



Audit Policy

1. Purpose

- 1.1 The purpose of this policy is to encourage the use of statistical techniques to audit, monitor and improve areas where we can improve our performance, and therefore our service delivery, and to meet DCC, CQC and other regulatory body guidelines and recommendations.

2. Scope

- 2.1 This policy is applicable to all departments within our company.

3. Responsibilities

- 3.1 The overall responsibility for the correct implementation of this policy lays with the Directors, but all employees share a responsibility to apply the requirements of this policy to any specifically identified activity where a need is identified to improve. Where appropriate, audits will be outsourced to a trusted sub-contractor to ensure a fair and un-biased approach is used.

4. Methodology

- 4.1 Serendipity Healthcare Ltd recognises that we are not perfect and actively look for any areas of concern so that we can take appropriate action and continually improve our service.
- 4.2 Audits will aim to be completed on a regular basis, with consideration given for the time needed to implement any changes recommended as part of the audit process.
- 4.3 The Registered Manager will conduct an analysis of information recorded as part of the audit, and act on any actions and recommendations made. This information will be used to identify trends of non-conformance and enable corrective action to be taken as a form of continuous improvement.
- 4.4 Areas to be considered for the collection of this information are the records of: -
- Incidents, accidents and near misses
 - Training
 - Customer Quality Questionnaire
 - Customer Complaints
 - Call Monitoring
 - Management of medications
 - Recruitment & Staff Files
 - Any other area which it is recognises could benefit from the audit process

POL3 Audit Policy and Procedure

Serendipity Healthcare Ltd
Unit 5 Millennium Way, Dunston, Chesterfield, Derbyshire, S41 8ND



- 4.5 Once an un-desirable trend has been identified, recommendations can be set to improve this trend and this objective reassessed and updated at the next audit.

5. Sample Sizes

- 5.1 It is recognised that to create a true image of the performance of Serendipity Healthcare, a sample of service delivery large enough must be used during the audit process. The recommend sample size will vary depending on the area being audited and will be at the auditor's discretion.
- 5.2 Where required, sample sizes will vary/be reduced where an immediate and apparent trend is evidenced.

6. Sample Sizes

- 6.1 To effectively audit Serendipity services, access to confidential and personal information will be required. Where the audit is to be completed by an external body, the auditor will agree to a confidentiality agreement, abiding by the General Data Protection Regulation (GDPR)

Reviewed 26.01.2022
Lisa Ward – HR Manager