

HAeXchangeCaregiver Compliance Process Guide Provider and User Guide

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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 <u>HHAeXchange Cus</u>tomer Support.

DISCLAIMER

The **Caregiver Compliance** feature is activated by System Administration. Please contact <u>HHAX Support</u> 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.
ННАХ	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	ltem Manager	Create and manage values for the Caregiver Compliance page and sections; the library houses compliance fields and values on an Agency-wide level.
Admin	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 iden- tified 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 Back-ground 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.

Step	Action
1	Navigate to the Item Manager and select the Criminal Background tab.
2	Click the Add button. Compliance Item Manager Compliance Item Manager Criminal Background Training Schools Compliance Fields Medicals/Other Compliance Page 1 of 7 Next Last Page 1 of 7 Next Last Result Text Ves Ves Adding a Criminal Background Check Status The HHAeXchange-New Criminal Background Check Status window opens. Complete the required fields (denoted with a red asterisk), as described in the table below.
3	HHAeXchange - New Criminal Background Check Status X Criminal Background * Result: Temporary Denial Status: Active * Compliant: Yes Save: Canced New Criminal Background Check Status Window Field Description Result Enter the Result Name in this free text field to capture the title of the result. Status The default value is set to Active. Select Active or Inactive from the drop-down to set the availability of the Status. Compliant Select Yes or No from the dropdown to indicate whether the Result qualifies as compliant or non-compliant.
4	Click the <i>Save</i> button to finalize.
<u> </u>	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 <u>Result</u> (link) and follow Steps 3-4 above.
Caregi	ver Compliance Page 4 Item Manager: Criminal Background Proprietary and Confidential



		Action		
Compliance Item Mana	ger		Enterprise 1 (Chrome/65.0.3325.181) Chr	0.0.1.0 TELXDEVD0 ome 65 (Doc Chrom 65) 4/19 04:36 ES
Criminal Background	Training Schools	Compliance Fields	Medicals/Other Compliance	
Criminal Background	Check Status			Add
			Page 1	of 7 <u>Next Last</u>
Result	Active		Compliant	
Test	Yes		Yes	
Test2	No		Yes	
Arrested	No		Yes	

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.

Step		Action	
1	Navigate to the Item	Manager and select the Training Schoo	l tab.
	Click the Add buttor).	
2	Con	npliance Item Manager iminal Background Training Schools Compliance Fields Medicals/O raining School	ther Compliance
		Pa	ge 2 of 10 First Previous Next Last
	Tra	ining School Active Clos	ed Date
	The HHAeYchanae-N	Adding a Training School	polete the required fields (depoted
	with a red asterisk),	as described in the table below.	piete the required helds (denoted
		ĩ	
		HHAeXchange - New Training School	×
		School Name: A&T HEALTHCARE INC	
		Status: Active	
		Closed Date: 04/21/2018	喆
		Save Cancel	
3		New Training School Window	N
	Field	Descripti	on
	School Name	Enter the Training School name in this free the Training School.	text field to capture the name of
	Status	The default value is set to Active . Select Ac t to set the availability of the Status.	tive or Inactive from the dropdown
	Closed Date	Date field used to enter the date the schoo	l closed (if applicable).
	Click the Crue butto	n to finalizo	
4	Click the Save butto	n to manze.	
5	Upon saving a Traini image. To edit the S	ng School, the value displays on the tabl tatus of a value or enter a Closed Date (e of values as illustrated in the if not initially entered), click on the
Careg	ver Compliance	Page 6	Item Manager: Training Schools Proprietary and Confidential



Compliance Item Mana	ger		Enterprise 10 (Chrome/65.0.3325.181) Chro	.0.1.0 TELXDEVD0 ome 65 (Doc Chrom
Criminal Background	Training Schools	Compliance Fields	Medicals/Other Compliance	65) 4/19 04:36 ES
Training School				Add
			Page 2 of 10 First Pre	vious Next Last
Training School	Active		Closed Date	
Sid Test2	Yes		03/29/2018	
SS Training School	Yes		06/30/2018	
SS Training School2	Yes		06/30/2018	



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.

Step	Action					
1	Navigate to the Item Manager and select the Compliance Fields tab.					
	Click the Add button.					
2	Compliance Item Manager Criminal Background Training Schools Compliance Fields Medicals/Other Compliance Field List Field Active Field Type Reference 1 Yes Free Text - Single Line Addding Compliance Fields					
	The HHAeXchange-New Compliance Field window opens. Complete the required fields (denoted					
3	with a red asterisk), as described in the table below. Image: Teleform Compliance Field Image: Compliance Fields Image: Teleform Field Type: Checkbox Image: Teleform T					
	Name Enter the custom field name in this free text field to capture the name of the custom Compliance field. Status The default value is set to Active. Select Active or Inactive from the drop-					
	down to set the availability of the Status.					
	Field TypeDropdown menu provides options for the field including Checkbox, FreeField TypeText - Single Line, Free Text - Multi Line, Date Picker, Single Select - Drop- down, and Multi Select - Dropdown.					
4	Click the <i>Save</i> button to finalize.					
Careg 5	er Compliance Jpon saving a Compliance Field, the value displays on the table of values as illustrated in the mage. To edit the Status of a value, click on the Field (<u>hyperlink</u>) and follow Steps 3-4 above.					



		Acti	ion		
Compliance Item Mana	ger				
Criminal Background	Training Schools	Compliance Fields	Medicals/Other Comp	liance	
Field List					Add
					Page 1 of 11 Next Last
Field		Active	F	ield Type	
Reference 1		Yes	F	ree Text - Single	Line
Reference 2		No	F	ree Text - Multi-L	ine
Reference 3		Yes	C	Date Picker	
Reference Dropdown		No	S	Single Select - Dro	pdown
Reference Checkbox		Yes	c	heckbox	
	Cor	mpliance Fields	: Table of Valu	es	

Other Examples of Custom Compliance Fields

HHAeXchan	ge - New Compliance Field	×
Compliance I	Fields	
* Name:	Probation Expiration Date	
Status:	Active	
* Field Type:	Date Picker 🔹	
	Save Cancel	
HHAeXchang	ge - New Compliance Field	×
Compliance F	ields	
* Name:	Certification Note	
Status:	Active •	
* Field Type:	Free Text - Single Line	
	Save Cancel	
HAeXchang	e - New Compliance Field	>
Compliance Fig	elds	
* Name:	Certification Note2	
Status:	Active •	
Status:	Active •	



The Enterprise System



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.

Step	Action					
1	Navigate to the Item Mana	ger and select the Medicals/Other Compliance tab.				
2	Click the Add button.	Item Manager ckground Training Schools Compliance Fields Medicals/Other Compliance Page 1 of 6 Next Last Adding Medicals/Other Compliance				
3	The HHAeXchange- New Co with a red asterisk), as desc	mpliance Item window opens. Complete the required fields (denoted cribed in the table below. HAeXchange - New Compliance Item X Compliance Item Name: Rubella Status: Active Type: Medical Save Cancel New Compliance Item Window				
	Field Name Status	Description Enter the custom field name in this free text field to capture the name of the Medical or Other Compliance field. The default value is set to Active. Select Active or Inactive from the dropdown to set the availability of the Status.				
	Туре	Select Medical or Other Compliance from the dropdown menu.				
4	Click the Save button to fina	alize.				
Ca 5 eg	Upon saving a Medical/Oth Ver Compliance in the image. To edit the St	er Compliance, the yalue displays on the table of values as illustrated atus of a value, click on the Field (link) and follows steps and the state of a value, click on the Field (link) and follows as a state of a value, click on the Field (link) and follows as a state of a value of the table of a value of a value of a value of the table of a value of a value of the table of a value of a value of a value of table of a value of a value of table of a value of table of				



Step	Action								
	Compliance Item Mana	ger							
	Criminal Background	Training Schools	Compliance Fields	Medicals/Other Compliance					
	Item List			Add					
				Page 1 of 6 Next Las					
	Item	Active		Туре					
	Rubella	Yes		Medical					
	Annual Health Evaluation	Yes		Medical					
	NewMedical1	No		Medical					
		Medical/Oth	er Compliance: T	able 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 <u>Publish & Discard</u> <u>Function</u> 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.

ມີຄຸ ເປັນ ມີຄຸມແບ	
Compliance Setup	<u>.</u>
Search Setups	<u>ч</u>
Add New Compliance Setup	
Edit Values In Compliance Setup	
Item Manager	<u>.</u> н
Add Item Manager Value	
Edit Item Manager Value	
Mer'ral ⊊°+up	

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 Background**, **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).

Compliance Configuration			
Search			
Setup Name:	Office(s): All	• Status: All	~
	Search		
Compliance Search			New
Search Result (49)			Page 1 of 5 <u>Next Last</u>
Setup Name	▲ Office(s)	Active	
First Configuration		Yes	
Default Setup		Yes	

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 (Compliance	Setup Demo 123)							
General	I-9 Requirements	Criminal Background	Training Schools	Complianc	e Fields	Medicals/Other Compl	iance		
Setup Deta	ails								<u>History</u>
	* Setup Name:	Compliance Setup Demo 12	23			Office(s): Qu	ueens (Long Island C	City) <u>Edit</u>	
	Status:	Active	~						
Scheduling	Scheduling Validations				In-Ser	vice Requirements			Add
1	I-9 Requirements: ()	No 🖲 Warning 🔿 Validate			Discipli	ie F	lours Required	Active	
Crin	ninal Background: 🔿	No 🖲 Warning 🔿 Validate			RN	6		Yes	
	Training School: 🔿	No 🖲 Warning 🔿 Validate			HHA	4		Yes	
Medicals/0	Other Compliance: 🔿	No 🔿 Warning 💿 Validate							
Custom C	Compliance Fields: 🔿	No 🖲 Warning 🔿 Validate							
				Save	Cancel				

Compliance Setup: General Tab



Creating a Compliance Setup

Step	Action						
1	Navigate to the <i>Admin > Compliance Setup</i> .						
	Click the New button.						
	Search						
2	Compliance Search New						
2	Search Result (49) Page 1 of 5 Next Last Setup Name Office(s) Active						
	Eist Configuration Yes						
	Creating a Compliance Setup						
	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 <u>Edit</u> link to add Offices.						
	Setup Details History						
	* Setup Name: Default Setup						
	Status: Active 2						
2	Office(s): Westchester (Excellence QA Team) Edit						
3							
	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 cannot be deactivated until an Office						
	Status is changed to Inactive, the system issues a warning message.						
	In the Scheduling Validations section, select the validation value (No, Warning, or Validate) to						
	apply to each section.						
	Scheduling Validations History						
	I-9 Requirements: No Warning Validate						
	Criminal Background: 🛞 No 🔘 Warning 🔘 Validate						
	Training School: No Validate Validate Validate						
4	Custom Compliance Fields: No Warning Validate						
	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 <u>Publish & Discard Feature</u> 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.

Step		Action					
	Click the Add buttor	۱.					
1		Compliance Setup					
	The Add In-Service	Requirements window opens (as illustrated in the image). Complete the					
	required fields (den	oted with a red asterisk), as described under the image.					
		HHAeXchange - Add In-Service Requirements X					
		In-Service Requirements					
		*Discipline: LPN •					
		*Required Hours:					
		Status: Active T					
		Save Cancel					
2		Add In-Service Requirements Window					
	Field	Description					
	Discipline Select the applicable Discipline from the single-select drope Disciplines which already have rules configured are not listed as a the dropdown.						
	Required Hours	Indicate the number of Hours of In-Service the selected Discipline requires for compliance. A number higher than "0" must be entered.					
	Status	Indicate whether the In-Service Requirement is <i>Active</i> or <i>Inactive</i> . If <i>Active</i> , then this requirement must be met for compliance.					
3	Click the Save butto	n to finalize.					



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	Compliance Setup (Excellence) Enterprise 17.0.1.0 IBLAWID0013 (Chrome/73.0.3683.75) Chrome 73 (0oc Chrome 3/15 15:26								
General	I-9 Requirements	Criminal Background	Training Schools	Compliance Fi	ields I	1edicals/Other Complia	nce		
Setup Det	ails								History
	* Setup Name:	Excellence				Office(s):	snehal organization (C	Chrome 57),Westchester (new o	office) <u>Edit</u>
	Status:	Active	*						
Schedulin	g Validations			History	In-Serv	ice Requirements			Add
	I-9 Requirements: 🖲	No 💮 Warning 💮 Validate			Disciplin	e	Hours Required	Active	
Cri	iminal Background: 🖲	No 🔵 Warning 🔵 Validate			HSK		2	Yes	
	Training School: 🛞	No 🔘 Warning 🔘 Validate			нмк		6	Yes	
Medicals/Other Compliance: No Warning Validate				SCI		3	Yes		
Custom	Custom Compliance Fields: 💿 No 💿 Warning 💿 Validate								

Compliance Setup: In-Service Requirements

aregiver Info Active					
Name: Russel John	jiver Code: no1-30	3047 Office: new office			
Team: Address: MASCOTTE, FL, 34753	Vendor: Excellence QA - ML Languages:			Phone: DOB: 02/15/1981	Caregiver Hours: H: 0 (i) V: 0
General Requirements 🖌	Medicals/Other Require	ments 📀 Ver	ification $\mathcal Z$		
Hire Date 🤣	History	Discipline	Status	Compliance Rules	Compliance History
* Hire Date: 02/03/2016	曲	PCA	Compliant 📀	Compliance Rules	History
		ННА	Compliant 📀	Compliance Rules	History
		HSK	Compliant 📀	Compliance Rules	History
		нмк	Compliant 📀	Compliance Rules	History

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 Com-pliance** checkbox (as seen in the image).

In Service Topic	<u>History</u>
Topic:	Communication Skill
Count Towards Compliance:	
Status:	Active 🗸
	Save Cancel

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).

	Select	*	
	Collection - Representative		
	Caregiver Team		
	Training School Instructor		
6	In Service Topics		
	In Service Instructor		
-	Clinical Category Goals		
	Clinical Category Orders		
-	Clinical Discipline Category		
	Clinical DME and Supplies		
	Clinical Nutritional Requirements		
	Clinical Safety Measures		
	Interim Order Category Templates		
_	Clinical Advanced Directive		
	Evacuation Zone		
	Evacuation Location		
	Priority Code		
	Mobility Status		
Office 0	Electric Equipment Dependency		
	Patient Team	*	
Field:	Select	~	Search
L			

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				Enter	prise 20.07.01 TELXQAUA	TD01 (Chrome/83.0.4103.106) chrome 83	6/18 16:	:44 EST
In Service							His	istory
* Date:	06/11/2020 Scheduled Completed			* Office:	HHAeXchange Office	v ()		
* Class Time:	0100 - 0500 () Max Attendees: ()			Location:				
* Topic:	[Multiple]			Description:				
Instructor:	Select 🗸 🕻			Language:	Select 🗸	1		
* Discipline:	нна 🗸			* Pay Code:	HHA547656 ¥	1		
Discipline 2:	Select V			Pay Code 2:	Select 🗸			
 Attendees: (6 of Unlim.) 	Name	Caregiver Code	Alt. Caregiver Code	Phone Number	Count Towards Compliance	(i) No-Show / Unsatisfactory (i)	Add	
Send Conexus Message	001 MC Trainee	HHA-3524	9788550	978-465-3212			х	н
	002 Caregiver	HHA-3235		987-654-3567			X	н
	002 Trainee Caregiver	HHA-3453			0	0	х	н
	02 Caregiver Gender	HHA-3457		741-173-5393			X	н
	10ThMay2018 OI CaregiverE	HHA-3027	34535			0	X	н
	03 CareGiver	HHA-3525					X	н
			Save Cancel					

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.



Name: 002 Caregiver Team: Address: XXX & XXX		Caregiver Code: HHA-3235 Vendor: Excellence QA - ML Languages:		4 - ML	Office: HHAeXchange Office Phone: <u>987-654-3567</u> DOB: XX/XX/XXXX (1)		Caregiver Hours: H: V:		• s: H: 0 V: 0	i		
n Service												
Summary												
Year					Total Hou	Jrs						
2020					09:00							
<u>Date</u>	Time	<u>Hours</u>	Торіс	Count Towards	<u>Location</u>	Instructor	Description	<u>Status</u>	Reason	<u>Payroll</u> <u>Batch</u>	Add	
06/16/2020	0100-0200	01:00	Action => In- service class	Yes			HD	Completed			<u>Edit</u>	2
06/16/2020	0100-0200	01:00	Action => In- service class	Yes			hd	Completed			<u>Edit</u>	Þ
06/15/2020	0100-0200	01:00	Action => In- service class, AIDS, Algebra - Geometry- chemistry	Yes			test QA 16 June up	Completed			<u>Edit</u>	>
06/14/2020	0100-0200	01:00	Action => In- service class	Yes			HD TEST NEW	Completed			<u>Edit</u>	Þ
06/14/2020	0100-0200	01:00	Action => In- service class	Yes			HD TEST NEW	Completed			<u>Edit</u>	2

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 predefined. 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).

Compliance Setup (Default Setup) Enterprise 10.0.1.0 TELXDEVD01 (Chrome/65.0.3325.181) ((Doc Chrome 65) 4/19							25.181) Chrome (5) 4/19 06:08 E
General	I-9 Requireme	ents Criminal Backgro	und Training Schools	Compliance Fields	Medicals/Other Compliance		
Requirem	ents						<u>History</u>
	Show:	[Multiple]	•	Requir	re E-Verify Number: 🗌		
	Require:	All	•	R	equire Verification:		
Expiration	n/Re-Verificatio	n					
						Page 1 of	2 <u>Next Last</u>
Document			Expires	Requires Re-Verificat	ion	Active	
US Passport			Yes	Yes		Yes	
Foreign Pass	port with I-551		No	Yes		Yes	

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** dropdown) 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.

Step		Action
	Click on the <i>Docum</i>	ent title.
1		Expiration/Re-Verification
		Document Expires Requires Re-Verification
		Tes Tes for hassport with I-551 No Yes
	The HHAeXchange	- Edit I-9 Requirement window opens. The fields available to edit are the
	Status as well as wh	nether the requirement Expires and/or Requires Re-Verification. The I-9 Docu-
	ment title is unavai	able to edit (as illustrated on the image).
		HHAeXchange - Edit I-9 Requirement X
		I-9 Document History
		I-9 Document: US Passport
		Status: Active 🔻
		Expires: Yes No
		Requires Re-Verification: Yes No
2		Save Cancel
2		Editing Requirements
	Field	Description
	Status	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 .
		Select the Yes or No radio-buttons as desired. If Yes is selected, users must
	Expires	enter a value for the I-9 Document Expiration field on the Caregiver Com- pliance page.
	Poquiros Po-	Select the Yes or No radio-buttons as desired. If Yes is selected, the Care-
	Verification	giver changes to <i>Non-Compliant</i> if the current date exceeds the entered I-9 Document Expiration value on the Caregiver Compliance page.
3	Click the Save butto	on to save requirements.



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.

Compliance S	Compliance Setup (Default Setup)						
General	I-9 Requireme	ents Criminal	Background	Training Schools	Compliance Fields	Medicals/Other Compliance	
Requirements Histor							<u>History</u>
	Show:	[Multiple]		T			
	Require:	All		•			
Background	l Check Status	5				(Add
Results			Compli	ant		Active	
Arrested			Yes			No	

Criminal Background Tab

Refer to the <u>Show vs Required in the Requirements</u> (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).

HHAeXchange - New Criminal Background Check Status						
Criminal Back	ground					
* Result:	Temporary Denial	•				
Status:	Active	•				
Compliant:	Yes	•				
	Save					

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**.

Compliance Setup (New	Setup)					
General I-9 Require	ements	Criminal Background	g Schools	Compliance Fields	Medicals/Other Compliance	
Requirements						<u>History</u>
Sho	w: HHA	٣	Re	quire Cert. Date: 🗷	Require On Fi	le: 🗹
Requi	re: All	•	Requ	ire Verification: 🗹	Require Verif. Da	:e: 🗹
Training School						Add
School Name		Active			Closed Date	
Excellence Infocom Training	school	Yes			04/01/2018	
d'b			Save	Cancel		

Training Schools Tab

Refer to the <u>Show vs Required in the Requirements</u> (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.

HI	AeXchange -	Add Training School		×			
Т	Training School						
	* School Name:	HHA Training School	•				
	Status:	Active	٣				
	Closed Date:	01/01/2018	曲				
	Save						

Adding a Training School

To edit a Training School value, click on the <u>School Name</u> (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	Setup (PCA Office se	et up)					
General	I-9 Requirements	Criminal Backgr	ound Training Schoo	ls Compliance Fields	Medicals/Other Compliance		
Requirem	ents						History
	Show: 🕢						
Field List							Add
Field	Act	tive Requi	re Disciplines			Field Type	
Reference 1	Yes	Yes	PCA, HHA			Free Text - Single Line	0
Transportatio	Yes	No				Multi Select - Dropdown	o
- Cm				Save Cancel			

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.

The Enterprise System



HHAeXchan	ge - Add Compliance Field	×
Compliance F	ields	
* Name:	Reference 1	
Status:	Active •]
Field Type:	Free Text - Single Line	
* Require:	Yes No	
* Discipline:	[Multiple]	
	Save Cancel	

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.

Compliance	Setup (PCA Office	set up)				
General	I-9 Requirements	Criminal Background	Training Schools	Compliance Fields	Medicals/Other Compliance	
Compliant	ce Items					Add
Item	Ac	ive R	equire	Disciplines		
Rubella	Yes	Y	es	PCA, HHA		
Annual Healt	h Evaluation Yes	Y	es	PCA		
			Ca	ncel		

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.

Compliance Item			
	* Name: Rubella	•	
	Status: Active	¥	
	* Require: Yes No		
	* Discipline: [Multiple]	•	
Result	Accep	oted Selection	Add
Pass		2	×
Failed			×

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 Com- pliance 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.



HHAeXchange - I	Edit Compliance Item	×
Compliance Item		History
	HHAeXchange - Generates Upon (Phsycological) X	
	Generates Upon	
	* Event: Hire Date 🗸 🗘	
Result	For Hire Dates After:	Add
Passed		Н
	Save Cancel	
Generates Upon	After Other Comp. Result	Add
	Save Cancel	

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).



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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 Info Active								
Name:		Caregiver Code	12	Offic	e			
Team:		Vendo		Phon	e:		Corrections Mar	
Augress		canguage		00	0.		Caregiver no	V:
Conversit Requirements	Madicals (Otho	- Dominamente 🖸	Manification					
General Requirements	Pieucais/Otile	r Kequirements 🥥	vernication	~				
Hire Date 🖸		History Discipline		Status	c	ompliance Ru	iles	
Hire Date: 04/04/2018	##	PCA		Non Compliant 😒	<u>c</u>	ompliance Rules		
		HHA		Non Compliant 😒	0	ompliance Rules		
		wer -		Nee Compliant O		ameliance Bular		
		nok		Hon Compilant	2	omplance Rules		
I-9 Requirements 🖸								Hist
		•						
Column A+B Documents:	US Passport	•	Col	lumn C Documents:	Select	•	Verifie	d: 🗹
		1						_
* I-9 Document Expiration:				Notes:				
E-Verify Number:								
Criminal Background								
Criminal Background								
Criminal Background Sent Out:		Result:	Select	,	Received	Go to Set	tings to acima	e 4 /in
Criminal Background 🔇		Result:	Select	۲	Received	d: Go to Set	tings to activat	te ¥/inc
Criminal Background O Sent Out: Training Schools O		Result:	Select	۲	Received	Go to Set	tings to activat	e ¥fin
Criminal Background Sent Out:		Result:	Select	•	Received	ft Go to Set	tings to action	e ¥ľin
Criminal Background O Sent Out: Training Schools O School Name	Cert. Date	Result	Select	• Verification Date	Received	f: Go to Set	tings to acma	e¥in
Criminal Background O Sent Out: Training Schools O School Name S5 Training School2	Cert. Date	Result: Instructor	Select Verified Yes	Verification Date 03/01/2018	Received On File	f: Go to Set	tings to acma	e 41 int
Criminal Background Sent Out: Training Schools S School Name SS Training School2	Cert. Date 03/15/2018	Result: Instructor test	Select Verified Yes	Verification Date 03/01/2018	Received On File Yes	ft Go to Set	Certificate	e ¥linc
Criminal Background O Sent Out: Training Schools O School Name SS Training School2 SS Training School2 (Inactive)	Cert. Date 03/15/2018 08/17/2016	Result: Instructor test Test	Select Verified Yes No	Verification Date 03/01/2018 12/20/2016	Received On File Yes Yes	f: Go to Set Default No No	Certificate	e ¥inc
Criminal Background O Sent Out: Training Schools O School Name SS Training School2 SS Training School2 (Inactive)	Cert. Date 03/15/2018 08/17/2016	Result: Instructor test Test	Select Verified Yes No	Verification Date 03/01/2018 12/20/2016	Received On File Yes Yes	f: Go to Set Default No No	Certificate	e ¥ (inc))
Criminal Background Sent Out: Sent Out: Training Schools S School Name SS.Training School2 SS.Training School3 (Inactive) SS.Training School4 (Inactive)	Cert. Date 03/15/2018 08/17/2016 10/03/2017	Result: Instructor test Test test	Select Verified Yes No No	Verification Date 03/01/2018 12/20/2016 02/02/2010	Received On File Yes Yes No	ft Go to Set Default No No No No	Certificate	e ¥ înt
Criminal Background O Sent Out: Training Schools O School Name SS Training School2 SS Training School3 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive)	Cert. Date 03/15/2018 08/17/2016 10/03/2017 07/07/2015	Result: Instructor test Test test Test	Select Verified Yes No No Yes	Verification Date 03/01/2018 12/20/2016 02/02/2010 07/07/2015	Received On File Yes No Yes	Go to Set Default No No No Yes	Certificate	e ¥ în ^ 3
Criminal Background O Sent Out: Training Schools O School Name SS Training School2 SS Training School2 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive)	Cert. Date 03/15/2018 08/17/2016 10/03/2017 07/07/2015	Result: Instructor test Test test Test	Select Verified Yes No No Yes	Verification Date 03/01/2018 12/20/2016 02/02/2010 07/07/2015	Received On File Yes No Yes	f Go to Set Default No No Yes	Certificate	e¥in A
Criminal Background Sent Out: Training Schools School Name SS Training School2 SS Training School3 (Inactive) SS Training School5 (Inactive) SS Training School5 (Inactive)	Cert. Date 03/15/2018 08/17/2016 10/03/2017 07/07/2015	Result: Instructor test Test test test Test	Select Verified Yes No No Yes	Verification Date 03/01/2018 12/20/2016 02/02/2010 07/07/2015	Received On File Yes Yes No Yes	f: Go to Set Default No No Yes	Certificate	e ¥rin
Criminal Background Sent Out: Training Schools School Name SS Training School3 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive)	Cert. Date 03/15/2018 04/17/2016 10/03/2017 07/07/2015	Result: Instructor test test test Test	Select Verified Yes No Yes	Verification Date 03/01/2018 12/20/2016 02/02/2010 07/07/2015	Received On File Yes No Yes	f: Go to Set Default No No Yes	Certificate	e ¥lind
Criminal Background Sent Out: Training Schools School Name SS Training School2 (Inactive) SS Training School2 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive)	Cert. Date 03/15/2018 08/17/2016 10/03/2017 07/07/2015	Result: Instructor test Test test Test	Select Verified Yes No No Yes	Verification Date 03/01/2018 12/20/2016 02/02/2010 07/07/2015	Received On File Yes No Yes	t Go to Set	Certificate	د <u>با</u> رام م
Criminal Background Sent Out: Training Schools School Name SS Training School2 SS Training School2 (Inactive) SS Training School3 (Inactive) SS Training School5 (Inactive) Compliance Fields Date Picker 04/05/2018	Cert. Date 03/15/2018 04/17/2016 10/03/2017 07/07/2015	Result: Instructor test Test test Test Compliance	Select Verified Yes No No Yes Raf 2	Verification Date 03/01/2018 12/20/2016 02/02/2010 07/07/2015	Received On File Yes No Yes Reference	R Go to Set Default No No Yes	Certificate	e ¥/inc
Criminal Background Sent Out: Training Schools School Name SS Training School3 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive) Compliance Fields Date Picker 04/05/2018 (Inactive):	Cert. Date 03/15/2018 08/17/2016 10/03/2017 07/07/2015	Result: Instructor test Test test Test Compliance Fields 1:	Select Verified Yes No No Yes Ref 2	Verification Date 03/01/2018 12/20/2010 02/02/2010 07/07/2015	Received On File Yes Yes No Yes Reference	R Go to Set	Certificate	e ¥linc
Criminal Background Sent Out: Training Schools School Name SS Training School2 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive) Date Picker O4/05/2018 (Inactive):	Cert. Date 03/15/2018 08/17/2016 10/03/2017 07/07/2015	Result: Instructor test Test test Test Test Compliance Fields 1:	Select Verified Yes No No Yes Ref 2	• • • • • • • • • • • • • •	Received On File Yes Yes No Yes Reference	fr Go to Set	Certificate	
Criminal Background Sent Out: Training Schools School Name SS.Training School2 SS.Training School3 (Inactive) SS.Training	Cert. Date 03/15/2018 08/17/2016 10/03/2017 07/07/2015	Result: Instructor test Test Test Compliance Fields 1: Compliance	Select Verified Yes No No Ref 2	• • • • • • • • • • • • • •	Received On File Yes Yes No Yes Reference Checkbo	fr Go to Set	Certificate	e ¥linc Ad X X
Criminal Background Sent Out: Training Schools School Name SS Training School3 (Inactive) SS Training School3 (Inactive) S	Cert. Date 03/15/2018 08/17/2016 10/03/2017 07/07/2015	Result: Instructor test Test test Test Compliance Fields 1: Compliance Fields 1:	Select Verified Yes No No Yes Ref 2	• • • • • • • • • • • • • •	Received On File Yes Yes No Yes Reference Reference Heid	fr Go to Set Default No No No Yes Ce Ø H Ki Select	Certificate	te gylino X X X X X X X X
Criminal Background Sent Out: Training Schools School Name SS Training School (Inactive) SS Training School (Inactive) SChoo	Cert. Date 03/15/2018 04/17/2016 10/03/2017 07/07/2015	Result: Instructor test Test test Test Compliance Fields 1: Compliance Fields 1: Compliance	Select Verified Yes No No Ref 2	• • • • • • • • • • • • • •	Received On File Yes Yes No Yes Referenc Checkbo Depdow Depdow COM00;	f Go to Set Default No No No Yes ce Ø H x: Select ti Select	Certificate	le ¥lind X X X X
Criminal Background Sent Out: Training Schools School Name S5 Training School3 (Inactive) S5 Training School3 (Inactive) S5 Training School3 (Inactive) S5 Training School3 (Inactive) S5 Training School3 (Inactive) Compliance Fields Date Picker (Inactive): Ref Status: Hulti Long: Select	Cert. Date 03/15/2018 04/17/2016 10/03/2017 07/07/2015	Result:	Select Verified Yes No No Yes Ref 2	• Verification Date 03/01/2018 12/20/2016 02/02/2010 07/07/2015 Ц Ц • Ц	Received On File Yes Yes No Yes Reference Checkbo Dropdown COMOC	R Go to Set Default No No No Yes tr Select tr Select tr	Certificate	te șt înd X X X X
Criminal Background Sent Out: Training Schools School Name SS Training School2 (Inactive) SS Training School3 (Inactive) Ref Status: Hulti Long: Select	Cert. Date 03/15/2018 08/17/2016 10/03/2017 07/07/2015	Result:	Select Verified Ves No No Ves Ref 2	• Verification Date 03/01/2018 12/20/2016 02/02/2010 07/07/2015 11 • 11 • 11 • 11 • 11 • 11 • 12 • 12 • • • • • • • • • • • • •	Received On File Yes Yes No Yes Reference Checkbo Dropdown COM00:	fr Go to Set Default No No Yes Ce Ø H Select 12 22 H	Certificate	e gyind X X X X
Criminal Background Sent Out: Training Schools School Name SS. Training School2 SS. Training School3 (Inactive) SS. Training	Cert. Date 03/15/2018 08/17/2016 10/03/2017 07/07/2015	Result: Instructor test Test test Test Compliance Fields 1: Compliance Fields 2: Compliance Fields 2:	Select Verified Yes No Ref 2	• Verification Date 03/01/2018 12/20/2016 02/02/2010 07/07/2015 11 11 • 11 • 11 • 11 • 11 • 11 • 11	Received On File Yes Yes No Yes Referent Checkbo Dropdom COM00 Automobil	fr Go to Set Default No No No Yes E Bi Select 22 H	Certificate	te qu'inc Ad X X X X
Criminal Background Sent Out: Training Schools School Name SS Training School3 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive) SS Training School3 (Inactive) Compliance Fields Date Picker (Inactive): Od/05/2018 Ref Status: Hulti Long: Select New Item for Select	Cert. Date 03/15/2018 08/17/2016 10/03/2017 07/07/2015	Result: Instructor test test test test test test test tes	Select Verified Yes No No Yes Ref 2		Received On File Yes Yes Yes No Yes Referenc Checkbo Heal Dropdow COMO0 Automobil inss. F. Da	fr Go to Set Default No No No Yes tr Select tr Select tr Po Po tr Select tr Po tr Select tr tr Select tr tr tr tr tr tr tr tr tr t	Certificate	

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.



Name: Johnson Aaron Team: Address: ALAMO, TN, 38001	Caregiv	er Code: Nik-2139 Vendor: Excellence QA - ML Iguages:	Office: Niks Office Phone: DOB: 01/01/1970	Caregiver Hours: H: 0 🛈 V: 0
General Requirements 😣 Med	licals/Other Require	ments 🕄 Verification		
Hire Date 😣	History	Discipline	Status	Compliance Rules
Hire Date: 09/28/2017	益	PCA	Not Compliant (3)	Compliance Rules
		HHA	Not Compliant 😣	Compliance Rules

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 History Discipline Hire Date: 04/12/2018 # PCA HHA HHA HHA HHA		
Hire Date: 04/12/2018 🗰 PCA	Hire Date 😣	History Discipline
ННА	Hire Date: 04/12/2018	PCA PCA
		ННА



Note: Refer to the <u>Hire Date as Required Field for Caregiver Applicant/Employee Compliance</u> 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).

Caregiver Scheduling and Availability								History
Allow Caregivers to Edit Availability via Mobile App: 🗹 🚯 🔽 Caregiver Hire Date Validation at Time of Schedule: 🚽							ne of Schedule: 🗹 🚺)
 Default Caregiver Availability: 	Saturday	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	
	0800-0800 Live-In	Edit						
Default Max Visits	Saturday	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	
- Availability:	3	3	3	3	3	3	3	Edit

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.

General Requirements 😫	Medicals/Other Requirem	ents 8	Verification	Ø	
Hire Date 😢		Discip	line	Status	Compliance Rules
Hire Date: 05/10/2016	曲	PCA		Not Compli	ant 😢 Compliance Rules
		нна		Not Compli	iant 😣 Compliance Rules

Caregiver Compliance Page: Discipline Status and Compliance Rules Section

Status

Under the **Status** column, click the <u>Compliant</u> (with a Green check) or <u>Not Compliant</u> 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. <u>Compliance Rules</u> links are available as reference, listing rules and requirements by Discipline.

Click the Compliance **Status** <u>link</u> 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 Require- ments	Hire Date, I-9 Requirements, Criminal Background, Training Schools, Com- pliance Fields.
Medicals	Active Medicals in the Compliance Setup
Other Compliance	Each additional <i>Active</i> 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.

HHAeXchange - Compliance Check	×
General Requirements	Â
Hire Date + Compliant	
I-9 Requirements • E-Verify Number required	
Criminal Background • Compliance not required for Criminal Background.	
Training Schools • Compliant	
Compliance Fields • Reference 2 required. • Professional License Number required.	
Medicals	
• Compliant	
Close	•

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).

General Requirements 😣	Medicals/Other Requireme	nts 😣	Verification	ø		
Hire Date 🕴		Discipli	ne		Status	Compliance Rules
Hire Date: 05/10/2016	曲	PCA			Not Compliant 😢	Compliance Rules
		HHA			Not Compliant 😢	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.

HHAeXchange - Compliance Rules	×
General Requirements	
Hire Date • Hire Date is required.	
Medicals	
Compliance not required for Medicals.	
Other Compliance	
Compliance not required for Other Compliance.	
In-Service	
Compliance not required for In-Service.	
Close	

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 Require- ments	Hire Date, I-9 Requirements, Criminal Background, Training Schools, Com- pliance Fields.
Medicals	Active Medicals in the Compliance Setup
Other Compliance	Each additional <i>Active</i> compliance item (Other Compliance) in the Com- pliance 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 <u>History</u> link to open the Compliance History for the corresponding Discipline.

General Requirements 😫	Medicals/Other Require	ements 🕄	Verification	ø		
Hire Date 😮	History	Discipline	Status		Compliance Rules	Compliance History
* Hire Date: 05/02/2018	益	PCA	Not Comp	liant	Compliance Rules	<u>History</u>
		HHA	Not Comp	liant 🙁	Compliance Rules	<u>History</u>

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.

HHAeXchange	e - Compliance Histo	ny	×
History			
Date	Status	Issues	
04/02/2019	Compliant: 🗹		
04/01/2019	Compliant: 🗹		
03/31/2019	Compliant:	Criminal Background Compliance	
03/30/2019	Compliant: ∉ [Edited]	Criminal Background Compliance	
03/29/2019	Compliant: ∉ [Edited]	Criminal Background Compliance	
03/28/2019	Compliant: ∉ [Edited]	Criminal Background Compliance	
03/27/2019	Compliant:	Criminal Background Compliance	
03/26/2019	Compliant:	Criminal Background Compliance	
	Course	Hire Date, I9 Requirements, Criminal	
	Save	Cancer	

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.

The Enterprise System



Edit Roles		
Edit Roles		
	* Section: Aide]
Menu		
Aide		
Expenses	,,,,,,,	<u>₩</u> <u>H</u>
As no ego no mito		
Search Aide		✓ H
AideCompliance		<u>м</u>
AideComplianceCertificateEdit	:	✓
AideComplianceEdit		✓
AideComplianceEmployeeEdit		
Compliance General Requirem	ients	√н
Edit Compliance History		
omr tance Medicals rather to	omplance	

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 8						History	
Column A+B Documents:	US Passport	Co	lumn C Documents:	Select	¥ 🖉	Verified: 🗹	
* I-9 Document Expiration:	**		Notes:			Ø	
E-Verify Number:							
Criminal Background ႙					v vat Vir	-	

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 selec- ted, users will not have to enter a Column C document for com- pliance.	If a Column B document is selec- ted, then users must enter a Column C Document for com- pliance.	Only required if a Column B doc- ument 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	0			
Sent Out:	#	Result: Select	Received:	Go to Settings to act le the two ws.
Training Schools				*****

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	X
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	Ø ×
SS Training School5 (Inactive)	07/07/2015	Test	Yes	07/07/2015	Yes	Yes	2 ×

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.

HHAeXchange - A	dd Training School	×
Training School		
* Training School:	Select	•
Certification Date:	#	
Discipline:	Select	•
Instructor:		
Verified:		
Verification Date:	節	
On File:		
Default:	[Only 1 can be Default]	
	Save Cancel	

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).



School Name	Discipline	Cert. Date	Instructor	Verified	Verification Date	On File	Default	Certificate	Add
alifornia Training School	нна			No		No	No	Ø	×
alifornia Training School	ESC			No		No	No	0	×
alifornia Training School	нмк			No		No	No	Ø	×

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 F	ields 😮							
Date Picker (Inactive):	04/05/2018	#	H Compliance Fields 1:	Ref 2	Ħ	Reference Checkbox:	Z H	
Ref Status:		•	E Compliance Fields 1:	•	Ħ	Multi Dropdown:	Select	H
Multi Long:	Select	•	H Compliance Fields 1:	•	н	COM002: [Ш	
New Item for Multiselect:	Select	•	E Compliance Fields 1:		Ħ	Automobile insu. Exp.		

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.

HHAeXchange	e - Edit Compliance Field	×
Compliance Fie	łd	History
* Name:	Confidentiality Statements	'
Status:	Active	·]
Field Type:	Checkbox	·
* Require:	⊛ Yes ⊖ No	
* Disciplines:	PCA	·]
Allow Document Upload:		
	Save Cancel	

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.

Mara Danka	No. And Andrewson	Discipling	Elabora	Compliance Rules	Consellance Malary
Hare Cate 🗸	Entrance.	Conception	June 1	Companyor Rand	Composition restory
* Hire Date: 01/06/2010		PCR	Nut.Camelant O	Cameliance, Rules	Ballace
		205A	tus.Comelant O	Compliance Rules	Siller .
1-9 Requirements O	_	_			Halary
Column A+8 Documenta:	US Passport or Passport Card [3-	2	Column C Documentur Sc	et •	Verfielt 2
* 1-9 Occument Expiration:	01/15/2020		Notes		2
E-Verify Number:	123456				
Compliance Fields O					
3 Honth Assessment:	1	Ce	indentiality Matements 🗍 🗄		
RN or LPN Diploma or Transcripts		_	Annual Training	a 🗾	
CNA Certi	. 2		CPR Certificate Expires On:	н,	
Reference: St	riect.		•		
			Save		

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.

The Enterprise System



Compliance Fields 🔕	
Reference 4: Select	Select • H
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).

General Requirements <table-cell></table-cell>	Medicals	/Other Require	ements <mark>8</mark>	/erification	ø					
Hire Date 📀		History	Discipline		S	tatus		Co	npliance Rul	es
Hire Date: 09/28/201	7 🛱		PCA		N	Iot Compliant 😢		Con	npliance Rules	
			HHA		N	lot Compliant 🙁		Con	npliance Rules	
Medicals 🤣										Ad
Pending Medicals 🔵	All Medicals	۲								
Medical Name	Status	Results	Due Date	Date Pe	formed	Requi	red	Notes	Documents	Delete
Rubella	Completed	Not Immune	09/28/2018	05/17/20	18	Yes			Ø	×
Rubella MMR	Pending		06/17/2018			Yes			Ø	×
Rubella MMR	Pending		06/29/2018			Yes			Ø	×
Other Compliance 😣										Ad
Pending Evaluations	All Evaluatio	ns 🖲								
Compliance Name	Status	Results	Due Date	Date Perfor	med	Required	Notes	Doc	uments	Delete
Annual Health Assessment	Overdue		10/28/2017			Yes			@	×
Chille Deview	Dending		05/26/2018			Vec				~

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	Per	rmissions				
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 Require- ments	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.

Medicals 😣								Add
Pending Medicals 🔘	All Medica	ls 🔾						
Medical Name	Status	Results	Due Date	Date Performed	Required	Notes	Documents	Delete
			N	lo Records Found.				

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.

HHAeXchange - Ad	d Medical	×
Add Medical		
* Medical Name:	Select v	
* Due Date:	66	
Date Performed:	65	
Result:	Select 🔹	
Notes:		
Upload File:	Note: File must be 1000 KB in size or smaller.	
	Save Cancel	

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.

Other Compliance 😡								Add
Pending Evaluations 🕥	All Evaluation	s ()						
Compliance Name	Status	Results	Due Date	Date Performed	Required	Notes	Documents	Delete
				No Records Found.				

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.





er Compliand	e Item			History	
pliance Item:	Annual Health A	issessment	v <mark>0</mark> 1	verdue	d
* Due Date:	10/28/2017	曲			
e Performed:		曲			
Result:	Select		Ŧ		
Score:					
Notes:				- 1	Not
Upload File:	🔗 Note: File mu	st be 1000 KB in size o	r smaller.		
	vliance Item: * Due Date: e Performed: Result: Score: Notes: Upload File:	* Due Date: 10/28/2017 e Performed: Result: Select Score: Notes: Upload File: 7 Note: File mu	Annual Health Assessment * Due Date: 10/28/2017 Result: Select Score: Note: Upload File:	Verback Teles Verback	Verback file: Verback in size or smaller.

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.

Medical / Com- pliance Item	Results / Required	Generates Upon
Rubeola	 Immune (Accepted Result) Not Immune (Accepted Result) It) 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

Default Medicals

The Enterprise System



Medical / Com- pliance 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 sep- arate 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 Phys- ical	Completed (Accepted Result)Not Completed	Immediately upon Hire Date
Annual Health Assess- ment	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 / Com- pliance 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 (Compliance Setu	tup Demo 123)							
General I-9 Requirements	Criminal Background	Training Schools	Compliance	Fields	Medicals/Other Compliance			
Setup Details								History
* Setup Name: Corr	mpliance Setup Demo 123				Office(s): Queens (I	ong Island City) <u>Edit</u>		
Status: Acti	tive	~						
			Publish	Discard				
Scheduling Validations			History	In-Servi	ce Requirements			Add
I-9 Requirements: 🔿 No 🤅	Warning O Validate			Discipline	Hours R	equired	Active	
Criminal Background: 🔿 No 🥃	Warning O Validate			<u>RN</u>	6		Yes	
Training School: 🔿 No 🤅	Warning O Validate			HHA	4		Yes	
Medicals/Other Compliance: O No	🔾 Warning 💿 Validate							
Custom Compliance Fields: 🔿 No 🖲	Warning O Validate							
			Save	Cancel				

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 Enterprise System



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 <i>Inactive</i> 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 <i>Medicals/Other Compliance</i> tab in the Item Manager and edits the 'Rubella" value; switching it from <i>Active</i> to <i>Inactive</i> . 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 <i>Active</i> to <i>Inactive</i>. This value remains as <i>Active</i> 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.

The Enterprise System



Running Process N	Ionitor											>
Running Processes	s (refresh	es autom	atically)									
Process		Started B	x	Details		Request Start Time	Process Start Time		Elapsed T	ime	Current Status	
Publish Compliance Se	stup	mlnikunj		Compliance Setup: SF California ProcessLogID: 1889	Setup - Office	4/23/2018 9:08:04 AM	4/23/2018 9:08:04 A	м	16:47		Processing	
Publish Compliance Se	etup	mlnikunj		Compliance Setup: SF California ProcessLogID: 1888	Setup - Office	4/23/2018 9:03:15 AM	4/23/2018 9:03:15 A	м	16:52		Processing	
Publish Compliance Se	stup	mlnikunj		Compliance Setup: SF California ProcessLogID: 1887	Setup - Office	4/23/2018 8:59:50 AM	4/23/2018 8:59:50 A	м	16:56		Processing	
Publish Compliance Se	etup	MultiQA		Compliance Setup: CE ProcessLogID: 1885	319 setup	4/23/2018 8:37:48 AM	4/23/2018 8:37:48 A	м	17:18		Processing	
Publish Compliance Se	etup	mlnikunj		Compliance Setup: SF California ProcessLogID: 1884	Setup - Office	4/23/2018 8:28:56 AM	4/23/2018 8:28:56 A	м	17:27		Processing	
Recalculate Caregiver Compliance		mlnikunj		Caregiver Name: 0926 1997) ProcessLogDetailID =	5 Caregiver (HHA- 14053	4/23/2018 8:26:55 AM	4/23/2018 8:26:55 A	м	17:29		Processing	
Publish Compliance Se	etup	mlnikunj		Compliance Setup: SF California ProcessLogID: 1883	Setup - Office	4/23/2018 8:19:56 AM	4/23/2018 8:19:56 A	м	17:36		Processing	
Recalculate Caregiver Compliance		mlnikunj		Caregiver Name: Shal ProcessLogDetailID =	n Karan 11874	4/19/2018 10:48:55 AM	4/19/2018 10:48:55	АМ	111:07		Processing	
					Ref	resh						
Completed Proces	ses											
Total Results(100	5)								Pag	ge 1 of 21	First Prev Next Last	
Process	Started B	¥.	Details		Request Start Time	Process Start Time	End Time	Duration		<u>Status</u>		
Publish Compliance Setup	mlnikunj		Compliance Setup: SI California ProcessLogID: 1886	9 Setup - Office	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: SI California ProcessLogID: 1882	9 Setup - Office	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: Sha (A01-1338) ProcessLogDetailID =	h M Sulay - Caregiver 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: SI California ProcessLogID: 1881	9 Setup - Office	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: SI California ProcessLogID: 1880	P Setup - Office	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 <u>Inactive</u> 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 <u>Inactive</u>.
 - 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 <u>Inactive</u> 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 Com- pliance Setup.

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

ുമപ്പം പം	.nu	
Compliance Setup		<u>И</u>
Search Setups		<u>И</u>
Add New Comp	oliance Setup	
Edit Values In	Compliance Setup	
Item Manager		<u>и</u>
Add Item Mana	ager Value	\checkmark
Edit Item Mana	ager Value	
Mer" tal 5 tup		

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.

General Requirements 😢 Medicals/Other Requ	irements 😣 Verification	ø	
Hire Date 😣	Discipline	Status	Compliance Rules
Hire Date: 05/10/2016	PCA	Not Compliant 😮	Compliance Rules
	ННА	Not Compliant 😣	Compliance Rules
Compliance Verification (j) List Name	License Numb	er	
Compliance Verification () List Name MO Active Licensed Administrators	License Numb	er	Edit
Compliance Verification () List Name MO Active Licensed Administrators MO Division of Professional Registration Licensure	License Numb	er	<u>Edit</u> <u>Edit</u>
Compliance Verification () List Name MO Active Licensed Administrators MO Division of Professional Registration Licensure MO Insurance Licensure	License Numb	er	<u>Edit</u> <u>Edit</u> <u>Edit</u>
Compliance Verification () List Name MO Active Licensed Administrators MO Division of Professional Registration Licensure MO Insurance Licensure NPPES	License Numb	er	<u>Edit</u> <u>Edit</u> <u>Edit</u> <u>Edit</u>

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.

1-9 Document								<u>n</u>
Column A+B Documents: Photo ID card			Colun	n C Documents: and	Birth Certificate [3-C]		
I-9 Document Expiration: 06/22/2018				Verified: Yes				
E-Verify Number: 77889900								
Additional Info								
Medical								
Medical Name	Status	Result	Due Date	Date Perfomed	Required	Notes	Add	
Rubeola	Pending		06/25/2018		Yes		Edit	
			Edit					

Trainee Profile: I-9 & Medical Sections

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

Trainee Page Compliance (Permissions)				
Tabs	Peri	nissions		
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 His- tory	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 Com- pliance 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 spe- cific 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 par- ticipating 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. <i>Note: Generates as an Excel spreadsheet.</i>
Missing Medicals/Other Com- pliance Items	This report is generated to determine if any Medicals/Other Com- pliance 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).

Data Source 🔿 Colu	nns 🕈 Filters/Parameters Misc 🕈 Preview 🕈 User Rights
Report Category :	New Compliance
Report Sub Category :	Select T
* Report Name :	Caregiver Compliance Rep
* Data Source Category :	Compliance
* Data Source:	Select
Offices:	Select

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).

The Enterprise System



Name: Team: Address:	Caregiver Code: Vendor: Languages:	Office: <u>HHAeXchange Office</u> Phone: DOB: 09/18, i
Reofile		
Demographics		
* First Name: * Last Name:		Middle Name: * Initials:
* shudda		
M. Ital. Cat. I		
Dependents:		(i) Secondary Offices: Westchester (Excelleng Exchange Office)
Employment Info		
* Type: Applicant H		* Status: Active H Reason:

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.

Name: Team: Address: &	N. N. 11214	c	Caregiver Code Vendor Languages	100.073 Localesce (p. 19,	Office: <u>HHAeXchange Office</u> Phone: DOB: (Caregiver Hours: H: 0 ① V: 0
General Requirements 💙	Medicals/Other Re	equirements	C Verificat	tion <i>C</i>		
Hire Date 🤣	Ŀ	listory	Discipline	Status	Compliance Rules	Compliance History
Hire Date:	益		PCA	Not Compliant 😣	Compliance Rules	History
		1	нна	Not Compliant 😢	Compliance Rules	<u>History</u>
		1	RN	Compliant 📀	Compliance Rules	History
		[LPN	Compliant 😔	Compliance Rules	<u>History</u>
I-9 Requirements 🛇						History
Column A+B Documents:	Native American Trit	bal 🔻 🧭		* Column C Documer	nts: Social Security Card [1-C] V	🔗 Verified: 🗌

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.





General Requirement	ts 8 Hedicals/Other Requirements 8 Verification 2	
Hire Date 🥑	History Discipline Status	Compliance Rules Compliance Hist
Hire Date:	HHAeXchange - Compliance Check	Compliance Rules History
	General Requirements	
I-9 Requirement	Hire Date • Compliant	
Column A+B Doc	1-9 Requirements	ecurity Card [1-C] 🔹 🖉 Verified: 🖁
I-9 Document Ex	Compliant	-
E-Verify	raining Schools	
Criminal Backgro	• Compliant	
Sent Out: 01/0	Accepted value required for Reference 4. • Accepted value required for Test1.	Received: 01/17/2018
Training Schools	Medicals	
School Name	D1 Aesha • Selected 01 Aesha result is not an Accepted Selection.	n File Default Certificate
California Trainino Sc	Close) No 🚺

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