Developing Tracking Systems

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Track What?

- Compliance training
- Code certifications
- Exclusion checks
- Disciplinary action
- Professional certifications

Why Do We Care?

- **Training and other trackable items are fundamental building blocks of a compliance program**

- **If you don't track it, it won't get done**

- **Provides quantifiable results to demonstrate program performance**

- **Government requirements**

Tracking Options

- Certifications in files, backed up by audits
- Simple lists in Excel or Access
- More developed databases
  - Commercially available
  - Internally developed

→ Build to suit your organization's needs

Design Concepts for Tracking in a Large, Multiple Location Organization

"This report is wrong. I went on November 20 from 1:00 to 2:30. I remember it vividly. I know Stephanie went, too, because she kept propping my head up."

Database Goals

- Be accurate
- Be simple to use
- Provide visible results
- Encourage compliance
- Promote accountability

Avoid Undermining Credibility in Data

- Frustrates those who have done what they were supposed to do

- Prevents holding accountable those who haven't performed

Solution

- **Locations responsible for tracking their own information**
  - Local users enter data into database
  - Local users can see their data and create reports
  - If the data isn't correct, enable the user to fix the data
  - Find the right level for "local users" in larger locations

Automatically Communicate with Employees and Managers

- When data is entered to confirm accuracy and provide a record
- When deadlines approach or have been missed

Reports

- Allow management to see information for the parts of the organization for which they are responsible

- Centrally produce standard reports for senior management

- Centrally conduct random audits on a regular basis to validate database entries

Centralized Database Management

- Design
- Items being tracked
  - Courses
  - Requirements
  - Timing of alerts
- Oversee authorized user list and security levels

Challenges

- Systems that don't talk to each other
  - HR database
  - E-mail
- Categorizing employees by training requirements

Building Institutional Support

- Don't limit databases to compliance only
- Involve others in design

Side Benefits

- Improvement of data quality
- Incentive to coordinate system standards

Budgets

- Commercially available databases
  - Per seat charges
  - Customization charges and performance
- Internally developed databases

Timing

- **Phase 1: 3 months**
  - **Web based data entry**
- **Phase 2: 6 additional months**
  - **On line viewing, editing, and report writing**
- **Phase 3: 3 plus months**
  - **Automated alerts, system improvements**

Examples

- Employee Training Database
- Physicians Database