When you have to be right

Legal & Regulatory

ComplyTrack™
Built for Healthcare

Proactively manage and mitigate compliance risk amid continuous change

ComplyTrack™ is the user-defined solution that enables you to customize your compliance-tracking system to match your organization’s structure.

Flexible
Integrated delivery networks are complex organizations. No two are exactly alike, but they all must meet the same compliance regulations and reporting requirements. You can’t restructure your organization to fit a compliance software system. But you can easily shape the ComplyTrack™ system to fit your organization.

Simple
ComplyTrack™ adapts to your complexity and makes it easy for you to stay in complete compliance—while working from a single solution. It’s simple on the surface, but highly sophisticated underneath, with state-of-the-art applications that help ensure all of your regulatory requirements are properly tracked, managed, and met.

Transparent
With everyone working from one solution, compliance officers, risk managers, and executives have a single source of truth. They can view the organization’s entire compliance landscape using the powerful, built-in IBM Cognos dashboards and customizable reporting.

Effective
With one solution covering every aspect of regulatory risk and compliance, you not only institute enterprise-wide accountability, you get access to new insights and empower management to make more informed decisions.

Efficient
When you eliminate redundancies and rely on one system that supports your structure—you create incredible efficiencies, reduce uncertainty, save time, enhance business intelligence, and establish the processes necessary to ensure a secure future for your entire organization.
ComplyTrack™

**Issue & Action Management**
Track and manage any issue, investigation, or activity completely and securely across your entire organization, regardless of size or location.

**Incident Management**
Efficiently and effectively manage incidents with flexible input, including web forms and hotline, and dashboards to track trends.

**Audit Management**
Proactively manage all facets of your claims-based audit process from first letter to final appeal.

**Information Security Assessment Manager**
Effectively manage the growing regulatory burden of information security and privacy with powerful workflow, controls, and reporting.

**Risk Assessment Manager**
Assess, interpret, communicate, and remediate risk across your entire enterprise in real time.

**Survey Manager**
Capture and manage evidence of compliance with a comprehensive and customizable tool that puts you securely in control.

**Document & Policy Manager**
Create, manage, and distribute policies and documentation while maintaining strict control across your organization.

**Contract & Relationship Manager**
Effectively monitor and manage all your contractual and arms’-length relationships from one central and secure location.
With ComplyTrack™ Issue & Action Management, you can manage any activity, event, issue, or investigation related to your organization’s compliance, audit, and risk activities from one central solution. Then, elevate the data from the day-to-day management of your compliance program into real-time, actionable information, with embedded IBM Cognos reporting.

- **SaaS solution with Healthcare-Level Security** enables you to define your own password security requirements and set cross-departmental security at the enterprise level, control user access to on-screen data based on permissions, and know HIPAA security is addressed throughout the solution.

- **User-customized guided workflow with full audit trail at the push of a button** lets you adapt the application to your unique processes and monitor access.

- **Users can schedule reports** to regularly print or to email links to one or more users saving them time keeping upper management or boards informed.

We offer a wide array of ComplyTrack™ Professional Services to help you derive maximum value from your tools, your data, and your existing team. Call 800.808.6800 or visit complytrack.com for more information.
Proactively manage your compliance program with the unmatched flexibility and functionality of Issue & Action Management (IAM). IAM gives you unprecedented visibility into and precise control over critical issues across your entire enterprise and seamlessly integrates with ComplyTrack’s Incident Management application.

Define responsibilities for each action in order to mitigate issues and resolve actions. Assign and track tasks across the enterprise, and monitor results in real time to ensure proper management, reporting, and resolution.

Drag and drop every common attachment type in bulk, including PDF, JPG, DOC, etc. to provide supporting documentation for any activity related to every issue or action across your entire enterprise.

Create any type of issue, event, action, or activity—then tailor existing dropdowns and add additional fields to ensure full support of your unique processes and procedures.

To learn more about ComplyTrack™ Issue and Action Management, contact your WK Account Manager or go to complytrack.com.
The Incident Management application gives you proactive control over the management of incidents across your entire enterprise—from initiation to resolution. Securely report issues, incidents, or concerns from anywhere at any time with this flexible, tailorable solution. With automated real-time status and embedded IBM Cognos reporting, you get the clear visibility you need to mitigate vulnerabilities and reduce damage.

- **Always-on global incident submission and tracking** offers round-the-clock, enterprise-wide incident submission, and allows all to track the status of their incident with the built-in ticketing system.

- **Ensure complete, actionable data** with the ability to specify the data you collect by incident type and user profile. Users can attach any type of support documentation required for you to get the complete information you need to take action.

- **Stay proactive with automated status updates** that occur as an incident moves through your workflow, following rules you specify. Determine which notifications are sent to which stakeholders at key milestones, and route using custom workflow rules to match your approval process.
The Incident Management application gives you proactive control over the management of incidents across your entire enterprise—from initiation to resolution.

Enter incidents from anywhere in the enterprise using web-based forms, and they will be held open until properly assigned for investigation and resolution.

Use the rule designer to specify your own internal approval processes. Route incident reports to a person or group for approval or to other users for review.

• Track everything you consider to be an incident, even events that don't fall under the traditional definition.
• Establish a true and consistent approval process, with delegation of responsibilities and customized routing.
• Quickly collect additional or alternative information based on incident profile.
• Tailor the embedded IBM Cognos dashboards to match your structure and meet the needs of your organization.

To learn more about ComplyTrack™ Incident Management, contact your WK Account Manager or go to complytrack.com.
ComplyTrack™ Information Security Assessment Manager (ISAM)

Maintain visibility and control over your IS compliance from one secure and readily accessible workspace. Built on powerful ComplyTrack™ technology, ISAM integrates industry-standard common security frameworks (CSFs) with proven workflow software to provide risk assessment, remediation, monitoring, and analytics in a scalable, customizable SaaS solution.

• **Know your regulatory stance** by tracking and measuring the performance of your entire organization with robust reporting, analytics, and dashboarding tools.

• **Make the right decisions at the right time** with the intuitive and scalable platform that can be up and running significantly faster than other solutions available today, making you eligible for incentive payments sooner. Manage ongoing risk assessments, meaningful use attestation, and any kind of external or internal audit with comprehensive action plans to manage and track all highlighted issues.

• **Get the information you need, when you need it** while staying out ahead of regulatory change with ISAM’s SaaS delivery, which includes ongoing updates by our healthcare IS and compliance experts. You can tailor assessments by type, size, and complexity as well as identify gaps and areas of exposure in real time during your risk assessment.

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In any organization, your PHI is only as secure as your weakest link. Find those weak links, fix them, report your progress, and prove you've done it all correctly with the Information Security Assessment Manager (ISAM). This complete SaaS solution allows you to go beyond simple risk assessment to perform control-based assessments and multi-stage remediation, with robust monitoring and intelligent analytics.

By measuring against a recognized CSF, organizations will have a common security baseline and method for communicating validated security controls to all of their constituents. Covered standards and regulations include:

- ISO/IEC 27001:2005
- ISO/IEC 27002:2005
- COBIT 5
- HIPAA
- IRS 1075
- OCR Audit Protocol
- HITRUST
- NIST SP 800-53 Revision 4
- NIST SP 800-66
- PCI DSS version 2.0
- 16 CFR Part 681
- FTC Red Flags Rule
- HITECH Act
- 21 CFR Part 11
- Joint Commission IM
- 201 CMR 17.00 (State of Mass.)
- NRS 603A (State of Nev.)
- CSA Cloud Controls Matrix v1
- CMS ARS
- TX HB 300
- CAQH CORE

Corrective action plans enable you to manage and track all highlighted issues found during your assessments, as well as manage budget dollars against risk.

To learn more about ComplyTrack™ Information Security Assessment Manager, contact your WK Account Manager or go to complytrack.com.
A part of the powerful and flexible ComplyTrack™ platform, Audit Management allows you to respond both proactively and retroactively to auditors while simultaneously managing multiple rounds of appeals.

- **Ensure consistent, proper, and timely handling of any claims-based audit** across your entire organization, with this secure enterprise-wide solution. Track both RAC and non-RAC audits from first letter to last appeal without an investment in additional staff.

- **Minimize your organization’s ongoing financial risk** by identifying denial trends, quantifying appeal outcomes, and quickly projecting audit losses to ensure reserve funds are properly allocated.

- **Detect, analyze, report on, and predict trends** using powerful embedded IBM Cognos reporting. Automate claims import processing, eliminating the need for manual claims data entry.
Designed to put you in control of the complete audit lifecycle, Audit Management provides the flexibility to manage government audit requests such as Recovery Audit Contractors (RACs), Medicare Administrative Contractors (MACs), the Medicaid Integrity Program (MIC), Zone Program Integrity Contractors (ZPICs), or any commercial payer audits.

Audit Configurations give you complete control over audit timeframes and appeal levels including the quantity of appeals. Once configured, your tailored audit types are available for selection.

Tailor each round of appeals with both internal and auditor due dates to accommodate your workflow for any kind of claims audit.

To learn more about ComplyTrack™ Audit Management, contact your WK Account Manager or go to complytrack.com.
When you have to be right

Interpret, communicate, and remediate your enterprise risk in real time

ComplyTrack™ Risk Assessment Manager

Combined with the powerful and flexible ComplyTrack™ platform, Risk Assessment Manager provides the software, tools, and expert content you need to assess your regulatory compliance stance, uncover areas of risk, and manage the remediation process across the enterprise from one central location.

• **Know your regulatory stance** even as the volume of regulations continues to grow at an exponential rate. ComplyTrack™ Risk Assessment Manager gives you clear visibility into the risk landscape of your organization and real-time insight into your vulnerabilities.

• **Make the right decisions at the right time** by easily pinpointing and prioritizing items requiring correction, while utilizing your resources most effectively, and driving mitigation of highest-risk areas.

• **Get the information you need, when you need it** with the Software-as-a-Service solution that enables any employee to answer questionnaires from anywhere, at any time, and on any Web-enabled device, while enabling risk managers and executives to identify, manage, and mitigate risk in real time.

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• Get a clear picture of your organization’s risk status in real time.
• Conduct interviews across topics, entities, processes, and departments utilizing the comprehensive and customizable library of electronic questionnaires.
• Demonstrate compliance effectiveness and resource effectiveness using ongoing risk assessments to show how risk is being mitigated over time.
• Easily deploy risk-assessment question sets throughout your enterprise and monitor the progress of respondents, ping users who are delinquent in completing their assignment, interpret results, and implement risk remediation with integrated action plans—all in real time.
• Provide visual, easy-to-read reports to leadership to highlight areas of high risk from any part of your enterprise, using the graphical reporting tools available in formats you can easily share (images, Excel™, Word, and PDF).

To learn more about ComplyTrack™ Risk Assessment Manager, contact your WK Account Manager or go to complytrack.com.

All questions link directly to full-text source documents, providing further explanation and justification for each compliance decision.

Customize question sets or create your own to meet the unique and specific needs of your organization.
Combined with the powerful and flexible ComplyTrack™ platform, Survey Manager provides the essential, custom survey tools required to document evidence of compliance across your enterprise as a crucial component of your risk-assessment processes.

• **Know your regulatory stance** at all times by documenting proof of compliance for COI, audits, or any regularly recurring regulatory activity across your entire enterprise.

• **Make the right decisions at the right time** with a system that enables you to easily handle large-volume reviews or audits with multi-cycle and multi-iteration processing. There is no maximum number of users, which allows you to collect all the data you need from anywhere you need it, in order to support your complete decision-making.

• **Get the information you need, when you need it** through the creation of custom surveys for any purpose, including conflict of interest, code of conduct, chart auditing, anonymous polling, vendor compliance, or targeted department auditing. Anonymous data collection supports a reprisal-free reporting environment, giving you a true picture of your risk.

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Utilize customizable templates to ensure secure, consistent, and rigorous data collection for audits.

Collect information from, or disseminate to, thousands with a few clicks.

Immediately implement surveys with easy-to-use survey building tools, including more than 20 different question styles, logic for contingent questions, attachments, and upload capabilities.

Allow respondents to substantiate their answers by securely adding documentation and comments.

Analyze and present the results in real time with robust reporting tools, or download survey data into Microsoft® Excel to analyze in any manner you see fit.

Ensure that your surveys, attestations, and training are acted upon across the enterprise.

To learn more about ComplyTrack™ Survey Manager, contact your WK Account Manager or go to complytrack.com.
ComplyTrack™ Contract & Relationship Manager

Combined with the powerful and flexible ComplyTrack™ platform, Contract & Relationship Manager enables your organization to proactively manage all contractor and contract-related data in a centralized solution.

• **Manage your risk of conflict of interest** with your physicians, contractors, and vendors.

• **Make the right decisions at the right time** using advanced features to establish clear accountability with automated reminders to ensure against unintended contract terminations or renewals on evergreen contracts. Be reminded to review business associate agreements with vendors.

• **Get the information you need, when you need it** with access to your data anywhere via the Internet while maintaining strict data accessibility controls.

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• Ensure all vendors, physicians, consultants, and employees have the necessary credentials, permissions, and privileges in order to comply with all relevant regulations, policies, and standards.

• Create a single repository for contract documents and histories and store all relationship information pertaining to physicians, medical directors, representatives, boards, researchers, grant recipients, vendors, consultants, or volunteers.

• Monitor compensation and flow of funds to staff and the organization to ensure compliance with regulatory and internal-policy limits.

• Robust reporting by task, activity, relation to COI, etc., provides clear insight into your contract management status that can be easily communicated and acted on.

• Track non-monetary compensation with each contract to easily determine Stark compliance.

To learn more about ComplyTrack™ Contract & Relationship Manager, contact your WK Account Manager or go to complytrack.com.
When you have to be right

Create, manage, and distribute strictly controlled documentation

ComplyTrack™ Document & Policy Manager

Combined with the powerful and flexible ComplyTrack™ platform, Document & Policy Manager allows organizations to create, manage, and store any documents important to your healthcare organization, such as policies and procedures, plans, correspondence, and any other documents that represent evidence of your effective risk and compliance program.

- **Know your regulatory stance** at all times by maintaining strict document-version fidelity with version control, revision control, and archiving capabilities.

- **Make the right decisions at the right time** with a system that empowers you to create a new document, design a new template for your specific document needs, make changes to current policies or templates, or archive a policy that is no longer relevant—all from one simple-to-use, web-based product.

- **Get the information you need, when you need it** utilizing your existing document creation software, like Microsoft Word, Excel™, etc., to easily edit documents. You also keep editorial teams in the document creation workflow with built-in email reminders.

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• Ensure that only authorized users view, edit, and create documents using multilevel security controls to easily manage and control user privileges.

• Create standard style-sheets for any type of document—from compliance plans, to policies and procedures, to mail-merging templates.

• Put current policies and procedures in the hands of your entire staff with IP-restricted access to a companion publishing portal.

• Combine with ComplyTrack™ Survey Manager for easy and secure distribution of documents to employees, vendors, and consultants to ensure certification and attestation.

To learn more about ComplyTrack™ Document & Policy Manager, contact your WK Account Manager or go to complytrack.com.