

# COMPLIANCE MASTER™



*Smart, risk-based auditing and inspection*

Measure, control and reduce your  
operational risks within the one  
advanced software application





## WHY MEASUREMENT IS IMPORTANT

*“Measurement is the first step that leads to control and eventually to improvement.*

*If you can’t measure something; you can’t understand it.*

*If you can’t understand it; you can’t control it.*

*If you can’t control it; you can’t improve it.”*



*H. James Harrington – US quality guru and author*



## MEASURING OPERATIONAL RISK

*“Measurement is the first step that leads to control and eventually to improvement.*

*If you can’t measure **operational risk**; you can’t understand it.*

*If you can’t understand it; you can’t control it.*

*If you can’t control it; you can’t improve it.”*



**Operational risk:** - risk of loss resulting from inadequate or failed internal processes and systems, including employee non-compliance.



## THE GREAT AUDITING CONUNDRUM



1. How often should I audit?
2. How much should I audit?
3. When should I take action?
4. What action should I take?

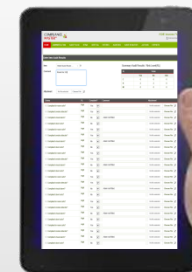
# WORLD BEST PRACTICE

Process

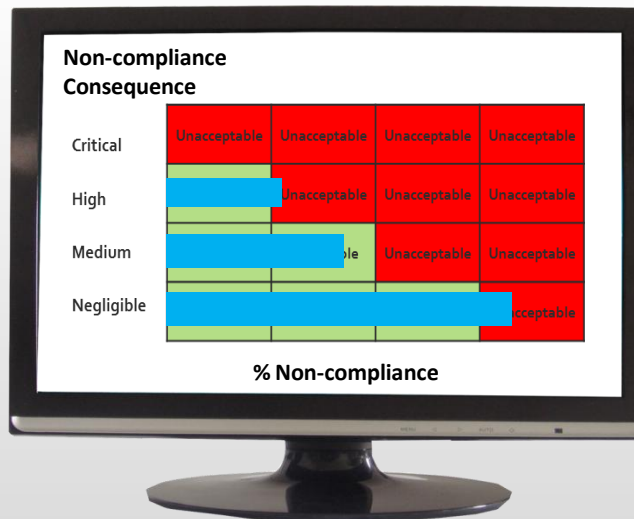
Items / Activities



Statistically  
Calculated  
Sample



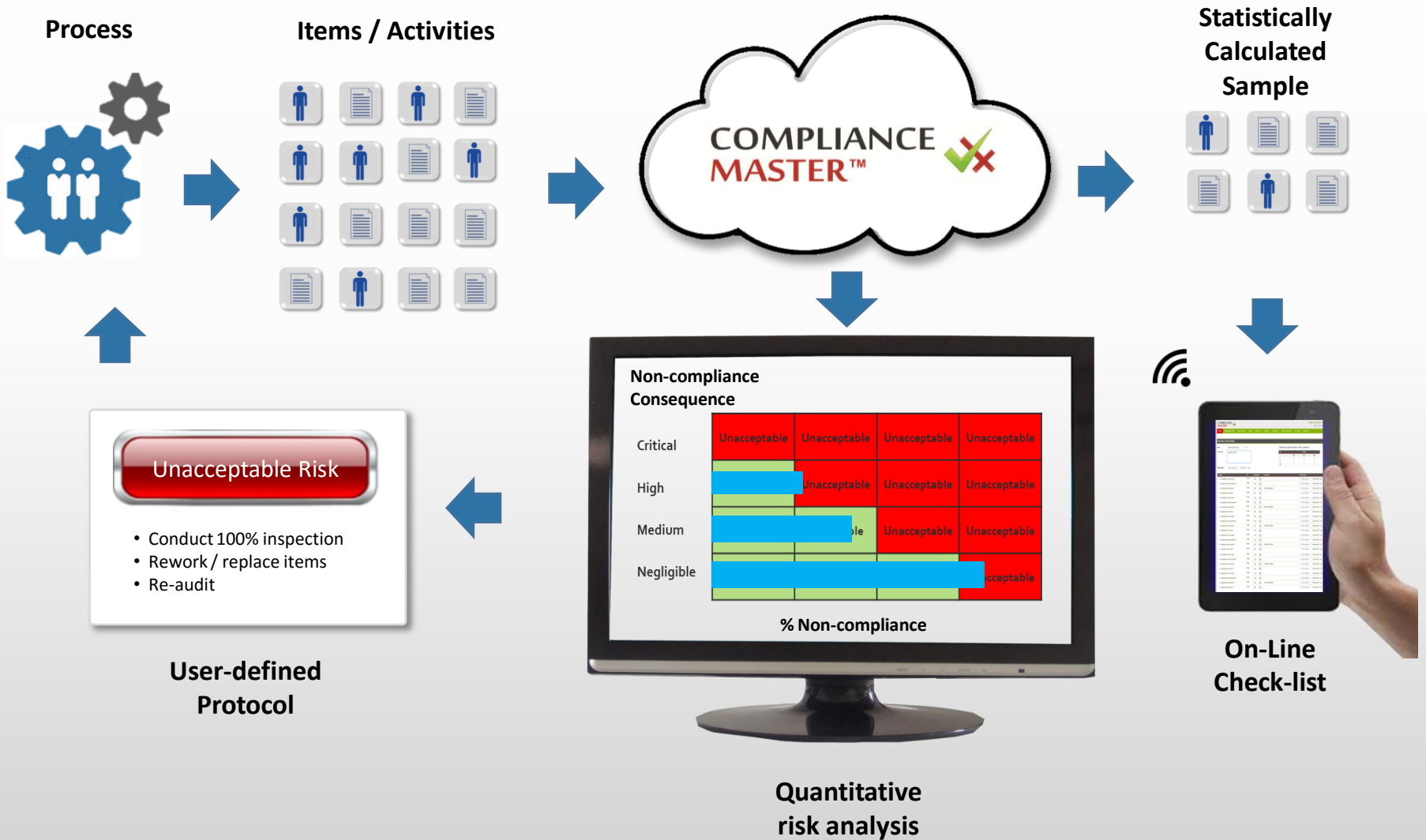
On-Line  
Check-list



Quantitative  
Risk analysis



# WORLD BEST PRACTICE



Process

Items / Activities

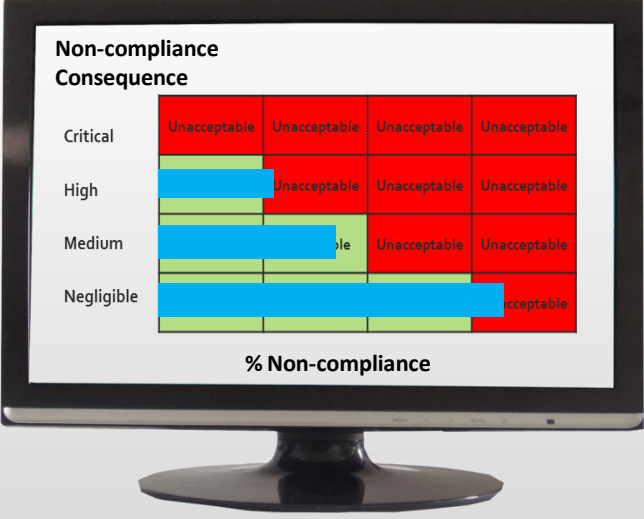
Statistically  
Calculated  
Sample



**Unacceptable Risk**

- Conduct 100% inspection
- Rework / replace items
- Re-audit

User-defined  
Protocol

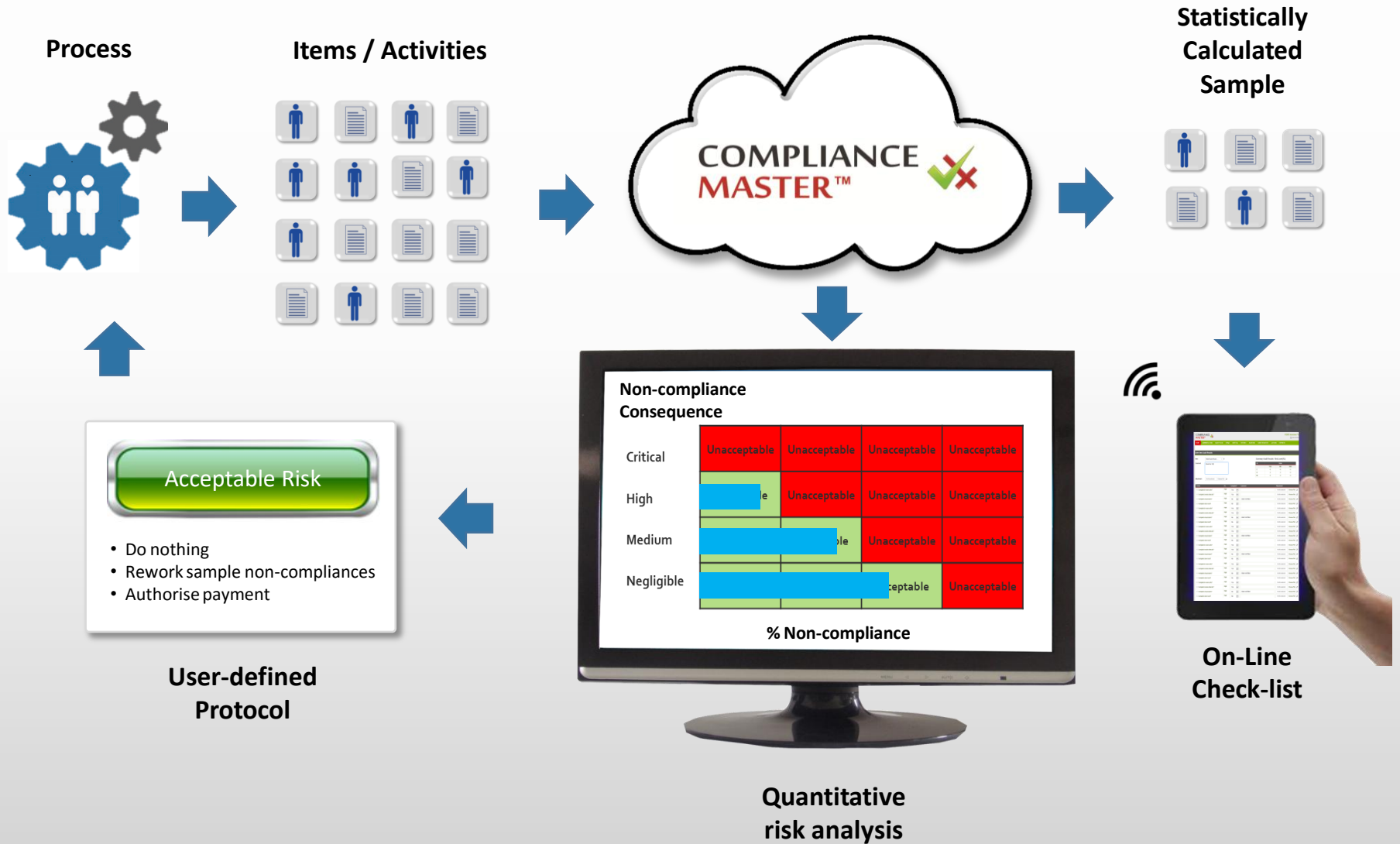


Quantitative  
risk analysis

On-Line  
Check-list



# WORLD BEST PRACTICE



Process

Items / Activities



Statistically  
Calculated  
Sample

Non-compliance  
Consequence

Critical	Unacceptable	Unacceptable	Unacceptable	Unacceptable
High	Acceptable	Unacceptable	Unacceptable	Unacceptable
Medium	Acceptable	Acceptable	Unacceptable	Unacceptable
Negligible	Acceptable	Acceptable	Acceptable	Unacceptable

% Non-compliance

Acceptable Risk

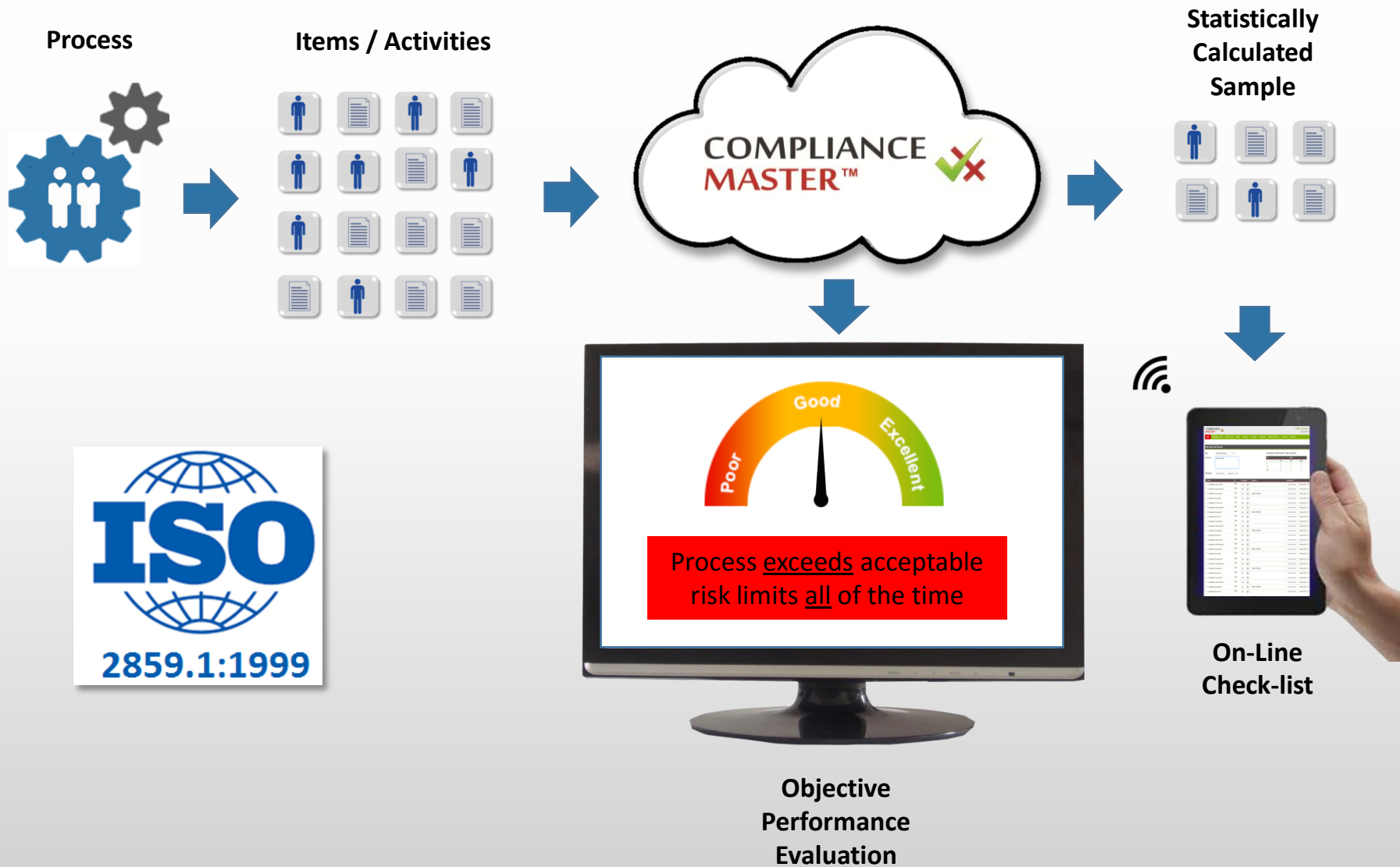
- Do nothing
- Rework sample non-compliances
- Authorise payment

User-defined  
Protocol

Quantitative  
risk analysis

On-Line  
Check-list

# WORLD BEST PRACTICE





# OBJECTIVE PERFORMANCE DASHBOARD

Objectively assess and compare your

Identify areas of highest risk exposure

Understand extent of risk exposure



# TRANSPARENT RISK PERFORMANCE REPORTING



Quickly identify source(s) of unacceptable risk performance

# IN-BUILT SCIENTIFIC ANALYTICS

Understand causes(s) of unacceptable risk performance

**COMPLIANCE MASTER™** Welcome Michael

HOME ADMINISTRATION AUDIT PLANS ITEMS CRITERIA ENTITIES AUDITORS AUDIT REQUESTS REPORTS

Home > Audit Plan Performance Report

### Audit Plan Performance Report

Audit Plan: 06. Patient Identific... Entity: Group A, Group F, Group... Start Date: [Calendar] End Date: [Calendar]

Include Omitted Lots?  Yes  No **Search**

Audit Performance:  Pareto Diagrams:  Audit Results:

#### Pareto Diagrams

##### Total Noncompliant Items

Inpatient Label - NISC Long-Stay Baby	5
Inpatient Label - Basic	1

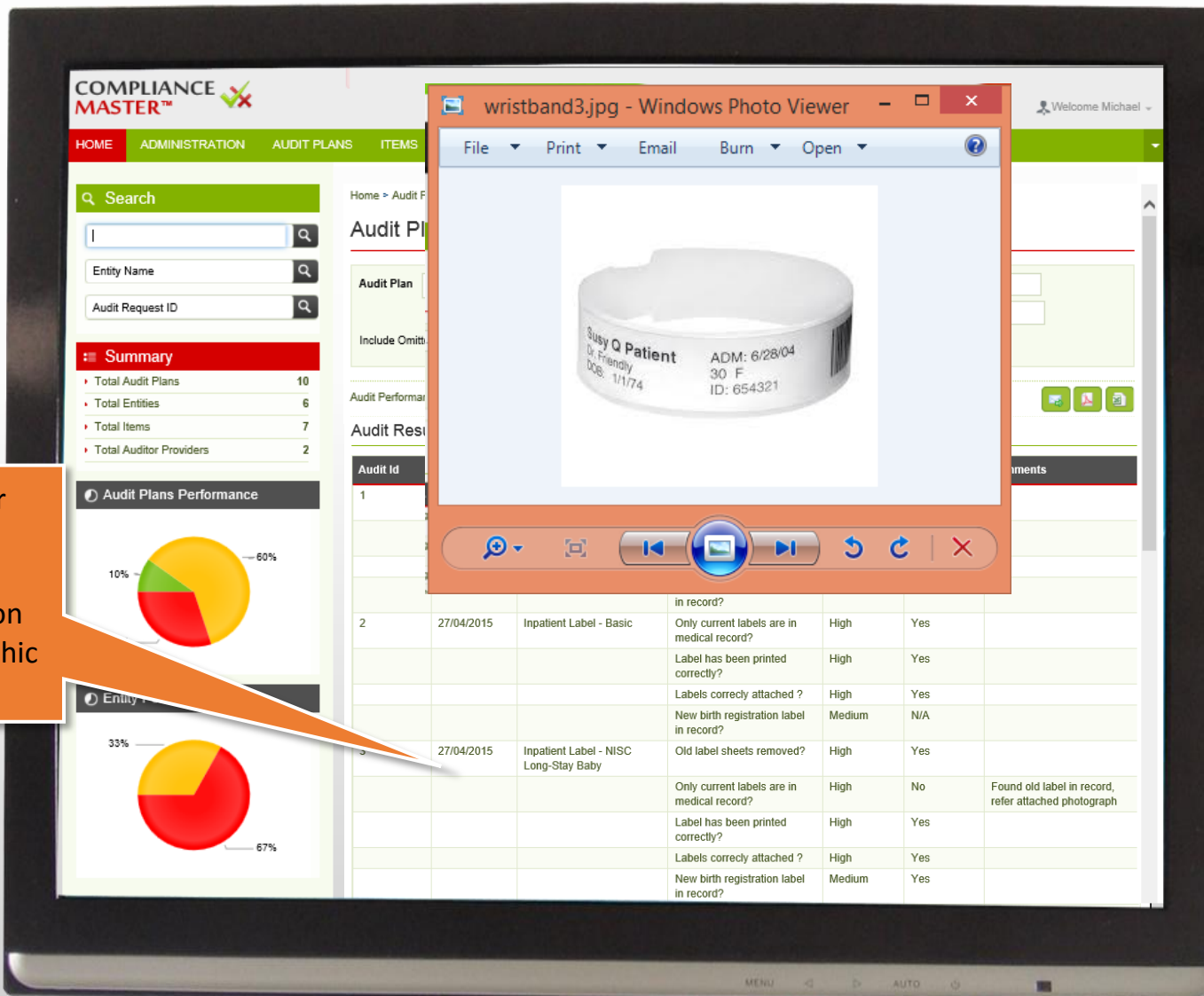
##### Total Noncompliant Criteria

Only current labels are in medical record?	3
Label has been printed correctly?	1
Labels correctly attached ?	1
New birth registration label in record?	1
Old label sheets removed?	1

#### Audit Results

Audit Id	Created On	Item Name	Criteria Name	RL	Status	Comments
1	27/04/2015	Inpatient Label - Basic	Only current labels are in medical record?	High	Yes	
			Label has been printed correctly?	High	Yes	
			Labels correctly attached ?	High	Yes	
			New birth registration label in record?	Medium	Yes	

# FULL ON-LINE AUDIT TRAIL



The screenshot displays the Compliance Master software interface. At the top, there is a navigation bar with 'HOME', 'ADMINISTRATION', 'AUDIT PLANS', and 'ITEMS'. Below this is a search bar and a summary section with the following data:

- Total Audit Plans: 10
- Total Entities: 6
- Total Items: 7
- Total Auditor Providers: 2

The main content area shows an 'Audit Plans Performance' section with a pie chart (60%, 10%, 30%) and an 'Entity' section with another pie chart (33%, 67%). A 'wristband3.jpg - Windows Photo Viewer' window is overlaid on the screen, showing a photograph of a white wristband with the following text:

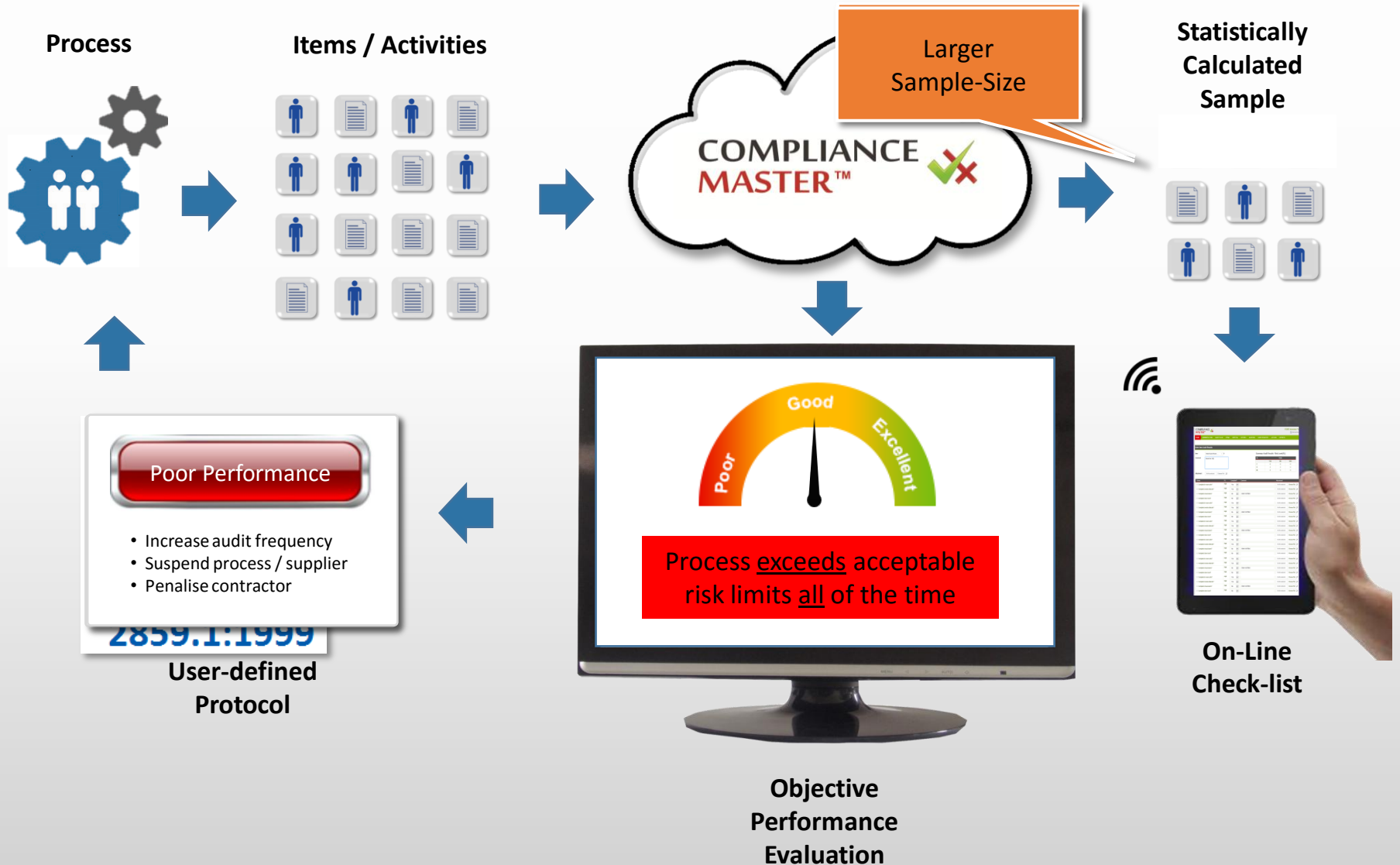
Susy Q Patient ADM: 6/28/04  
 Dr. Friendly 30 F  
 DOB: 1/1/74 ID: 654321

Below the photo viewer is an audit trail table with the following data:

Audit Id	Date	Entity	Item	Priority	Status	Comments
1						
2	27/04/2015	Inpatient Label - Basic	in record?	High	Yes	
			Only current labels are in medical record?	High	Yes	
			Label has been printed correctly?	High	Yes	
			Labels correctly attached ?	High	Yes	
			New birth registration label in record?	Medium	N/A	
3	27/04/2015	Inpatient Label - NISC Long-Stay Baby	Old label sheets removed?	High	Yes	
			Only current labels are in medical record?	High	No	Found old label in record, refer attached photograph
			Label has been printed correctly?	High	Yes	
			Labels correctly attached ?	High	Yes	
			New birth registration label in record?	Medium	Yes	

View auditor comments, attached documentation and photographic evidence

# AUTOMATIC AUDIT OPTIMISATION





## WHY COMPLIANCE MASTER?



Auditing smarter, not harder.

- ❑ Solves the auditing conundrum
  - ❑ How often to audit ?
  - ❑ How much to audit?
  - ❑ When to take action?
  - ❑ What type of actions?
- ❑ Lower auditing costs
- ❑ Promotes continuous improvement
- ❑ Controls operational risk exposure
- ❑ Higher stakeholder assurance
- ❑ Highly defensible (world-best-practice)
- ❑ ISO 9001:2015 compliant



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# Thank You

[www.compliance-master.com](http://www.compliance-master.com)