
Advanced Skill Certificate in Quality Assurance and Improvement in Health and Social Care

Audit And Evaluation In Health And Social Care

Audit is a systematic, documented process that measures actual practice against established standards, with the aim of identifying gaps and implementing change. In health and social care, audit serves as a bridge between policy and practice, ensuring that services are delivered safely, effectively, and in line with regulatory expectations. Evaluation, by contrast, focuses on assessing the impact of programmes, interventions, or policies, often to determine whether they have achieved intended outcomes and to inform future planning. While audit tends to be more prescriptive and compliance-oriented, evaluation is broader, encompassing both qualitative and quantitative judgments about value, relevance, and sustainability.

Clinical audit is the most common form within health care settings. It begins with the selection of a topic that is clinically important, such as infection control or medication prescribing. The audit cycle typically follows the steps of selecting criteria, measuring current performance, comparing results with standards, implementing change, and re-auditing to assess improvement. For example, a ward may audit the proportion of patients who receive a documented risk assessment for falls within 24 hours of admission. The standard might be set at 95 percent, and the initial measurement may reveal a compliance rate of 78 percent. The resulting action plan could include staff training, revision of admission checklists, and electronic prompts, with a repeat audit scheduled after three months.

Financial audit examines the accuracy and integrity of financial records, ensuring that funds are used appropriately and that there is no fraud or waste. In a social care context, this might involve reviewing the allocation of budget to home-care services, checking that expenditures align with the agreed contract, and confirming that billing practices meet statutory requirements. The findings of a financial audit often lead to recommendations for tighter controls, improved documentation, or changes to procurement processes.

Compliance audit assesses whether an organisation adheres to external regulations, such as those set by the Care Quality Commission (CQC) or the Health and Social Care Act. Compliance audits are essential for maintaining licence status and for demonstrating accountability to commissioners and the public. A typical compliance audit might review staffing levels against mandated ratios, the adequacy of safeguarding policies, or the implementation of data protection measures under GDPR.

Peer review is a collaborative form of audit in which professionals evaluate each other's work to promote learning and improve standards. In a multidisciplinary team, a peer review of case notes may highlight variations in documentation style, prompting the development of a shared template that ensures consistency and completeness. Peer review also fosters a culture of openness, where clinicians feel supported in identifying areas for development rather than being criticised.

Evaluation terminology is equally rich and requires a clear understanding of several core concepts.

Formative evaluation occurs during the development or early implementation of a service, providing feedback that can be used to refine processes. For instance, a pilot programme for integrated mental health support in a community centre might be evaluated formatively through focus groups with participants, allowing the team to adjust session timings and content before full roll-out. Summative evaluation, on the other hand, takes place after a programme has been fully implemented and aims to assess overall effectiveness, cost-effectiveness, and impact. A summative evaluation of a smoking cessation service would compare cessation rates before and after the intervention, calculate the cost per quit, and report on long-term health outcomes.

Process evaluation examines how a service is delivered, focusing on the mechanisms, activities, and interactions that constitute the intervention. It asks questions such as: Are the planned activities being carried out as intended? Are staff following the protocol? A process evaluation of a telehealth service might track the number of video consultations, the average duration of each session, and the technical issues encountered, providing insight into operational strengths and weaknesses. Outcome evaluation looks at the results of the service, such as changes in health status, patient satisfaction, or reduction in hospital admissions. Both process and outcome evaluations together offer a comprehensive picture of performance.

Key terms that underpin audit and evaluation include indicator, benchmark, standard, and criterion. An indicator is a measurable element that reflects a particular aspect of quality, such as the rate of pressure-area injuries per 1,000 patient days. Benchmarks are reference points derived from national data, best practice, or historical performance, against which current results are compared. Standards are explicit expectations that define the level of performance required, often expressed as a target percentage or a maximum allowable value. Criteria are the specific attributes used to judge whether a standard has been met; they may be quantitative (e.g., “≥ 90 percent of patients receive a discharge summary”) or qualitative (e.g., “patient information is clear and understandable”).

Metric is a broader term that encompasses any measurement used to assess performance. Metrics may be clinical (e.g., readmission rates), financial (e.g., cost per episode), or experiential (e.g., patient-reported outcome measures). The selection of appropriate metrics is critical, as they drive data collection, analysis, and ultimately the recommendations that arise from an audit. Choosing metrics that are too numerous or poorly defined can overwhelm staff and dilute focus, while overly narrow metrics may miss important dimensions of care quality.

Data collection methods vary according to the purpose of the audit or evaluation. Sampling techniques, such as random sampling, systematic sampling, or purposive sampling, are employed to ensure that the data set is representative and manageable. For instance, a random sample of 100 patient records may be selected from a total of 5,000 admissions to assess compliance with a new sepsis protocol. The size and method of sampling affect the validity (the degree to which the findings reflect the true situation) and reliability (the consistency of the measurement). To enhance validity, auditors may use multiple data sources—a practice known as triangulation. Triangulation might involve combining chart review, staff interviews, and direct observation to confirm that a protocol is being followed.

Root cause analysis (RCA) is a systematic approach used when an audit identifies a significant deviation from standards, such as a cluster of medication errors. RCA seeks to uncover the underlying factors that contributed to the incident, moving beyond surface-level explanations. Techniques such as the “5 Whys” or fishbone diagrams help teams explore issues related to human factors, equipment, environment, and organisational processes. By addressing root causes, organisations can develop robust solutions that prevent recurrence, rather than merely applying superficial fixes.

Plan-Do-Study-Act (PDSA) cycles are a cornerstone of quality improvement and are often integrated into the audit process. After an audit identifies a gap, a small-scale change (the “Plan”) is implemented (“Do”), the results are measured and analysed (“Study”), and adjustments are made before broader implementation (“Act”). For example, if an audit reveals that hand-hygiene compliance is low, a PDSA cycle might involve placing additional sanitizer dispensers, monitoring usage for two weeks, reviewing compliance data, and then deciding whether to roll out the intervention across the entire department.

DMAIC (Define, Measure, Analyse, Improve, Control) is another structured methodology derived from Six Sigma, used especially in complex process improvements. In the “Define” stage, the problem is clearly articulated (e.g., prolonged waiting times for physiotherapy). “Measure” involves collecting baseline data, “Analyse” identifies the drivers of delay, “Improve” implements targeted interventions (such as revised referral pathways), and “Control” establishes monitoring mechanisms to sustain gains. The rigor of DMAIC helps ensure that changes are evidence-based and that improvements are maintained over time.

Stakeholder engagement is essential throughout audit and evaluation. Commissioners require evidence of value for money and outcomes that align with strategic objectives. Regulators focus on compliance and risk management. Service users and their families bring lived experience, highlighting aspects of care that may be invisible to clinicians. Multidisciplinary teams (MDTs) provide the clinical expertise needed to interpret findings and develop realistic action plans. Engaging these groups early, through consultation meetings or steering committees, enhances ownership and facilitates the translation of recommendations into practice.

Reporting is the stage where audit findings are communicated to the relevant audience. A well-structured report includes an executive summary, methodology, results, interpretation, recommendations, and an action plan with assigned responsibilities and timelines. The use of clear visual aids—such as run charts, bar graphs, and heat maps—helps convey complex data in an accessible format. Recommendations should be specific, measurable, achievable, relevant, and time-bound (SMART). For example, a recommendation might state: “Increase the proportion of patients receiving a falls risk assessment from 78 percent to 95 percent within six months by implementing electronic prompts and staff training.”

Following the report, a follow-up process monitors progress against the action plan. This may involve a repeat audit, a dashboard that tracks key indicators, or regular progress meetings. The sustainability of improvements depends on embedding changes into routine practice, such as updating policies, revising standard operating procedures, and incorporating new behaviours into staff induction programmes.

Practical application of audit and evaluation can be illustrated through a case study of medication safety. A community mental health team identified an increase in adverse drug reactions (ADRs) among patients receiving antipsychotics. An audit was initiated, selecting the indicator “percentage of patients with documented ADR monitoring within 30 days of medication change.” The standard was set at 90 percent, based on national guidance. Data were collected from electronic health records for a 12-month period, using systematic sampling of 200 prescriptions. The initial audit revealed a compliance rate of 62 percent, with common gaps including missing documentation and lack of patient education.

A root cause analysis identified three primary factors: (1) unclear responsibility for ADR monitoring, (2) insufficient training on the use of the electronic monitoring tool, and (3) limited patient awareness of potential side effects. A multidisciplinary improvement team designed a PDSA cycle that (a) assigned ADR monitoring to the prescribing nurse, (b) delivered a brief training session on the electronic tool, and (c) introduced patient information leaflets. After two weeks, the “Study” phase showed an increase in documented monitoring to 78 percent. Feedback highlighted that the electronic prompts were helpful, but staff still needed reminders about the new role allocation. A second PDSA cycle added a weekly audit reminder email, raising compliance to 92 percent. The audit was repeated after three months, confirming sustained improvement.

Challenges frequently arise when conducting audit and evaluation in health and social care. Limited resources, such as time and staffing, can constrain data collection and analysis. Data quality issues, including incomplete records or inconsistent coding, undermine the reliability of findings. Engaging front-line staff can be difficult if audit is perceived as punitive rather than supportive. To mitigate these challenges, it is important to embed audit within a culture of continuous improvement, where learning is valued and staff are recognised for contributions to quality. Leadership support, clear communication of purpose, and provision of training in audit methods all help to overcome resistance.

Ethical considerations must be addressed throughout the audit and evaluation process. Confidentiality of patient information is paramount; data should be de-identified wherever possible, and secure storage protocols must be followed. Informed consent may be required for certain types of evaluation, especially when collecting primary data through interviews or surveys. Transparency with stakeholders about the aims, methods, and potential impact of the audit builds trust and facilitates cooperation.

Integration with broader quality improvement frameworks enhances the impact of audit. The concept of a learning health system emphasises the continuous cycle of data collection, analysis, and application to improve care. Audits provide the evidence base that feeds into learning loops, while quality improvement initiatives test and refine interventions. Aligning audit indicators with organisational priorities—such as the NHS Long-Term Plan or local public health goals—ensures that efforts are focused on areas of greatest strategic relevance.

Technology plays an increasingly important role in facilitating audit and evaluation. Electronic health records (EHRs) can generate real-time dashboards that display compliance with clinical standards, allowing rapid

identification of outliers. Clinical decision support systems can embed audit criteria into workflow, prompting staff to complete required actions (e.g., a reminder to order a blood test when a new medication is prescribed). Data analytics platforms enable advanced statistical techniques, such as risk-adjusted benchmarking, to compare performance across sites while accounting for case-mix differences.

Another vital concept is the use of key performance indicator (KPI) frameworks. KPIs translate strategic objectives into measurable targets, such as “average length of stay for acute admissions” or “percentage of service users who report feeling involved in care planning.” Selecting appropriate KPIs requires balancing comprehensiveness with focus; too many KPIs dilute attention, while too few may overlook critical aspects of quality. KPIs should be reviewed regularly to ensure they remain relevant, achievable, and aligned with evolving policy and patient needs.

In social care, audit and evaluation often address outcomes related to independence, wellbeing, and community participation. For example, an audit of home-based support services might examine the indicator “percentage of service users who achieve their personalised care plan goals within six months.” Standards could be set based on national care standards, and data collected through care plan reviews and user surveys. Evaluation of such an audit would consider not only the quantitative achievement of goals but also qualitative feedback on user satisfaction, cultural appropriateness, and the impact on carers.

Risk management is intertwined with audit activities. By identifying non-compliance or performance gaps, audits highlight areas of heightened risk to patient safety and organisational reputation. A risk register can be populated with audit findings, assigning risk scores based on likelihood and impact. Mitigation actions—derived from audit recommendations—are then tracked, providing a structured approach to reducing risk over time.

The concept of continuous professional development (CPD) is reinforced through audit participation. Staff who engage in audit gain insight into evidence-based practice, data interpretation, and quality improvement methodology. This experiential learning complements formal CPD activities and can be recorded as part of professional revalidation requirements.

Finally, sustainability of audit and evaluation outcomes relies on embedding change into organisational governance. This includes updating policies and procedures to reflect new standards, integrating audit indicators into routine performance monitoring, and establishing regular review cycles (e.g., quarterly audit meetings). When audit findings are linked to performance incentives, such as bonuses or public reporting, there is an added driver for sustained improvement.

In summary, a comprehensive understanding of audit and evaluation terminology equips health and social care professionals to design, implement, and interpret quality assurance activities effectively. Mastery of concepts such as indicators, standards, root cause analysis, and PDSA cycles enables practitioners to translate data into meaningful change. By recognising the practical applications, navigating challenges, and ensuring ethical and stakeholder-centred approaches, audit becomes a powerful tool for enhancing the

safety, effectiveness, and experience of care.