Building a Compliance Dashboard

Tips for Creating High-Level Reports for Tracking Progress, Improvement and Risks for Your Compliance Program

Where We’re Going
1. Survey the Audience
2. Our Story and Lessons Learned
3. Tips for presenting & explaining the data
4. Technical Aspects
5. Activity
Participant Survey
Presenting the (Mostly) True Story of How We Started the Dashboard Process
5.00

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Lessons Learned

CAUTION CAUTION CAUTION
Successes
Technical Aspects of Creating an Effective Scorecard or Dashboard

Questions you may be asking yourself if you were asked told to develop a dashboard

• What did I do wrong to get this project?
• I’m not an I.S. person, where do I even start?
• Can I delegate this to anyone else?
• The last effective dashboard I saw was in my car, how can I possibly make one?
• Will this conference session make all my dashboard dreams come true?
• Why won’t my company just invest in a complete compliance software package that will auto-generate these dashboards?

Technical Aspects – Where to Start

"Life is really simple, but we insist on making it complicated" - Confucius

• Follow an existing model that works
• Use a variation of the “Software Development Life-Cycle”
• We’ll call our variation the “Dashboard/Scorecard Creation Process”
Dashboard/Scorecard Creation Process

6 Steps:
1. Requirements Specification
2. Report Design
3. Implementation
4. Testing/Validation
5. Deployment/Communication
6. Maintenance

Step 1: Requirements Specification
- What is the purpose of the Dashboard/Scorecard?
  - Should I create a Dashboard or a Scorecard?
- Who are the stakeholders and what are their needs?
  - Meetings and discussions
  - Form a committee
  - Provide examples from other sources
  - Establish realistic expectations
    - Explain the concept of “phases”
    - Develop a project timeline
Dashboard/Scorecard Creation Process

Step 2: Report Design – 1 of 2

1. What is the purpose of the Dashboard/Scorecard?
   - At a glance data/numbers = Dashboard
   - Performance measures = Scorecard

2. Who are the stakeholders and what are their needs?
   - Lower Management = Dashboard
   - Upper Management = Scorecard

3. What specific items need to be included?
   - 7 Elements of an effective compliance program
   - Others?

Dashboard/Scorecard Creation Process

Step 2: Report Design – 2 of 2

1. What measurement should be used?
   - Numbers, Percentages, Scores

2. Timeliness of Data?
   - Current = Dashboard
   - Periodically = Scorecard

3. What indicators should be used?
   - Standard graphs and charts = Dashboard
   - Heat mapping, color indicators, arrows, etc. = Scorecards and Dashboards
Dashboard/Scorecard Creation Process

Step 3: Implementation

- Putting the ‘Requirements Specifications’ and the ‘Report Design’ together.

- Suggestion to start simple using a spreadsheet for a time period. Why?

- More complex, experienced options: Tableau, Cognos, Crystal Reporting, etc.

- Create a Scorecard first, then a dashboard. Scorecards will often lead to better dashboards.

Dashboard/Scorecard Creation Process

Step 4: Testing/Validation

- Validate the data used to create the report
  - Data accuracy
  - Timeliness of receiving the data

- Test/Review with stakeholders the report
  - Are their needs met?
  - Ask for feedback on what can be improved

- Are there changes needed?
  - If so, repeat steps 1, 2, and 3 if needed.
Dashboard/Scorecard Creation Process

Step 5: Deployment/Communication

- Communication of Reports
  - Various stakeholders with various methods of communication. Should you push for standardized methods or allow individualized communication?

- Sharing Reports
  - Reports shared with other Regions?
  - Provide additional and appropriate information along with the report
    - Anticipate questions and attempt to answer in communications
    - Be prepared to validate data with stakeholders
      - Where data is coming from
      - Who provides the data

Dashboard/Scorecard Creation Process

Step 6: Maintenance

- Determine responsibilities of report
  - Who provides the data?
  - Who collects the data?
  - Who scores the data for Scorecards?
  - Who creates the final report?

- How often can changes to the report occur?

- Improving the report
  - Is automation an option with the data?
  - Start the I.S. project process
Dashboard Example

Compliance Element: Auditing (External Agencies)

• What did it take to create this dashboard? Used the 6 Steps in the Dashboard/Scorecard Creation Process

1. Requirements Specification
   a. Defined purpose and reviewed stakeholders needs
   b. Verified all required data was available. Knew where to get the data and how to retrieve it.

2. Report Design
   a. Determined a dashboard was needed
   b. Design drafted in spreadsheet first.

3. Implementation
   a. Worked with I.S. to see what reporting tool best fit the needs of stakeholders and started that process.
Dashboard Example

Compliance Element: Auditing (External Agencies)

- What did it take to create this dashboard? Used the 6 Steps in the Dashboard/Scorecard Creation Process

4. Testing/Validation
   a. Went through various versions and steps 1-2 repeated multiple times

5. Deployment/Communication
   a. Required to create a quick start guide for using the reporting tool

6. Maintenance
   a. Currently on phase III and the dashboard keeps getting better.

Scorecard Example

Compliance Element: All

Intermountain Healthcare Overall Compliance Score

<table>
<thead>
<tr>
<th>Compliance Element</th>
<th>Score</th>
<th>Pictorial Representation</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

4.26
Scorecard Example

Compliance Element: All

• What did it take to create this scorecard? Used the 6 Steps in the Dashboard/Scorecard Creation Process

  1. Requirements Specification
     a. Defined purpose and reviewed stakeholders needs
     b. Verified all required data was available. Knew where to get the data and how to retrieve it.

  2. Report Design
     a. Determined a scorecard was needed
     b. Design drafted in spreadsheet and currently in spreadsheet.

  3. Implementation
     a. Decided since the data was only provided periodically and that conditional formatting was needed, it would start as a very manual process.

  4. Testing/Validation
     a. Went through various versions and steps 1-2 repeated multiple times

  5. Deployment/Communication
     a. Email, during meetings, etc.

  6. Maintenance
     a. Currently on version 6 and now provide two different views of the scorecard.
**Scorecard Version 2 Example**  
**Compliance Element: All**

**Intermountain Healthcare Compliance Scorecard**  
**Region:** (All)

<table>
<thead>
<tr>
<th>Compliance Element</th>
<th>Scoring Methodology</th>
<th>Scores</th>
<th>Current Weight</th>
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<tbody>
<tr>
<td><strong>Compliance Structure</strong></td>
<td>4.20</td>
<td>8%</td>
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<tr>
<td>Creation of Regional Compliance Committee</td>
<td>Yes = 5</td>
<td>5.00</td>
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<tr>
<td>Returned Board CCB by Deadline by Region</td>
<td>5 - all</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Policies &amp; Procedures</td>
<td>5.00 11%</td>
<td></td>
<td></td>
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<tr>
<td>Percent of Archived Business Policies &amp; Procedures by Region by Quarter</td>
<td>&lt;=90% = 1</td>
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<tr>
<td>Percent of Attended Business Policies &amp; Procedures by Region by Quarter</td>
<td>&gt;=70% = 1.33</td>
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<tr>
<td>Percent of Archived Clinical Policies &amp; Procedures by Region by Quarter</td>
<td>&gt;=80% = 3.67</td>
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</table>

**Activity: Creating a Scorecard**

**Provider:** Intermountain Medical Center  
**Timing of Data:** Quarterly  
**Overall Score:** 4.3

<table>
<thead>
<tr>
<th>Element</th>
<th>Data Source</th>
<th>Scoring Details</th>
<th>Score</th>
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<tr>
<td><strong>Compliance Structure</strong></td>
<td>Compliance Officer Report</td>
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<tr>
<td></td>
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<tr>
<td><strong>Policies &amp; Procedures</strong></td>
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<td>&gt;=80% = 3.67</td>
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<td></td>
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<td>&lt;=30 days = 5</td>
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Next Steps