



External Audit Results

Hallam Medical External Audits

As means of demonstrating that Hallam Medical conduct compliance checks in line with the NHS Employers Standards, Skills for Health Core Skills Training Framework and the Conduct of Employment Agencies and Employment Business Regulations 2003, we are regularly audited by external bodies.

These auditors not only review a sample of worker files, but also our policies, procedures and financial records, including but not limited to: -

- Candidate Recruitment Files
- NMC / HCPC / GPhC / GMC Alert Notices
- Worker terms of engagement viewed including all declarations
- AWR & WTD processes
- Details of Appraisals and Revalidation
- Confirmation of on-site induction with the Hallam Medical client
- ID Badges and confirmation that the candidates have received an Agency Worker Handbook
 - Placement Checklists present
- Confirmation that, as a minimum, end of placement assessments have been sent to the Hallam Medical client for completion
- Worker timesheets / payslips / Invoices cross referenced to booking confirmation and hours, rates being correct
- Complaints procedure evidenced and verified
- Hallam Medical company insurance evidenced
- Compliance standards and policies reviewed
- GDPR Policies and Procedures reviewed
- Hallam Medical internal audit program reviewed
- Hallam Medical internal training program reviewed

Audit History

Hallam Medical have a proven track record of external audit success over the last 3 years, with all audits resulting in a pass result and more recently awarded Platinum Status for an audit in 2019. The following documents are the audit outcomes from these listed below: -

- Grant Thornton – External Audit for Framework Tender November 2016
- CPP Clinical Staffing Framework Audit December 2017
- HTE Nursing Framework Audit September 2018
- HTE Nursing Framework Audit April 2019 and Platinum Pass Confirmation
- HTE AHP/HSS Framework Audit October 2019
- GRI Client Audits July 2019 (CCS Framework / Care UK / Virgin Care)

Workforce Alliance Audit Report July 2023

Findings Report

NHS Workforce Alliance Health Assurance Inspection Report

Official Sensitive
2023-24

Overall Assessment Rating

PASS

HTE Nursing Framework Audit February 2022



Working
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Together

Total Workforce Solutions NHS
Framework Agreement for the
Provision of Services: Lot 3b:
Nursing and Care Service
Workers Audit Result

Date: 01.02.2022

Supplier: Hallam Medical Ltd

Framework: Nursing (3b)

Author: June Marlow

Audit Result

PASS



HTE Nursing Framework Audit November 2020



Working
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Total Workforce Solutions Framework Compliance Additional Files Audit

Date: 11.11.2020

Agency: Hallam Medical

Framework: Nursing (Lot 3b)

Author: June Marlow

Additional Files Audit Result

Platinum Pass



HEALTHTRUST EUROPE™

HTE AHP/HSS Framework Audit October 2019



Working
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Total Workforce Solutions AHP Framework Audit

Date: 07.10.2019

Agency: Hallam Medical Ltd

Framework: AHP/HSS (Lot 3c)

Author: June Marlow

Audit Result
Platinum Pass



GRI Client Audits July 2019 (CCS Framework / Care UK / Virgin Care / Totally)



Version	Date	Initials	Notes
1.0	Jul-18	DG	
	May-19	CG	

Date	23.07.2019
Agency - full name	Hallam Medical Limited
Branch Location	Sheffield
Agency Contact	Chris Whawell
Relevant Client	Care UK Clinical Services Limited
Number of workers audited	2
GRI auditor	Rebecca Ravey

Agency Insurance Cover:

Policy Expiry Date	24.05.2020
Professional Indemnity Cover Limit	£5m
Public Liability Cover Limit	£5m
Employers Liability Cover Limit	£10m
Medical Malpractice Cover Limit	NA

CQC Registration Required?	NA
Evidence of Registration Seen?	NA

Overall Audit Rating:

Clean Pass	■ All information evidenced at audit
Remediated Pass	■ Actions delivered post-audit
Actions Needed (see below)	■ Actions yet to be delivered
Fail	■ Right-to-work/any other serious deficiency or actions not delivered



Version	Date	Initials	Notes
1.0	Jul-18	DG	
	May-19	CG	

Date	23.07.2019
Agency - full name	Hallam Medical Limited
Branch Location	Sheffield
Agency Contact	Chris Whawell
Relevant Client	Virgin Care Limited
Number of workers audited	2
GRI auditor	Rebecca Ravey

Agency Insurance Cover:

Policy Expiry Date	24.05.2020
Professional Indemnity Cover Limit	£5m
Public Liability Cover Limit	£5m
Employers Liability Cover Limit	£10m
Medical Malpractice Cover Limit	NA

CQC Registration Required?	NA
Evidence of Registration Seen?	NA

Overall Audit Rating:

Clean Pass	■ All information evidenced at audit
Remediated Pass	■ Actions delivered post-audit
Actions Needed (see below)	■ Actions yet to be delivered
Fail	■ Right-to-work/any other serious deficiency or actions not delivered

GRI Client Audits July 2019 (CCS Framework / Care UK / Virgin Care / Totally)



Version	Date	Initials	Notes
1.2	Sep-19	DG	Updated formatting; MS
1.3	Sep-20	DG	MS survey expansion

Date	7/7/2023
Agency - full name	Hallam Medical Limited
Branch Location	Sheffield
Agency Contact	Francesca Boulter
Number of workers audited	6

Agency Insurance Cover:

Policy Expiry Date	24/5/2024
Professional Indemnity Cover Limit	£5m
Public Liability Cover Limit	£10m
Employers Liability Cover Limit	£10m
Medical Malpractice Cover Limit	N/a
Driver Negligence Cover Limit	N/a

Overall Audit Rating:

Clean Pass	■ All information evidenced at audit
Remediated Pass	■ Actions delivered post-audit
Actions Needed (see below)	■ Actions yet to be delivered
Fail	■ Right-to-work/any other serious deficiency or actions not delivered



Version	Date	Initials	Notes
1.0	Jul-18	DG	
	May-19	CG	

Date	23.07.2019
Agency - full name	Hallam Medical Limited
Branch Location	Sheffield
Agency Contact	Chris Whawell
Relevant Client	CCS - Framework
Number of workers audited	2
GRI auditor	Rebecca Ravey

Agency Insurance Cover:

Policy Expiry Date	24.05.2020
Professional Indemnity Cover Limit	£5m
Public Liability Cover Limit	£5m
Employers Liability Cover Limit	£10m

Overall Audit Rating:

Clean Pass	■ All information evidenced at audit
Remediated Pass	■ Actions delivered post-audit
Actions Needed (see below)	■ Actions yet to be delivered
Fail	■ Right-to-work/any other serious deficiency or actions not delivered

CANDIDATES INCLUDED IN AUDIT	E-TIPS® JOB TITLE
	Emergency Nurse Practitioner - Band 7 (Standard)
	Emergency Nurse Practitioner - Band 7 (Standard)

HTE Nursing Framework Audit April 2019 Platinum Pass Confirmation



HTE Nursing Framework Audit April 2019



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Total Workforce Solutions Framework Compliance Audit

Date: 01.04.2019

Agency: Hallam Medical

Framework: Nursing (Lot 3b)

Author: Lauren McCann

Audit Result
Platinum Pass



CPP Clinical Staffing Framework Audit December 2017

tiaa

Hallam Medical Limited
on behalf of NHS Collaborative Procurement Partnership
Compliance Review of CPP Clinical Staffing Framework

2017/18

Compliance Summary - Hallam Medical Limited

OVERALL ASSESSMENT	SCORE %
PASS	93

Audited staffing supplier's name, including trading name	Hallam Medical Limited
Business premises where the on-site audit was conducted	9th Floor City Gate, 8 St Marys Gate, Sheffield, South Yorkshire, S1 4LW
Date the on-site audit was conducted	11th December 2017
Audited staffing supplier's contact name and telephone number	Deborah McCain Managing Director Tel: 0844 335 0395 Mob: 07788313661 Fax: 0333 456 0395 Email: DeborahMcCain@hallammedical.com Web: hallammedical.com
NHS CPP or NHS CPP recommended workforce related framework agreement audited	CPP
Category(ies) of bank, temporary, fixed term or permanent staff being audited	Temp
Auditor Name and Job Title	Philip Lazenby, Director Of Audit

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Our Ref DZS/RJK

Board of Directors
Hallam Medical Limited
9th Floor City Gate
8 St Mary's Gate
SHEFFIELD
South Yorkshire
S1 4LW

3 November 2016

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Dear Sirs

Report of factual findings to the directors of Hallam Medical Limited

We have performed the procedures agreed with you and enumerated below with respect to the requirements of an agreement set forth in the accompanying schedules prepared by the directors of Hallam Medical Limited.

Our engagement was undertaken in accordance with International Standards on Related Services 4400 applicable to agreed-upon procedures engagements.

This report is provided pursuant to, and must be read in conjunction with, our engagement letter dated 26 September 2016 and is subject to the terms and limitations set out therein.

The procedures were performed solely to assist you in your Preliminary Compliance Audit Standard and are summarised as follows:

- We have scored the checklists (detailed below) using objective scoring criteria covering the following number of Temporary Workers relative to the number of Temporary Workers placed by the Tenderer against the NHS Employment Check Standards in the last 12 months:

Number of workers placed in the last 12 months by the Tenderer relative to each Lot (sample pool)	Minimum sample size required for the Compliance Audit to be accepted (selected by the Auditor at random)
1-10 Temporary Workers	100% of the sample pool or 5 Temporary Workers, whichever is lower
11 – 100 Temporary Workers	10% of the sample pool or 5 Temporary Workers, whichever is greater
101 or above Temporary Workers	10% of the sample pool or 25 Temporary Workers, whichever is lower

- We have scored the checklists by reviewing your HR files and have determined that they contain evidence confirming those items specified by the Preliminary Audit Checklist for the sample selected.

Chartered Accountants

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- The Preliminary Audit Checklist is:
 - o Enhanced DBS check / DBS Update Service Check (where applicable)
 - o Overseas Police Check (as required)
 - o Proof of identity verified
 - o Proof of eligibility verified (Right to Work)
 - o Registration with Professional and Regulatory Bodies (Original certificate or statement of entry verified & regular ongoing NMC web pin checks evidenced prior to start date and on-going status checks)
 - Hepatitis B;
 - Measles;
 - Mumps;
 - Rubella;
 - Tuberculosis;
 - Varicella; and
 - o Exposure Prone Procedures (if applicable) Hepatitis B
 - o Exposure Prone Procedures (if applicable) Hepatitis C
 - o Exposure Prone Procedures (if applicable) HIV
 - o Fitness to Work Certificate restrictions & follow up recommendations to customers
 - o NMC alerts, notices or investigations with any information provided to the customer prior to start date and approved/accepted as applicable
 - o Temporary Worker contract of services verified & pensions requirements (opt out as appropriate)
 - o AWR entitlement (parity pay, benefits and day one rights) detailed in contracts or handbook for Temporary Worker.
 - o AWR process in place to include clock, pause, stop
 - o After 12 weeks working Parity Pay recorded (If applicable)
 - o WTR verification of Opt in or out of 48 hr. declaration.
 - o Basic, Intermediate or Advanced life support (adult or paediatric, as appropriate) in accordance with the relevant Job Profile and which is compliant at all times with Resuscitation Council UK and the Authority's guidelines, as appropriate, and has been delivered by means of a practical course.
 - o Lone Worker Training (Annual)
 - o Food hygiene & hygiene awareness as appropriate to the Job Profile (Annual)
 - o Mental Health Act & Mental Capacity Act as appropriate to the Job Profile (Annual)
 - o Physical restraint skills & techniques, including personal safety, control & restraint as appropriate to the Job Profile (Annual)
 - o New born resuscitation and Interpretation of cardiographs as appropriate to the Job Profile (Annual)
 - o Equality, Diversity & Human Rights (every 3 years)
 - o Handling Violence & Aggression / Conflict Resolution (every 3 years)
 - o The Caldecott Principles / Information Governance (Annual)
 - o Health, Safety and Welfare (Annual)
 - o Infection Prevention (Included MRSA & Clostridium Difficile) Level 1 (every 3 years) or 2 (Annual)
 - o Complaints Handling (Annual)
 - o Fire Safety (every 2 years)
 - o Moving and Handling (loads and people, Level 1 or 2) - Online Assessment accepted (Annual)
 - o Safeguarding Children Level 1, 2 or 3 (every 3 years)

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- Details evidenced of previous and upcoming appraisals (including annual appraisal)
- Appraisal /performance check for newly-qualified workers, workers returning to employment or any newly- employed or engaged workers after 1st shift, 3 months after that & annually thereafter.
- Evidence Authority has been informed that worker has /has not had an annual NHS approved appraisal (including 360 degree feedback)
- Evidence of Revalidation checks or support (as required)
- Confirmation of any Professional Indemnity Insurance requirements (e.g. covered by CNST through the NHS, Supplier cover provided or individual cover required for non-CNST and evidenced)
- Completed application form/registration evidenced
- Induction & Orientation Training verified (In a healthcare setting at the start of their booking) Written confirmation it has been received.
- Face to face interview verified (Skype acceptable but need to evidence that original documents have been seen and verified)
- ID Badge Verified
- Supplier Handbook given to Temporary Worker and updates verified
- I.E.L.T.S verified (If applicable)
- Full employment history (gaps of 2 weeks or more verified) with 3 years validated
- Employment history updated as appropriate (Annual)
- References verified (electronic accepted from the referees official email address with the relevant employer), a minimum of 2 required unless the Temporary Worker has been with the same employer for the full 3 year period) – 3 years required to validate Employment History
- Professional Qualifications verified
- Placement checklist for verified documentation (if applicable)
- End of placement assessment form sent to customer
- Timesheet verified/approved with correct band, hours and total pay/commission/charge
- Invoice verified/approved with correct band, hours and total pay/commission/charge
- Complaints Procedure evidenced
- Proof of contract with Occupational Health Provider (must be SEQOHS accredited)
- Supplier Insurance verified (Employers £5m, Public Liability £5m, and Professional Indemnity £2m)
- Compliance: Standards of Good Practice documented & embedded
- Skills assessment verified as appropriate to the Job Profile
- Confidentiality, security checks and Disclaimer to include agreement to accept third party audit evidenced
- Supplier internal staff training on required processes verified
- Supplier internal audit process in place for supervision and Quality Assurance

The scoring criteria is 1 point per section per Temporary Worker. 0 for pass, 2 for fail, blank if not applicable.

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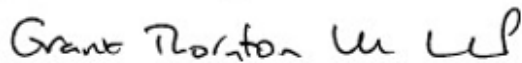
We report our findings below:

- We have scored the checklists by reviewing your HR files to determine that they confirm evidence confirming those items specified by the Preliminary Audit Checklist for the sample selected from Lot 3b and Lot 3c.
- The sample selected amounted to 5 temporary workers from Lot 3b and 5 temporary workers from Lot 3c.
- A score of 100% was achieved from the Lot 3b sample selected and 99% has been achieved from the Lot 3c sample selected.

Because the above procedures do not constitute either an audit or a review made in accordance with International Standards on Auditing (UK and Ireland) or International Standards on Review Engagements (UK and Ireland) 2410, we do not express any assurance.

Had we performed additional work or procedures or had we performed an audit or review of the financial statements in accordance with International Standards on Auditing (UK and Ireland) or International Standards on Review Engagements (UK and Ireland) 2410, other matters might have come to our attention that would have been reported to you.

Our report is prepared solely for the confidential use of Hallam Medical Limited and solely for the purpose set forth in the first paragraph of this report. Our report must not be recited or referred to in whole or in part in any other document. Our report must not be made available, copied or recited to any other party without our express written permission. Grant Thornton UK LLP neither owes nor accepts any duty to any other party and shall not be liable for any loss, damage or expense of whatsoever nature which is caused by other parties' reliance on our report.



GRANT THORNTON UK LLP
CHARTERED ACCOUNTANTS

SHEFFIELD
3 November 2016