Caregiver Compliance Process Guide

Provider and User Guide

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Contents

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Caregiver Compliance

Overview

This category covers the **Caregiver Compliance** functionality in the HHAeXchange (HHAX) system. For comprehensive guidance and instructions on how to create and integrate compliance items and rules according to the various Caregiver Disciplines, as defined by the Agencies.

Please direct any questions, thoughts, or concerns regarding the content herein to HHAeXchange Customer Support.

DISCLAIMER
The **Caregiver Compliance** feature is activated by System Administration. Please contact HHAX Support Team for details, setup, and guidance.

HHAX System Key Terms and Definitions

The following provides basic definition of HHAX System key terms applicable throughout the document.

Term	Definition
Patient	Refers to the Member, Consumer, or Recipient. The Patient is the person receiving services.
Caregiver	Refers to the Aide, Homecare Aide, Homecare Worker, or Worker. The Caregiver is the person providing services.
Provider	Refers to the Agency or organization coordinating services.
Payer	Refers to the Managed Care Organization (MCO), Contract, or HHS. The Payer is the organization placing Patients with Providers.
HHAX	Acronym for HHAeXchange

Caregiver Compliance Introduction

The **Caregiver Compliance** page has been designed to facilitate the administration and management of this comprehensive piece by streamlining and centralizing functions based on Caregiver Discipline. This function involves three process levels to include **Item Manager**, **Compliance Setup**, and **Caregiver Compliance Page** (as described below). The following sections provide details and guidance on each of these components.

Level		Description
Agency Admin	Item Manager	Create and manage values for the Caregiver Compliance page and sections; the library houses compliance fields and values on an Agency-wide level.
	Compliance Setup	The values/fields applied to a given Compliance Setup are taken directly from the Agency Item Manager. Offices assigned to a given Compliance Setup will calculate compliance based on the rules used in into the setup.
Caregiver	Caregiver Compliance Page	Used to enter and track Caregiver Compliance standards as identified by the Agency; where values and created fields are applied to an individual Caregiver depending on the specific Caregiver Discipline.

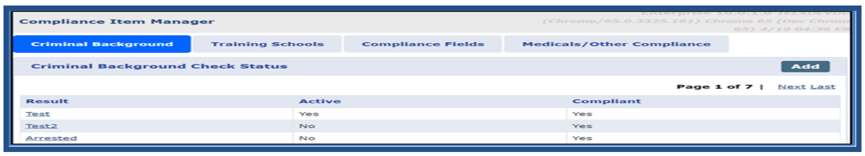
Note: *Applicable permissions must be enabled by HHAX System Administration.*

Item Manager

Overview

This section is intended for Agency Admin users responsible for setting up Caregiver Compliance.

The **Item Manager** (***Admin > Compliance Setup > Item Manager***) is the first level of the Compliance module. The Item Manager is defined as the library of compliance fields and values at an Agency level. The Item Manager is comprised of 4 specific tabs used to create and manage values for Criminal Background checks, Training Schools, custom Compliance Fields, and Medical/Other Compliance fields.



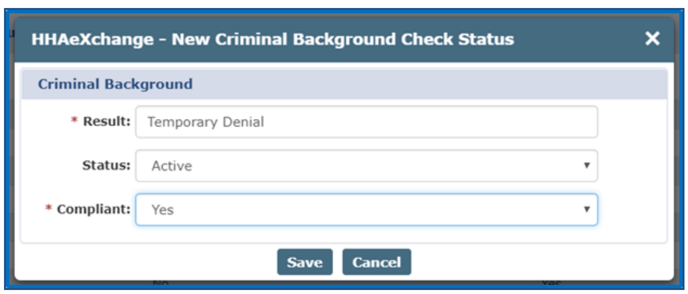
Compliance Item Manager: Functionality Tabs

Once created and Active, these values/fields become available for use at the Compliance Setup level. Values entered on the Item Manager are not used for any compliance calculations until they are assigned to a Compliance Setup(s). The same value may be applied to multiple setups if required.

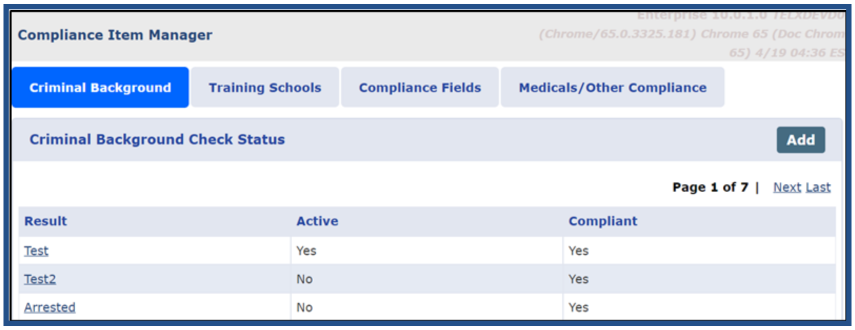
Item Manager: Criminal Background

The **Criminal Background** tab is used to enter and manage Result values for Criminal Background checks. Complete the following steps to create a value.

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Navigate to the Item Manager and select the Criminal Background tab.</td></tr>
<tr><td>2</td><td>Click the Add button.


Adding a Criminal Background Check Status</td></tr>
<tr><td>3</td><td>The HHAeXchange-New Criminal Background Check Status window opens. Complete the required fields (denoted with a red asterisk), as described in the table below.


New Criminal Background Check Status Window
<table>
<tr><th>Field</th><th>Description</th></tr>
<tr><td>Result</td><td>Enter the Result Name in this free text field to capture the title of the result.</td></tr>
<tr><td>Status</td><td>The default value is set to Active. Select Active or Inactive from the drop-down to set the availability of the Status.</td></tr>
<tr><td>Compliant</td><td>Select Yes or No from the dropdown to indicate whether the Result qualifies as compliant or non-compliant.</td></tr>
</table></td></tr>
<tr><td>4</td><td>Click the Save button to finalize.</td></tr>
<tr><td>5</td><td>Upon saving, the Result value displays on the table of values as illustrated in the image.
To edit Status of a value, click on the Result (link) and follow Steps 3-4 above.</td></tr>
</table>

Step	Action
	 **Criminal Background Check Status: Table of Values**

Note: *The system does not allow duplicate values to be saved.*

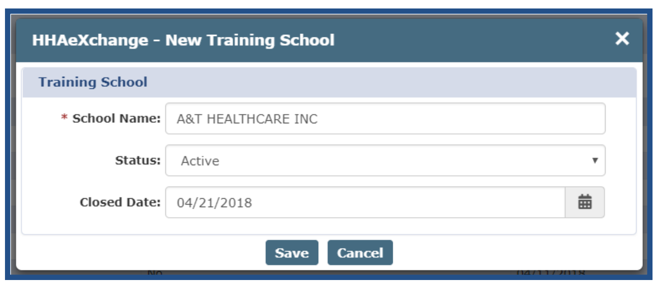
Review the values selected for the Criminal Background check to ensure that there is at least one "compliant" value entered. Upon saving on the Item Manager, Criminal Background tab, the system validates if there is at least one "Active" compliant value. If not, then the system issues a warning validation. This validation warning does not stop users from saving; one may proceed without an active "compliant" value for this section.

The above also applies when saving on the Compliance Setup side in the Criminal Background tab.

Item Manager: Training Schools

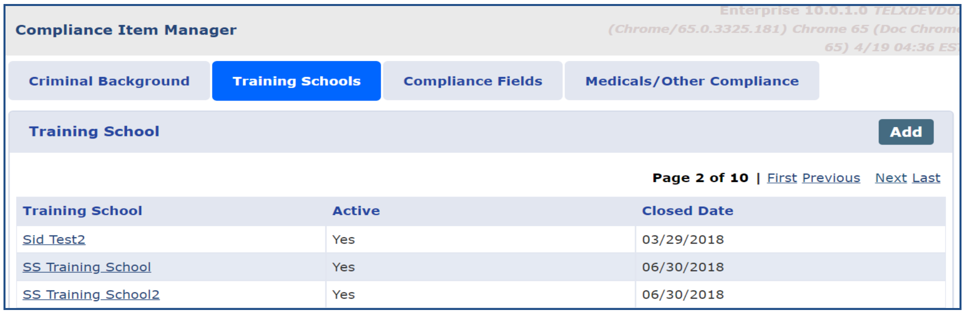
Agencies can setup and manage the values for approved Training Schools via the compliance Item Manager. Complete the following steps to add a Training School.

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Navigate to the Item Manager and select the Training School tab.</td></tr>
<tr><td>2</td><td>Click the Add button.


Adding a Training School</td></tr>
<tr><td>3</td><td>The HHAeXchange-New Training School window opens. Complete the required fields (denoted with a red asterisk), as described in the table below.


New Training School Window
<table>
<tr><th>Field</th><th>Description</th></tr>
<tr><td>School Name</td><td>Enter the Training School name in this free text field to capture the name of the Training School.</td></tr>
<tr><td>Status</td><td>The default value is set to Active. Select Active or Inactive from the dropdown to set the availability of the Status.</td></tr>
<tr><td>Closed Date</td><td>Date field used to enter the date the school closed (if applicable).</td></tr>
</table></td></tr>
<tr><td>4</td><td>Click the Save button to finalize.</td></tr>
<tr><td>5</td><td>Upon saving a Training School, the value displays on the table of values as illustrated in the image. To edit the Status of a value or enter a Closed Date (if not initially entered), click on the Training School (link) and follow Steps 3-4 above.</td></tr>
</table>

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td></td><td>



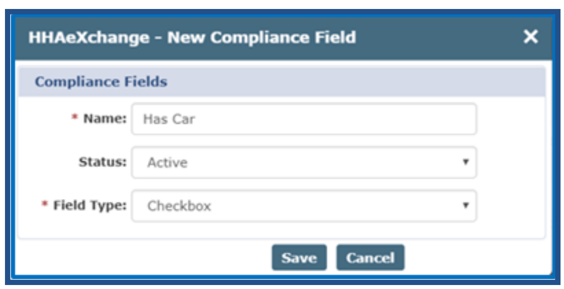
Training Schools: Table of Values

</td></tr>
</table>

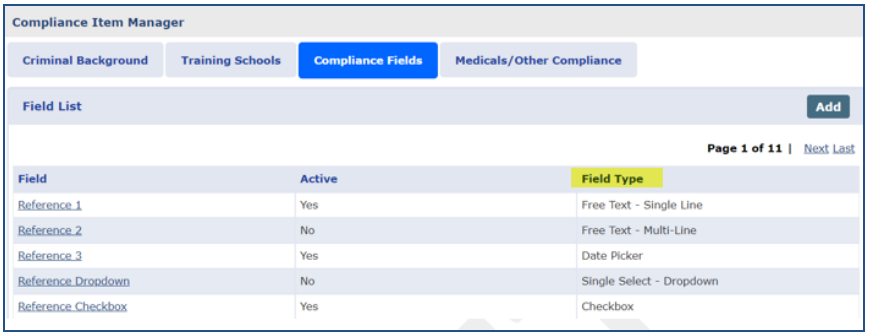
Item Manager: Compliance Fields

The **Compliance Fields** tab is used to create custom compliance fields via the compliance Item Manager. Examples of custom fields may be a Caregiver's car insurance information, Certification Notes, Test Scores, and Seminar Completion details among other details to track. Complete the following steps to create and manage Compliance Fields via the Item Manager functionality.

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Navigate to the Item Manager and select the Compliance Fields tab.</td></tr>
<tr><td>2</td><td>Click the Add button.

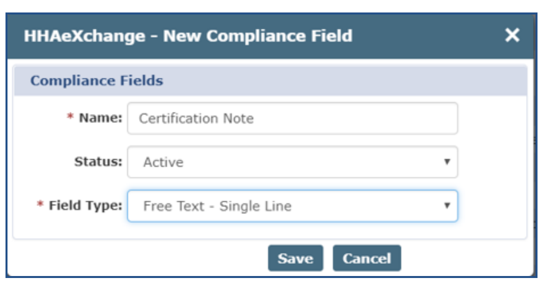

Adding Compliance Fields</td></tr>
<tr><td>3</td><td>The HHAeXchange-New Compliance Field window opens. Complete the required fields (denoted with a red asterisk), as described in the table below.


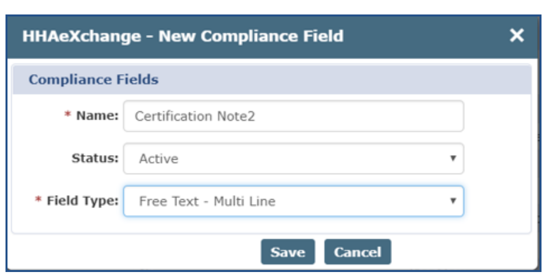
New Compliance Field Window
<table>
<tr><th>Field</th><th>Description</th></tr>
<tr><td>Name</td><td>Enter the custom field name in this free text field to capture the name of the custom Compliance field.</td></tr>
<tr><td>Status</td><td>The default value is set to Active. Select Active or Inactive from the drop-down to set the availability of the Status.</td></tr>
<tr><td>Field Type</td><td>Dropdown menu provides options for the field including Checkbox, Free Text - Single Line, Free Text - Multi Line, Date Picker, Single Select – Drop-down, and Multi Select - Dropdown.</td></tr>
</table></td></tr>
<tr><td>4</td><td>Click the Save button to finalize.</td></tr>
<tr><td>5</td><td>Upon saving a Compliance Field, the value displays on the table of values as illustrated in the image. To edit the Status of a value, click on the Field (hyperlink) and follow Steps 3-4 above.</td></tr>
</table>

Step	Action
	

Compliance Fields: Table of Values

Other Examples of Custom Compliance Fields





Item Manager: Medicals/Other Compliance

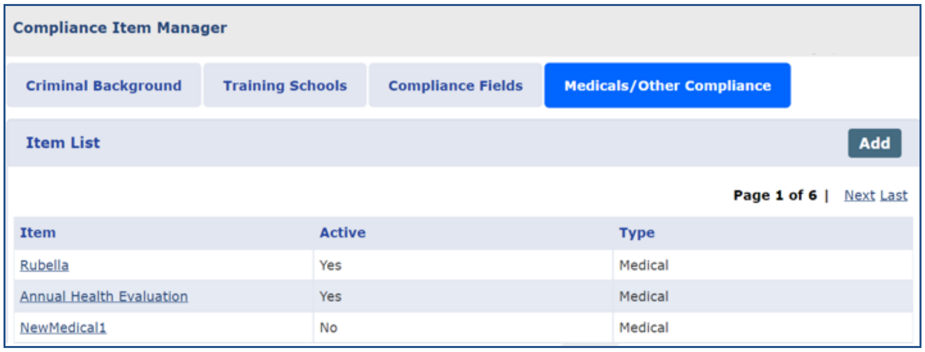
The **Medicals/Other Compliance** tab is used to create and manage Caregivers' Medical and Other Compliance field values via the compliance Item Manager. Complete the following steps to create and manage Medicals and Other Compliance Fields via the Item Manager functionality.

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Navigate to the Item Manager and select the Medicals/Other Compliance tab.</td></tr>
<tr><td>2</td><td>Click the Add button.


Adding Medicals/Other Compliance</td></tr>
<tr><td>3</td><td>The HHAeXchange- New Compliance Item window opens. Complete the required fields (denoted with a red asterisk), as described in the table below.


New Compliance Item Window
<table>
<tr><th>Field</th><th>Description</th></tr>
<tr><td>Name</td><td>Enter the custom field name in this free text field to capture the name of the Medical or Other Compliance field.</td></tr>
<tr><td>Status</td><td>The default value is set to Active. Select Active or Inactive from the dropdown to set the availability of the Status.</td></tr>
<tr><td>Type</td><td>Select Medical or Other Compliance from the dropdown menu.</td></tr>
</table></td></tr>
<tr><td>4</td><td>Click the Save button to finalize.</td></tr>
<tr><td>5</td><td>Upon saving a Medical/Other Compliance, the value displays on the table of values as illustrated in the image. To edit the Status of a value, click on the <u>Field</u> (link) and follow Steps 3-4 above.</td></tr>
</table>

Step	Action



Item	Active	Type
Rubella	Yes	Medical
Annual Health Evaluation	Yes	Medical
NewMedical1	No	Medical

Medical/Other Compliance: Table of Values

Saving Item Manager Values

Any new value saved on any Item Manager tab becomes available for use for all Compliance Setups. Editing an existing value (which is *Active* for at least one Compliance Setup) requires the user to "Publish" the change; saving a change does not apply it to the Compliance Setup. Refer to the Publish & Discard Function section for further details.

When selecting ***Save*** on the Item Manager for a given Active Compliance Item which is in use for a Compliance Setup, the system validates if any actual changes were made to the item. If changes are applied, then a message displays informing that the Publish function must be run for the listed Compliance Setups to pull in the changes made on the Item Manager. If no changes have been made, then the Publish function is not needed for the associated Compliance Setup.

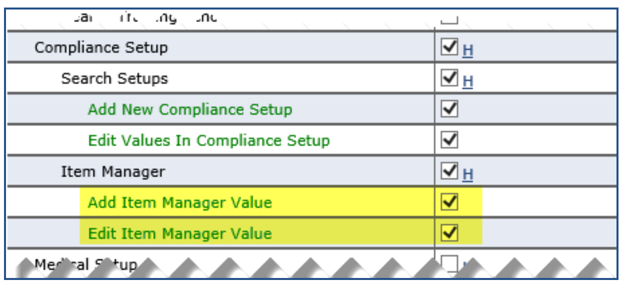
Item Manager: Permissions

The following permissions are necessary to add new information or edit in the Item Manager (***Compliance Setup > Item Manager***):

Permission	Description
Add Item Manager Value	Allows users to add new values on the Item Manager.
Edit Item Manager Value	Allows users to edit existing values on the Item Manager.

By default, users with the "Medical Setup" permission also have Item Manager permissions.

Navigate to ***Admin > User Management > Edit Roles***. Select *Admin* from the **Section** dropdown and *Admin* from the **Roles** dropdown to enable these permissions.



Item Manager Permissions

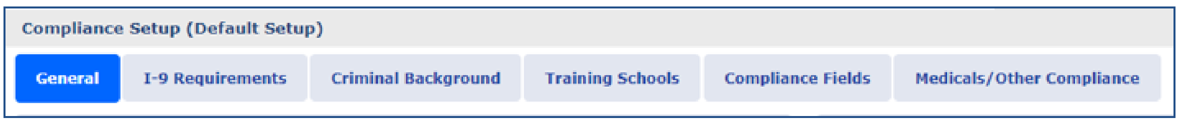
Compliance Setup

Overview

This section is intended for Agency Admin users responsible for setting up Caregiver Compliance.

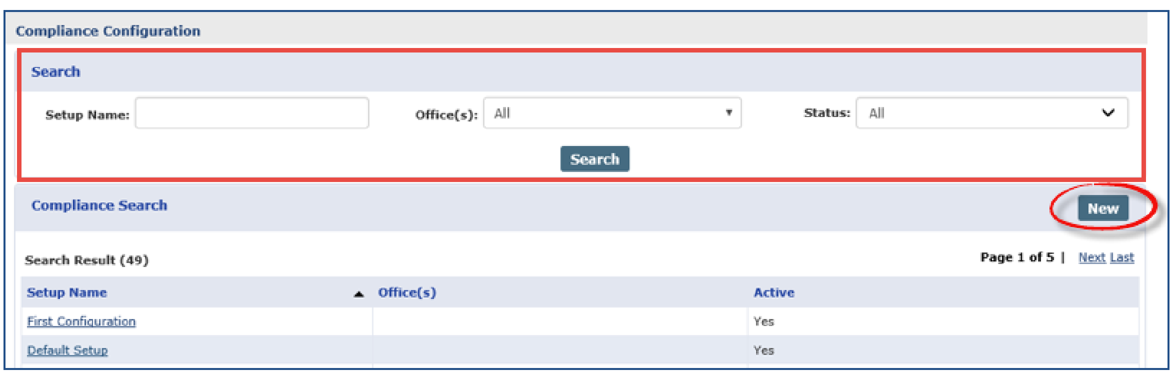
The **Compliance Setup** (**Admin > Compliance Setup**) is the second level of the Compliance module. Each Compliance Setup is a collection of rules used to calculate compliance for any Office linked to the setup. The values or fields applied to a given Compliance Setup are taken directly from the Item Manager (as covered in the previous sections).

The *Compliance Setup* is comprised of six tabs to include **General**, **I-9 Requirements**, **Criminal Back-ground**, **Training Schools**, **Compliance Field**, and **Medicals/Other Compliance** (as illustrated in the image below). Each of these tabs are covered in the following sections.



Compliance Setup Tabs

One can either create a New Compliance Setup or search for an existing setup by entering the **Setup Name**, selected **Office(s)**, and/or **Status**. The results are also organized by these fields (as illustrated in the image below).



Create/Search Compliance Setup

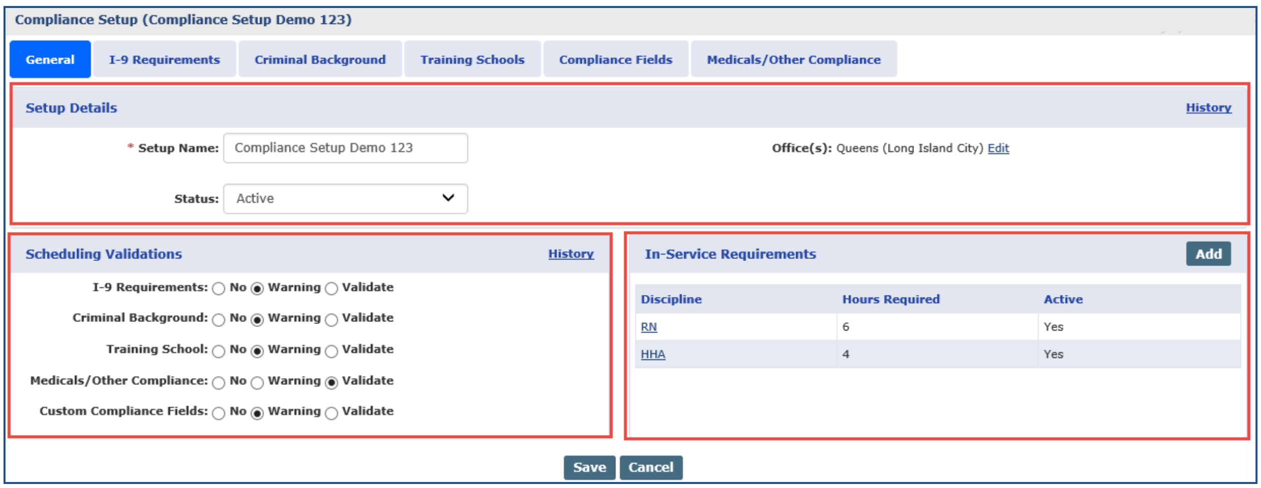
Field	Description
Setup Name	Enter the Setup name in this free text field.
Office(s)	Select the applicable Office(s) to generate a Search.
Status	Select **All**, **Active** or **Inactive** to search for a Setup by Status.

Compliance Setup: General Tab

The Compliance Setup (***Admin > Compliance Setup***) function opens to the *General* tab as a default. The *Setup Details* section is seen below the Tabs Menu including the **Setup Name**, **Status**, and **Office(s)** listing the Offices for which to add/edit the selected Setup.

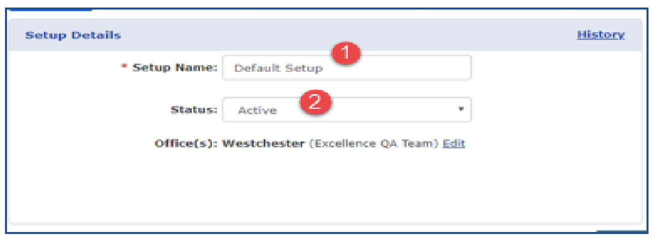
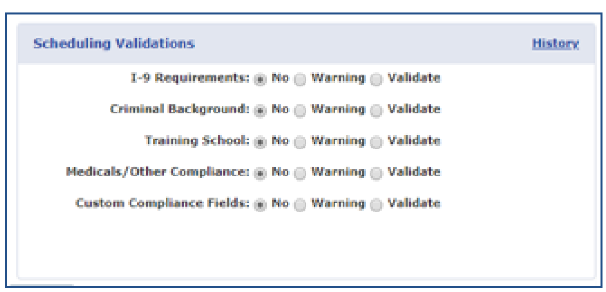
To the left of the screen, a *Scheduling Validations* section displays the setup tab names. From here, one can select whether the system checks the item prior to scheduling for compliance, and if so, whether the item is validated for compliance, or only issues a warning for non-compliance. Select the **No**, **Warning**, or **Validate** radio buttons per section, as desired.

To the right of the screen is the *In-Service Requirements* section used to add In-Service Requirements on a Compliance Setup level assigning certain values to specific Disciplines. In-Service Requirements are organized and displayed in a table format by **Discipline**, **Hours**, and **Status** (*Active* or *Inactive*).



Compliance Setup: General Tab

Creating a Compliance Setup

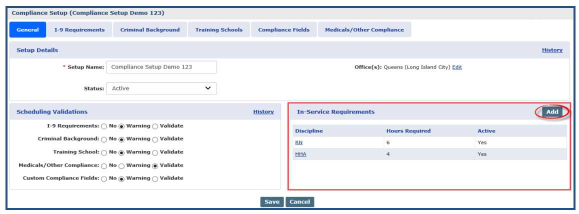
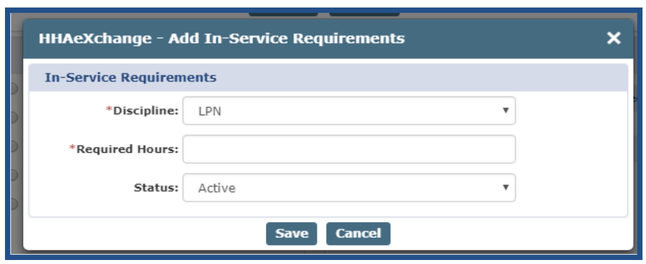
Step	Action
1	Navigate to the ***Admin > Compliance Setup***.
2	Click the ***New*** button.  **Creating a Compliance Setup**
3	In the *Setup Details* section, enter a **Setup Name** and set the **Status** to *Active*. Select applicable **Office(s)** to apply this Setup to. Click the **Edit** link to add Offices.  **Setup Details** If an Office is not assigned to a Compliance Setup, Caregiver Compliance is not enabled for that Office. In addition, the **Status** for a given Compliance Setup cannot be deactivated until all Offices are moved to another Compliance Setup. If a Compliance Setup has an assigned Office and the Status is changed to Inactive, the system issues a warning message.
4	In the *Scheduling Validations* section, select the validation value (**No**, **Warning**, or **Validate**) to apply to each section.  **Assigning Scheduling Validations** ***Note:*** *The system removes Caregivers from visits they are already scheduled for on the date they fall out of compliance if the* ***Validate*** *option is selected in the Compliance Scheduling Validation for a particular item in the Compliance Setup.*
5	Click the ***Save*** button to save the entered information.
6	Continue to the other tabs.

Note: *Saved information and settings are not applied on the Caregiver Compliance page until it is Published. Refer to the Publish & Discard Feature section for complete information.*

Adding In-Service Requirements

Tip: You can press **Ctrl-F** on your keyboard to search this topic.

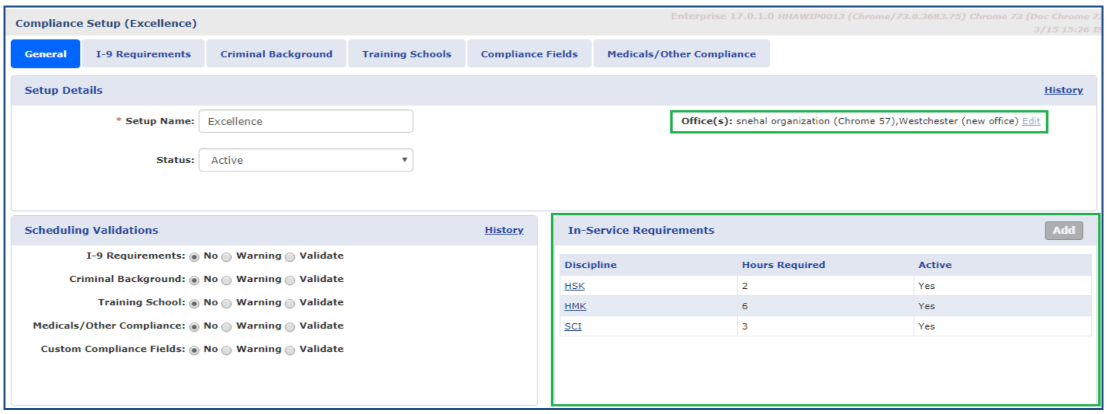
Follow the steps outlined below to add an In-Service Requirement on a Compliance Setup level.

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Click the Add button.

Compliance Setup: In-Service Requirements Section</td></tr>
<tr><td>2</td><td>The Add In-Service Requirements window opens (as illustrated in the image). Complete the required fields (denoted with a red asterisk), as described under the image.


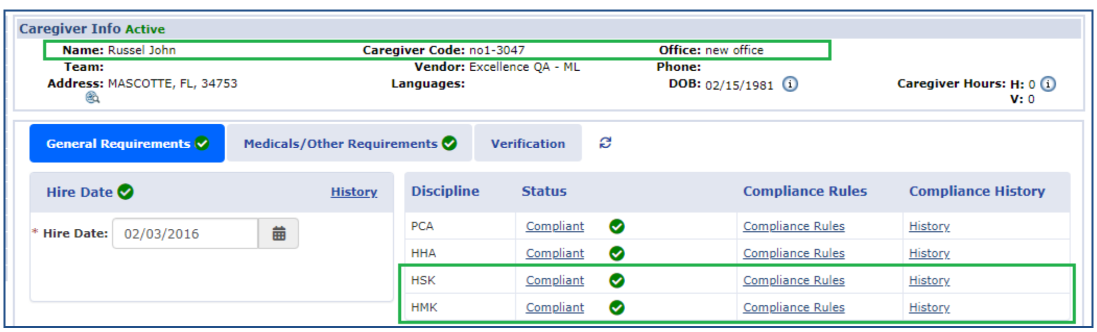
Add In-Service Requirements Window
<table>
<tr><th>Field</th><th>Description</th></tr>
<tr><td>Discipline</td><td>Select the applicable Discipline from the single-select dropdown. Note: Disciplines which already have rules configured are not listed as a value on the dropdown.</td></tr>
<tr><td>Required Hours</td><td>Indicate the number of Hours of In-Service the selected Discipline requires for compliance. A number higher than “0” must be entered.</td></tr>
<tr><td>Status</td><td>Indicate whether the In-Service Requirement is Active or Inactive. If Active, then this requirement must be met for compliance.</td></tr>
</table></td></tr>
<tr><td>3</td><td>Click the Save button to finalize.</td></tr>
</table>

In-Service Compliance: All Hours Count Towards All Disciplines

In Service Compliance: All Hours Count Towards All Disciplines
All *In-Service Hours* completed by a Caregiver are applied to In-Service Compliance. Therefore, to be In-Service Compliant, a Caregiver must meet the In-Service hours defined in the Compliance Setup, regardless of the assigned Discipline(s). For example, if the Compliance Setup requires 3 hours of HHA In-Service and then Caregiver completes 3 hours of In-Service for any Discipline(s), then the Caregiver is In-Service Compliant.



Compliance Setup: In-Service Requirements



Caregiver Compliance General Requirements

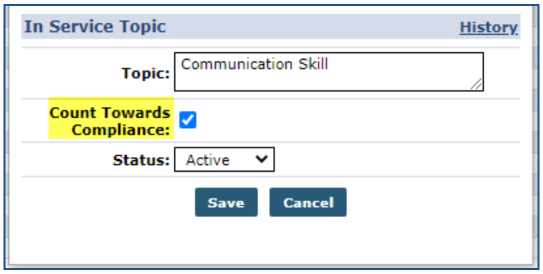
In-Service Classes (Setting Compliance Requirements)

Providers can manage In-Service Topics determining whether or not to include or exclude from the Compliance requirements. Default settings can be placed at an Agency level as well as at an Office level (for multi-office Agencies). In addition, this setting can be enabled or disabled per Caregiver, as needed.

Setting at an Agency Level

To set as default for a specific topic at an Agency level, navigate to the *Reference Table Management* function (***Admin > Reference Table Management***) and select *In Service Topics* from the **Reference Table** field. On the Search Results, click on the applicable Topic Title (link).

The *In Service Topic* window opens. From here select/deselect the newly added **Count Towards Compliance** checkbox (as seen in the image).



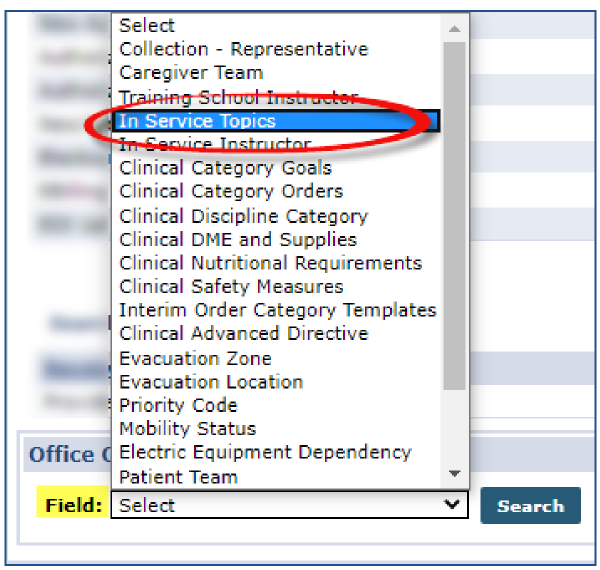
Reference Table: In Service Topic

Click ***Save*** to finalize. Moving forward, the default setting for the selected Topic counts towards Caregiver Compliance as set.

Note: *By default, all existing In Service Topics are set to* ***Count Towards Compliance****.*

Setting at an Office Level

To set a default at an Office level, navigate to the *Office Setup* page (***Admin > Office Setup > Search Office***). On the *Office Setup* page, scroll to the *Office Option Setup* section (at the bottom of the page), select *In Service Topics* from the **Field** dropdown field and click ***Search*** (as seen in the following image).



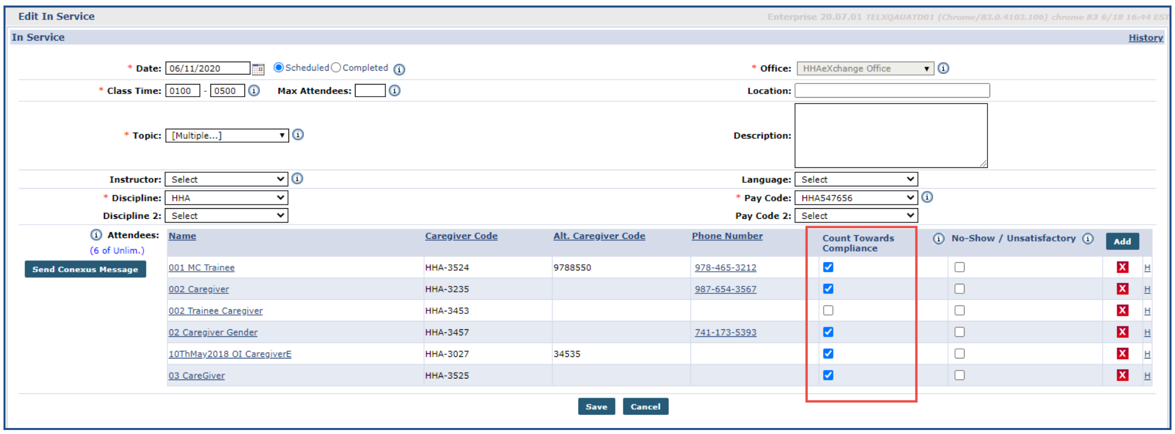
Office Level: In Service Topics

The Search Results populate directly underneath. The same instructions (as stated above) apply here. Select the In Service Topic (link) and select/deselect the **Count Towards Compliance** checkbox, as applicable.

In Service Classes

The **Count Towards Compliance** setting can also be managed when creating or editing an In Service class. Navigate to ***Action > In Service >Search*** and select the applicable In Service Class.

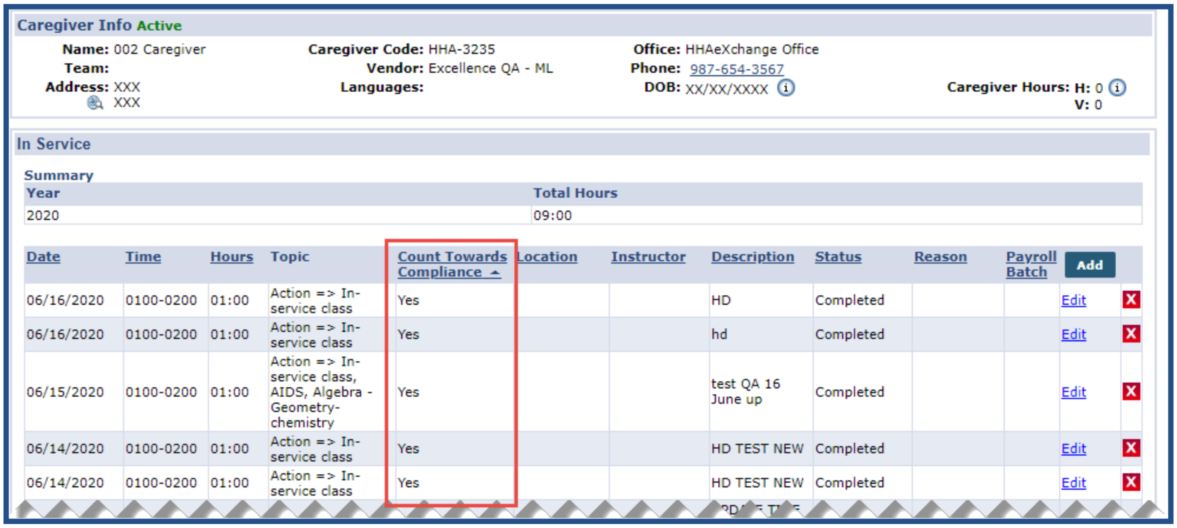
On the *Edit In Service* window, the **Count Towards Compliance** checkbox can be selected/deselected for enrolled Caregivers, as seen in the following image.



Edit In Service: Count Towards Compliance

Caregiver In Service Page

To view In Service Compliance information for a particular Caregiver, navigate to the *Caregiver In Service* page (***Caregiver > In Service***). A sortable **Count Towards Compliance** column has been added as a visual aid, as illustrated in the following image.

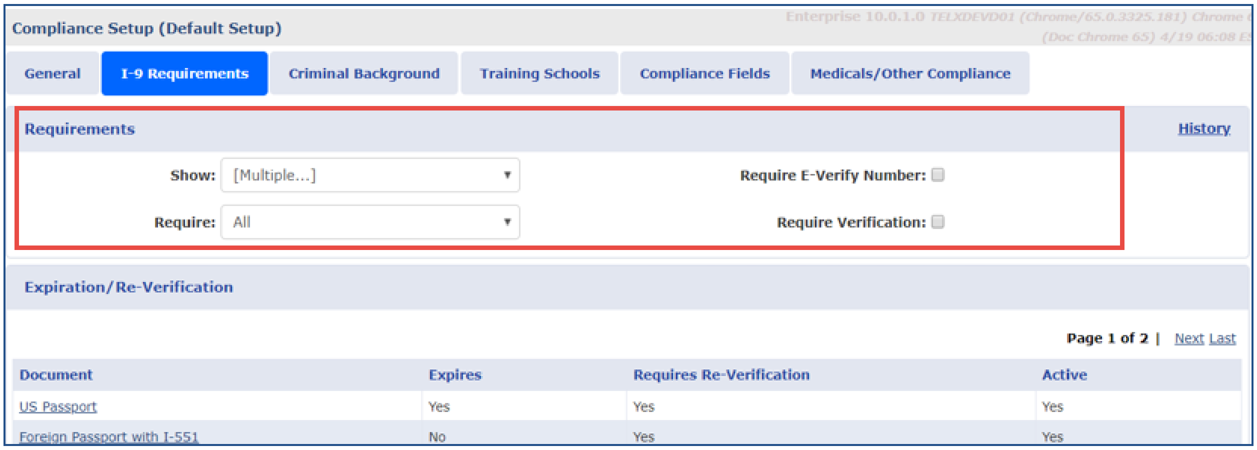


Caregiver In Service: Count Towards Compliance Column

Compliance Setup: I-9 Requirements Tab

Select the **I-9 Requirements** tab to create an I-9 Compliance Setup. Unlike other compliance areas, I-9 requirements are dictated by the Federal government; therefore, these the values and rules are pre-defined. In the HHAX system, users have the option to specify if a given I-9 document expires and/or requires re-verification (like the functionality currently controlling I-9 requirements).

This tab includes a *Requirements* section and an *Expiration/Re-Verification* section.



I-9 Requirements Tab

Show vs Required in the Requirements Section

The **I-9 Requirements, Criminal Background,** and **Training School** tabs allow users to specify whether that specific section of compliance either ***Shows*** and if so, whether it is ***Required*** for a given set of Caregiver Disciplines.

- If a Discipline is set to **Show** in a compliance section, that section displays on the Caregiver Compliance page. Associated information can be captured in the compliance section; however, it is not used in their compliance calculation unless it is also set to Required.
- Once a Discipline is set to **Show** in a compliance section, one can specify (in the **Required** drop-down) if that Discipline needs to meet the compliance requirements of the section to remain compliant.

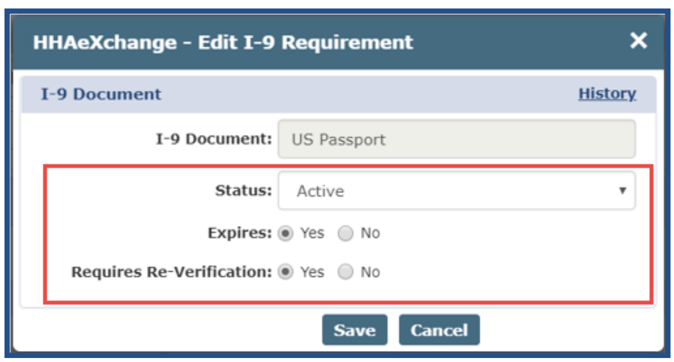
Agencies have the option to specify whether an **E-Verify Number** and/or **Verification** is required for compliance purposes.

Expiration/Re-Verification Section

The **Expiration/Re-Verification** section provides a list of values to include **Document** (type), **Expiration** (Yes/No), **Requires Re-Verification** (Yes/No) and the **Active** (enable/disable a value). The document types/values are preloaded based on federal regulations. Agencies cannot rename values; however, Agencies have the option to specify expiration requirements.

Complete the steps below to edit value requirements in this section.

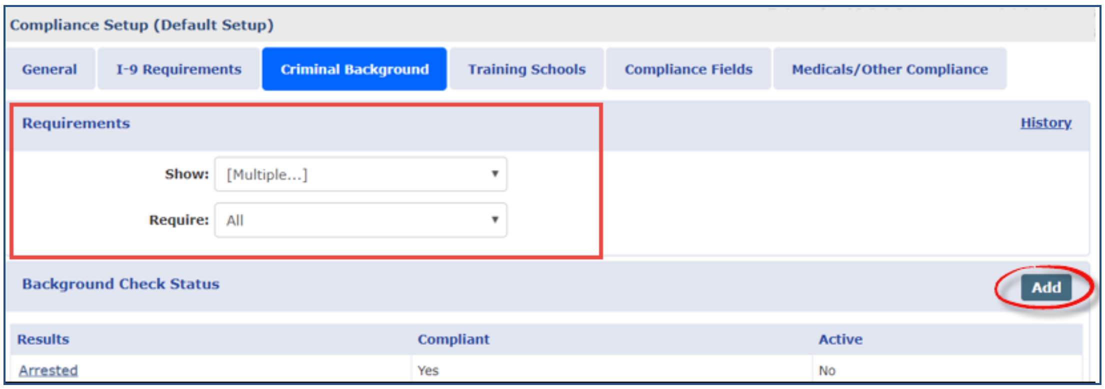
<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Click on the Document title.

</td></tr>
<tr><td>2</td><td>The HHAeXchange - Edit I-9 Requirement window opens. The fields available to edit are the Status as well as whether the requirement Expires and/or Requires Re-Verification. The I-9 Document title is unavailable to edit (as illustrated on the image).


Editing Requirements
<table>
<tr><th>Field</th><th>Description</th></tr>
<tr><td>Status</td><td>The status of the I-9 document for the specific Compliance Setup. By default, the status for all I-9 items is set to Active.</td></tr>
<tr><td>Expires</td><td>Select the Yes or No radio-buttons as desired. If Yes is selected, users must enter a value for the I-9 Document Expiration field on the Caregiver Compliance page.</td></tr>
<tr><td>Requires Re-Verification</td><td>Select the Yes or No radio-buttons as desired. If Yes is selected, the Caregiver changes to Non-Compliant if the current date exceeds the entered I-9 Document Expiration value on the Caregiver Compliance page.</td></tr>
</table></td></tr>
<tr><td>3</td><td>Click the Save button to save requirements.</td></tr>
</table>

Compliance Setup: Criminal Background Tab

Select the **Criminal Background** tab to set values for the selected Compliance Setup. There are no additional rules which may be set for Criminal Background.

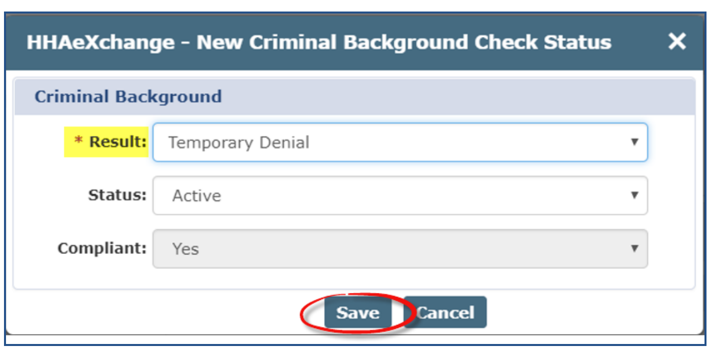


Criminal Background Tab

Refer to the ***Show vs Required in the Requirements*** (previously covered) for a description of how to select by Caregiver Discipline.

In the *Background Check Status* section, the previously created results values appear with the corresponding information under the **Compliant** and **Active** columns. To add a Criminal Background Result value, click the ***Add*** button (as indicated in the image above).

The *HHAeXchange – New Criminal Background Check Status* window opens. Complete the fields as indicated. The **Result** field is required (as seen in the following image).



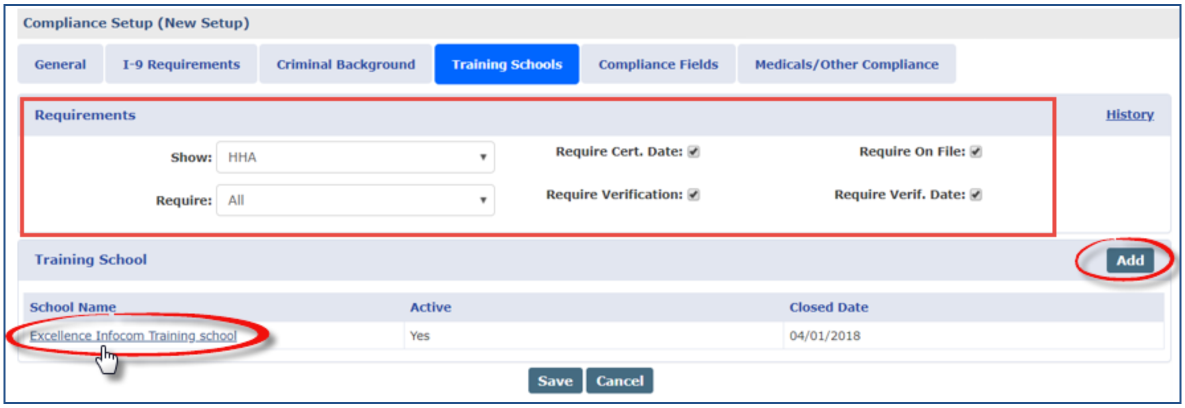
Creating a New Criminal Background Check Status

To edit a Criminal Background Check Status value, click on the named value (hyperlink).

Review the selected values for the Criminal Background check to ensure there is at least one "compliant" value entered. Upon saving on the Compliance Setup, Criminal Background tab, the system validates if there is at least one "Active" compliant value. If not, the system issues a validation warning. Note that the warning does not stop one from saving and to proceed without an active “compliant” value for this section.

Compliance Setup: Training Schools Tab

The **Training Schools** tab is used to set values for the selected Compliance Setup. From here, determine whether the below-listed fields are required for compliance when entering a training school record on the Caregiver Compliance page: **Certification Date**, **On File**, **Verification**, and **Verification Date**.

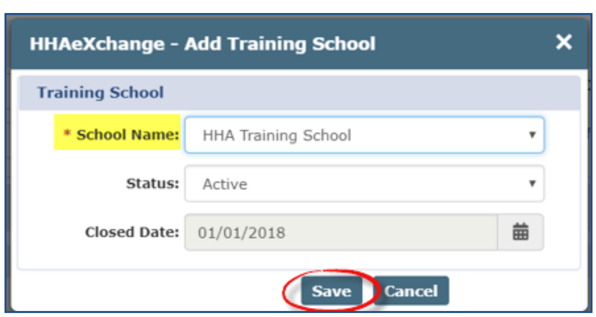


Training Schools Tab

Refer to the ***Show vs Required in the Requirements*** (previously covered) for a description of how to select by Caregiver Discipline. Select checkboxes to require **Cert Date**, **On File**, **Verification**, and **Verification Date**.

In the Training School section, a list of created Training School records displays in columns to include the **School Name**, **Status** (Active/Inactive) and **Closed Date**. To add a Training School created in the Compliance Item Manager), click the ***Add*** button (as illustrated in the image above).

The *HHAeXchange – Add Training School* window opens. Complete the fields as indicated. The **School Name** field is required (as seen in the image below). Select from the list of Training Schools as created in the Item Manager.



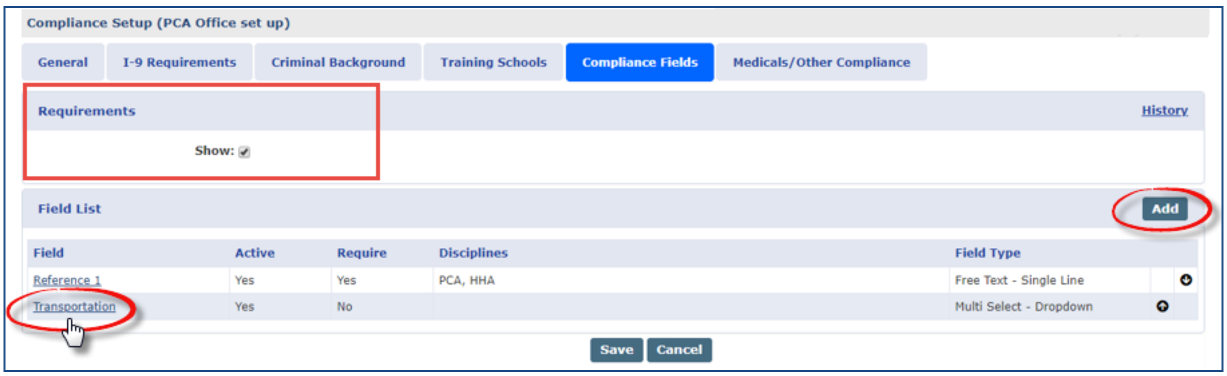
Adding a Training School

To edit a Training School value, click on the School Name (hyperlink) under the Training Schools section.

Compliance Setup: Compliance Fields Tab

The **Compliance Fields** tab is used to set the custom fields for the selected Compliance Setup. Unlike the other compliance sections, where users define the fields which **Show** and/or are **Required** (per Discipline) to remain compliant, Compliance Fields are configured on a field by field basis.

For example, if an Agency wants to capture the Professional License Number for Skilled Disciplines, a "Professional License Number" Compliance Field is created via the Item Manager, then added to a Compliance Setup. When applying the field to the Compliance Setup, the user then has the option to select which Disciplines the field is required for.



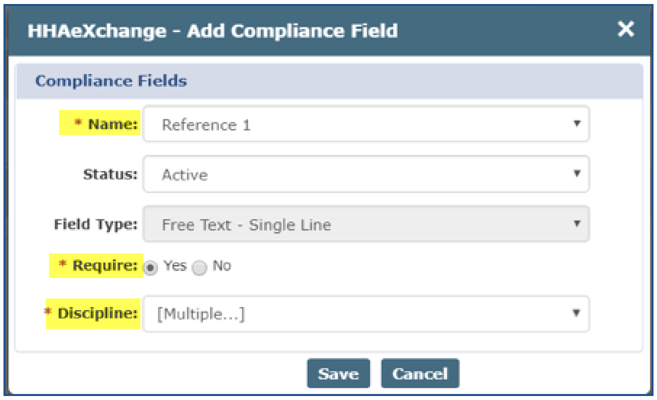
Compliance Fields Tab

The *Requirements* section only has the **Show** checkbox; unlike other Compliance sections. When the **Show** checkbox is selected, all added Compliance Fields for the given Compliance Setup show for all Disciplines. Fields are then set as Required for specific Disciplines. If not selected, no custom field section displays on the Caregiver Compliance profile.

Under the *Field List* section, the custom field records are listed with respective information in columns to include **Field**, **Active**, **Require**, **Disciplines**, and **Field Type**. Up/Down sort arrows allow users to place these fields in appearance order on the Caregiver Compliance page.

To add a New Compliance Field, click the ***Add*** button (as illustrated in the image above).

The *HHAeXchange – Add Compliance Field* window opens. Complete the fields as described in the table under the following image.



Adding a Compliance Field

Note: *Once a Record is saved, only certain values can be edited; the* ***Field Name*** *cannot be edited.*

Field	Description
Name	Select the name of the custom Compliance Field from the list of fields created in the Compliance Item Manager.
Status	The status of the field. By default, the status is set to **Active**.
Field Type	Select the Field Type for the dropdown menu (refer to the Item Manager). Depending on the selection, other fields may be required or customized as needed. ***Note:*** *If a Compliance Field is set as either a Single-Select or Multi-Select dropdown, then one must add values once it is taken into the Compliance Setup.*
Require	Select the **Yes** or **No** radio-buttons as desired. • If **Yes** is selected, it is required for selected Disciplines. If Discipline is not selected, the field continues to show on page. • If **No** is selected, the field displays on the page, but not required for any Discipline. The Discipline selection is hidden.
Discipline	Select all applicable Disciplines listed in the system. If Discipline is not selected, the field continues to display on the page.

"Accepted Selection" Validations

An "Accepted Selection" may be required for certain **Compliance Fields** for the system to properly calculate Caregiver Compliance. If a Single-Select or Multi-Select field is set to "Required", then at least one value must be designated as the "Accepted Selection".

If no "Accepted Selection" is detected, then the system issues a validation error prompting one to define an Accepted Selection. An "Accepted Selection" must be defined to save the Single-Select or Multi-Select field designated as "Required" and "Active".

Compliance Setup: Medicals/Other Compliance Tab

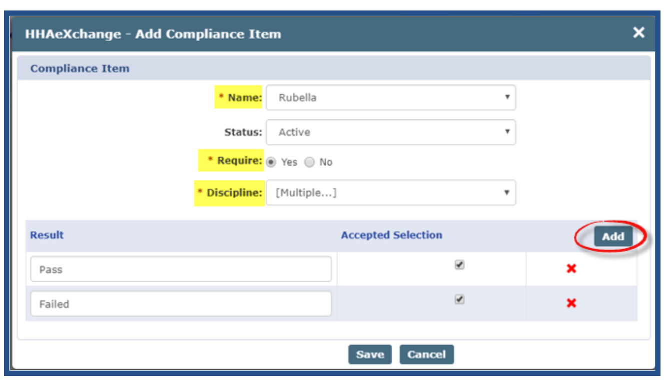
Tip: You can press **Ctrl-F** on your keyboard to search this topic.

The **Medicals/Other Compliance** tab is used to set the Medicals and Other Compliance Items for the selected Compliance Setup. Like the Compliance Fields, this compliance section displays and requires Compliance Items on a discipline-by-discipline basis.

The Medicals/Other Compliance Tab

In the *Compliance Items* section, a list of compliance items is displayed with respective information in columns to include **Item**, **Active**, **Require**, and **Disciplines**. To add a New Medical/Other Compliance Field, click the ***Add*** button (as illustrated in the image above).

The *HHAeXchange – Add Compliance Item* window opens. Complete the fields as described in the table below.



Adding a Compliance Item

Note: *Once a Record is saved, only certain values can be edited; the **Field Name** cannot be edited.*

Field	Description
Name	Select the Name of the Compliance Item, populated from the Item Manager.
Status	The status of the field. By default, the status is set to **Active**.

Field	Description
Require	Select the **Yes** or **No** radio-buttons to specify if the item is required to meet compliance. • If **Yes** is selected, it is required for selected Disciplines. If Discipline is not selected, the field continues to show on page. • If **No** is selected, the field displays on the page, but not required for any Discipline. The Discipline selection is hidden.
Discipline	Select all applicable Disciplines listed in the system which should be validated for this Compliance Field. If Discipline is not selected, the field continues to display on the page.
Result	Create/Enter **Results** to specify whether compliance is met in the open text fields. For example, **Pass** or **Fail**. For each Result entered, indicate the **Accepted Selection**.

Editing a Compliance Item

As with other tabs, **Medical/Other Compliance** Fields can be edited via the Compliance Setup functionality. To edit an item, click on the item Name (link) and edit information as needed.

"Accepted Selection" Validation

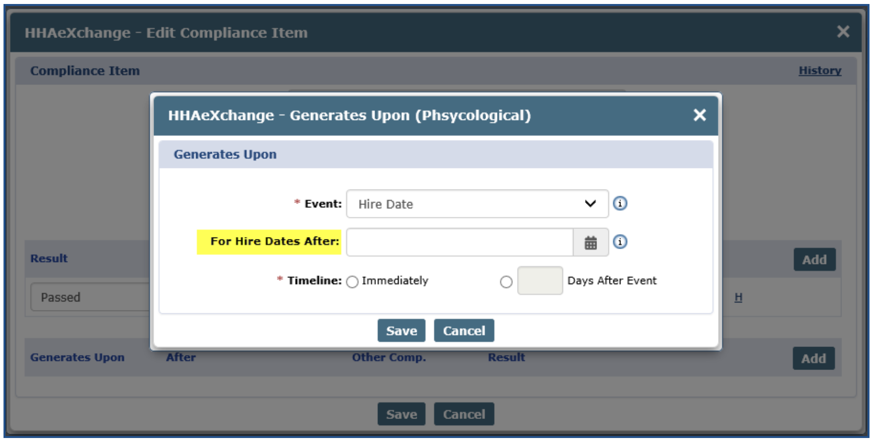
An "Accepted Selection" may be required for certain **Medicals/Other Compliance Items** for the system to properly calculate Caregiver Compliance. If a Single-Select or Multi-Select field is set to "Required", then at least one value must be designated as the "Accepted Selection".

If no "Accepted Selection" is detected, then the system issues a validation error prompting one to define an Accepted Selection. An "Accepted Selection" must be defined to save the Single-Select or Multi-Select field designated as "Required" and "Active".

For Hire Dates After Field

When the *Generates Upon* function (***Admin > Search Compliance > Compliance Item > Add***) has *Hire Date* selected under the **Event** field, an added **For Hire Dates After** field becomes available to set a date for new medicals to automatically generate based on the Caregiver hire date.

For example, if a Caregiver's Hire Date is 01/28/2018, and the **For Hire Dates After** is set for 01/12/2018, then the Medical is automatically generated. If the **For Hire Dates After** is set for 01/30/2019, then the Medical is not automatically generated.

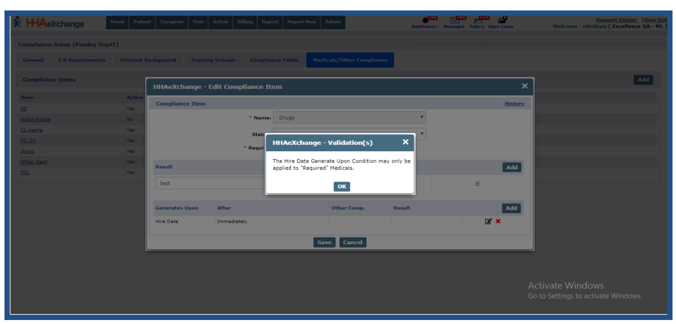


Caregiver Compliance Item: Generates Upon Settings

Hire Date Required Discipline Enhancement

The *Hire Date Generates Upon* condition creates records for only those Caregivers with the selected **Discipline** field. If a new value is selected in the **Discipline** field for a Caregiver, then the system applies Medical/Other Compliance records for the newly defined Discipline upon publishing the Compliance Setup. If the value is unselected for the **Discipline** field, then the previously added Medical/Other Compliance record is not affected.

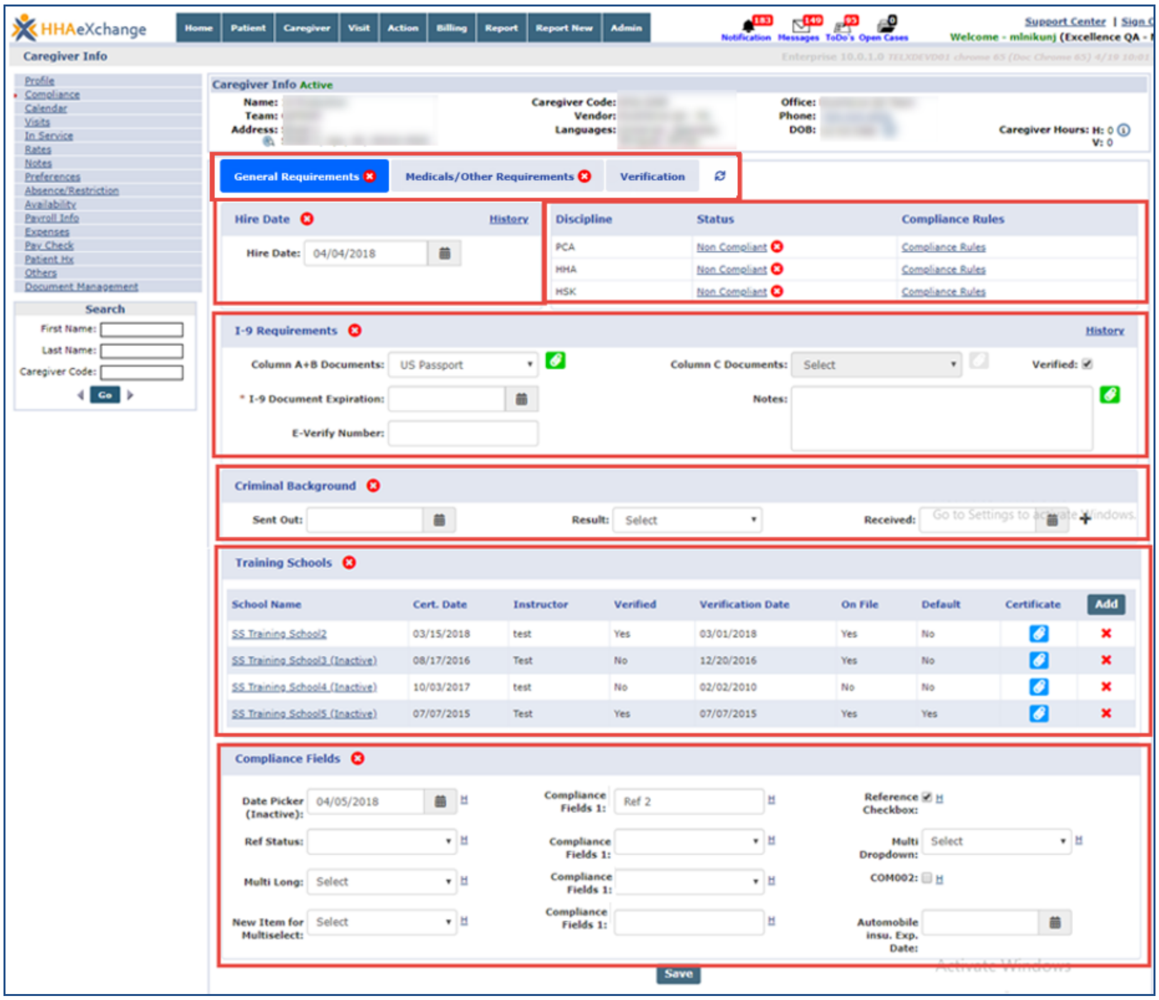
If a *Hire Date Generates Upon* condition is entered for a Medical/Other Compliance item that is not required, then the system does not generate any records for any Caregiver, existing or new. If a Hire Date is entered without an added required Discipline(s), then a validation message populates when saved (as seen in the image to the right).



Caregiver Compliance: General Requirements Tab

Tip: You can press **Ctrl-F** on your keyboard to search this topic.

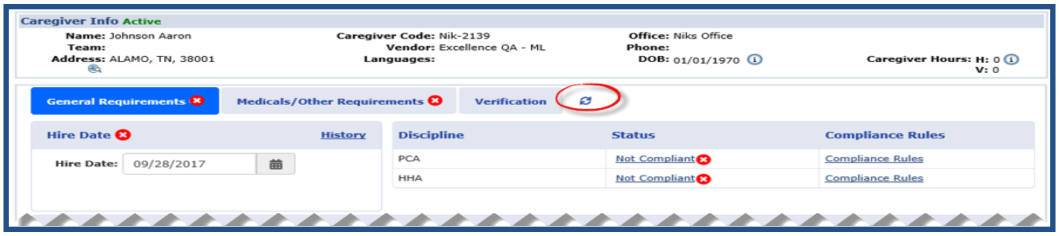
Under the *General Requirements* tab, there are 6 sections to include *Hire Date*, *Discipline/Status*, *I-9 Requirements*, *Criminal Background*, *Training Schools*, and *Compliance Fields*. The **Hire Date** and **Discipline Status** sections are standard on the page; however, the other sections must be set to ***Show*** in the Compliance Setup to be displayed on the page. The following pages cover each of these components.



Caregiver Compliance Page

Refresh Button

A Caregiver's Compliance page can be manually refreshed to see whether compliance requirements have been met for a specific section. Click the ***refresh*** icon (to the right of the Verification tab, as illustrated below) to refresh all tabs on the Caregiver Compliance page.



Caregiver Compliance Page: Refresh

The ***refresh*** button refreshes the page once the recalculation process is complete. In most cases, this process completes within seconds; however, recalculation may take several minutes depending on the pending tasks on the Process Monitor.

Hire Date Section

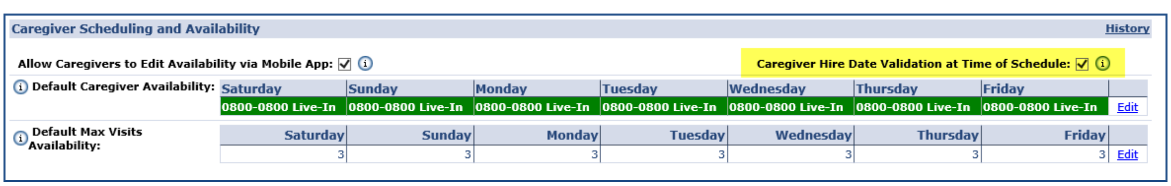
At the top-left of the page, a static **Hire Date** field is displayed (a default compliance requirement for all Caregivers). The **Hire Date** field is a required field for all Caregiver Compliance and can only be edited on the *General Requirements* tab.

Hire Date Section

Note: *Refer to the* *Hire Date as Required Field for Caregiver Applicant/Employee Compliance* *section featuring Applicant Type Caregivers.*

Medical and **Other Compliance** items generated via the Hire Date only consider the initial value entered in this field. If the Hire Date is edited, the system alerts the user that the Caregiver's Compliance Requirements have already been calculated based on the initial Hire Date. Saving a new Hire Date does not change the Caregiver's Compliance Requirements. Changes to existing Medical and Other Compliance items must be managed manually.

Scheduling logic is based on the "Caregiver Hire Date Validation at Time of Schedule" checkbox on the **Agency Profile** page under the Caregiver Scheduling and Availability section (as illustrated in the image below).



Agency Profile: Caregiver Hire Date Validation for Scheduling Checkbox

If a Caregiver's Hire Date is edited, the system validates whether the new date conflicts with any *Scheduled*, *Confirmed*, or *Billed Visits*, as follows:

- If the edited Hire Date conflicts with **Billed Visits**, then the system issues an error message and does not allow the value to be changed.
- If the edited Hire Date conflicts with **Scheduled/Confirmed Visits**, the system issues an alert warning the user that saving the entered date removes the Caregiver from these Visits. Select **Yes** to save the new Hire Date or **No** to remove the edited value and reinstate the existing Hire Date.

Discipline Status and Compliance Rules Section

The **Discipline Status and Compliance Rules** section (to the right of the Hire Date section) is illustrated in the image below. The Caregiver's Disciplines are listed, each one with a unique compliance Status.

Caregiver Compliance Page: Discipline Status and Compliance Rules Section

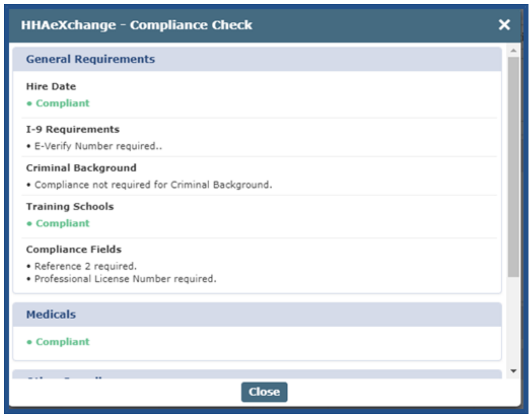
Status

Under the **Status** column, click the Compliant (with a Green check) or Not Compliant hyperlinks (with a Red X icon) to view a Caregiver's current Compliance Status by Discipline (as illustrated in the image below). A Caregiver is displayed as Non-Compliant if at least one rule is not compliant for the selected Discipline. **Compliance Rules** links are available as reference, listing rules and requirements by Discipline.

Click the Compliance **Status** link to view the rule(s) and requirement(s) for the Discipline. The **Compliance Check** window opens displaying the Caregiver's Compliance Status in three main sections and corresponding subsections as noted in the following table.

Section	Subsections
General Requirements	Hire Date, I-9 Requirements, Criminal Background, Training Schools, Compliance Fields.
Medicals	*Active* Medicals in the Compliance Setup
Other Compliance	Each additional *Active* compliance item (Other Compliance) in the Compliance Setup.

If a Caregiver is compliant, a green "**Compliant**" label is displayed in a given subsection. If not Compliant, then the Compliance Rule is displayed in bullet form, listing what is yet to be fulfilled (such as "I-9 must be verified"); as seen on the following image.



Caregiver Compliance Check Window

Subsections not set to show in the Compliance Setup do not appear in the Compliance Check window. Subsections set to show but are not required in the Compliance Setup read as follows: "Compliance not required for [section]."

The Training Schools subsection simply states whether the Caregiver is compliant or not (with no additional requirements listed).

Required Medicals which have been manually entered with no "Generate Upon" conditions state: "[Medical] must be completed with Accepted Selection prior to due date."

Required Medicals, whether automatically or manually entered (if past due date with no entry), state "[Medical] is overdue." In these cases, (if saved without an "Accepted Selection"), the Compliance Check states: "Selected [Medical] result is not an Accepted Selection."

Compliance Rules

Click on the **Compliance Rules** hyperlinks (under the Compliance Rules column) to view a Caregiver's current Compliance Rules by Discipline (as illustrated in the following image).

Caregiver Compliance Page: Compliance Rules

The *Compliance Rules* window opens displaying the Caregiver's Compliance Rules in four main sections and corresponding subsections as noted in the following table. This window displays only the rules set to *Show* at the Compliance Setup level.

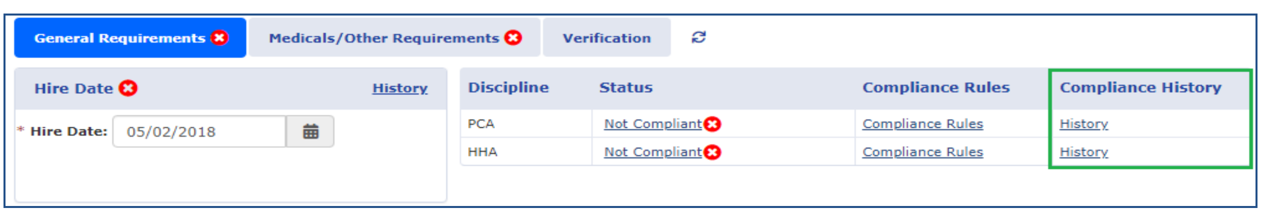
Compliance Rules Window

If a section is set to *Show* but not Required for a given Compliance Setup, then the rule displays the section in the Compliance Rules with the message stating: "Compliance not required for [section]."

Section	Subsections
General Requirements	Hire Date, I-9 Requirements, Criminal Background, Training Schools, Compliance Fields.
Medicals	*Active* Medicals in the Compliance Setup
Other Compliance	Each additional *Active* compliance item (Other Compliance) in the Compliance Setup.
In-Service	Indicates whether In-Service is required or not.

Caregiver Compliance History Column

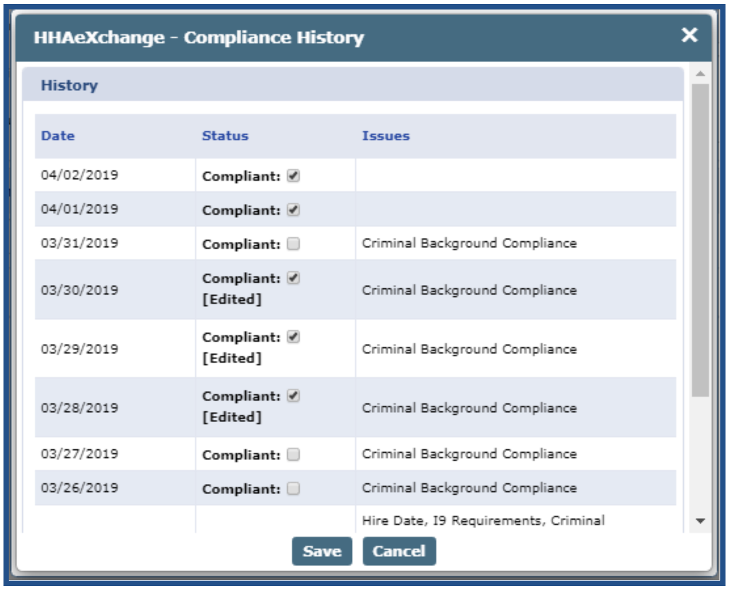
Use the **Compliance History** column (as illustrated in the image below) to view and update a Caregiver's Compliance Status for a specific Discipline. Click on the History link to open the Compliance History for the corresponding Discipline.



Caregiver Compliance Page: History Column

On the *Compliance History* window, the **Date**, **Status**, and **Issues** columns are displayed, as shown in the following image and described in the table below. This window provides 6 months of the Caregiver's

Compliance History for the selected Discipline; where users can edit information for the last 6 months. Click ***Save*** to save updates.



Compliance History Window

Note: *Permission to edit information on this window is role-based. Refer to Permissions section.*

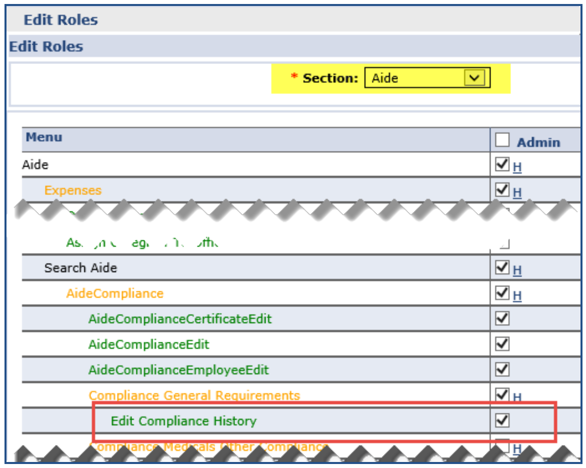
Field	Description
Date	Caregiver Compliance date
Status	Provides the status of Compliance for the line item on respective date.
Issues	Provides the reason for Non-Compliance for the line item.

Once saved, the compliance line item indicates **[Edited]** on the *Compliance History* window. In turn, Visits which fall under the specified date(s) is evaluated on the Prebilling Review under the **Caregiver Compliance** problem.

Permission to Edit Compliance History

This feature is enabled by HHAX by default for all Providers on the New Caregiver Compliance environment. To enable this permission for specific roles, navigate to ***Admin > User Management > Edit Roles***. On the **Section** field select *Aide* and select the applicable roles from the **Roles** dropdown. Under the Search Aide sub-section, select the **Edit Compliance History** permission.

This permission allows users under a specified Role to update and save information on the Compliance History window; otherwise the user can only view information and close the window.



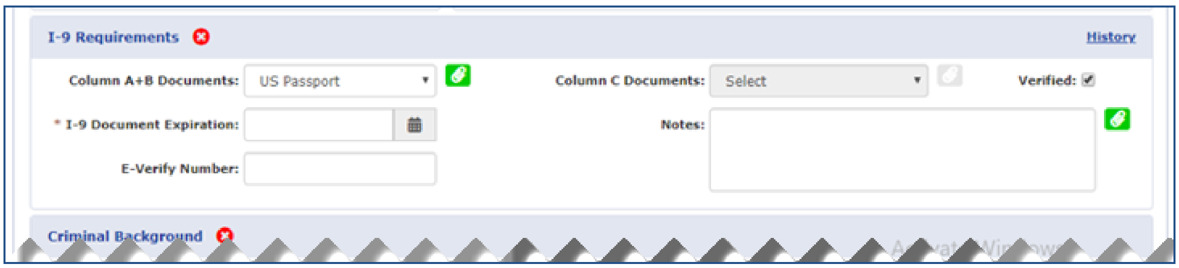
Edit Compliance History Permission

I-9 Requirements Section

I-9 items marked as required on the **Compliance Setup** page are not required to save the **General Requirements** page; therefore, designating I-9 items as required means they are required for compliance as set at the Compliance Setup level.

- If a selected I-9 Requirement is set to expire, then the **I-9 Document Expiration** field is required to save the selected value.
- If the **E-Verify Number** is selected on the Compliance Setup, then it is required for compliance. Same applies to **Require Verification**.

Values do not have to be entered to save data on the Caregiver Compliance page.



I-9 Requirements on the Caregiver Compliance Page

I-9 Document values are hard-coded into the system based on federal requirements (Column A, B, and C documents).

Column A	Column B	Column C
If a **Column A** document is selected, users will not have to enter a Column C document for compliance.	If a **Column B** document is selected, then users must enter a Column C Document for compliance.	Only required if a Column B document is selected, then users need to enter a value for the Column C Documents field to save the page.

Users may edit whether each document expires and/or requires re-verification. Supporting documents can be loaded using the paperclip icons. Green icons indicate that a document is loaded on the section.

If a document is set to **Expire**, a value must be entered for the I-9 Document Expiration field on the Caregiver Compliance page to save the selection. If a document is set to **Require Re-Verification**, the Caregiver will no longer be compliant after the set value for the I-9 Document Expiration field has passed.

Criminal Background Section

In the **Criminal Background** section items appear as a single row for a cleaner look. To accommodate additional Criminal Background checks, click the “+” to the right of the row to add a new row and complete the pertinent fields (**Sent Out**, **Result**, and **Received**).

Criminal Background on the Caregiver Compliance Page

- If an additional row has been created in error or no longer applicable, each row contains a "-" (minus) to remove.
- If values have been entered for the row, the system alerts with a confirmation message to ensure the user wants to remove the row.
- The “- “(minus) icon displays for unsaved rows only; if the item is saved in the database, then the delete icon does not display. If all values are removed from any row, the system automatically deletes that row.

Next to **Result** dropdown, once a selection is made, a paperclip icon becomes available allowing document attachment.

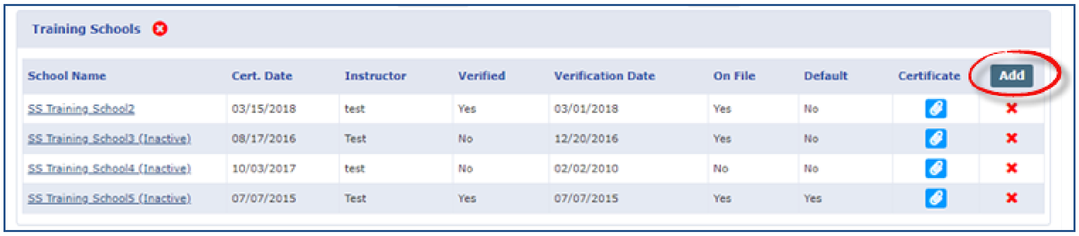
If the Criminal Background is set to “required” for a specific Caregiver Discipline, then all Caregivers under said Discipline within the same linked office in the Compliance Setup must follow the set rules to be and remain compliant. When an **Accepted Compliant** value is entered for the **Result** field, the Caregiver is compliant.

Values are not required for the **Sent Out** and **Received** fields. If values are entered for these fields, ensure that the **Sent Out** (date) value is prior to the **Received** (date) value; otherwise, the system issues a validation alert prompting correction.

Training School Section

If the **Training School** is set as “required” for a specific Caregiver Discipline, then all Caregivers under said Discipline within the same office in the Compliance Setup must follow the set rules to be and remain compliant.

In this section, each line item provides the following information **School Name**, **Certification Date**, **Instructor**, **Verified**, **Verification Date**, **On File**, **Default**, **Certificate** (attachment) and **Delete** function (if/as needed).



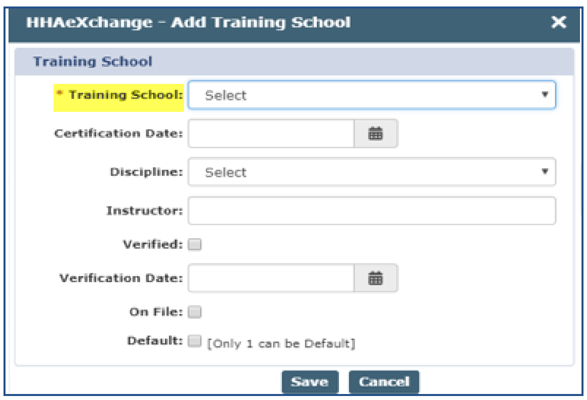
Training Schools

School Name	Cert. Date	Instructor	Verified	Verification Date	On File	Default	Certificate	Add
SS Training School2	03/15/2018	test	Yes	03/01/2018	Yes	No		
SS Training School3 (Inactive)	08/17/2016	Test	No	12/20/2016	Yes	No		
SS Training School4 (Inactive)	10/03/2017	test	No	02/02/2010	No	No		
SS Training School5 (Inactive)	07/07/2015	Test	Yes	07/07/2015	Yes	Yes		

Training Schools on Caregiver Compliance Page

To attach a certificate, click the paperclip icon to upload as prompted. To add a Training School record for a Caregiver, click the ***Add*** button. Duplicate Training School records cannot be duplicated.

The *HHAeXchange – Add Training School* window opens. Complete the fields as prompted. The only required field is the Training School which is selected from the Compliance Item Manager list.



Adding a Training School: Caregiver Compliance Page

If the selected Training School is Closed, ensure that the Certification Date is prior to the set Closed Date; otherwise, the Caregiver is not compliant. The Closed Date cannot be prior to the Caregiver's Hire Date.

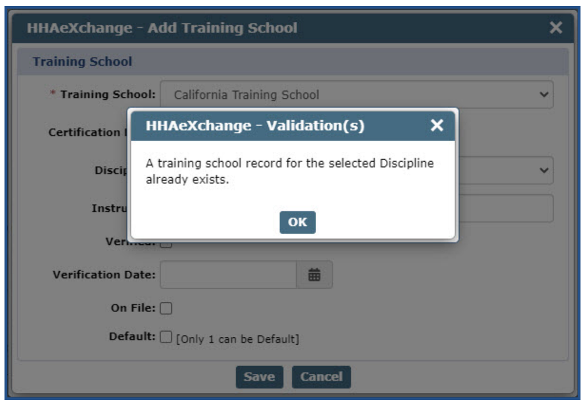
The selected Discipline for the Training School record does not need to match the Caregiver's Discipline. A single Training School record must fulfill all requirements set on Compliance Setup for the Caregiver to be compliant.

Apply Training School Records for Multiple Disciplines

Multiple Training School records for the same Training School can be added for a given Caregiver, for certifications in various Disciplines. Refer to the **Discipline** column in the Training Schools section displaying the applicable Discipline (as seen in the following image).

Caregiver Compliance: Training Schools

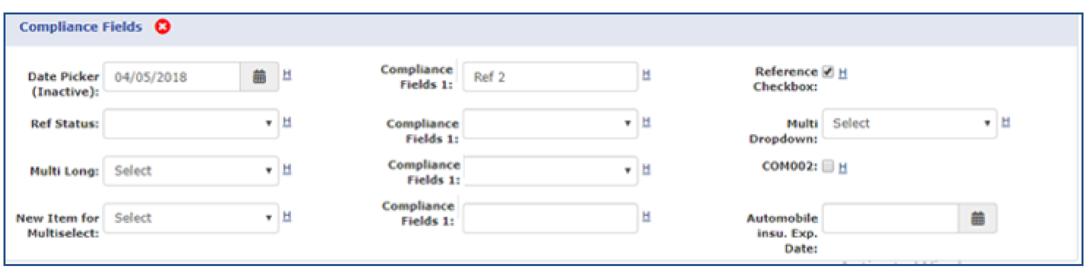
If an overlapping Training School record is entered with an existing Discipline for the same Training School (duplicate record), then the system issues a validation message (illustrated in the following image).



Validation: Training School Record for Discipline Exists

Compliance (Custom) Fields Section

If a **Compliance Field** is set as "required" for a specific Caregiver Discipline, then all Caregivers under said Discipline within the same linked office in the Compliance Setup must follow the set rules to be and remain compliant.

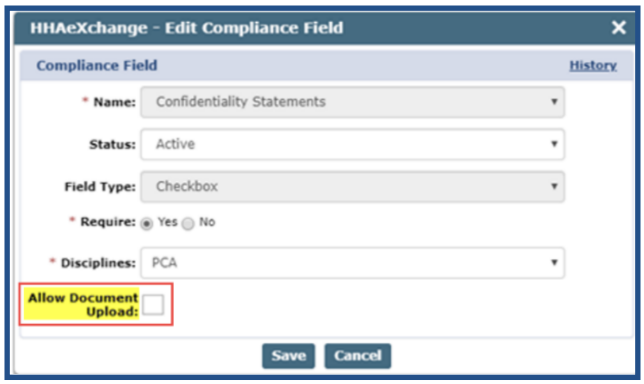


Compliance Fields: Caregiver Compliance Page

Document Upload for Custom Compliance Fields

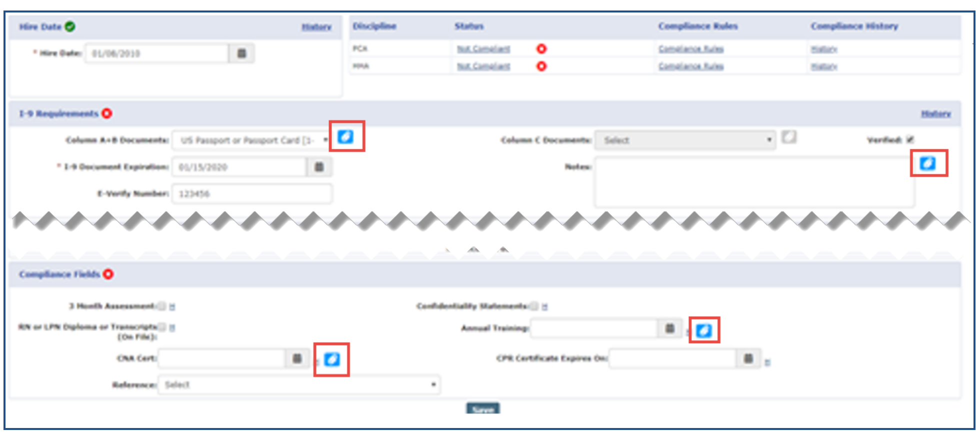
Providers can set up fields allowing document uploads (such as Caregiver References) in any of the **Custom Compliance** fields. Navigate to the *Compliance Setup* (***Admin > Compliance Setup > Search Setup > Compliance Fields*** tab) and the *Item Manager* (***Admin > Compliance Setup > Item Manager >Compliance Fields*** tab).

Select the **Allow Document Upload** checkbox in the *(New/Edit) Compliance Field* windows to allow the upload of supporting documents to specific compliance fields.



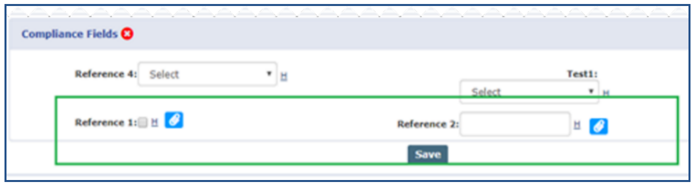
Compliance Field: Allow Document Upload Option

Once the **Allow Document Upload** is selected for a Compliance Field, a blue paperclip icon appears in the *Caregiver Compliance* page (***Caregiver > Compliance***), as seen in the following image.



Caregiver Compliance Page: Document Upload

The **Reference 1** and **Reference 2** fields in the *Caregiver Compliance* page have the upload (paperclip icon) to allow document upload.


Compliance Fields
Reference 4:
Select
Test1:
Select
Reference 1:
Reference 2:
Save

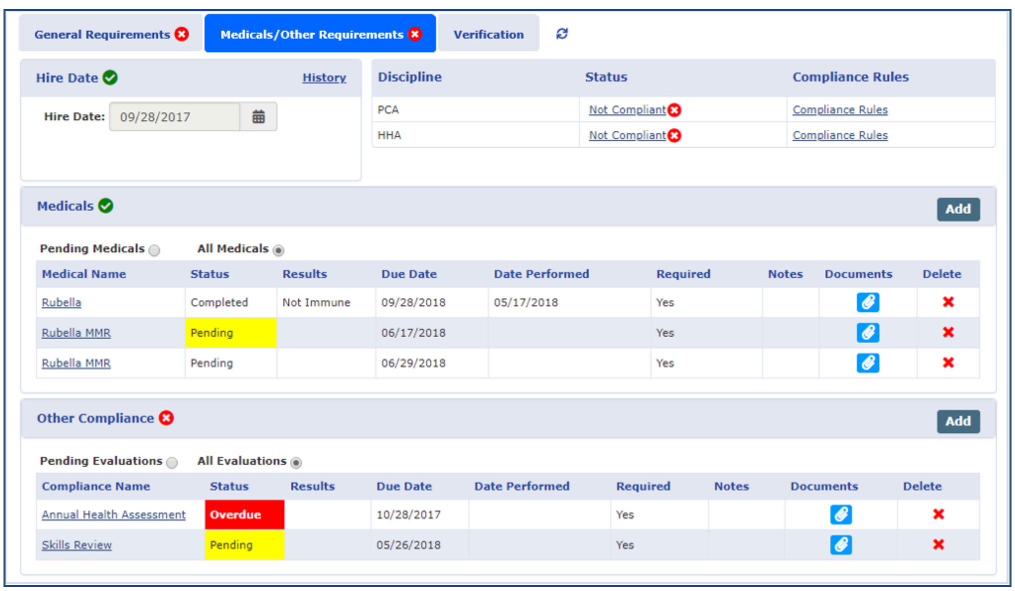
Caregiver Compliance: Medicals/Other Requirements Tab

Tip: You can press **Ctrl-F** on your keyboard to search this topic.

The **Medicals/Other Compliance** tab is located on the updated Caregiver Compliance page (**Caregiver > Compliance**).

Under the *Medicals/Other Compliance* tab, there are 4 sections to include *Hire Date*, *Discipline/Status*, *Medicals*, and *Other Compliance*. As with the General Requirements, the **Hire Date** and **Discipline Status** sections are standard on the page; however, the other sections must be set to ***Show*** in the Compliance Setup to be displayed on the page. The following pages cover each of these components.

From the **Medicals/Other Requirements** tab, a user can view rules and determine necessary updates. Rules that expire need updating based on regular Compliance requirements as determined in the Compliance Setup. Under the Status column, items highlighted in Yellow indicate a *Pending* status which means that the item is within 30 days of due date. Items highlighted in Red indicate that the item is *Overdue* and that the Caregiver is no longer Compliant for that Medical or Compliance Item (as illustrated in the image below).



Caregiver Compliance Page: Medicals/Other Requirements Tab

Aide Compliance Permissions

The **Aide Compliance** permissions (***Admin > User Management***) control access to the **Caregiver > Compliance page** while permissions for **Compliance General Requirements** and **Compliance Medicals Other**

Compliance control access to the separate tabs. The remaining permissions control the ability to add/edit/delete medicals and Other Compliance items.

Under the **Aide Compliance** category, several permissions control access to Caregiver Compliance functionality, as follows:

Aide Compliance (Permissions)		
Tabs	**Permissions**	
Compliance General Requirements	• Edit Compliance History	
Compliance Medicals Other Compliance	• Add Medical • Add Medical Date Performed • Add Medical Result • Edit Medical Name • Edit Medical Due Date • Edit Medical Date Performed • Edit Medical Result	• Delete Medical • Add Other Compliance • Edit Other Compliance Item • Edit Other Compliance Due Date • Edit Other Compliance Date Performed • Edit Other Compliance Result • Delete Other Compliance

Permission	Controls access to…
Compliance General Requirements	the Caregiver > Compliance > General Requirements tab as well as the ability to add and edit items on the tab.
Edit Compliance History	update and save information on the Compliance History window; otherwise the user can only view information and close the window.
Compliance Medicals Other Compliance	the Caregiver > Compliance > Medicals/Other Compliance tab
Add Medical	the "Add" function for Medicals on the Caregiver Compliance page. Users with this permission may only enter values for the "Medical Name" and "Due Date" fields.
Add Medical Date Performed	the "Date Performed" field when adding a medical.
Add Medical Result	the "Result" field when adding a medical.
Edit Medical Name	the "Medical Name" field when editing a medical.
Edit Medical Due Date	the "Due Date" field when editing a medical.
Edit Medical Date Performed	the "Date Performed" field when editing a medical.
Edit Medical Result	the "Result" field when editing a medical.
Delete Medical	the ability to delete a medical.
Add Other Compliance	the "Add" function for Other Compliance Items on the Caregiver Compliance page. Users with this permission may only enter values for the "Compliance Item" and "Due Date" fields.
Edit Other Compliance Item	the "Medical Name" field when editing a “Other Compliance Item.”

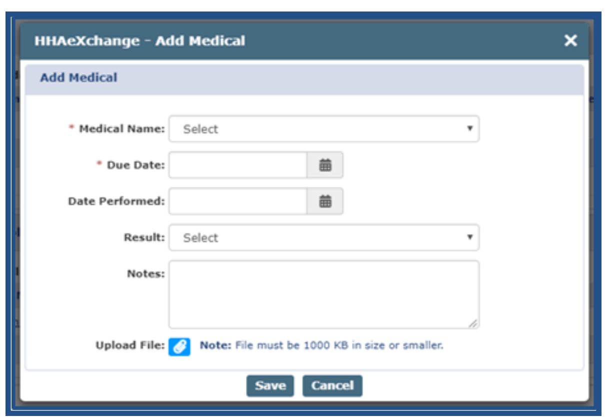
Permission	Controls access to…
Edit Other Compliance Due Date	the "Due Date" field when editing a "Other Compliance Item."
Edit Other Compliance Date Performed	the "Due Date" field when editing a "Other Compliance Item."
Edit Other Compliance Result	the "Result" field when editing a "Other Compliance Item."
Delete Medical	the ability to delete existing Medicals on the Caregiver Compliance page.
Delete Other Compliance Item	the ability to delete existing Compliance Items on the Caregiver Compliance page.
Edit Verification	edit Verification information (Exclusion and Verification Lists configured for the Agency).

Adding a Medical Requirement

Click the ***Add*** button in the Medicals section to manually apply a new Medical.

Adding a Medical to a Caregiver

Complete the necessary fields when the **Add Medical** window opens (as illustrated in the image below) and described in the table underneath. Fields denoted with a red asterisk are required.



Add Medical Window

Field	Description
Medical Name	Select a Medical from the list of Medicals configured for the associated Compliance

Field	Description
	Setup. Medical records may be duplicated.
Due Date	Specify the date when a Result is required for the Medical.
Date Performed	Specify the date when the Medical was performed.
Result	Select the Result for the dropdown menu.
Notes	Add applicable notes.
Upload File	Attach supporting documents.

Adding Other Compliance Requirement

Click the ***Add*** button in the Other Compliance section to manually apply a new Compliance Item. Complete the necessary fields when the Add Compliance Item window opens (as illustrated in the image below). Fields denoted with a red asterisk are required.

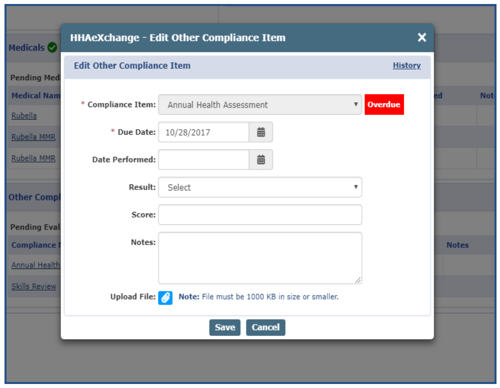
Adding Other Compliance to a Caregiver

Automatically Generated Medical Requirements

Medicals and **Other Compliance** items may be automatically generated based on the Compliance Setup and triggered by the Caregiver's Hire Date and the entered Results for another Medical or Other Compliance. Medicals and Other Compliance items which are automatically added via the Hire Date condition are only applied once for each Caregiver. If the Hire Date is changed or deleted, the system does not apply the automatically generated Medicals and Other Compliance items a second time.

Editing a Medical Requirement

To edit a *Medical* or *Other Compliance Item*, navigate to the Caregiver Compliance page (**Caregiver > Compliance > Medicals/Other Requirements** tab). When editing a Medical or Other Compliance Item (whether added automatically or manually), a **Result** value must be entered if a **Date Performed** has been entered or vice-versa to save the edit.



Edit Other Compliance Item Screen

Medicals are required for each Discipline on a medical-by-medical basis based on the Compliance Setup. Compliance is calculated based on whether a required Medical has the accepted selection (Results) entered for a given Caregiver.

Based on the Compliance Setup, if a required Medical is saved with a non-accepted Result, the Caregiver shows as Not Compliant. The same applies if a set Due Date for a given required Medical has passed but no Result values have been saved.

For recurring, automatically generated Medicals, a Caregiver is compliant if they have a record with an accepted selection on record and the Pending record is not passed the Due Date. Not required Medicals do not factor into the compliance calculation for a given Caregiver.

Medicals that are manually deleted are no longer calculated for that specific Caregiver’s Compliance. If a Medical is added back to the Caregiver Compliance page, and is required per the Compliance Setup, it is then calculated in the Caregiver Compliance.

Default Medicals

Medical / Compliance Item	Results / Required	Generates Upon
Rubeola	• Immune (Accepted Result) • Not Immune (Accepted Result) • Required Medical	• Immediately upon Hire Date
Rubeola MMR1	• Completed (Accepted Result) • Not Completed • Required Medical (if Rubeola = Not Immune)	• Immediately upon Rubeola saved with result Not Immune
Rubeola MMR2	• Completed (Accepted Result) • Not Completed	• 30 Days after Rubeola MMR1 saved with result Completed

Medical / Compliance Item	Results / Required	Generates Upon
	• Required Medical (If Rubeola = Not Immune)	
Rubella	• Immune (Accepted Result) • Not Immune (Accepted Result) • Required Medical	• Immediately upon Hire Date
Rubella MMR	• Completed (Accepted Result) • Not Completed • Required Medical (If Rubella = Not Immune)	• Immediately upon Rubella saved with result Not Immune
PPD/QFT *PPD and QFT are separate Medicals with the same Results/Conditions	• Positive (Accepted Result) • Negative (Accepted Result) • Required Medical	• Immediately upon Hire Date • 365 Days after PPD (QFT) saved with result Negative
Chest X-Ray	• Positive • Negative (Accepted Result) • Required Medical (If PPD/QFT = Positive)	• Immediately upon PPD saved with result Positive • Immediately upon QFT saved with result Positive
TB Screen	• Positive • Negative (Accepted Result) • Required Medical (If PPD/QFT = Positive)	• 365 Days after PPD saved with result Positive • 365 Days after QFT saved with result Positive • 365 Days after TB Screen saved with result Negative
Pre-employment Physical	• Completed (Accepted Result) • Not Completed	• Immediately upon Hire Date
Annual Health Assessment	• Completed (Accepted Result) • Not Completed	• 365 Days after Pre-Employment saved with result Completed
Drug Screen	• Passed (Accepted Result) • Failed	• Immediately upon Hire Date • 365 Days after Drug Screen saved with result Passed.
Hepatitis Step 2	• Completed (Accepted Result) • Not Complete	• [X Days] after Hepatitis saved with result Completed • Note: "[X Days]" is based on the value for Hep-B Step 2 Required After value in Medical Setup.
Hepatitis Step 3	• Completed (Accepted Result) • Not Complete	• [X Days] after Hepatitis 2 saved with result Completed • Note: "[X Days]" is based on the value for Hep-B Step 3 Required After value in Medical Setup.
Flu Vaccine / Face Mask	• Face Mask Received (Accepted Value)	• This medical can be configured from Admin CP; part of a future release

Medical / Compliance Item	Results / Required	Generates Upon
	• Vaccine Administered (Accepted Value) • Vaccine not Administered • Face Mask not Received	(Phase 3).

Delete Medicals/Other Compliance Results

System captures data for Deleted Medicals and Other Compliance items for reporting purposes.

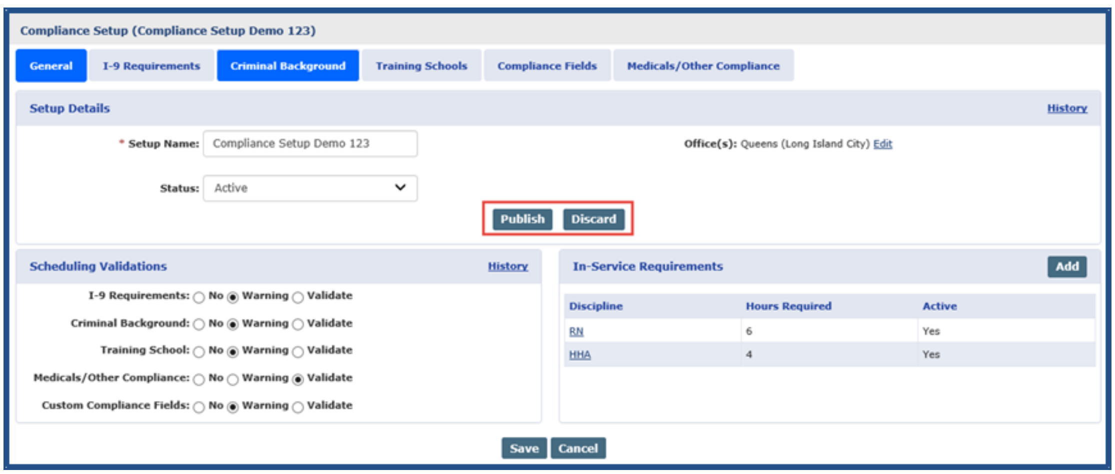
Saving and Publishing a Compliance Setup

Tip: You can press **Ctrl-F** on your keyboard to search this topic.

This section covers the steps required to ensure that the Compliance Setup is active and enabled to use in the Caregiver Compliance Page.

Publish & Discard Feature

When a field is edited on any of the Compliance Setup tabs, the change must be saved (click the ***Save*** button) to enable the ***Publish*** and ***Discard*** buttons (as illustrated in the image below). Although the setup is saved, the information is not in production until it is published. The ***Publish*** button allows for immediate recalculation of compliance requirements based on changes made on the Compliance Setup to ensure Caregivers are compliant with the new rules.



Compliance Setup: Publish/Discard Buttons (Feature)

The ***Publish*** button does not appear until the at least one Office is assigned to a Compliance Setup.

When the ***Publish*** button is selected, a warning message generates alerting the user that publishing updates to the Compliance Setup prompts the system to recalculate Caregiver Compliance for all associated Offices. Select **Yes** to proceed with publishing (apply new compliance rules execute recalculation). Navigate to the Process Monitor (**Admin > Process Monitor**) to check the calculation status.

The ***Publish*** button becomes available once a change has been saved in any of the Compliance Setup tabs. The ***Discard*** button allows one to delete any saved changes which have not been published. These buttons are available to the user who made the changes on a given Compliance Setup.

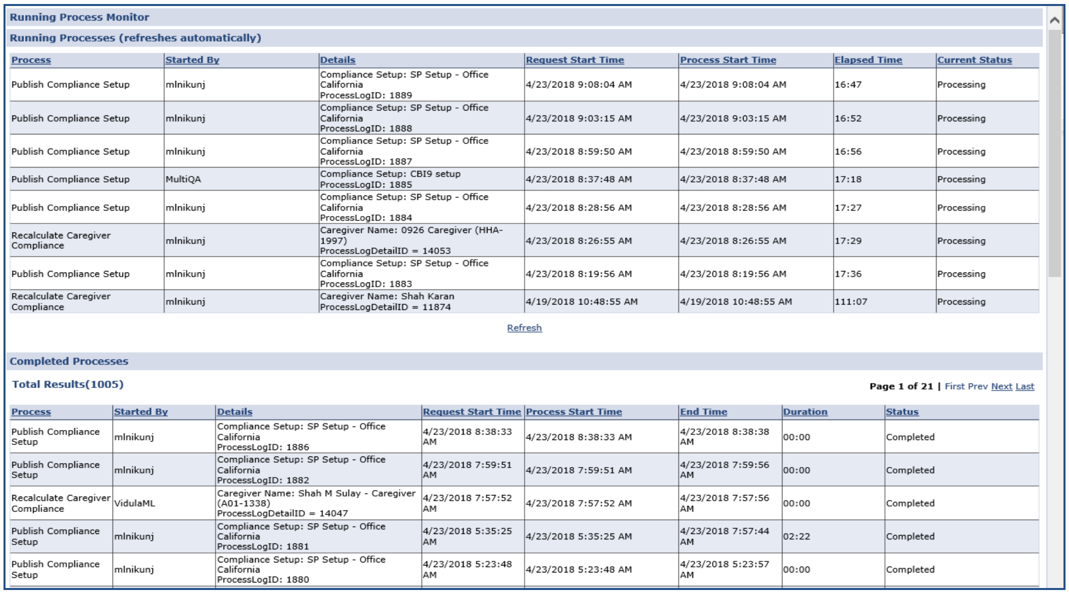
The system warns of any unpublished changes before leaving a Compliance Setup to ensure changes are applied. Select ***Yes*** to proceed with publishing or ***No*** to leave the Compliance Setup.

Note: *Only the User saving a change has access to the pending change.*

Example	Scenario
1	User navigates to the ***Item Manager > Criminal Background*** tab and changes the existing Criminal Background status of "OK" so that it is no longer a compliant selection. The system alerts the user that this Compliance Setup is currently in use by 123 and XYZ. As required, the User publishes the change. Upon publishing, the "OK" value for Compliance Setups 123 and XYZ is updated in the Criminal Background Check section.
2	User navigates to the ***Item Manager > Criminal Background*** tab and changes the existing Criminal Background status of "OK" so that it is no longer a compliant selection. In this example, the "OK" status linked to Compliance Setup 123 as *Inactive* and not in use in any other Compliance Setup. Because the value in Inactive, the system does not issue an alert.
3	User navigates to the ***Medicals/Other Compliance*** tab in the Item Manager and edits the 'Rubella" value; switching it from *Active* to *Inactive*. Saving the change is locked until the user publishes the change. All Users with access to the Compliance Setup page may publish changes made on the Item Manager.
4	User 1 navigates to Compliance Setup 123 and edits a Medical. Compliance Setup 123 is locked upon Saving the updated Medical for all users but User 1. In the meantime, User 2 selects the "Medical/Other Compliance" tab on the Item Manager and edits the existing "Rubella" medical value, switching its status from *Active* to *Inactive*. This value remains as *Active* for Compliance Setup 123 until the change is published. • Compliance Setup 123 remains locked for all users but User 1 because he had already made changes to the setup prior to the Item Manager changes. • When the Publish is run for Compliance Setup 123, changes are published both from the Item Manager level (made by User 2) and the Compliance Setup (made by User 1).

Process Monitor

The **Publish Compliance Setup** and **Recalculate Caregiver Compliance** processes are monitored on the system's Process Monitor page. For example, when creating a New Caregiver or editing an existing Caregiver's information, the recalculation process can be monitored via the Process Monitor.



Running Process Monitor

Running Processes (refreshes automatically)

Process	Started By	Details	Request Start Time	Process Start Time	Elapsed Time	Current Status
Publish Compliance Setup	mlnikunj	Compliance Setup: SP Setup - Office California ProcessLogID: 1889	4/23/2018 9:08:04 AM	4/23/2018 9:08:04 AM	16:47	Processing
Publish Compliance Setup	mlnikunj	Compliance Setup: SP Setup - Office California ProcessLogID: 1888	4/23/2018 9:03:15 AM	4/23/2018 9:03:15 AM	16:52	Processing
Publish Compliance Setup	mlnikunj	Compliance Setup: SP Setup - Office California ProcessLogID: 1887	4/23/2018 8:59:50 AM	4/23/2018 8:59:50 AM	16:56	Processing
Publish Compliance Setup	MultiQA	Compliance Setup: CBI9 setup ProcessLogID: 1885	4/23/2018 8:37:48 AM	4/23/2018 8:37:48 AM	17:18	Processing
Publish Compliance Setup	mlnikunj	Compliance Setup: SP Setup - Office California ProcessLogID: 1884	4/23/2018 8:28:56 AM	4/23/2018 8:28:56 AM	17:27	Processing
Recalculate Caregiver Compliance	mlnikunj	Caregiver Name: 0926 Caregiver (HHA-1997) ProcessLogDetailID = 14053	4/23/2018 8:26:55 AM	4/23/2018 8:26:55 AM	17:29	Processing
Publish Compliance Setup	mlnikunj	Compliance Setup: SP Setup - Office California ProcessLogID: 1883	4/23/2018 8:19:56 AM	4/23/2018 8:19:56 AM	17:36	Processing
Recalculate Caregiver Compliance	mlnikunj	Caregiver Name: Shah Karan ProcessLogDetailID = 11874	4/19/2018 10:48:55 AM	4/19/2018 10:48:55 AM	111:07	Processing

Refresh

Completed Processes

Total Results(1005)

Page 1 of 21 | First Prev Next Last

Process	Started By	Details	Request Start Time	Process Start Time	End Time	Duration	Status
Publish Compliance Setup	mlnikunj	Compliance Setup: SP Setup - Office California ProcessLogID: 1886	4/23/2018 8:38:33 AM	4/23/2018 8:38:33 AM	4/23/2018 8:38:38 AM	00:00	Completed
Publish Compliance Setup	mlnikunj	Compliance Setup: SP Setup - Office California ProcessLogID: 1882	4/23/2018 7:59:51 AM	4/23/2018 7:59:51 AM	4/23/2018 7:59:56 AM	00:00	Completed
Recalculate Caregiver Compliance	VidulaML	Caregiver Name: Shah M Sulay - Caregiver (A01-1338) ProcessLogDetailID = 14047	4/23/2018 7:57:52 AM	4/23/2018 7:57:52 AM	4/23/2018 7:57:56 AM	00:00	Completed
Publish Compliance Setup	mlnikunj	Compliance Setup: SP Setup - Office California ProcessLogID: 1881	4/23/2018 5:35:25 AM	4/23/2018 5:35:25 AM	4/23/2018 7:57:44 AM	02:22	Completed
Publish Compliance Setup	mlnikunj	Compliance Setup: SP Setup - Office California ProcessLogID: 1880	4/23/2018 5:23:48 AM	4/23/2018 5:23:48 AM	4/23/2018 5:23:57 AM	00:00	Completed

Process Monitor

Changing Office Compliance Setups

One can change which Compliance Setup is assigned to a specific Office to facilitate the Compliance Rules updates for that office. An Office must be manually unlinked and saved on the Compliance General tab to remove from an assigned Compliance Setup.

Upon saving, the system issues a warning stating: "Please note that the system cannot calculate compliance for Caregivers assigned to Office's which are not linked to a Compliance Setup." Click ***OK*** to confirm and close the window.

Once saved, click the ***Publish*** button to finalize changes and recalculate compliance. Values entered on the Caregiver Compliance page for the previous compliance setup are automatically switched to **Inactive** if not available in new Compliance Setup and are no longer considered in the compliance calculation.

When an Office is moved from one Compliance Setup to another, all existing values/fields from the first Compliance Setup are displayed as **Inactive** on the Caregiver Compliance page if those values and fields do not exist on the new Compliance Setup.

Inactive fields (with defined/assigned values) remain on the Caregiver Compliance page. In dropdown fields, a new value cannot be selected. If a value is removed from the field (deleted in a free-text field and replaced with a dropdown), then it can be removed from the Caregiver Compliance page upon saving. If no value is defined in an Inactive field, then it can be removed from the page.

Note: *Inactive values/fields do not get factored into compliance.*

The system does not allow one to link a given Office if it is linked to another Compliance Setup (values are locked). If not in use, values/fields from Compliance Setup are removed from the Caregiver Compliance page.

If an Office is changed from one Compliance Setup to another, the system creates pending Caregivers records with applicable Medical and Other Compliance.

Examples

Example 1

- Office "ABC" is assigned to Compliance Setup "Default Setup"
- Office "XYZ" is assigned to Compliance Setup "General Setup"
- Office "ABC" cannot be assigned to "General Setup" until and unless it is removed from "Default Setup" and Published.

Example 2

- Office "ABC" is assigned to Compliance Setup "Default Setup"
- Office "XYZ" is assigned to Compliance Setup "General Setup"
- Office "ABC" is removed from "Default Setup" upon publishing.
- A Caregiver in Office "ABC" is then recalculated. Because Office "ABC" does not belong to any Compliance Setup, the Caregiver's Compliance Status is calculated based on Hire Date only and no other section is displayed on Caregiver Compliance Page.

Example 3

- Office "ABC" is assigned to Compliance Setup "Default Setup"
- Office "XYZ" is assigned to Compliance Setup "General Setup"
- "Office ABC" is removed from "Default Setup" upon publishing.
- Office "ABC" is not assigned to "General Setup" and Publish is done.
- A Caregiver in Office "ABC" is not recalculated based on Compliance Setup "General Setup". Values/Items entered on the Caregiver Compliance page for the previous Compliance Setup not there in the new Compliance Setup display as **Inactive**.
  - For example: If "Excellence Training School" is in the Caregiver's Compliance Setup "Default Setup" but not in the "General Setup", and it is selected in Office "ABC", then it shows as **Inactive** in the Caregiver's Compliance page.
- If an Item exists in the new Compliance Setup, then it is marked as **Inactive**.
  - For example: If "Submitted" Check Status for Criminal Background exists in both Compliance Setups and it is selected in for a Caregiver in Office "ABC", then it is NOT marked as **Inactive** on the Caregiver Compliance page.
- If a dropdown is selected in a previous Compliance Setup, then the system displays the selected value (from previous Compliance Setup) and additional values from the new Compliance Setup.
  - For example: Dropdown ABC.
    - "Default Setup" value fields: Value 1 and Value 2
    - "General Setup" value fields: Value 3 and Value 4
  - Caregiver A was selected as "Value 1" on Dropdown ABC.
  - If Office is moved from "Default Setup" to "General Setup", then the system displays the dropdown values as follows:

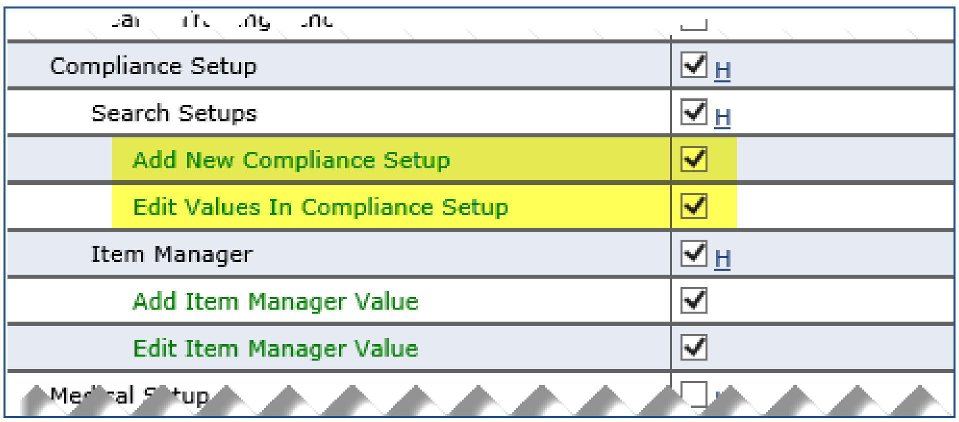
- Value 1 (Inactive)
- Value 3
- Value 4

Compliance Setup Permissions

The following permissions are necessary to add new information or edit the Compliance Setup (***Compliance Setup > Search Setup***):

Permission	Description
Add New Compliance Setup	Allows users to create a new Compliance Setup.
Edit Values in Compliance Setup	Allows users to add and edit existing values in the Compliance Setup.

Navigate to ***Admin > User Management > Edit Roles***. Select *Admin* from the **Section** dropdown and *Admin* from the **Roles** dropdown to enable these permissions.



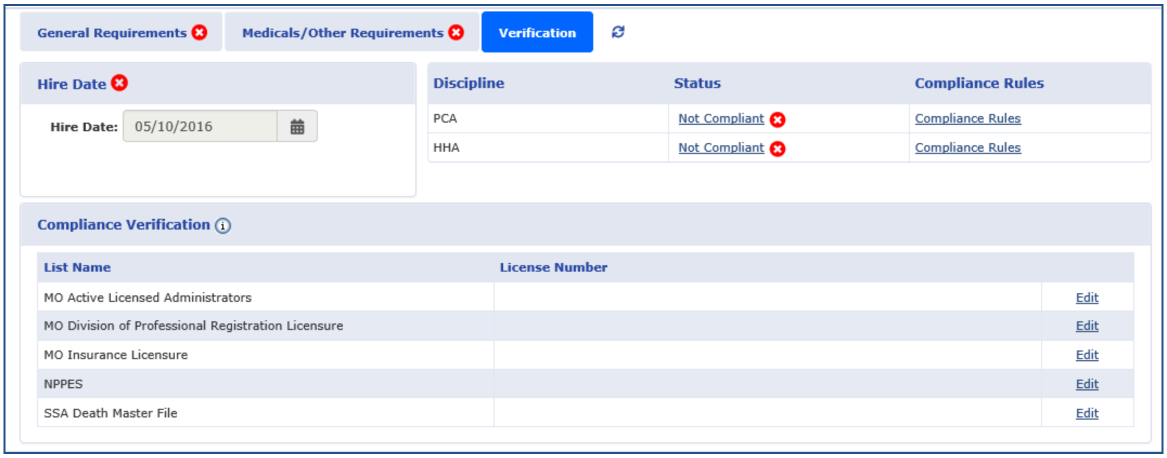
Permissions: Compliance Setup

Caregiver Compliance Page

This section is intended for Agency users responsible for managing Caregiver Compliance. The Caregiver Compliance page (**Caregiver > Compliance**) is comprised of three tabs titled **General Requirements**, **Medicals/Other Compliance**, and **Verification**.

Caregiver Compliance: Verification Tab

The **Verification** tab displays any existing Licensing Information under the Compliance Verification section. As with the other tabs on the Caregiver Compliance page, the **Hire Date** and **Discipline/Status** sections remain static on the page.

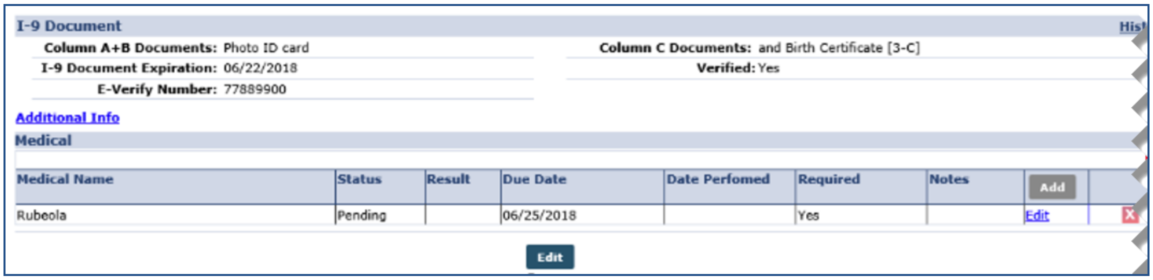


Caregiver Compliance Page: Verification Tab

***Note:** The **Hire Date** can only be edited via the General Requirements tab.*

Trainee Page

In the Trainee page (**Caregiver > Trainee > Search**), the *I-9* and *Medical* sections use the settings of the assigned Office Compliance Setup. Medicals are not auto generated for a Trainee and the Medicals are unavailable if the selected Office is not assigned to a Compliance Setup.



Trainee Profile: I-9 & Medical Sections

Once a Trainee is converted to a Caregiver, the Compliance Status is recalculated.

The following Medical permissions are applied to the Trainee page:

Trainee Page Compliance (Permissions)	
Tabs	**Permissions**
Caregiver > Trainee	• Add Medical • Add Medical Date Performed • Add Medical Result • Edit Medical Name • Edit Medical Due Date • Edit Medical Date Performed • Delete Medical

Caregiver Compliance Reports

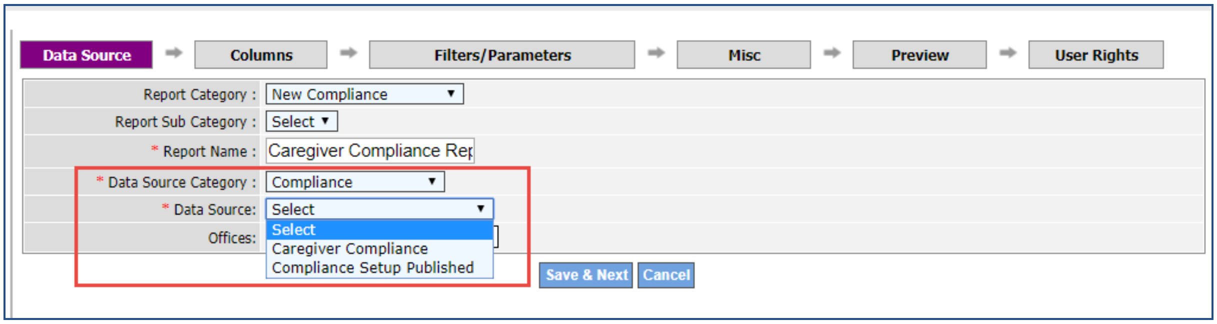
Caregiver Compliance Report Suite

The table below lists a suite of reports designed to view and analyze Caregiver Compliance data on the HHAX system. Report descriptions provide a summary for each. To access the Caregiver Compliance Report suite, navigate to ***Report > Caregiver > Compliance***.

Report	Description
Caregiver Compliance General (V2)	This report shows the current compliance status of all Caregivers as well as Non-Compliance Items for Caregivers who are out of compliance.
Caregiver Non-Compliant History	This report provides a high-level view of Caregivers who were non-compliant within a defined period.
Criminal Background Check	This report is used to search Caregivers' Criminal Background Status.
Deleted Medicals/Other Compliance Items	This report displays Medical and/or Other Compliance Item(s) which have been deleted from a Caregiver's Compliance page. This report provides the User (name) who deleted the information as well as the time and date of deletion.
I-9 Expiry Report	Used to forecast all employees with an expiring I-9 document within the selected time frame. Use the filters to generate a report for a specific **Caregiver Type**, **Status**, selected **Discipline(s),** and if to include Caregivers with missing 1-9 documentation.
In-Service Attendance Sheet	Generates a roster of Caregivers scheduled for an In-Service which serves as an Attendance Sheet used for the Caregivers to sign in/out of a class.
In-Service Due	Displays Caregivers who have not met the specified In-Service hour quota for the specified period. This report can be run for a single Caregiver Type, Status and/or Discipline.
In-Service Certificate	This report enables one to print out completion certificates for participating Caregivers for a selected In-Service.
Medical/Other Compliance Items Due	This report allows Users to search for Compliance Items which are due, overdue and completed. ***Note:*** *Generates as an Excel spreadsheet.*
Missing Medicals/Other Compliance Items	This report is generated to determine if any Medicals/Other Compliance Items for the selected Office(s) are missing from the Caregiver Compliance page.

Caregiver Compliance - Reporting Tool 2.0

To further enhance the reporting experience, **Reporting Tool 2.0** (***Report > Reporting Tool 2.0***) can be used to generate ad-hoc compliance reports by selecting *Compliance* under the **Data Source Category** (as seen in the image below).



Reporting Tool 2.0: Compliance Reports

Note: Any Caregiver Compliance reports which were previously created within the Reporting Tool using a different Data Source Category (such as Caregiver) should be recreated by selecting "Compliance" from the Data Source Category drop-down menu.

Hire Date as Required Field for Caregiver Applicant/Employee Compliance

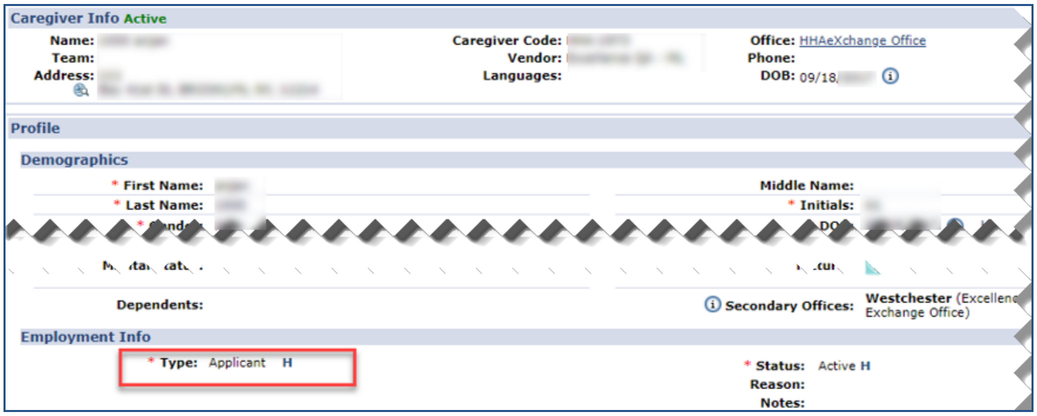
The **Hire Date** compliance requirement for Caregivers saved as *Applicants* has been lifted, allowing Providers to begin tracking compliance information prior to officially onboarding the Caregiver as a full-time *Employee*. This enhancement allows entry of compliance information (such as I-9 Requirements, Training Schools, and other compliance fields) for Applicants without having to enter a temporary Hire Date and/or data to satisfy compliance requirements.

In addition to Caregiver Compliance, the system requires certain demographic and/or employment information to create and manage a Caregiver Profile. Because not all information may be available when entering an Applicant, inaccurate data may be entered to satisfy system requirements. The below-listed fields are required to save a new Caregiver in the system.

- Primary Office
- First Name
- Last Name
- Gender
- DOB
- SSN
- Employment Type
- Type
- Application Date
- Status
- Zip

Caregiver Profile (Applicant Type)

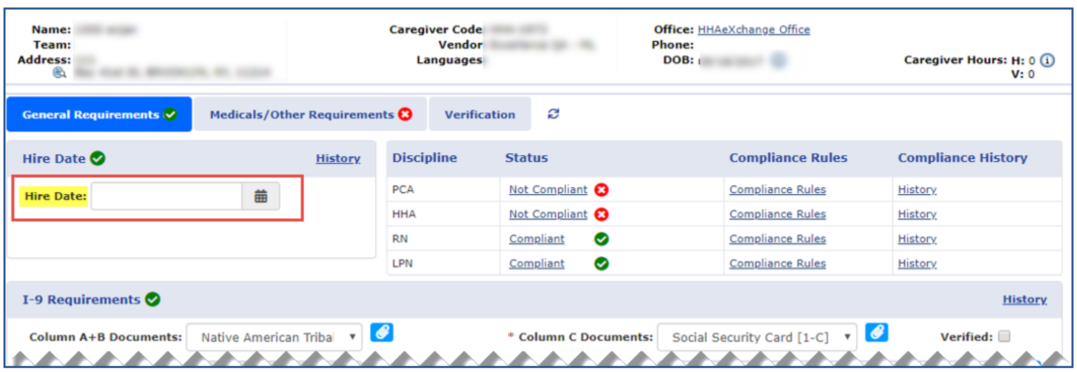
When a new Caregiver Profile is saved with an *Applicant* **Type**, the system removes the requirement (red asterisks) for all fields with the exception of the **First Name** and **Last Name** fields (as seen in the following image). If the new Profile is saved with an *Employee* **Type**, then the field requirements remain on the page (for the above-listed fields).



Caregiver Profile: Caregiver Applicant Type

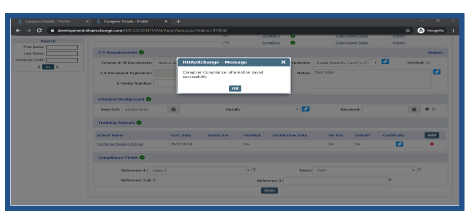
Caregiver Compliance (Applicant Caregiver)

On the *Caregiver Compliance* page (***Caregiver > Compliance***), the **Hire Date** field is optional (no red asterisk) for an *Applicant* Caregiver, as seen in the image below.

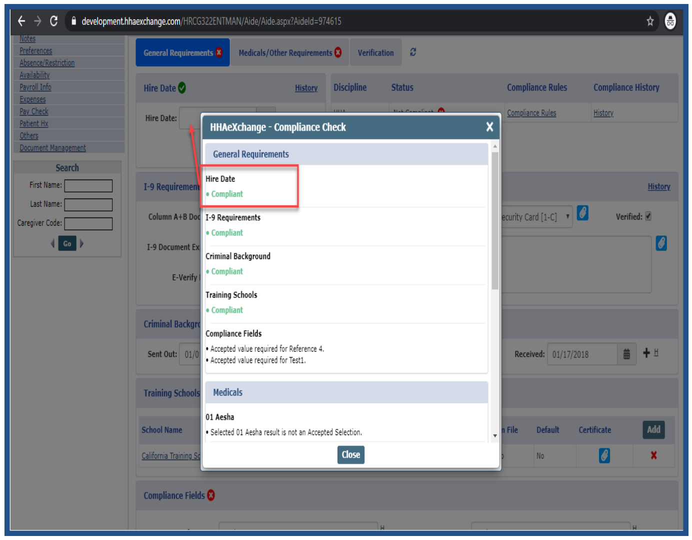


Caregiver Compliance: Hire Date Not Required for Applicant

The system saves compliance information for an Applicant without validation errors.



Upon compliance recalculation, the Applicant shows as Compliant for **Hire Date** in the *Compliance Check* window.



Note: *The **Hire Date** field is required for Caregivers saved as an Employee.*