



Case Study

Case Study: *ComplyTrack™* Enables Solano County to Coordinate Compliance Responsibilities Connected to a Wide Array of Services

As a local government agency, the Department of Health and Human Services in Solano County delivers a variety of health care and social services to the community, and it does so through a wide variety of channels, including primary care clinics, county operated facilities, and mobile services. All of this raises unique compliance challenges and calls for the ability to accurately record, track and report from a single, streamlined resource.

ComplyTrack meets that need.

This case study is based on an interview with Cheryl Esters, Deputy Compliance and Quality Assurance Manager.

ComplyTrack Concentrates Information for Organizations Offering Diverse Services

Given the wide array of health care and social services Solano County delivers to the community, it's not surprising that Cheryl Esters, the Department's Deputy Compliance and Quality Assurance Manager, cites scope as a major motivator for management's decision to adopt ComplyTrack. *"Our organization is complex and doesn't just focus on health care services but also social services. In addition to public health and medical services, we provide Older Disabled Adult Services; Public Guardian Services; Child Welfare Services; and Employment and Eligibility Services to the community. We provide these services through Federally Qualified Health Centers, Behavioral Health Clinics, Mobile Medical Services Vans,*

"ComplyTrack meets our needs completely."

"We've been able to... streamline our process...which means money saved."

EXECUTIVE SUMMARY

Interview with Cheryl Esters, Deputy Compliance and Quality Assurance Manager, Department of Health and Social Services, Solano County.

Challenge

Managing the compliance requirements connected to a Super-Agency which is diverse in providing both health care and social services such as Older and Disabled Adult Services; Child Welfare Services; Employment and Eligibility Services; Public Health Services; Medical Services, including Dental; and Behavioral Health Services, which includes Mental Health and Substance Use Disorders.

Solution

ComplyTrack's Incident Management and Issue & Action Management applications enable Solano County to manage, track and report across all areas.

and County operated facilities. Consequently, the role of the compliance unit spans across many divisions and programs. I report to the Health and Social Services Compliance Officer and am supported by four Compliance and Quality Assurance Analysts and an office assistant.

As Ms. Esters explains, “When searching for a new compliance solution, the Department needed to have a flexible compliance management solution that reached beyond just health care, otherwise it would be useless to us. We track more than just breaches and ComplyTrack meets our needs for tracking and reporting in our complex organization. Today, we utilize ComplyTrack’s Incident Management and Issue & Action Management applications, along with Document Policy Manager.”

ComplyTrack Simplified Recordkeeping and Improved Reporting for Solano County

The Department needed ComplyTrack to handle the management of information that exceeded the capabilities of Excel and other databases. “Up until we purchased ComplyTrack, I had basically been documenting most everything in Microsoft Access data base or Excel spreadsheets and had many binders with supporting documentation. Prior to the implementation of the Compliance Unit, I was the lone person responsible for compliance tracking and reporting, and it was very cumbersome and very hard to report out.”

According to Ms. Esters, ComplyTrack not only streamlined the entire process, it helped identify areas for improvement. “Today, the compliance team have tools to make informed decisions and manage risks. We can look at what type of reports are made through the online reporting process or through the Trust Line and assess the areas of risk and the types of issues reported. Additionally, we can track and write reports for Executive Management or provide status reports on assigned projects. Each incident, breach, or assigned project is inputted into Comply Track. We have more insight into the data being

collected and analyzed and as a result, ComplyTrack has helped us spotlight certain areas and improve our processes.”

ComplyTrack Quickly Established Itself as a Centerpiece of Solano County’s Compliance Process

From recordkeeping, to reporting, tracking projects, and audits, ComplyTrack is utilized by the Compliance team. “I looked at several other ways to track information, but I really liked what ComplyTrack offered and made the recommendation to the management team. The Document and Policy Manager application is very valuable because it not only allows for review of numerous individuals, it allow us to push out policies to the department, divisions and/or programs. We believe the Document and Policy manager solution will be an excellent way for all divisions and programs to track policies.

ComplyTrack’s Risk Assessment Manager application is also impressive and effective. We’ve developed our own risk assessment with 99 questions based on different areas of risk for our community-based organizations. We can easily send out the assessment and get answers back right away. We also use the risk assessment solution to create audit tools.

Ms. Esters uses ComplyTrack as a mainstay of her day-to-day operations. “We’re able to get a better snapshot of our business processes, gaps, and risk areas. I can run weekly status reports which provides a snapshot of work assignments and special projects and identify where follow-up or a shift in priorities is warranted. The Compliance Officer and I sit down once a week and run through on the list of projects each staff has been assigned and what issues have been reported or identified. We customized reports to meet the organizations need and these reports are shared with Senior Management. It’s a great way to keep everybody informed. We’ve been able to share data and streamline our processes because of ComplyTrack, and that has saved us a lot of time, which means money saved as well.”

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