

Compliance Portal User Guide

- **Access:** All VUMC employees can access the Compliance Portal [here](#). Only VUMC employees have access to the portal.
Note that the Compliance Portal does not work in IE8 or below. Firefox or Chrome is preferable.
- **Content:** The Compliance Portal is used to track Staff compliance only. The Compliance Portal reflects the completion status of the following items:
 1. Required LMS Annual Training (source: [Vanderbilt Learning Exchange](#))
 2. Conflict of Interest (source: [Vanderbilt Conflict Disclosure System](#))
 3. Health Information Categories
 4. Immunization and Screening (source: [Health & Wellness Information Portal](#))

Please note the items listed above (with the exception of Health Information Categories) are fed from source systems, so incorrect or incomplete information must be updated in the source system.

- **Health Information Categories:** This is the only item not fed from a source system. To complete this item, the EE must click on “Health Information Category,” select the item(s) that best reflects the EE’s access to HIPAA information based on job code, and click “save” (see screen shot below).

The “Use Defaults” option automatically populates the category based on the EE’s job code. However, because not all job codes have defaults available in the HIPAA system, selecting “Use Defaults” will not always return categories as selected, in which case the most appropriate option(s) should be manually selected.

“None” is also an option. Selecting “None” unselects any other categories automatically.

The HM will verify the selected item is correct and has the ability to “Clear” and select “Use Defaults.”

The screenshot shows a web form titled "Health Information Categories". The form contains the following elements:

- Title:** Health Information Categories
- Section Header:** Assign Health Information Categories to the Employee
- Text:** Patient privacy is taken very seriously at VUMC. Please verify the types of information this employee requires to complete his/her key functions. There is a default designation that was given to the job. You can select this default designation by clicking *Use Defaults*. If this employee requires access to different types of patient information, you can create a customized designation by clicking the individual categories. Whether you select the default designation or create a customized designation, you must save the assignment by clicking *Save*.
- Text:** For more information on completing this page, click on the following link:
<http://www.mc.vanderbilt.edu/HIPAA/HICdirections.pdf>
- Section Header:** Has Access To:
- Form Elements:** A list of checkboxes for selecting access categories:
 - None
 - Demographic
 - Directory/Schedules
 - Insurance
 - Special Precautions
 - Summary Clinical
 - Full Clinical
 - Financial
 - Credit Information
 - Research
- Buttons:** "Use Defaults" and "Clear" buttons are located below the checkbox list.
- Footer:** "Last Modified By: Powers, Alvin C" and "Cancel" and "Save" buttons.

- **Employee/Department Manager/Supervisor Listing:** An EE’s HM is based on the individual identified in Privilege Management as the “HR Department Manager/Supervisor” for the department in which the EE resides.
- **“My Employee” Tab:** Allows HM to view their direct reports’ information. Only individuals with direct reports will have this menu item. Selecting “My Employees” will display the departments and number of employees in each:

My Employees

Search Employees Department Title All Period

Employee Name	Employee Id	Job Code	Job Title	Department	Compliant
▶ 108215 - HR Systems Admin <input type="button" value="3"/>					

To view a listing of all your direct reports' compliance status, click on the department name. Any item with a Caution symbol in the Date Completed column is Not Compliant.

My Employees

Search Employees Department Title All Period

Employee Name	Employee Id	Job Code	Job Title	Department	Compliant
▼ 108215 - HR Systems Admin <input type="button" value="3"/>					<input type="button" value="Refresh"/>
Employee 1	1234567	1506	Mgr, HR Systems & Reporting	108215 - HR Systems Admin	<input checked="" type="checkbox"/>
Employee 2	2345678	1506	Mgr, HR Systems & Reporting	108215 - HR Systems Admin	<input type="checkbox"/>
Employee 3	3456789	3538	Sr Project Manager	108215 - HR Systems Admin	<input checked="" type="checkbox"/>

To view an individual EE's detailed Compliance Summary, click on the EE name (if the EE is a faculty or house staff member, an error message will appear; see next bullet). Note that all items in the EE's compliance listing that show in blue are hyperlinks to either the source system or a modal for manual data entry.

Employee Compliance

Employee Name
1234567
Mgr, HR Systems & Reporting
108215 - HR Systems Admin

Close of Compliance Period: 06/30/2017

Period

Description	Status	Date Completed
2017 Annual Compliance Curriculum: Fraud, Waste, and Abuse Curriculum	Complete	02/13/2017
2017 Annual Compliance: General Requirements Curriculum	Complete	01/17/2017
2017 Annual Compliance: Safety Curriculum	Complete	01/17/2017
Conflict of Interest	Complete	02/01/2017
Culture of Service: Service Recovery	Complete	11/08/2016
Health Information Categories	N/A	
Immunization and Screening	Complete	

- **Faculty and House Staff: Faculty access the Compliance Portal solely to review STAFF who report to them.** To track Faculty or house staff compliance, faculty and house staff members should log in to [FOTO](#).

COMPLIANCE PORTAL FAQs

(<https://hr.vanderbilt.edu/systems/compliance-faqs.php>)

- 1. The status of a compliance item in the Compliance Portal is incorrect. How can I change it?**

Compliance items that are fed from source systems, so incorrect information must be updated in the source system. Please contact the respective area for assistance: Required Annual Trainings are fed from [the Vanderbilt Learning Exchange](#) (annual training requirements vary by role as outlined [here](#)), Conflict of Interest from the [Vanderbilt Conflict Disclosure System](#), and Immunization Screening from the [Health & Wellness Information Portal](#).
- 2. The status of “Health Information Categories” is “Not Complete.” What should I do?**

If your status is “Incomplete,” click on “Health Information Categories,” select the item that best reflects your access to HIPAA information based on your job code, and click “save.” Note that selecting “Use Defaults” will automatically populate the category based on your job code’s access to HIPAA information per the HIPAA system maintained by the Health Information Management team. However, not all job codes have defaults available in the HIPAA system, so selecting “Use Defaults” will not always return categories as selected, in which case you should manually select the most appropriate option. Your supervisor will review your response and can modify as needed.
- 3. The status of “Immunization Screening” is “Not Complete.” What am I missing?**

Please log in to [Health & Wellness Information Portal](#) to review your mandatory and recommended immunizations. Once all items have been marked as complete in the Health & Wellness Information Portal, the item should be marked “complete” in the Compliance Portal. For any questions about immunization status or requirements, please contact the Occupational Health Clinic by phone at 615-936-0955 or by [email](#).
- 4. How do I document in my mid-year self-evaluation that I have completed all items in the Compliance Portal?**

Individual employees do not document compliance completion in their self-evaluation. Your manager will document that your compliance has been met. Both the employee and supervisor will see the compliance confirmation in the annual evaluation.
- 5. Some of my employees are missing from the Employee Detail listing. How do I correct this?**

If your list of employees does not correctly reflect your direct reports, please contact the [Employee Service Center](#) with the specific details. They will forward to the appropriate resources for review and get back with you regarding the discrepancy.
- 6. My staff member is on a leave of absence, what should I do about their compliance information?**

The Compliance Portal will display as “Not Completed” until the staff member returns leave. At that time, the staff member should complete all necessary items.
- 7. I am an organizational level manager and oversee several different areas. How do I view the compliance status of individuals who are not my direct reports, but do ultimately report up through me?** The Compliance Portal only displays the compliance status of direct reports. To view the compliance status for all employees who report to you (whether directly or not), you will need to access the [BI Launch Pad](#).
- 8. What browsers are supported by the Compliance Portal?**

The Compliance Portal does not work in IE8 or below. Firefox or Chrome are preferable.