

# Qualification Unit

This unit forms part of a regulated qualification.

**Unit Title:** Quality Assurance, Audit and Regulatory Compliance

**Unit Reference Number:** K/652/0865

**Level:** Five (5)

**Credit Value:** 10

**Minimum Guided Learning Hours:** 55

Learning Outcome (The Learner will):	Assessment Criterion (The Learner can):
1. Understand quality assurance and regulatory compliance	1.1 Analyse quality assurance frameworks used in adult social care
	1.2 Explain regulatory expectations and inspection requirements
	1.3 Analyse the impact of regulatory expectations on own service management
2. Be able to lead audit and quality assurance processes	2.1 Plan and conduct audits using appropriate methodologies
	2.2 Analyse audit findings to identify risk, good practice and areas for improvement
	2.3 Analyse how they have involved others appropriately in audit and quality review activities
3. Be able to use quality assurance to drive improvement	3.1 Develop and implement improvement plans based on audit outcomes
	3.2 Monitor progress and evaluate impact on quality and outcomes
	3.3 Analyse how they have embedded learning from audits into everyday practice

Indicative Content	
LO1	AC1.1 <ul style="list-style-type: none"> <li>Purpose and principles of quality assurance in adult social care</li> <li>Governance and assurance frameworks used in regulated services</li> <li>Continuous quality assurance cycles (plan–do–check–act)</li> </ul>

	<ul style="list-style-type: none"> <li>• Quality monitoring systems and dashboards</li> <li>• Triangulation of evidence, including audits, observation, feedback and outcomes data</li> <li>• Use of regulatory intelligence, benchmarking and performance data</li> <li>• Leadership accountability for designing, maintaining and reviewing quality assurance systems</li> </ul> <p>AC1.2</p> <ul style="list-style-type: none"> <li>• Care Quality Commission (CQC) regulatory framework and Key Lines of Enquiry (KLOEs)</li> <li>• Registration requirements and the Fundamental Standards</li> <li>• Inspection methodologies, evidence sources and judgement processes</li> <li>• Types of inspection and regulatory monitoring activity</li> <li>• Roles and responsibilities of leaders and managers before, during and after inspection</li> <li>• Responding to inspection findings, recommendations and enforcement action</li> </ul> <p>AC1.3</p> <ul style="list-style-type: none"> <li>• How regulatory requirements shape leadership priorities and decision-making</li> <li>• Balancing regulatory compliance with person-centred, outcomes-based practice</li> <li>• Resource, workforce and financial implications of regulatory expectations</li> <li>• Using regulatory feedback to inform quality improvement and risk management</li> <li>• Reflective evaluation of the impact of regulation on service delivery and culture</li> </ul>
LO2	<p>AC2.1</p> <ul style="list-style-type: none"> <li>• Purpose and scope of audit in adult social care</li> <li>• Types of audits, including internal, thematic, spot and compliance audits</li> <li>• Audit planning, scoping and prioritisation based on risk</li> <li>• Selecting appropriate audit tools and methodologies</li> <li>• Evidence collection, sampling and triangulation</li> <li>• Ethical considerations, transparency and fairness in audit activity</li> <li>• Leadership responsibility for audit integrity and effectiveness</li> </ul> <p>AC2.2</p> <ul style="list-style-type: none"> <li>• Analysing qualitative and quantitative audit data</li> <li>• Identifying risks, safeguarding concerns and compliance gaps</li> <li>• Recognising strengths and examples of good practice</li> <li>• Prioritising areas for improvement based on impact and risk</li> <li>• Presenting and reporting audit findings clearly and accurately</li> <li>• Using audit findings to inform decision-making and assurance</li> </ul> <p>AC2.3</p> <ul style="list-style-type: none"> <li>• Involving staff, individuals and partners in audit activity</li> <li>• Using lived experience and feedback to inform quality reviews</li> <li>• Supporting engagement, learning and transparency through audit processes</li> <li>• Building ownership and accountability for quality at all levels</li> <li>• Reflective evaluation of inclusive and participative audit practice</li> </ul>
LO3	AC3.1

- Developing action plans with clear, measurable objectives
- Prioritising actions based on risk, impact and regulatory requirements
- Assigning accountability, timescales and resources
- Aligning improvement actions with governance and assurance arrangements
- Communicating improvement plans to staff and stakeholders
- Leadership oversight of improvement planning and delivery

#### AC3.2

- Monitoring implementation of improvement actions
- Using performance indicators, audits and quality data to track progress
- Measuring impact on quality, safety and outcomes for individuals
- Reviewing effectiveness of actions and making adjustments where required
- Reporting progress and outcomes to governance forums and stakeholders

#### AC3.3

- Embedding learning into policies, procedures and care practices
- Using training, supervision and communication to reinforce learning
- Promoting a learning and improvement culture
- Sharing learning across teams and services
- Sustaining improvements and preventing regression
- Continuous quality improvement and ongoing assurance reporting

### Assessment Requirements

This unit must be assessed in line with Open Awards' assessment requirements and Skills for Care & Development assessment principles. Assessment must be work-based and grounded in the learner's real work practice within an adult social care setting.

Learners must generate evidence that demonstrates full achievement of all learning outcomes and associated assessment criteria for each unit.

AC2.1 - Evidence should demonstrate selection of appropriate audit methodologies and prioritisation of risk.

AC3.3 – Evidence should demonstrate embedding improvement actions through policy, training, supervision and review to ensure sustainability.

While some knowledge evidence may be generated outside of the workplace, final assessment decisions must confirm that knowledge and understanding have been applied effectively in the real work environment, in line with Skills for Care expectations.

Assessment evidence may include a range of methods, selected to ensure validity and reliability, including but not limited to:

- Direct observation of practice in the workplace
- Reflective accounts demonstrating application of learning to practice
- Professional discussion to explore understanding, reasoning and decision-making
- Work-based documentation relevant to the learner's role (e.g. policies, procedures, plans, audits, reports)
- Witness testimony from managers, colleagues or relevant professionals

- Feedback from individuals, staff or partner organisations, where appropriate.

Where learning outcomes require demonstration of competence, direct observation of practice should form the primary source of evidence. Observation should normally take place in person in the learner's work setting.

All assessment evidence must be valid, authentic, current, sufficient and reliable, and clearly attributable to the learner. Assessors must ensure that evidence is fit for purpose, reflects the learner's role and level of responsibility, and demonstrates both knowledge and effective practice, where required.

Evidence must be clearly attributable to the learner and reflect their role, responsibilities and level of autonomy within the adult social care setting.

Confidential, sensitive or personal information must not be included in learner portfolios. Such evidence may be referenced, anonymised or summarised in line with organisational policies, data protection legislation and Open Awards requirements.

Assessment decisions must be made by an appropriately qualified assessor and are subject to internal and external quality assurance in accordance with Open Awards policies and procedures and Skills for Care expectations.