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.

Secure
This powerful SaaS solution with Healthcare-Level Security is SOC2 compliant, 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.

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.
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.

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

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

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.

ComplyTrack™
a complete GRC solution built for healthcare
When you have to be right

Securely track and manage issues and investigations across your enterprise

ComplyTrack™ Issue & Action Management

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.

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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 reporting to meet the unique needs of your organization.

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

**ComplyTrack™ Information Security Assessment Manager (ISAM)**

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

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.

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.
Designed to put you in control of the complete audit life cycle, 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.

Now available with Claims Hub, all your remittance and billing data—ON DEMAND
Claims Hub stores 835 remittance and 837 billing data in a secure, central location for immediate access by claim number, medical record number, patient name, or other key data point in ComplyTrack Audit Management.

- Manage reserves in real time: Get an automated, real-time view into your claims audit risk down to the penny.

- Update on your schedule: You set the update schedule - and how far back to load historical data based on your audit needs, reducing IT/IS involvement to a minimum.

- Proactively review data: Bring any group of claims into ComplyTrack Audit Management to review for potential audit issues, such as a particular DRG target.

- Never manually import claims data again, eliminating errors: All your claims data is housed in one location for on-demand access with no rekeying of data, ensuring all information is current and accurate.

- Ensure your claims data is both accessible and secure: Claims Hub and ComplyTrack provide Healthcare-Level Security for your sensitive PHI, in a SOC2 certified environment.

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

As part of the powerful and flexible ComplyTrack platform, Risk Assessment Management provides the software, tools, and unique expert content you need to assess your regulatory compliance stance and uncover areas of risk to manage the remediation process across the enterprise.

• **Know your regulatory stance** even as the volume of regulations continues to grow at an exponential rate. ComplyTrack Risk Assessment Management gives you clear visibility into the risk landscape of your organization and real-time insight into your vulnerabilities with real-time dashboards and powerful, built-in IBM Cognos reporting.

• **Easily pinpoint and prioritize items requiring correction** to drive mitigation of highest-risk areas across your enterprise while utilizing your resources most effectively.

• **Risk managers and executives can identify, manage, and mitigate risk in real time** with the Software-as-a-Service solution that enables any employee to respond to assessments from anywhere, at any time, and on any Web-enabled or mobile device.

• **Manage assessments across long-term or broad initiatives** utilizing the ability to group assessments and focus assessments by risk domain, entity type, category, and physical location.

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Support your complete culture of compliance with the powerful ComplyTrack platform

- Powerful IBM Cognos reporting available on all applications and modules.
- Risk assessment assignments appear on the unified ComplyTrack dashboard, integrating compliance workflows.
- A new integrated ComplyTrack platform means easy navigation between applications.
- SaaS solution with Healthcare-Level Security is SOC2 compliant and enables you to define your own password security requirements, 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.

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

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.

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.
Quickly and easily create, save, edit, and disseminate easy-to-use surveys securely across your entire enterprise.

• 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.
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.

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.
• 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.
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.

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.
• 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.

**Know the answers auditors need in an instant with the Audit Trail function.**

**Document & Policy Manager automates the review process. Editors receive notifications when documents are due for review, and any changes made are tracked with the document for accurate reporting during an audit or investigation.**

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