

AN IMPROVEMENT TRACKING SYSTEM FOR IDENTIFICATION OF
OPPORTUNITIES AND FOLLOW-THROUGH OF ACTIONS.
A PILLAR OF A FUNCTIONING QUALITY MANAGEMENT SYSTEM

HB 316

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Overview

- **Problem Statement:** Audit Findings and internal issues grow in quantity and in magnitude when there is not a standardized system in place to facilitate planning and progression of actions.
- Improvement Tracking System purpose
- Improvement Tracking System core attributes
- Government Examples
- Committee Substitute in-progress

Purpose

- A standardized improvement tracking system for each state agency
- Must enable tracking of status, progress, and closure of actions
- Actions may arise from
 - Audit findings
 - Internal Corrective and preventive action requests
 - Improvement opportunities identified by agency employees
 - Opportunities by other internal or external auditors
 - Opportunities identified by customers
 - Opportunities identified by customers

Improvement Tracking System Must:

- Include the ability to uniquely track each improvement opportunity for each state agency
- Validate each opportunity to check whether it is unique or exists in the system in some form
- Identify various elements which are important when pursuing prioritization and closure of opportunities
- Provide mechanism for state agencies to
 - Perform a Root Cause Analysis, determine corrective actions, develop an implementation schedule, and evaluate implementation
- Ensure evaluation of effectiveness of plans and assess improvements
- Provide for status reports to relevant stakeholders

Status Reporting

- Quarterly status reports to heads of agencies
- Annual status reports from the Governor to the legislature
- Reports must include:
 - Quantity of open and closed items
 - Aging of items approaching or beyond scheduled completion date
 - Cost or benefit of items closed during the reporting period and fiscal year to date
 - Details of higher criticality items closed within reporting period
 - Details of higher criticality items extended or expected to extend beyond original due date
 - Action plans for higher criticality items beyond their scheduled closure date

GAO Example

- Priority Recommendations
 - As GAO issues reports/testimonies, included recommendations are tracked in this database
 - Certain recommendations are deemed priority recommendations
- Action Tracker
 - These priority recommendations are assigned actions, which are tracked and progressed in the action tracker
- Month-In-Review
 - A summary of audits, reports, progress, and more

GAO Example

- Priority Recommendations
 - <https://www.gao.gov/reports-testimonies/recommendations-database>
- Action Tracker
 - <https://www.gao.gov/reports-testimonies/action-tracker>
- Month-In-Review
 - <https://www.gao.gov/reports-testimonies/month-in-review>

Committee Substitute in-progress

- Requested Changes to reduce the administrative burden and increase effectiveness of the system
- Prioritize opportunities and only progress high-priority, actionable opportunities that can be completed with available resources
- Refine the list in the newly created AS 44.66.100 (c)(3)
 - Reducing this list to critical components and adding an open-ended component which would allow the system administrator to add information as deemed necessary
- Add a requirement to publicize high-priority opportunities/actions and quarterly reports on a single website

Questions? Contact Me!

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