

## Case Study

# How ComplyTrack's IAM/IM and Survey Manager Brings Expected—and Unexpected—Benefits to Catholic Charities

*Catholic Charities of the Diocese of Rochester is a member of Catholic Charities USA, the nation's largest private network of people helping people. The mission of Catholic Charities is to provide service to people in need, to advocate for justice in social structures and to call the entire church and other people of good will to do the same. In pursuit of this mission, the activities in which Catholic Charities engages places them under a wide variety of state and federal laws and regulatory requirements.*

This case study is based on an interview with Lindsay Gozzi-Theobald, Chief Compliance Officer, and Penny Coon, Chief Privacy Officer for Catholic Charities of the Diocese of Rochester, New York.

### Centralizing The Information-Gathering and Reporting Processes

One of the aspects that makes Catholic Charities of the Diocese of Rochester unique is that this single organization actually encompasses a larger number of smaller entities. As Gozzi-Theobald explains, *"We're traditionally nine separate organizations that roll up to one corporate entity."* Not surprisingly, the diffuse nature of the organization led to some compliance challenges, so Catholic Charities made some changes. *"We decided to centralize the compliance office and implement a compliance program for organizations that did not have it in place. Because we're a 12-county region in upstate New York, we needed to implement technology to keep a handle on everything that's going on, as well as to try to keep our staff count lean."*

ComplyTrack's Issue and Action Management and Incident Management (IAM/IM) applications have

### EXECUTIVE SUMMARY

#### Chief Compliance Officer

Lindsay Gozzi-Theobald, Catholic Charities of the Diocese of Rochester

#### Chief Privacy Officer

Penny Coon, Catholic Charities of the Diocese of Rochester

#### Challenge

These compliance and privacy professionals must manage a broad range of responsibilities across nine separate agencies with a variety of state and federal funders, grants, contracts and private and private foundations, all with their own requirements. They must also do all of this with a small staff operating on the tight budget of a non-profit organization.

#### Solution

ComplyTrack's Issue and Action Management, Incident Management and Survey Manager applications have enabled Catholic Charities to centralize compliance efforts, save time, increase efficiencies and keep staff-related costs down.

helped them succeed. According to Gozzi-Theobald, *“IAM/IM has enabled us to gain efficiencies as far as knowing what’s going on in every area of the organization and streamlining our reporting efforts. It’s helping us to get a better handle on staffing needs going forward. How are we spending our time? What are some key functions that can’t be eliminated with technology? This will help us figure out what we need on a go-forward basis.”* Ms. Coon adds, *“In choosing to adopt IAM/IM, we looked at five different products. This offered the best service at the best price. It’s a great value.”*

## Gaining Efficiencies

In addition to being able to identify activity in every area and allocate resources accordingly, Catholic Charities gained a number of other efficiencies as well. Gozzi-Theobald explains, *“In New York state, we’re a heavily regulated environment. We have at least ten to twenty different funders and different regulatory agencies who require different things from us. We built an incident management system for some of our organizations that will help implement a consistent incident management process with immediate notification to all the stakeholders if something goes wrong. This also allows for tracking of corrective actions. We’ve been able to eliminate some of the manual reporting we did both at the time of incident and the investigation to our funders because we can print the incident from IAM in pdf and email it over to our oversight agencies. That’s been hugely helpful. We’ve also been able to capture some potential compliance concerns in real-time.”*

## A Surprising Benefit To Human Resources

One unexpected benefit of adopting IAM/IM came in the form of unexpected advantages to the Human Resources (HR) department. *“We have built different templates for our HR team to use from an education and training perspective and also for tracking disciplinary actions. It allows for an investigation to be done between our compliance and HR departments and for a smooth hand-off from compliance to HR for disciplinary action.”* But investigations and potential discipline are not the only areas that have seen benefits. According to Gozzi-Theobald, *“We do a lot of in-service, in-person trainings and don’t have a mechanism*

*in our LMS (Learning Management System) to be able to track live trainings, so this allows for uploading of sign-in sheets and content. And when we do in-service trainings as a result of an audit or investigation finding, we’re also able to link that directly to the investigator, to show everything we did around a case. Everything’s in one spot for us.”*

## Saving Weeks Of Work By Streamlining Board Reporting

Generating board reports was once a cumbersome and time-consuming process for Catholic Charities. *“We have ten different boards. Each agency has a board of directors, plus our corporate Catholic Charities of the Diocese of Rochester has a board, so to do a 20 to 30-minute board report at each meeting could take hours and hours of work, and to prepare an annual report for once a year it would sometimes take a couple weeks to go through all the paper records and pull it all together into a cohesive format. Now, I’m looking at an hour to two hours of preparation time.”*

## Survey Manager Saves Time And Helps With System Implementation

The Survey Manager application has helped Catholic Charities develop new tools that enables them to implement valuable processes. According to Gozzi-Theobald, *“We’ve fully automated our Board conflict-of-interest process. It’s all electronic now. We also built a tool to screen for independent directors on our Audit Committee. We’re working on improving our employee conflict-of-interest process, and we can embed the policy right in the email and ask them to read it within the survey itself. We have built in web based training and acknowledgments in Survey Manager, and we’re seeing if we can create audit tools. This will save a huge amount of time.”*

## Embracing Unanticipated Gains

There have been a number of unanticipated wins that have come as the result of putting ComplyTrack’s IAM/IM and Survey Manager applications in place. In looking at these unanticipated benefits, Gozzi-Theobald points first to the Health Insurance Portability and Accountability Act of 1996 (HIPAA). *“HIPAA is applicable to us, and we*

were doing a lot of manual tracking for certain aspects of HIPAA privacy. Now we've been able to build a centralized place in the portal where our health care staff can log in complaints, amendment requests to medical records, denial for accounting for disclosures, and any other HIPAA tracking requirements that we need. Now we have a template that anyone from any organization can go in, put that information in, and during an audit, we can produce on-demand information to show that we are effective and how we operate in our compliance environment." Many other unexpected possibilities have arisen as well. "Adopting IAM/IM and Survey Manager has enhanced our transparency with our Boards. We're also looking at it for more ways we can use these applications for our Human Resources team. You can let stakeholders know in real-time, and at the same time, whether someone is leaving the organization or coming in. We've also used IAM/IM for our client incident management process. In that instance, it's eliminated a paper reporting process and many phone calls. Our program staff has actually quantified this as a time-savings of 10-15 minutes per incident. These are highly effective and flexible tools, and we're always looking for new ways to make the most of them."

## About Catholic Charities

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