



Review Sheet



Last Reviewed
15 Sep '20



Last Amended
15 Sep '20



Next Planned Review in 12 months, or
sooner as required.

Business impact



Changes are important, but urgent implementation is not required, incorporate into your existing workflow.

Reason for this review

Scheduled review

Were changes made?

Yes

Summary:

This policy outlines the process for auditing that will drive continuous improvement at the service. The reference number of this policy has changed - previously it was QQ19.

Relevant legislation:

- The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014
- Health and Social Care Act 2008 (Registration and Regulated Activities) (Amendment) Regulations 2015
- Health and Safety at Work etc. Act 1974
- Management of Health and Safety at Work Regulations 1999
- General Data Protection Regulation 2016
- Data Protection Act 2018

Underpinning knowledge - What have we used to ensure that the policy is current:

- Author: Skills for Care, (2019), *Guide to improvement: How to improve your service to meet, maintain and exceed CQC Standards*. [Online] Available from: <https://www.skillsforcare.org.uk/Documents/Standards-legislation/CQC/Guide-to-improvement.pdf> [Accessed: 15/9/2020]
- Author: CQC, (2015), *Guidance for providers on meeting the regulations*. [Online] Available from: http://www.cqc.org.uk/sites/default/files/20150324_guidance_providers_meeting_regulations [Accessed: 15/9/2020]

Suggested action:

- Encourage sharing the policy through the use of the QCS App
- Ensure relevant staff are aware of the content of the whole policy

Equality Impact Assessment:

QCS have undertaken an equality analysis during the review of this policy. This statement is a written record that demonstrates that we have shown due regard to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations with respect to the characteristics protected by equality law.



1. Purpose

1.1 To develop, maintain and support a culture of best practice in the management and delivery of audits and action planning within Inspiring Aspirations Plus Ltd T/A Inspiring Support.

1.2 To support Inspiring Aspirations Plus Ltd T/A Inspiring Support in meeting the following Key Lines of Enquiry:

Key Question	Key Lines of Enquiry
RESPONSIVE	R2: How are people's concerns and complaints listened and responded to and used to improve the quality of care?
SAFE	S6: Are lessons learned and improvements made when things go wrong?
WELL-LED	W2: Does the governance framework ensure that responsibilities are clear and that quality performance, risks and regulatory requirements are understood and managed?
WELL-LED	W4: How does the service continuously learn, improve, innovate and ensure sustainability?

1.3 To meet the legal requirements of the regulated activities that {Inspiring Aspirations Plus Ltd T/A Inspiring Support} is registered to provide:

- | The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014
- | Health and Social Care Act 2008 (Registration and Regulated Activities) (Amendment) Regulations 2015
- | Health and Safety at Work etc. Act 1974
- | Management of Health and Safety at Work Regulations 1999
- | General Data Protection Regulation 2016
- | Data Protection Act 2018



2. Scope

2.1 The following roles may be affected by this policy:

- | All staff

2.2 The following Service Users may be affected by this policy:

- | Service Users

2.3 The following stakeholders may be affected by this policy:

- | Family
- | Advocates
- | Commissioners
- | External health professionals
- | Local Authority



3. Objectives

3.1 To demonstrate effective governance and quality assurance at Inspiring Aspirations Plus Ltd T/A Inspiring Support through the use of a suite of audit tools and action planning processes, which will maintain a high-quality service for our Service Users.



4. Policy

4.1 Audits at Inspiring Aspirations Plus Ltd T/A Inspiring Support will form part of an effective quality assurance system. The compliance management system at Inspiring Aspirations Plus Ltd T/A Inspiring Support, of which this policy is a part, is such a system.

4.2 Regular audits will be carried out by Inspiring Aspirations Plus Ltd T/A Inspiring Support using standardised auditing tools; these will record progress and, where any identified improvement areas are recorded, action plans will be implemented.

4.3 Audits at Inspiring Aspirations Plus Ltd T/A Inspiring Support will only be undertaken by competent, skilled, knowledgeable and experienced members of staff.

4.4 Action plans at Inspiring Aspirations Plus Ltd T/A Inspiring Support will be regularly monitored and all those responsible for action points will be held accountable for their completion. Outcomes from these actions will also be shared across the wider business of Inspiring Aspirations Plus Ltd T/A Inspiring Support.

4.5 In line with the policies and procedures at Inspiring Aspirations Plus Ltd T/A Inspiring Support, audits and action plans will be subject to structured and ongoing review to ensure that they remain fit for purpose and conform to changing legislation, regulation and best practice recommendations.



5. Procedure

5.1 Auditing

Inspiring Aspirations Plus Ltd T/A Inspiring Support will undertake a programme of planned audits that will meet its requirements for quality assurance in all parts of the business, whilst reflecting and supporting the objectives, strategy and plans of the quality framework at Inspiring Aspirations Plus Ltd T/A Inspiring Support.

The programme of planned audits for Inspiring Aspirations Plus Ltd T/A Inspiring Support will take the form of 12 audits annually, across all parts of the business. Additional quality assurance checks that will take place at Inspiring Aspirations Plus Ltd T/A Inspiring Support include:

- | 10% of care plans audited per month
- | 10% of MARs (Medication Administration Records) audited per month
- | 10 of visit logbooks audited per month

Inspiring Aspirations Plus Ltd T/A Inspiring Support must ensure that the staff designated to complete the audits are provided with the time to prepare. Additionally, they must have the necessary skills, experience, knowledge and competence to undertake an audit and identify when improvement areas are needed. A template Audit Matrix can also be found in the Resource Centre of the QCS management system to support the audit planning process at Inspiring Aspirations Plus Ltd T/A Inspiring Support.

5.2 Planning

To support the implementation of the audit programme, Inspiring Aspirations Plus Ltd T/A Inspiring Support will maintain a system to track the following:

- | Planned dates of audits for the year ahead
- | Identification of competent, responsible members of staff assigned for each audit
- | Completed audits with outstanding actions
- | Risks identified during the audit process and actions taken
- | Findings from a root cause analysis around each action point
- | Overarching view of progress of all outstanding actions with roles and responsibilities documented

5.3 Responsibilities of Designated Staff

The competent, responsible person carrying out the assigned audit will use the relevant audit tool and action plan for that specific part of the business.

This person will also be responsible, where required, for developing an action plan and this will be reviewed and agreed with Jo Kerley.

Jo Kerley must keep the competent, responsible person informed of progress and immediately report any concerns or potential delays that may arise in meeting the agreed actions cited on the action plan.

5.4 Action Planning

Action planning must be at the heart of all processes at Inspiring Aspirations Plus Ltd T/A Inspiring Support and will take place at every level of governance and management to ensure continuous development. Improvement areas from completed audits will be documented and tracked through robust action plans, with a commitment to re-audit made, where this is required.

Action plans at Inspiring Aspirations Plus Ltd T/A Inspiring Support must be specific, measurable, achievable and realistic. They will display clear timescales and accountability for each action must be provided.

Action plans must also include the following information:

- | What the agreed action is and any associated actions
- | What resource is required to complete the action
- | When progress is expected and completion dates
- | Any comment, cross-referencing of actions or further work after completion

Not all audits at Inspiring Aspirations Plus Ltd T/A Inspiring Support will require an action plan, e.g. where an audit shows that standards are being met or guidance followed. For such audits, there will be an explicit statement saying, 'no further action required' and a reason provided for no re-audit taking place.

The progress of the action plans at Inspiring Aspirations Plus Ltd T/A Inspiring Support will be provided by Jo Kerley to the wider team. The action plan must also be updated regularly to track progress and it will depend upon the nature of the content as to how frequent this will be. This must be agreed by the



responsible person and Jo Kerley.

Inspiring Aspirations Plus Ltd T/A Inspiring Support and Jo Kerley are responsible for compiling any action plan required by the Care Quality Commission or other body in response to a report or request from that body.

Each member of the management team at Inspiring Aspirations Plus Ltd T/A Inspiring Support has an obligation to understand action planning and how it relates to them and their team.

5.5 Re-audit

For Inspiring Aspirations Plus Ltd T/A Inspiring Support to gain assurance that the full audit cycle is achieved, re-audit may be necessary to determine whether agreed actions have been implemented in accordance with the original action plan.

Jo Kerley will determine and agree who is best placed to complete the re-audit.

5.6 Continuous Quality Improvement

The audit and action plan programme provides Inspiring Aspirations Plus Ltd T/A Inspiring Support with the ability to track learning and development across the business. Root cause analysis must also be undertaken around each action to ensure that the underlying reason for the action point has been identified and ultimately resolved.

Jo Kerley will ensure the completion of actions identified from the audits and manage any delays or inconsistencies in a timely manner.

Audits and their results will be shared amongst the relevant staff in order to further develop their knowledge and to support best practice across the business. Where training and further development is required, this will be accessed in a timely manner by Jo Kerley.

In addition to designated staff, Jo Kerley must also undertake audits across all parts of the business to provide further assurances of the quality and integrity of the audit process and programme. This must be as agreed with Inspiring Aspirations Plus T/A Inspiring Support.

Spot checks and observation of practice must also be completed by Jo Kerley or a designated other, to provide evidence that changes implemented as a result of an audit are sustained and embedded in daily practice.

Audits and action plans at Inspiring Aspirations Plus Ltd T/A Inspiring Support will be reviewed annually to ensure that they remain in line with current practice recommendations, legislation and regulation.



6. Definitions

6.1 Quality Assurance

- | The maintenance of a desired level of quality in a service or product, especially by means of attention to every stage of the process of delivery or production

6.2 Audit Cycle

- | The audit cycle in healthcare terms has been identified as a means of completing an initial audit, changes are implemented and a final re-audit is undertaken to demonstrate improvement

6.3 Root Cause Analysis

- | The process to analyse the cause of incidents, determining the overall 'root cause' and learning from this, so that, where possible, the risk of recurrence is reduced
- | Root cause analysis is part of good governance processes and allows a business to continuously develop by resolving the fundamental issues it may be experiencing

6.4 Action Plan

- | An action plan is a document that lists what steps must be taken in order to achieve a specific outcome ensuring who, when and what is needed to achieve the goal
- | Action plans can be used at all levels of business, for example, used to implement strategic plans, actions from meetings or individual objectives

6.5 Audit

- | An independent review of a company's documents to ensure the effectiveness of the work practices against agreed standards and regulations
- | For the health and social care sector this will be in relation to the CQC's requirements



Key Facts - Professionals

Professionals providing this service should be aware of the following:

- 1 Inspiring Aspirations Plus Ltd T/A Inspiring Support completes robust action plans to ensure that improvement areas are accounted for, developed and produce a satisfactory outcome
- 1 Fundamentally, the aim of health and social care is to improve or maintain the quality of people's lives and their wellbeing, through personalisation and empowerment
- 1 In order to review if this is achieved at Inspiring Aspirations Plus Ltd T/A Inspiring Support, there is a need to measure outcomes against a set of standards that are determined by best practice, legislation and regulations
- 1 Audits are necessary within every functioning part of the business and we complete 12 yearly to maintain our quality standards
- 1 Audits are a means of helping staff to become better at what they do, to understand how their role helps to maintain and improve the quality of services, and to identify any training and development needs that may be necessary



Key Facts - People affected by the service

People affected by this service should be aware of the following:

- 1 Inspiring Aspirations Plus Ltd T/A Inspiring Support will ensure that all actions are monitored to make sure that they are happening and that they are completed in the way they must be
- 1 Inspiring Aspirations Plus Ltd T/A Inspiring Support seeks to continuously monitor the service it offers to ensure that it is of a high quality and that it is safe. This involves auditing all areas of the service and putting action plans in place, where necessary
- 1 Your feedback will form part of the audits and you are fully encouraged to be involved



Further Reading

There is no further reading for this policy, but we recommend the 'underpinning knowledge' section of the review sheet to increase your knowledge and understanding.



Outstanding Practice

To be 'outstanding' in this policy area you could provide evidence that:

- 1 Inspiring Aspirations Plus Ltd T/A Inspiring Support ensures that there is a strong emphasis on continuously learning new ways of doing things so that staff know how to meet Service Users' diverse needs
- 1 Inspiring Aspirations Plus Ltd T/A Inspiring Support involves Service Users in the audit process
- 1 Audits are completed in a timely manner as part of a scheduled programme. Identified actions are acted on and checks are made to ensure that these are embedded into the business
- 1 Audit and action plan results are shared with staff and used as a reflective learning opportunity to change practice and develop knowledge
- 1 Audit tools and action plans are reviewed to ensure that they remain current and fit for purpose
- 1 Inspiring Aspirations Plus Ltd T/A Inspiring Support includes national audits in addition to its own suite of audits to promote a proactive culture of continuous benchmarking of practice
- 1 The wide understanding of the policy is enabled by proactive use of the QCS App



Forms

The following forms are included as part of this policy:

Title of form	When would the form be used?	Created by
Action Plan Template - QQ82	To track the progress of actions that have resulted from an audit	QCS
Daily Progress and Evaluation Record Audit - QQ82	To audit the daily progress and evaluation record	QCS

Action No	Unit (Department, Branch, ...)	Topic/ Workstream (e.g. Retention, Recruiting, ...)	Action Point - Measure/Activity	Dates			Progress	Status
				Start dd/mm/yy	Planned End dd/mm/yy	Effective End dd/mm/yy		
			Responsible person:					
			Responsible person:					
			Responsible person:					
			Responsible person:					
			Responsible person:					
			Responsible person:					

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Action No	Update _/_	Update _/_	Update _/_	Update _/_	Update _/_	Update _/_	Update _/_	Update _/_	Update _/_	Update _/_	Update _/_	Update _/_

Progress		Status	
1	Not Started	On Track	On time, on spec and on budget
2	Started	Partial	Minor deviation (expected)
3	On Hold	Off Track	Serious deviation (time, spec, budget). Escalation
4	Completed		

Inspiring Aspirations Plus Ltd T/A Inspiring Support

Service User Name:	
Service User Number:	
Auditors name:	
Auditors signature:	
Date:	
<p>Answer the following questions Yes or No as appropriate, where the answer is No please enter detailed findings within the 'Findings' box. Once relevant action has been taken please complete the 'Actions Taken' box.</p>	
<p>Q1. Have the Service User's details been fully completed on the daily progress and evaluation record? Yes/No</p>	
<p>Findings</p>	
<p>Action Taken</p>	
<p>Q2. Have all records been completed correctly with the date, time and name, role and signature of the person completing the record? Yes/No</p>	
<p>Findings</p>	

Action Taken
Q3. Do the date and times of the records correspond to the Service User's scheduled visits? Yes/No
Findings
Action Taken
Q4. Are all records legible and completed in black ink? Yes/No
Findings

Action Taken
Q5. From reviewing the progress and evaluation of care records are they detailed and take into consideration the activities of daily living (ADLs), that are applicable to the service being provided to the Service User? Yes/No
Findings
Action Taken
Q6. Do the progress and evaluation of care entries match the Service User's requirements as detailed in their Care Plan? Yes/No
Findings
Action Taken

Q7. Where applicable, have any concerns noted in the daily progress and evaluation records been followed up in line with policy at Inspiring Aspirations Plus Ltd T/A Inspiring Support? Yes / No / n/a
Findings
Action Taken
Overall Comments
Follow-up Actions