



Exclusion and Verification Lists Process Guide

User Guide

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Exclusion and Verification Lists

Overview

DISCLAIMER

Exclusion Lists are available for view and reference purposes only. Contact the [HHAX Support Team](#) to enable the available Exclusion Lists and to obtain a full list of Exclusion and Verification/Licensure Lists.

To assist our clients with the tracking and verifying of **Exclusion Lists** such as OIG, OMIG, and numerous others, HHAExchange (HHAX) can enable various lists showing Caregivers and Physicians who are excluded from federally-funded programs.

This category covers the **Exclusion and Verification Lists** functionality in the HHAExchange (HHAX) system. This functionality is managed at an Office level and is run from various sections and pages across the system.

Please direct any questions, thoughts, or concerns regarding the content herein to [HHAExchange Customer Support](#).

HHAX System Key Terms and Definitions

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

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

Exclusion and Verification Lists

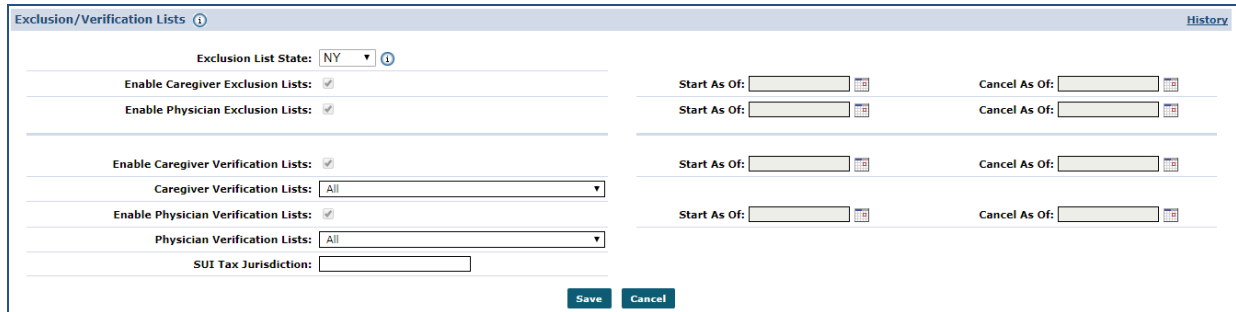
In the HHAX system, the National Lists are run first followed by the State Lists, both in alphabetical order. The table below is an example of how Exclusion Lists are run in New York (and every state).

Refer to the [Exclusion and Verification Lists](#) reference document for a complete list and descriptions for the states where HHAX operates.

All States	New York (specific)
Every state runs the following Exclusion Lists, along with their state-specific lists. <ul style="list-style-type: none">• GSA• OFAC SDN• OIG	Runs the following Exclusion Lists. <ul style="list-style-type: none">• GSA• OFAC SDN• OIG• NY DOH Office of Professional Medical Conduct• NYSED Office of Professions Professional Misconduct Enforcement• OMIG

Office Setup

The **Exclusion/Verification Lists** functionality is managed at an Office Level. Navigate to **Admin > Office Setup > Edit Office** and scroll the applicable section (under the *Overtime Scheduling* section).



Exclusion/Verification Lists – User Interface

The dropdown options of the **Caregiver Verification Lists** and **Physician Verification Lists** are available for viewing purposes only (not editable), as seen in the image above. These dropdown menus are organized alphabetically by State followed by the List Name. These fields are multi-select (more than one state and Lists can be selected).

The **Exclusion List State** field dropdown displays the applicable state for the Office. If no state is selected, the dropdown displays the word “Select” indicating no available options. The info bubble displays all lists running for the selected State.

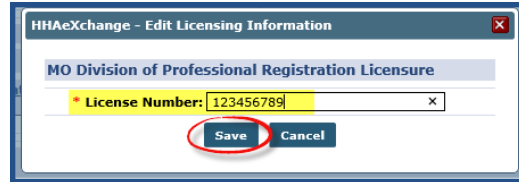
Caregiver Verification Lists

Navigate to **Caregiver Profile > Compliance** to access a Caregiver’s Licensing Information section. Unlike Exclusion Lists, note that License Numbers are required to run Verification Lists. If no License Number is available, the Caregiver cannot be checked against any Verification List run.

Compliance Verifications		
No compliance verification found		
Licensing Information ⓘ		
List Name	License Number	
Death Master file from the Social Security Administration	123456	Edit
The National Plan and Provider Enumeration System (NPPES)	123456	Edit
New York State Education Department’s Office of the Professions Licensure Verification	123456 (Nurse, LPN)	Edit
New York State Home Care Registry	123456	Edit
Missouri Active Licensed Administrators	123456	Edit
Missouri Insurance Licensure	123456	Edit
Missouri Division of Professional Registration Licensure	123456	Edit
Pennsylvania Department of State Licensing System Verification	123456	Edit
Pennsylvania Department of Health Nurse Aide Registry	123456	Edit

Caregiver Licensing Information Section

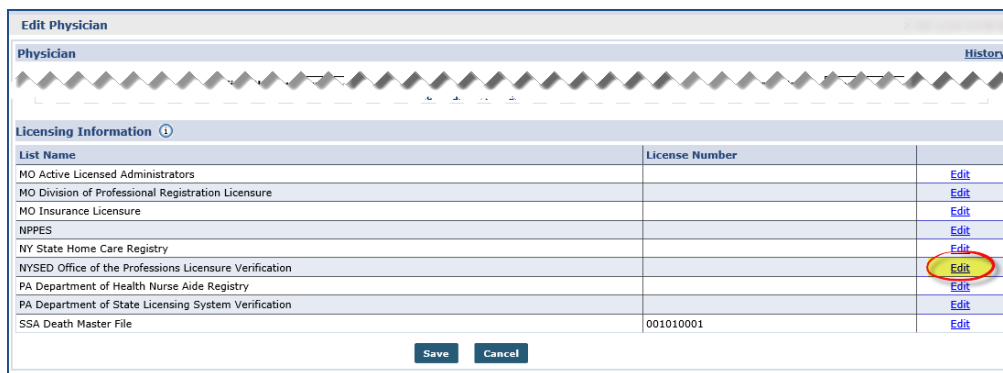
To add or edit a Caregiver’s License Number, click the [Edit](#) Link (on the far-right column). The Edit Licensing Information window populates displaying the applicable License title. In the License Number field, edit or enter the applicable License Number and click the **Save** button.



Caregiver Licensing Information Edit Window

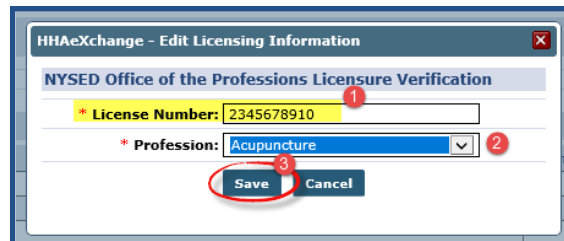
Physician Verification Lists

Navigate to **Admin > Physician Setup > Search Physician** to access a Physician’s Licensing Information section. To add or edit a Physician’s Licensing Information, click the [Edit](#) link.



Physician Licensing Information – Edit Physician Profile

The Edit Licensing Information window populates displaying the applicable License title. In the **License Number** field, edit or enter the applicable License Number, select the applicable **Profession** from the dropdown menu and click the **Save** button.



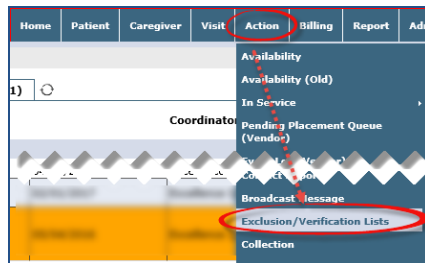
Physician Licensing Information Edit Window

Note: The system updates Licensing Information records after successful save of Physician’s profile and only via the popup window (as illustrated above).

Running Exclusion/Verification Lists

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

To run *Exclusion/Verification Lists*, navigate to **Action > Exclusion/Verification Lists** to access the interface page.

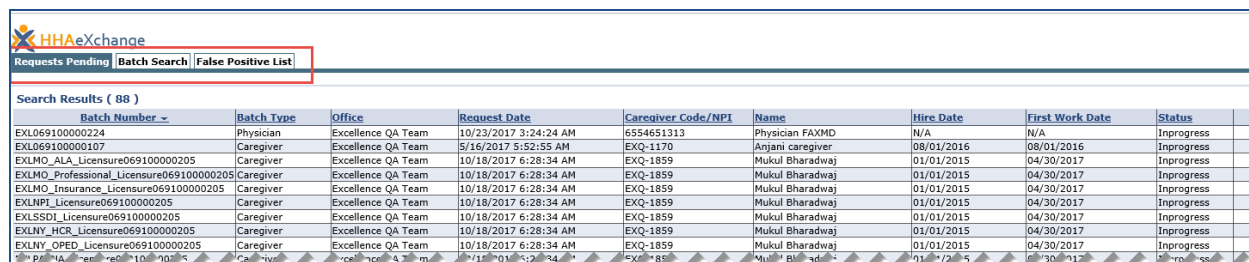


Action > Exclusion/Verification Lists

The Exclusion/Verification Lists Interface opens in a separate window to a summary page on the **Requests Pending** tab. Other tabs include **Batch Search** and **False Positive List** which are covered in the following sections.

Requests Pending Tab

The **Requests Pending** tab provides search results. From here, users can see detailed information including the *Batch Number*, the *Batch Type*, and other pertinent information such as the Caregiver’s Code/NPI and the Status.



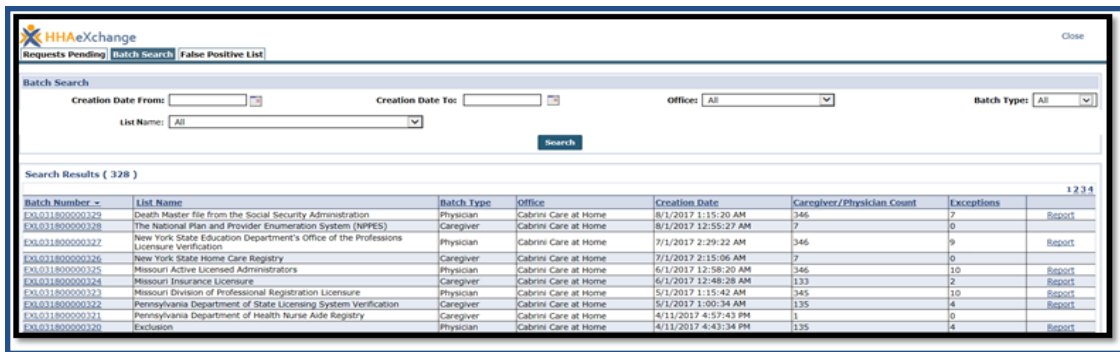
Batch Number	Batch Type	Office	Request Date	Caregiver Code/NPI	Name	Hire Date	First Work Date	Status
EXL069100000224	Physician	Excellence QA Team	10/23/2017 3:24:24 AM	6554651313	Physician FAXMD	N/A	N/A	Inprogress
EXL069100000107	Caregiver	Excellence QA Team	5/16/2017 5:52:55 AM	EXQ-1170	Anjani caregiver	08/01/2016	08/01/2016	Inprogress
EXLMO_ALA_Licensure069100000205	Caregiver	Excellence QA Team	10/18/2017 6:28:34 AM	EXQ-1859	Mukul Bharadwaj	01/01/2015	04/30/2017	Inprogress
EXLMO_Professional_Licensure069100000205	Caregiver	Excellence QA Team	10/18/2017 6:28:34 AM	EXQ-1859	Mukul Bharadwaj	01/01/2015	04/30/2017	Inprogress
EXLMO_Insurance_Licensure069100000205	Caregiver	Excellence QA Team	10/18/2017 6:28:34 AM	EXQ-1859	Mukul Bharadwaj	01/01/2015	04/30/2017	Inprogress
EXLNPI_Licensure069100000205	Caregiver	Excellence QA Team	10/18/2017 6:28:34 AM	EXQ-1859	Mukul Bharadwaj	01/01/2015	04/30/2017	Inprogress
EXLSSDI_Licensure069100000205	Caregiver	Excellence QA Team	10/18/2017 6:28:34 AM	EXQ-1859	Mukul Bharadwaj	01/01/2015	04/30/2017	Inprogress
EXLNY_HCR_Licensure069100000205	Caregiver	Excellence QA Team	10/18/2017 6:28:34 AM	EXQ-1859	Mukul Bharadwaj	01/01/2015	04/30/2017	Inprogress
EXLNY_OPED_Licensure069100000205	Caregiver	Excellence QA Team	10/18/2017 6:28:34 AM	EXQ-1859	Mukul Bharadwaj	01/01/2015	04/30/2017	Inprogress

Exclusion/Verification Lists: Request Pending Tab

Batch Search Tab

A **List Name** dropdown menu is available to select Lists as setup by the System Administrator. Once the dropdown is opened, several lists appear for which the user has permissions based on their Agency’s offices. From this dropdown, users can select which Lists to batch in a search.

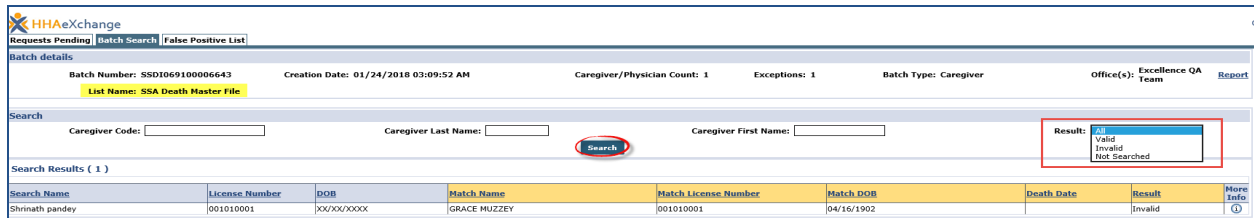
Once a search is executed, the results page appears as follows.



Batch Search Results

The dropdown menu displays all Exclusion Lists for which the Agency chooses to run batches for. Search results are based on the selected Exclusion Lists.

Upon selecting the Batch, the user arrives at the Batch Details search page which provides the selected Batch Details such as the List Name, Batch Number, and other details. Search filters are available to expand the search further to include a **Results** dropdown, as described in the table beneath the following image. Click the **Search** button to expand details further.



Batch Search: Refined Search

Field (Select...)	Results...
All	Displays Valid , Invalid , and Not Searched results on the same page.
Valid	Displays all Verification List results where the search details are the same as the match details.
Invalid	Displays all results where search name and license number do not match records in queried database. In the image above, the <i>Death Master List</i> is used. In this List, a person's Social Security Number (SSN) is verified to ensure that the SSN does not belong to a dead person (in case the employee provides a false SSN). In the system, the SSN is considered a "License Number." In this case, a searched license number is identical to a matched license number which may indicate fraud. For this reason, the individual shows as "Invalid."
Not Searched	Displays all results which had insufficient information recorded in the HHAX system such that a query would have been unsuccessful, and therefore no query was run. All individuals batched up to be run through a Verification List must have the minimum required details available in the required fields of their profile. If the required details are not

available in the required fields, they are not entered into a batch or query, and their record appears as "Not Searched."

Adding individuals to the False Positive List (FPL)

The following example illustrates how to add a Caregiver to a False Positive List (FPL) after running a Batch Search. Caregiver *Jane Doe* shows up on a **GSA** list; however, the Agency has determined that Jane Doe is not a Caregiver.

Step	Action
1	<p>On the <i>Batch Search</i> results, click on the Batch Number (link) showing Exceptions (count).</p> <p style="text-align: center;">Batch with Exceptions</p>
2	<p>The <i>Batch Details</i> page opens. Select the Exclusion (for example GSA).</p> <p style="text-align: center;">Select Exclusion List</p>
3	<p>On the search results, 1) compare and confirm that the Caregiver is a false positive. 2) Click on the Add to FPL button (on the right-most column of the row), as seen in the following image.</p> <p style="text-align: center;">Adding Caregiver to a FPL</p>
4	<p>Moving forward, the selected Caregiver does not show up on the selected Exclusion list when compared to the same incorrect excluded individual.</p>

False Positive List Tab

The **False Positive List** tab only deals with Exclusion Lists which includes newly added Lists. The **Exclusion** dropdown shows all selected Lists (all Lists available for any office throughout an Agency), as shown in the following image. *Select* an **Exclusion List** from the dropdown, which is required to run a query. Click the **Search** button to continue.


False Positive Tab: Exclusion List Search

The results are generated in the *False Positive List* grid, as shown in the following image. Each line item indicates specific information as described in the table below the image.

Type	Caregiver Code/NPI	Name	DOB	Exclusion Name	Exclusion DOB	General	Exclusion Type	Specialty	Address	Date	Reinstatement	Date Added	More Info
Caregiver	1007	Katherine C	XX/XX/XXXX	KATYA SARAYARAKAEV SILVA	07/29/1969	IND- LIC HC SERV PRO	112884	NURSE/NURSES AIDE	SAN LUIS OBISPO CA 93405	11/20/2012		11/03/2017	X
Caregiver	1082	satya m	XX/XX/XXXX	SATYA V BUSHANAM		MEDICAL PRACTICE, MD	1128A1	GENERAL PRACTICE/FP	LOVELAND CO 80537	04/22/1985		11/01/2017	X
Physician	1234567891	james bond	N/A	CHRISTOPHER JAMES BOND	12/16/1981	INDIVIDUAL (UNAFFILI)	1128A1	NO KNOWN AFFILIATION	SPRINGFIELD OR 97477	09/18/2014		11/13/2017	X
Physician	2285282828	Pradeep B	N/A	VISHNU PRADEEP MEDA	05/16/1980	IND- LIC HC SERV PRO	1128A1	PHYSICAL THERAPY	MILAN MI 48160	05/20/2014		11/02/2017	X
Physician	4444444444	Physician 1	N/A	ASTRAMED PHYSICIAN PC		MD/DO PRACTICE	112888	GENERAL PRACTICE	WAYMART PA 18472	02/20/2017		08/08/2017	X

False Positive List Results

Column	Description
1	Type Indicates Employee Type (Caregiver or Physician)
2	Caregiver Code/NPI The National Provider Identifier (NPI) Number or Caregiver Code assigned by the HHAX system.
3	Name Caregiver/Physician Name
4	DOB Date of birth recorded in the system
5	Exclusion Name Name registered with Licensure
6	Exclusion DOB Date of birth registered with Licensure
7	General Specifies the type of Licensure
8	Exclusion Type Indicate what the applicable Exclusion
9	Specialty Indicates the individual's specialty
10	Address Address registered with Licensure
11	Date Effective date of Exclusion
12	Reinstatement Effective date of Reinstatement (if applicable)

Column		Description
13	Date Added	
14	More Info	<p>Click the More Info (icon) to access the view-only Response Details popup summary window.</p> 
15	Delete	Delete the record from the result list