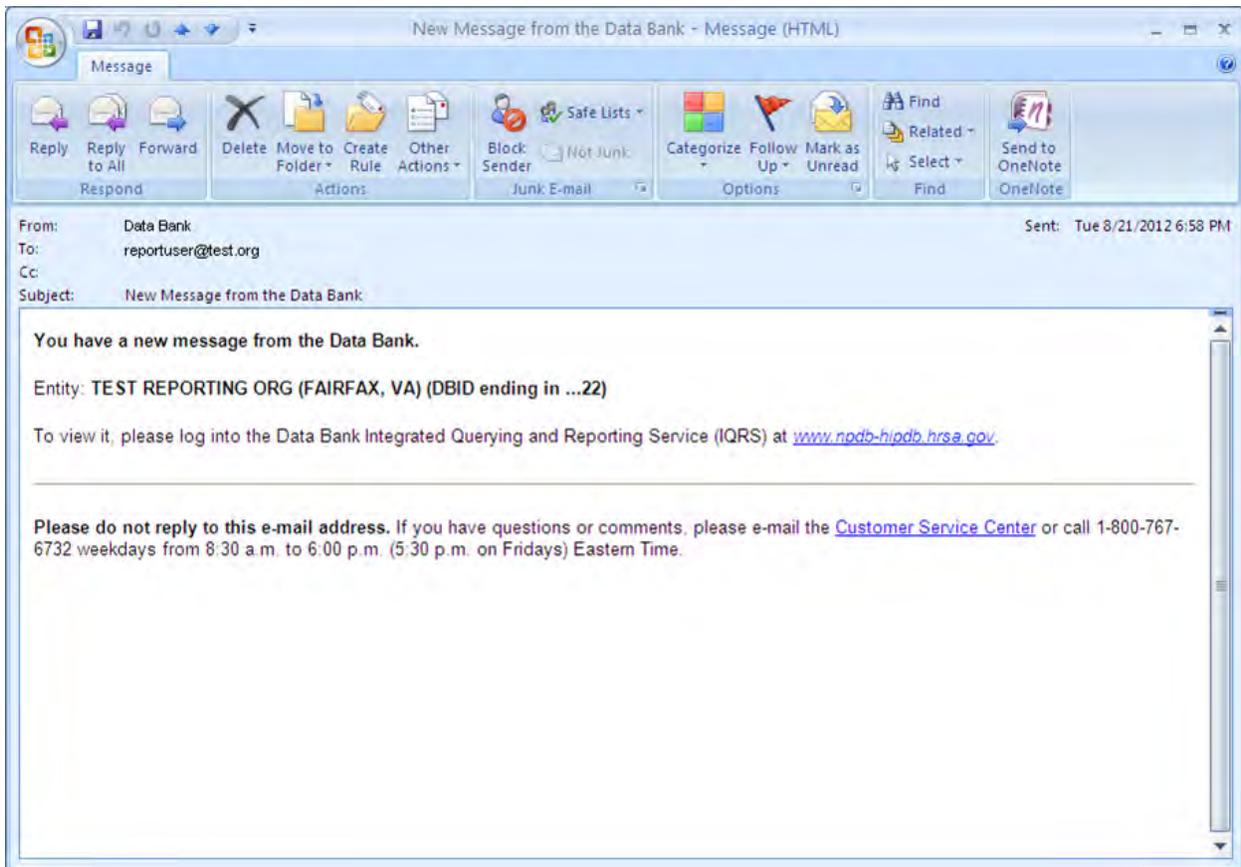


COMPLIANCE ACTIONS: A Tutorial for Data Bank Reporters

When your organization is part of a compliance effort, a **Compliance** button will appear on your *Options* page. Within the Compliance section, you will be notified of required actions to assist the Data Bank during a compliance effort and resolve any pending issues.

1. Notification - Action Required

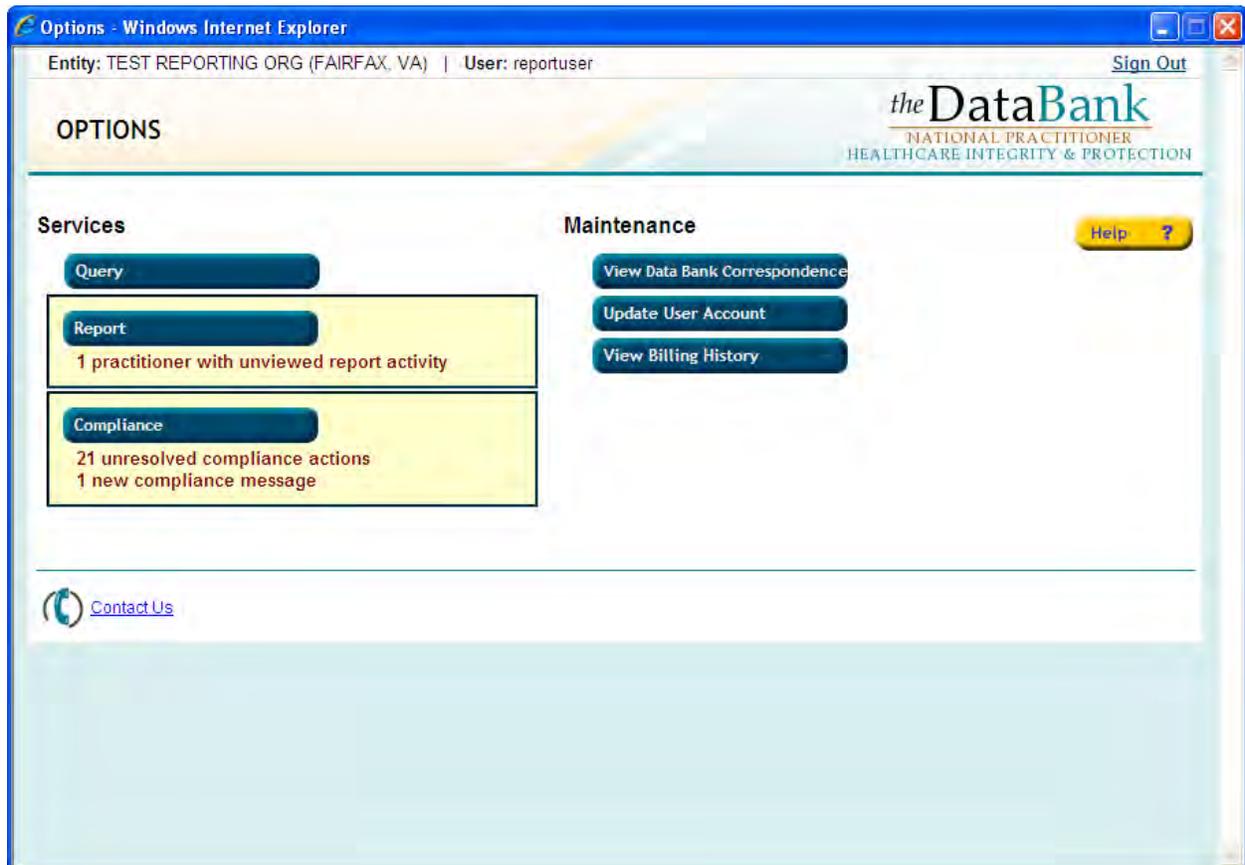
When your organization is part of a compliance effort you may be asked to consider whether actions taken by your organization are reportable to the Data Bank. These issues are called Compliance Actions and when your organization has new ones to resolve, you will receive a notification email like this one alerting you that you have a secure message. This is your prompt to sign into the Data Bank system.



2. Data Bank Compliance Page

A. Navigating to the *Compliance* Page

You can get to the *Compliance* page by clicking the **Compliance** button from the *Options* page after you sign into the Data Bank system.



B. Contents of the *Compliance* Page

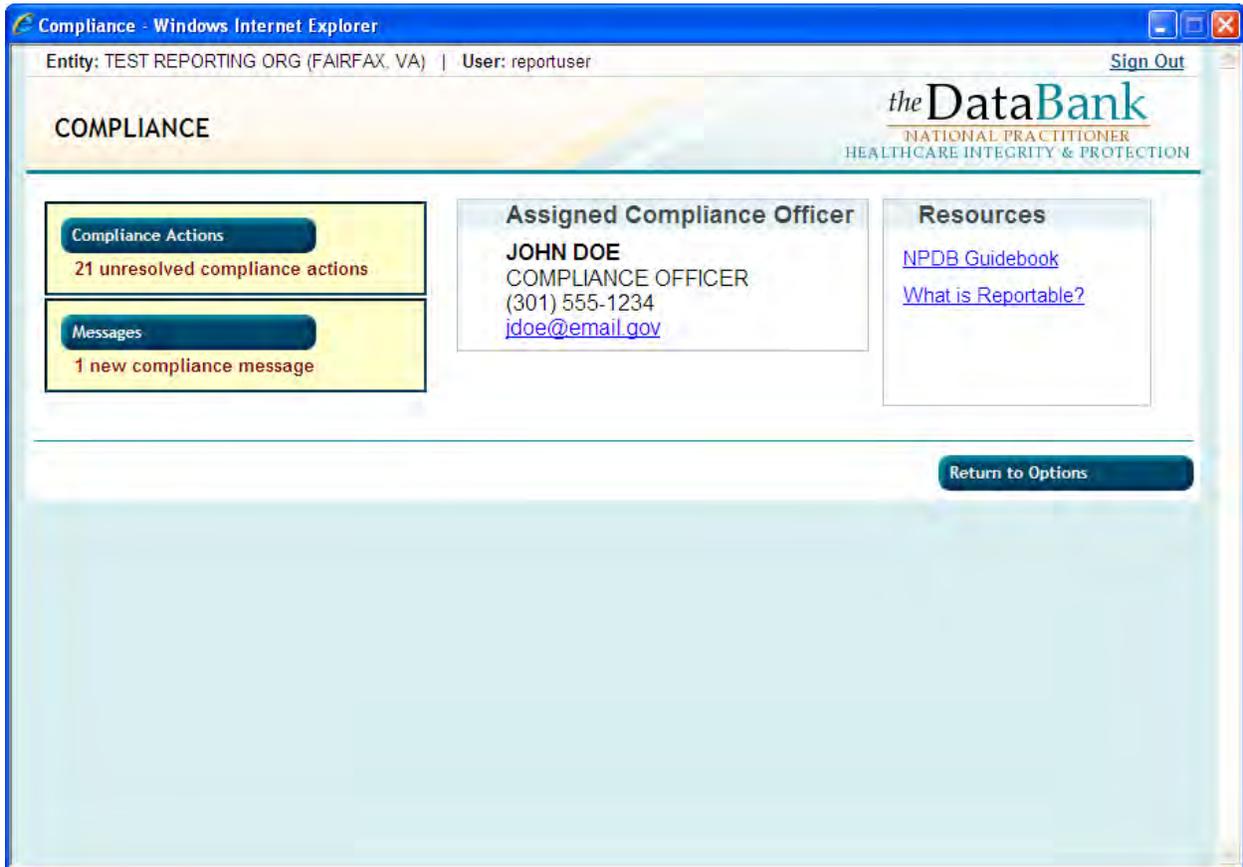
Compliance Actions: This button will take you to a screen where you can view reportable actions that require attention.

Messages: This button will take you to a screen where you can view all messages sent to you relating to compliance matters.

Assigned Compliance Officer: This area contains the name and contact information of the Compliance Officer assigned to your organization.

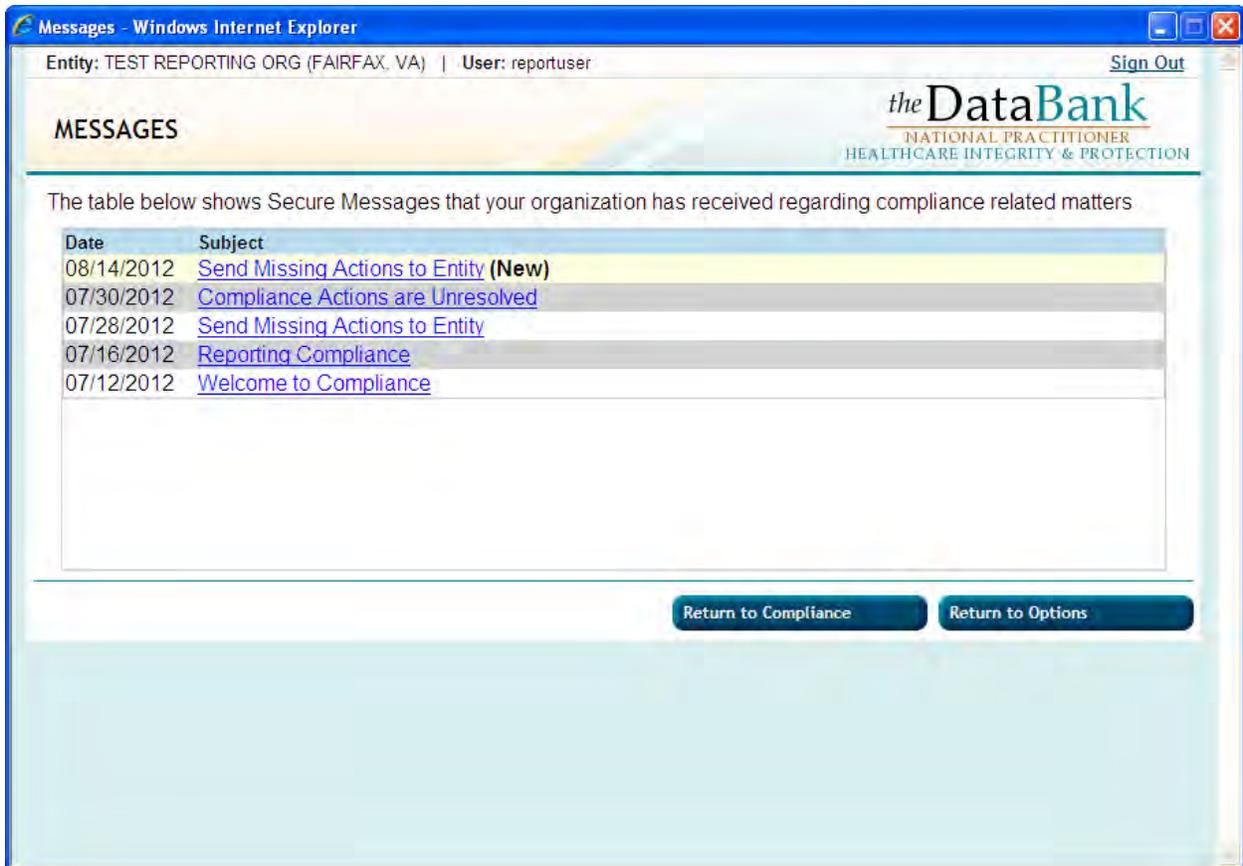
Resources: This area contains documents that might be helpful in answering questions you might have about reporting to the Data Bank or the compliance process.

After signing into the Data Bank and proceeding to the *Compliance* page, you will see the new **Compliance Actions** button. If any Compliance Actions are unresolved, an alert will appear around the button. The only way to clear this alert is to resolve all of your organization's Compliance Actions.



3. Compliance Messages

Compliance messages will be sent to your organization relating to various compliance activities. The *Message* page shows the date a message was received and its subject. Unviewed messages will be highlighted in yellow and shown first. Viewed messages will be shown in alternating gray and white rows, and will be ordered from most to least recent.



Not every message will have the ability to reply to it, but those with a **Reply** button will take you to another page that will allow you to write a message back. Some types of messages will have a button that lets you go directly to the area to which the message refers. For example, in the next screenshot the **Go to Action** button will take you to the action to which the message refers.

Message Received - Windows Internet Explorer

Entity: TEST REPORTING ORG (FAIRFAX, VA) | User: reportuser [Sign Out](#)

MESSAGE RECEIVED

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**** Secure Message Received ****

From: doej
To: BRENDA DOE
Subject: Reporting Compliance
Date: 07/16/2012

[Go to Action](#) [Reply](#)

Dear Data Bank User,

The attached action on Brad Bradley may be missing from the Data Bank and we are requesting you review and report if necessary to ensure that your organization is compliant with Data Bank reporting requirements. To get started resolving this missing action, please select the Go to Action button above. Alternatively, you may return to the Compliance Page and resolve the issue now or later. If you have a question about this message, please select the Reply button near the top of the page to send your assigned Compliance Officer a message.

If you need further assistance, please contact your assigned Compliance Officer or the Customer Service Center at 1-800-767-6732. The Customer Service Center is open weekdays from 8:30 a.m. to 6:00 p.m. (5:30 p.m. Fridays) Eastern Time and is closed on all Federal holidays.

[Return to Previous Page](#) [Return to Compliance](#) [Return to Options](#)

4. Compliance Actions

The *Compliance Actions* page lists all the Compliance Actions your organization should resolve. Each row contains the date that your organization was notified about a Compliance Action, and the name of the practitioner related to it. You may sort the Compliance Actions by clicking the **Date Notified**, **Name**, **Profession**, or **Status** links.

If you want to concentrate on just one of your organization's professions, you can also filter by profession by choosing the **Profession** link at the upper left side of the page.

By default, all unviewed Compliance Actions will be listed first, followed by the viewed but still-unresolved Compliance Actions. "Unresolved" Compliance Actions are those that the Data Bank believes require your attention, like a missing report. To display all Compliance Actions, including any you may have already resolved, select **All**, located below the **Download** button. You also have the ability to show only "Pending" Compliance Actions (those that you have attempted to resolve, but are still pending review by the Data Bank), or only "Resolved" Compliance Actions (for which the Data Bank has approved the resolution you provided).

Yellow rows signify that someone in your organization has not yet viewed those Compliance Actions. Rows of Compliance Actions that someone in your organization has already viewed will alternate between a white background and a grey one. The description of the row may also contain additional new information about a Compliance Action, such as a request for you to review the resolution of the action and rework it.

Entity: TEST REPORTING ORG (FAIRFAX, VA) | User: reportuser

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COMPLIANCE ACTIONS

The following reports may need to be updated. Click a name to view details about each issue.
[Compliance Actions Tutorial](#) [Download](#)

Filter by Profession: All Show : [Unresolved](#) | [Pending](#) | [Resolved](#) | [All](#)

Date Notified	Name	Description	Profession	Status
06/28/2012	Bradley, Brad	1 year suspension, \$1000 fine, 5 year probation (Date of Action: 05/07/2008)	Dentist	Unresolved
06/14/2012	Jeffries, Jeff	ES Order 139k (Date of Action: 01/17/2007)	Dentist	Unresolved
07/18/2012	Pierce, Piers	Revocation. Board met on 11/13/06 and eventually signed order on 3/27/07. (Date of Action: 08/29/2007)	Dentist	Unresolved
07/17/2012	Sanderson, Sandra	1 year suspension, \$1000 fine, 5 year probation (Date of Action: 10/12/2008)	Dentist	Unresolved
07/13/2012	Anderson, Anders	6 Month suspension (Date of Action: 05/07/2008)	Dentist	Unresolved

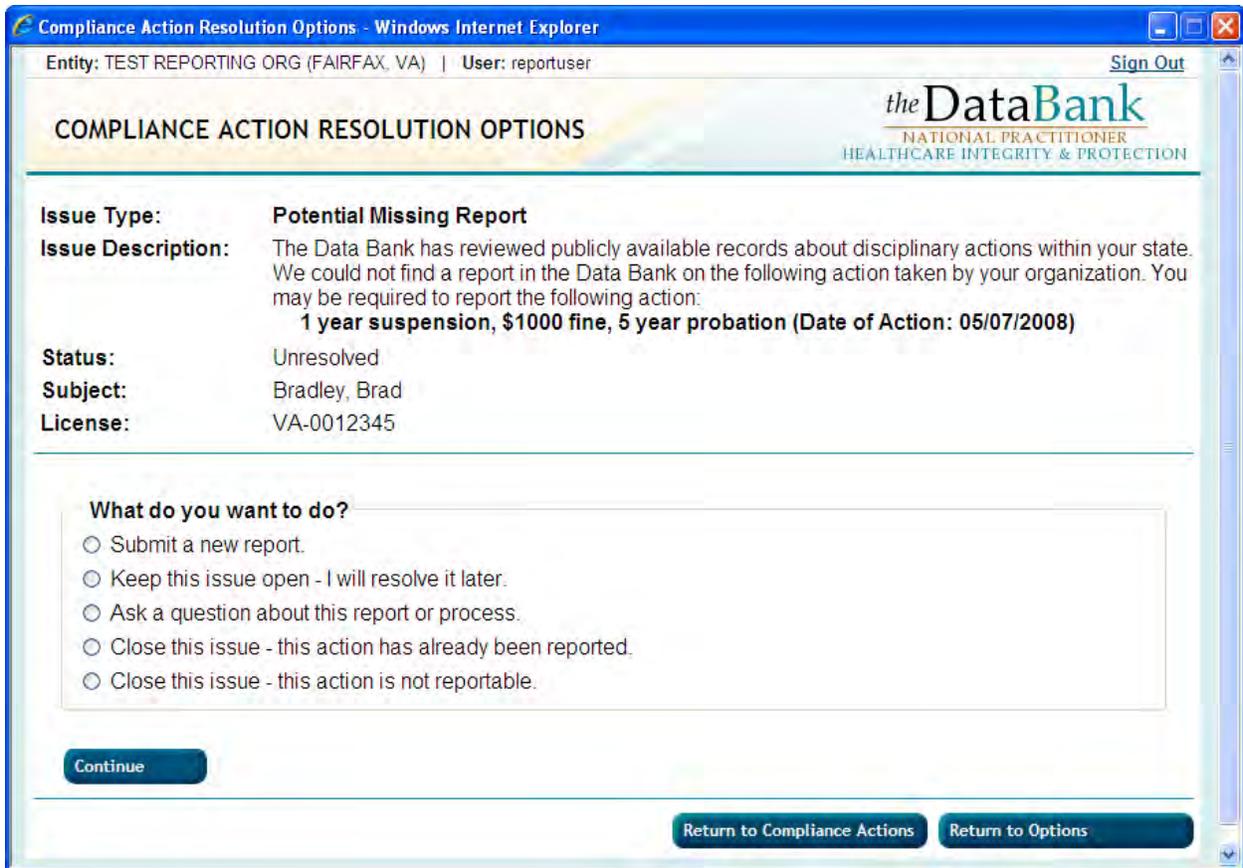
[Return to Previous Page](#)

If you wish to download an Excel or CSV file containing information about all Compliance Actions shown on the *Compliance Actions* page, click the **Download** button and follow the prompts.

To view and resolve a Compliance Action, click the linked name for the Compliance Action you want to resolve. For this tutorial, we are going to resolve the Compliance Action on Brad Bradley.

5. Resolution Options

Details of an issue from the Compliance Action page will display on the *Compliance Action Resolution Options* page. You get to this page by clicking the name of the practitioner.



At the top of the *Compliance Action Resolution Options* page, you will see a description of the problem along with information about the subject of the report. It will tell you what type of issue it is, provide a description, and its status. When known, there might be additional identifying information for the practitioner in question.

Issue Type:	Potential Missing Report
Issue Description:	The Data Bank has reviewed publicly available records about disciplinary actions within your state. We could not find a report in the Data Bank on the following action taken by your organization. You may be required to report the following action: 1 year suspension, \$1000 fine, 5 year probation (Date of Action: 05/07/2008)
Status:	Unresolved
Subject:	Bradley, Brad
License:	VA-0012345

At the bottom of the page, you will see options available to you for the particular issue. The following is a listing of those options and a description of what will happen after its selection and clicking **Continue**:

- **Submit a new report.**
Choosing this option starts the report submission process.
- **Keep this issue open - I will resolve it later.**
Choosing this option will return you to the *Compliance Actions* page. The issue will remain unresolved.

- **Ask a question about this report or process.**
Choosing this option will display a text box where you may type your question. When you click **Continue**, your message will be routed to the Data Bank. You will receive a response from your assigned Compliance Officer.
- **Close this issue - this action has already been reported.**
Choosing this option will display an input field for the existing report DCN and a text field for additional comments. When you choose this option, the Data Bank requires that at least one of these fields is completed. If you do not know the DCN of the report that this issue refers to, and choose to enter additional comments instead, you should provide detailed information that will help us locate the existing report in the Data Bank, such as the date you reported the action to the Data Bank.
- **Close this issue - this action is not reportable.**
Choosing this option will display a text field where you can describe why you believe this action is not reportable.

6. Compliance Action Resolution

There are three ways to resolve a Compliance Action:

- (1) You can submit a new report that captures the details described in the Compliance Action.
- (2) You can choose to close the action because the “action is not reportable.”
- (3) You can choose to close the action because the “action has already been reported.”

Regardless of which of the three choices you make, your Compliance Officer will review your activity and determine whether the Compliance Action can be closed, or if further action is necessary.

When you return to the *Compliance Actions Resolution Options* page after choosing one of the above resolution options, the status will be “Pending” and the page will appear differently than before.

Compliance Action Resolution Options - Windows Internet Explorer

Entity: TEST REPORTING ORG (FAIRFAX, VA) | User: reportuser [Sign Out](#)

COMPLIANCE ACTION RESOLUTION OPTIONS

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Issue Type: Potential Missing Report

Issue Description: The Data Bank has reviewed publicly available records about disciplinary actions within your state. We could not find a report in the Data Bank on the following action taken by your organization. You may be required to report the following action:
1 year suspension, \$1000 fine, 5 year probation (Date of Action: 05/07/2008)

Status: Pending

Subject: BRADLEY, BRAD

License: Dentist, VA-00012345 (VA)

Activity Log

- 06/28/2012 - Compliance Action
- 08/14/2012 - The Report with DCN: 7910000074122262 was submitted.

Your organization has submitted the following report(s) on this practitioner:

STATE LICENSURE

- VIOLATION OF STATE HEALTH CODE

*  **Initial Action(s):**

- PROBATION OF LICENSE
- SUSPENSION OF LICENSE
- PUBLICLY AVAILABLE FINE/MONETARY PENALTY

Date of Action: 05/07/2008
Date Submitted: 08/14/2012

Report Type: Initial [Modify](#)

Report DCN: 7910000074122262

Submitter: JOHN DOE

What do you want to do?

Use the **Modify** button(s) to correct, revise, or void a report. Otherwise, select an option from the list below.

- Submit a new report.
- Keep this issue open - I will resolve it later.
- Ask a question about this report or process.
- Close this issue - I have completely resolved it.

[Continue](#)

[Return to Compliance Actions](#)
[Return to Options](#)

- First, the page will display a detailed Activity Log of all actions ever taken to resolve the Compliance Action.

Activity Log

- 06/28/2012 - Compliance Action
- 08/14/2012 - The Report with DCN: 7910000074122262 was submitted.

Once an action is in the “Pending” state, your Compliance Officer will review the actions you have taken to resolve the issue. If your Compliance Officer agrees that the Compliance Action should be closed, the status will be changed to “Resolved.”

The screenshot shows a web browser window titled "Compliance Actions - Windows Internet Explorer". The page header includes "Entity: TEST REPORTING ORG (FAIRFAX, VA) | User: reportuser" and a "Sign Out" link. The main heading is "COMPLIANCE ACTIONS" with the logo for "the DataBank NATIONAL PRACTITIONER HEALTHCARE INTEGRITY & PROTECTION". Below the heading, a message states: "The following reports may need to be updated. Click a name to view details about each issue." A link for "Compliance Actions Tutorial" and a "Download" button are present. A filter section shows "Filter by Profession: All" and "Show : Unresolved | Pending | Resolved | All". A table with the following data is displayed:

Date Notified	Name	Description	Profession	Status
06/28/2012	BRADLEY, BRAD	(Resolved) 1 year suspension, \$1000 fine, 5 year probation (Date of Action: 05/07/2008)	Dentist	Resolved

At the bottom right, there is a "Return to Previous Page" button.

If your Compliance Officer does not agree that the Compliance Action should be closed, the status will be changed back to "Unresolved." The Compliance Officer will contact you or may add a message to the Compliance Action itself regarding the problem. Messages from your Compliance Officer regarding a specific Compliance Action may be viewed in the **Related Correspondence** section on the *Resolution Options* page.

Entity: TEST REPORTING ORG (FAIRFAX, VA) | User: reportuser [Sign Out](#)

COMPLIANCE ACTION RESOLUTION OPTIONS

the **DataBank**
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Issue Type: Potential Missing Report

Issue Description: The Data Bank has reviewed publicly available records about disciplinary actions within your state. We could not find a report in the Data Bank on the following action taken by your organization. You may be required to report the following action:
1 year suspension, \$1000 fine, 5 year probation (Date of Action: 05/07/2008)

Related Correspondence:

*** Message Sent: 08/14/2012 ***

The State Licensure action you reported covers a time frame that is not consistent with the action reported on your website.

Status: Pending

Subject: BRADLEY, BRAD

License: Dentist, VA-00012345 (VA)

Activity Log

- 06/28/2012 - Compliance Action
- 08/14/2012 - The Report with DCN: 7910000074122262 was submitted.

Your organization has submitted the following report(s) on this practitioner:

STATE LICENSURE

- FAILURE TO MEET LICENSING BOARD REPORTING REQUIREMENTS

* **Initial Action(s):** • LIMITATION OR RESTRICTION ON LICENSE Date of Action: 05/07/2008
Date Submitted: 08/14/2012

Report Type:	Initial	Modify
Report DCN:	7910000074122262	
Submitter:	JOHN DOE	

What do you want to do?

Use the **Modify** button(s) to correct, revise, or void a report. Otherwise, select an option from the list below.

- Submit a new report.
- Keep this issue open - I will resolve it later.
- Ask a question about this report or process.
- Close this issue - I have completely resolved it.

[Continue](#)

[Return to Compliance Actions](#) [Return to Options](#)

If you have questions about or need help with Compliance Actions, please call the NPDB-HIPDB Customer Service Center at 1-800-767-6732. The Customer Service Center is available from 8:30 am to 6:00 pm EST (5:30 pm EST on Fridays) every weekday except Federal holidays.