





Action:	Current BRAG Rating	Recommended BRAG Rating	
2. Governance 2.6.4 – Independent audit of 20% sample of all new starters (297), randomly chosen from all grades of staff, who were recruited between 1 January to 30 June 2015 re: DBS checks	Green Completed 29/10/2015	Blue / Subject to CQC Confirmation	
Detail:			
<p>In June 2015 the Care Quality Commission stated that the Trust was not ensuring that there were proper processes to enable the Trust to make the robust assessment required by the Fit and Proper Person Requirements and issued the Trust with Warning Notice – Section 3.1, 3.2, 3.3 and 3.4).</p> <p>In order that the Trust could assure itself the Director of Human Resources requested a 360 Assurance by Internal Audit to be carried out on the Disclosure and Barring of 20% of the new starters. This audit did not demonstrate that our procedures were complete and the Human Resource Department have taken remedial action to ensure that there is completeness of this information moving forward. The following document demonstrates that for the last three months there has been completeness of the DBS checks.</p>			
Evidence:			
360 Assurance Audit – this demonstrates that there was poor compliance with Disclosure and Barring checks	 2.6.4 - DBS Checks Final Report.pdf		
ESR data on Disclosure and Barring checks – this demonstrates that there is greater than 95% compliance on checks for February, March and April 2016	 2.6.4 - DBS checks 3 months.zip		
Disclosure and Barring Policy – this policy demonstrates the procedure to be followed by the Trust	 2.6.4 - Disclosure and Barring policy and		
Appraisal document which has included the annual check for managers on changes to employees status re: disclosure and barring	 2.6.4 - Appraisal documentation DBS.p		
On-going monitoring arrangements:			
<ul style="list-style-type: none"> • OD & Workforce Committee • Trust Board 			
Executive Director Responsible:	Director of Governance Paul Moore	Responsible Assurance Committee:	OD & Workforce Committee Trust Board