Datix
Restrictions are identified and put in place, status changed if appropriate
Regular reviews to identify trends on either worker or clients
Notification email automated to relevant Business Manager
Complaint acknowledged within 3 days with formal request for any additional information
Restrictions are reviewed on a regular basis
Worker involved is advised of complaint/ incident and feedback (if permission disclosed) and any restrictions (if applicable). Aim to inform within 3 working days
Complaints Manager reviews complaint or incident, giving full consideration regards to allowing worker to continue working for the agency whilst the complaint/investigation is pending
Decision made to allow worker to continue working or worker blocked from working (made NOT NOW COMPLAINTS). Decision documented on Datix
Complaints to follow and comply with client's internal investigation
Any actions set will be carried out using the Complaints and Incidents Process
Feedback / closure received from client and stored on Datix
Training needs are identified and actioned
Closure email sent to the client and worker involved
The file is reviewed, checking all the processes have been followed correctly.
Tomorrow' action tab on Datix identifies actions to be completed by team
All incidents in holding area to be actioned within 48hrs
Safeguarding incidents regularly reviewed and tracker up to date
Counter Fraud incidents regularly reviewed and tracker up to date

Misc

Insurance docs in date and displayed
Data protection – ICO document
RN list to include registration, year of registration, specialism – personnel file