

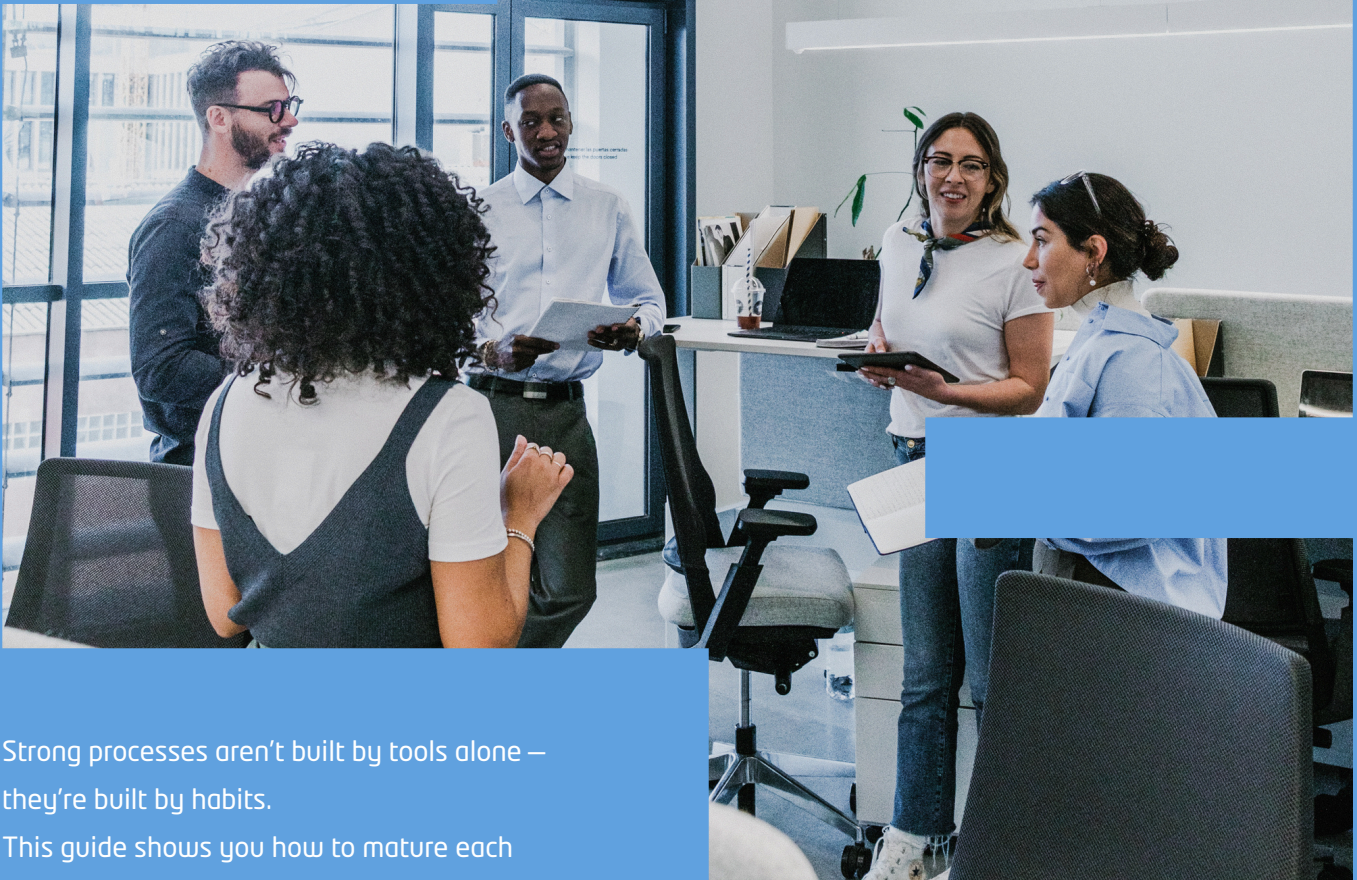
# Compliance & Quality Assurance Maturity Guide



# Introduction



Healthy processes don't happen by accident. They're built one step – and one habit – at a time.



Strong processes aren't built by tools alone – they're built by habits.

This guide shows you how to mature each process in three stages: Align & Adopt, Automate & Streamline, and Scale with AI Agents.

At every stage you'll see where you are today, how to move forward, and what mastery looks like once new habits take hold.

The real key: consistency. This isn't about one-time fixes – it's about forming rhythms that your team can sustain.

# About This Guide

## It's designed to be a practical tool. Not a theory piece.

It focuses on one high-leverage core process: compliance and quality assurance. The goal is to help your organization move from reactive, after-the-fact corrections to a steady operational rhythm that prevents issues, strengthens documentation practices, and reduces risk across programs and teams.

You'll get three things as you work through it:

- A way to honestly assess where you are today
- A simple maturity model with three stages
- A concrete 90-day lens for deciding what to improve next using the Microsoft 365 tools you already own

If you already have the Core Process guide for Compliance & Quality Assurance, keep it nearby. That document describes what happens and who owns it. This guide focuses on how consistently the process is followed, how well it is supported by technology, and how ready it is for automation and AI-driven insights.

## A practical way to use this guide is:

1. Share it with your Compliance Officer, QA leadership, HR, Operations, and Clinical leads.
2. In a 60–90 minute working session, complete the “You Are Here” self-assessment together.
3. Read the description of your current stage and the next stage up.
4. Choose one or two changes you can realistically make in the next quarter.
5. Capture those on the 90-Day Action Planner and treat them as commitments.

You do not need to implement every idea in these pages. The most productive organizations pick a small number of meaningful changes, execute them well, and then revisit the process on a regular cadence.

Use this guide to build a reliable, steady compliance rhythm — one that improves audit readiness, reduces documentation errors, and strengthens overall quality across programs and teams.

# The Three Stages of Process Maturity

True compliance maturity isn't about piles of documentation or last-minute fixes. It's about how consistently your team follows one clear quality system supported by automation, data, and routine oversight.

1

## Align & Adopt

Create one consistent way to maintain policies, complete audits, manage incidents, assign corrective actions, and prepare for surveys. Map the real steps, assign clear owners, and ensure the whole organization follows the same process.

2

## Automate & Streamline

Reduce manual effort by automating audit workflows, incident notifications, corrective action tracking, and training assignments. Use structured checklists and dashboards to make gaps visible in real time.

3

## Scale with Insights & AI Agents

Use AI and analytics to identify documentation trends, predict areas of risk, surface recurring issues, and guide focused remediation. Shift from reacting to problems to preventing them.

**THE GOAL ISN'T PERFECTION OVERNIGHT.**

It's steady progress, measured weekly and improved quarterly.

# You Are Here: Self-Assessment

Use this page with Compliance, QA, HR/Training, Operations, and Clinical leaders. For each core step, circle the description that sounds most like your organization today.

Core Process Step	Align & Adopt	Automate & Streamline	Scale with Insights & AI
<p><b>1. Policy &amp; Procedure Maintenance</b></p>	<p>Policies are stored in scattered folders; reviews occur inconsistently; version history is unclear.</p>	<p>Policies live in a controlled SharePoint library with versioning, metadata, and automated review reminders.</p>	<p>AI helps detect outdated sections, cross-references regulatory changes, and suggests updates proactively.</p>
<p><b>2. Audit &amp; Chart Review</b></p>	<p>Audits vary by reviewer; checklists differ; findings live in email or spreadsheets; follow-up is inconsistent.</p>	<p>Standardized digital audit checklists capture findings; scores feed into dashboards; corrective actions are automatically assigned.</p>	<p>AI identifies documentation patterns, recurring risks, and predicts failure points before audits occur.</p>

<b>Core Process Step</b>	<b>Align &amp; Adopt</b>	<b>Automate &amp; Streamline</b>	<b>Scale with Insights &amp; AI</b>
<b>3. Incident Reporting &amp; Investigation</b>	Incident reporting is manual; forms are inconsistent; investigations vary by supervisor; tracking is unreliable.	A mobile form routes incidents automatically; supervisors receive alerts; statuses and timelines are tracked centrally.	AI clusters incident types, flags root-cause patterns, and predicts high-risk environments or practices.
<b>4. Training &amp; Remediation</b>	Remediation is reactive; training records are scattered; follow-up is inconsistent.	Training assignments trigger automatically based on audit findings; completions feed into one dashboard.	AI identifies emerging skills gaps and recommends targeted training by role, region, or caregiver history.
<b>5. Survey Readiness &amp; Reporting</b>	Survey prep is rushed; documents are gathered last-minute; gaps appear during mock reviews.	A readiness checklist updates continuously; survey documents are tagged and stored centrally; weekly summaries go to leadership.	Predictive indicators highlight standards at risk; AI retrieves required evidence quickly and summarizes compliance posture.

## How to Use This Assessment

1. Share this table with your Compliance Officer, QA team, HR/Training, Operations, and Clinical leaders – anyone who has a stake in maintaining regulatory and payer compliance.
2. For each row (stage), select the column that best describes how your organization operates today. It's OK to mark different columns across different rows – real organizations often live in a hybrid state.
3. Once selections are made:
  - a. If most or all rows are in Align & Adopt, focus on Stage 1 work.
  - b. If many are in Automate & Streamline, you're ready for automation improvements.
  - c. If most are in Scale with Data & AI Agents, then invest in data collection, analysis, and predictive strategies.
4. Use the results to guide your next quarter's priorities – as captured in the 90-Day Action Planner.

# Stage 1: Align & Adopt

This stage is about creating order – documenting the compliance workflow, assigning owners, defining handoffs, and ensuring every program, supervisor, and reviewer follows the same basic quality system.



## Current State

Compliance activities look different depending on which manager, nurse, or supervisor is involved. Policies and SOPs may exist but are stored in multiple places, and staff aren't always sure which version is current. Audits are performed inconsistently, incident reporting varies, and follow-up on findings depends on individual effort. Survey readiness is driven by deadlines and fear, not by a predictable system.

## Future State

The organization uses one shared compliance and QA workflow. Policies and SOPs are current and stored in a single, controlled library. Audit and chart reviews follow a standard checklist, and findings are logged in a central place. Incidents are reported and investigated consistently, with clear expectations for documentation and follow-up. Survey readiness is treated as ongoing work instead of a last-minute scramble, and leadership has a basic view of compliance performance.

## LEADERSHIP COMMITMENTS

**For Stage 1 to work, leadership must commit to:**

- One agency-wide compliance and QA workflow with clear owners for each step
- A central, controlled repository for policies, SOPs, and required documents
- Standard tools and checklists for audits, chart reviews, and incident investigations
- Clear expectations for documenting and closing corrective actions
- Regular review of audit results, incidents, and documentation errors

# 90 Day Action Plan (Stage 1)

## Create a Central Policy & SOP Library

Set up a SharePoint library with versioning, metadata, and policy owners. Move current policies and SOPs into this library and make it the only official source.

## Standardize Audit & Chart Review Tools

Design a set of audit and chart-review checklists in Microsoft Forms or other structured tools. Ensure all auditors use the same checklists and scoring criteria.

## Define the Incident Reporting & Investigation Workflow

Document how incidents are reported, triaged, investigated, and closed – including timelines and required documentation. Communicate this workflow to all supervisors and managers.

## Centralize Tracking of Findings & Corrective Actions

Build a Microsoft Lists tracker to log audits, incidents, findings, corrective actions, responsible owners, and due dates. Use this list as the single view of QA work in progress.

## Establish a Weekly QA & Compliance Huddle

Hold a short, recurring meeting where QA and Operations leaders review recent audits, incidents, documentation errors, and overdue corrective actions and assign follow-up tasks.

## Clarify Roles and Responsibilities

List out the key QA and compliance activities (policy maintenance, audits, incident investigation, training, survey prep) and assign clear owners for each. Share this RACI-style view with all leaders.

# Stage 2: Automate & Streamline

This stage focuses on using Microsoft 365 tools to automate repetitive QA and compliance tasks – policy reminders, audit routing, incident notifications, corrective action tracking, and training assignments – so staff spend more time improving practice and less time chasing paperwork.

## Current State

The compliance and QA process is defined, but still runs on email, spreadsheets, and manual reminders. QA staff and managers chase people for documentation, incident details, and training completions. There is no reliable way to see which corrective actions are overdue or which policies are past their review dates, so issues surface late and response is often rushed.

## Future State

Core QA and compliance workflows are automated. Policy owners receive automatic review reminders. Audit findings trigger corrective actions that are assigned and tracked automatically. Incidents submitted through a form or app are instantly routed to the right supervisor. Training is automatically assigned based on findings or role, and completion status is visible on demand. As a result, the team spends more time coaching and problem-solving and less time pushing paper.

## LEADERSHIP COMMITMENTS

**For Stage 2 to work, leadership must commit to:**

- Reinforcing the standard QA process – automation should support it, not create new side paths
- Prioritizing a small number of high-value automations at a time
- Giving QA and IT staff protected time to design, test, and refine workflows
- Treating automations as living systems that need adjustment as regulations and operations evolve

# 90 Day Action Plan (Stage 2)

## Automate Policy Review Notifications

Use Power Automate to send reminders to policy owners 30-60 days before review dates, with escalation if reviews are overdue. Include links directly to the policy in SharePoint.

## Digitize Audit & Chart Review Processes

Convert manual audit tools into digital Forms or Power Apps that automatically store results in a central list. Trigger assignments for corrective actions when certain thresholds or findings are recorded.

## Standardize and Automate Incident Intake

Deploy a mobile-friendly form or Power App that staff use to report incidents. Configure Power Automate to notify the appropriate supervisor and QA leader immediately and log the incident in a central tracker.

## Automate Training & Remediation Assignments

When audits or incidents identify a pattern, automatically assign targeted training modules to the involved staff via SharePoint, Stream, or your learning library. Track completions in Lists or a simple LMS-style solution.

## Build a Live Compliance Dashboard

Use Power BI to pull from your audit, incident, and training lists. Create visuals for audit pass rate, documentation error rate, training compliance, and open corrective actions, and use this dashboard in weekly QA meetings.

## Create Automated Follow-Up Reminders

Set automated reminders for supervisors and staff when corrective action due dates or training completion deadlines are approaching or overdue, reducing manual chasing by QA staff.

# Stage 3: Scale with AI Agents

This stage leverages AI and deeper analytics to move from reactive fixes to proactive risk management. Instead of waiting for audit findings or survey deficiencies, your team uses trends and predictions to focus attention where it will matter most.

## Current State

You have a defined QA workflow and some useful automations, but insight into root causes and emerging risks is limited. Leaders can see what happened — past audit scores, incident counts, and training completion — but it's hard to see why issues repeat or where the next problems are likely to appear. Decisions about where to focus QA work are still driven largely by anecdotes and individual judgment.

## Future State

Compliance becomes proactive instead of reactive. AI highlights patterns in audits, incidents, and training gaps so leaders can focus attention where risk is building. Early warning indicators make it clear which policies, teams, or documentation areas need support. Survey readiness becomes a steady state, not a sprint.

## LEADERSHIP COMMITMENTS

**For Stage 3 to work, leadership must commit to:**

- Treating QA and compliance data as feedback on the system rather than a tool for blaming individuals
- Expanding metrics beyond pass/fail to include trends, root causes, and predictive indicators
- Piloting AI on low-risk tasks such as summarizing findings, clustering incidents, and highlighting outliers, while keeping humans accountable for final decisions
- Regularly reviewing insights and being willing to change policies, training, and operations based on what the data reveals

# 90 Day Action Plan (Stage 3)

## **Create a Compliance & QA Insights Dashboard**

Integrate audit results, incidents, documentation error metrics, training completions, and corrective action status into a single Power BI dashboard that shows trends over time by program, payer, or region.

## **Use AI to Summarize QA Findings and Trends**

Leverage AI tools to summarize common themes from audits, incidents, and corrective actions each month. Share these summaries in a standard format with leadership and program managers.

## **Pilot AI-Assisted Documentation Review**

Test AI-based assistance to flag incomplete or inconsistent documentation, missing signatures, or required fields before charts are finalized. Start with a single program or service line to validate value and adjust thresholds.

## **Build a High-Risk Area Watchlist**

Define criteria for higher-risk areas (e.g., repeated low audit scores, high incident rates, long corrective action completion times). Automatically flag these in your dashboard and assign QA attention accordingly.

## **Tie Insights to Concrete Process Changes**

Each quarter, select one or two insights from your data – such as a common documentation error or recurring incident type – and translate them into specific changes to policies, workflows, or training. Track whether these changes improve your core metrics over the next 90 days.

# 90-Day Action Planner: Compliance & Quality Assurance

Use this page to turn your maturity guide into a real plan. As a leadership team, choose a small number of meaningful changes you can commit to over the next 90 days.

## 1. Where We Are Today

Our overall stage for this process is (Circle One):

<b>Stage 1</b> Align & Adopt	<b>Stage 2</b> Automate & Streamline	<b>Stage 3</b> Scale with AI Agents
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Biggest pain point right now:

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Stages that create the most friction (check all that apply:)

- Policy & Procedure Maintenance
- Audit & Chart Review
- Incident Reporting & Investigation
- Training & Remediation
- Survey Readiness & Reporting
- Other: \_\_\_\_\_

## 2. Our 90-Day Priorities

Priority #1 (what we will improve):

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Owner: \_\_\_\_\_ Target Date: \_\_\_\_\_

Priority #2:

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Owner: \_\_\_\_\_ Target Date: \_\_\_\_\_

Priority #3:

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Owner: \_\_\_\_\_ Target Date: \_\_\_\_\_

## 3. Rhythm & Review

Recurring meeting for compliance & QA review:

Day/Time: \_\_\_\_\_

Participants: \_\_\_\_\_

What we'll review each time (check):

- Audit Pass Rate
- Documentation error rate
- Mandatory training compliance
- Incident trends / volume
- \_\_\_\_\_
- \_\_\_\_\_

# Bringing It All Together

Compliance and quality assurance will always be moving targets. Regulations change, payer expectations evolve, and real-world operations are never static. But when you have one clear way of working, simple automation to remove friction, and a basic view of your performance, you can respond with confidence instead of scrambling.

Our hope is that this guide helps your team choose a starting point, agree on a small number of changes, and build a rhythm of improvement – not just another project. A steady, disciplined compliance and QA process doesn't just protect you from findings; it improves care, documentation quality, and trust with regulators, payers, clients, and staff.

If you'd like a thinking partner as you put this into practice, we're happy to walk through your current process and explore how Microsoft 365 can support the way your teams already work.

