

Compliance Guardian
AlignRx

USER GUIDE

Welcome to Compliance Guardian

This guide is intended to provide you with information on how to access and navigate the AlignRx compliance solution.

Compliance Guardian
AlignRx

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Introduction

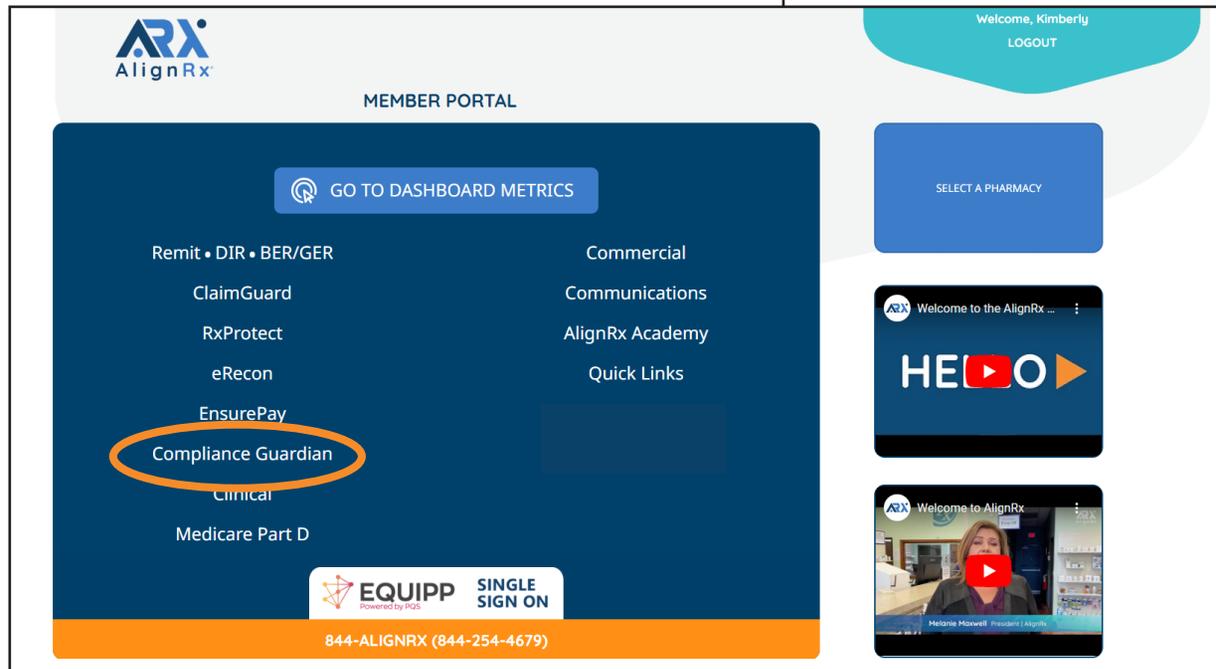
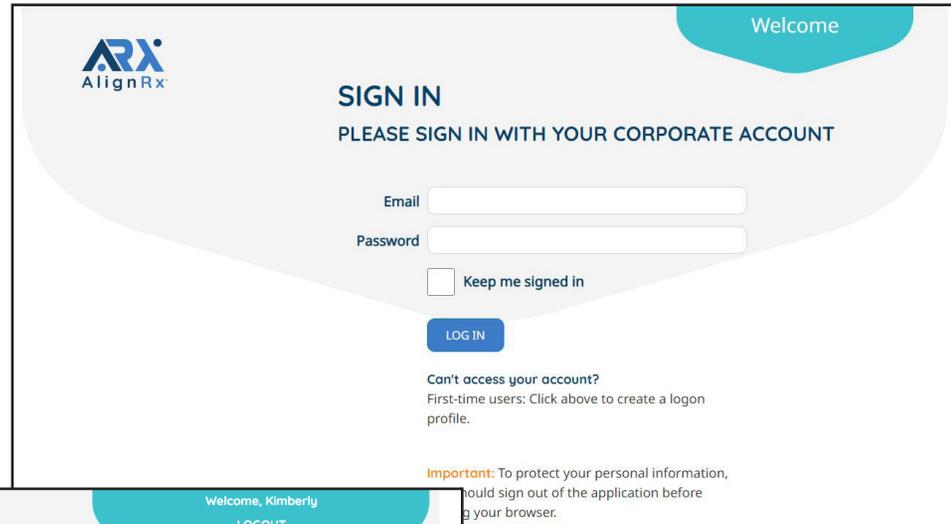
Compliance Guardian is a customized, web-based solution designed to help your pharmacy and employees meet federal training and compliance requirements.

Compliance Guardian offers:

- Online training modules designed to meet Centers for Medicare & Medicaid Services (CMS) requirements for Health Insurance Portability and Accountability Act (HIPAA) and Fraud, Waste, and Abuse (FWA)
- Automated monthly checks against the Office of Inspector General (OIG)/General Service Administration (GSA) exclusion lists
- Quick, easy access to documentation that shows proof of your compliance in the event of an audit

Accessing Compliance Guardian

Access the Member Portal at www.alignrx.org.
Log in with your credentials. If you forgot your credentials, click "Can't access your account?".



Once logged in, click **Compliance Guardian** from the Member Portal menu.

Accessing & Downloading Reports

Through Compliance Guardian, your pharmacy has 24/7 access to the following reports:

- **OIG/SAM**

This monthly report compares your employees against the OIG and SAM exclusion lists and lets you know whether or not they have been flagged.

- **Training**

On-demand reporting allows you to view the completion date of each employee's training.

- **Expired Documents**

On-demand reporting shows the status of all employee-level licenses and their expiration dates.

The screenshot shows the Compliance Guardian dashboard. A blue arrow points from the text on the left to a set of report download links circled in orange. The links are: [Download OIG/SAM Report](#), [Download OIG/SAM History](#), [Download Training Report](#), [Download Training History](#), and [Expired Document Report](#).

COMPLIANCE GUARDIAN

Welcome, Emil
Login As Admin (Don)
LOGOUT

ARX AlignRx

Home
Dashboard Metrics
Remit • DJR • BER/GER
ClaimGuard
EnsurePay
Compliance Guardian
Clinical
Medicare Part D
Commercial
Communications
AlignRx Academy
Quick Links

Access Training

State License ● DEA ● Liability Policy ●

Required Actions
OIG/SAM: 5
Training: 0
License/Liability: 0

Add Employee

STATUS AT A GLANCE
Total Employee Count: 10

Show 10 entries Search:

Employee/Owner	Hire Date	License	OIG Status	SAM Status	TRAINING					Password Reset
					HIPAA	FWA	Culture	Medicare General	Resert	
Emil Beardsmore		●	●	●	●	●	●	●	●	emil@6743
Tatya Beardsmore		●	●	●	●	●	●	●	●	tatya@3049
Joshua Beardsmore		●	●	●	●	●	●	●	●	joshu@4277
Tatya Beardsmore	04/20/2022	●	●	●	●	●	●	●	●	tatya@7746
Joshua Beardsmore	04/20/2022	●	●	●	●	●	●	●	●	joshu@87747
Peter Beardsmore	04/20/2022	●	●	●	●	●	●	●	●	peter@87748
Gabriela Beardsmore	04/20/2022	●	●	●	●	●	●	●	●	gabri@87749
Eduardo Beardsmore	04/20/2022	●	●	●	●	●	●	●	●	eduar@87750
Jose Beardsmore	04/20/2022	●	●	●	●	●	●	●	●	jose@87751
George Beardsmore	04/20/2022	●	●	●	●	●	●	●	●	geor@87752

Showing 1 to 10 of 10 entries Previous 1 Next

Need Compliance Manuals?
AlignRx offers compliance manual templates to help you meet compliance requirements.

HIPAA FWA

OIG/SAM Reports

Check the **Excluded** column to ensure the response is **No** for both your pharmacy and employees.

If the response is **Yes** for your pharmacy, contact the AlignRx Credentialing department at **844-ALIGNRX (844-254-4679), option 3**.

If the response is **Yes** for an employee, update the employee record via the **Maintain Employee** page (see page 9). Add information, such as middle name, date of birth, state of residence, or any other details that identify the individual as unique.



Pharmacy OIG and SAM REPORT
 TEST PHARMACY NCPDP: 1234567
 123 MAIN STREET EDMOND, OK 73013 405-555-1111

August 2023

A check of the OIG/SAM Exclusion lists must be completed with pharmacy name, city, and state on a monthly basis and documented in the following checklist.

Legal Name	DBA Name	City/State	Exclusion	Excluded	Exclusion Date	Exclusion Type	Explanation
TEST PHARMACY	TEST PHARMACY	EDMOND, OK	OIG	No			
TEST PHARMACY	TEST PHARMACY	EDMOND, OK	SAM	No			

A check of the OIG/SAM Exclusion lists must be completed with each new hire on a monthly basis and documented in the following checklist.

First Name	Middle Name	Last Name	Suffix	Exclusion	Excluded	Exclusion Date	Exclusion Type	Explanation
John		Jones		OIG	No			
John		Jones		SAM	No			
Jane		Doe		OIG	Yes	08/19/2004	1128b4	
Jane		Doe		SAM	Yes	10/15/2004	Prohibition/Restriction	Excluded by the Department of Health and Human Services from participation in all Federal health care programs pursuant to 42 U.S.C. Â§ 1320a-7 or other sections of the Social Security Act, as amended and codified in Chapter 7 of Title 42 of the United States Code (the scope and effect of Federal health care program exclusions is described in 42 C.F.R. Â§ 1001.1901).

Training Reports

Check that all of your employees have completed their required training. If no completion date is shown, remind those employees to complete their training as soon as possible.



Pharmacy Compliance Training Report
TEST PHARMACY NCPDP: 1234567
123 MAIN STREET, EDMOND, OK 73013 405-555-1111
2023 August

Employee Name	Hire Date	Login Username	FWA General Compliance Completion Date	FWA Completion Date	HIPAA Completion Date	Cultural Competency Completion Date
Donald Duck	4/20/2022	emil36743	2/15/2023	2/15/2023	2/15/2023	2/15/2023
Jane Doe	4/20/2022	tatya43049				
John Jones	1/05/2023	joshu44277				

Expired Documents

Welcome, JUSTIN
Login As Admin (Don)
LOGOUT

AlignRx

Home
Dashboard Metrics
Remit • DIR • BER/GER
ClaimGuard
RxProtect
eRecon
Compliance Guardian
Clinical
Medicare Part D
Commercial
Communications
AlignRx Academy
Quick Links

COMPLIANCE STATUS

VALU-MED PHARMACY 3724413

EXPIRED LICENSE REPORT

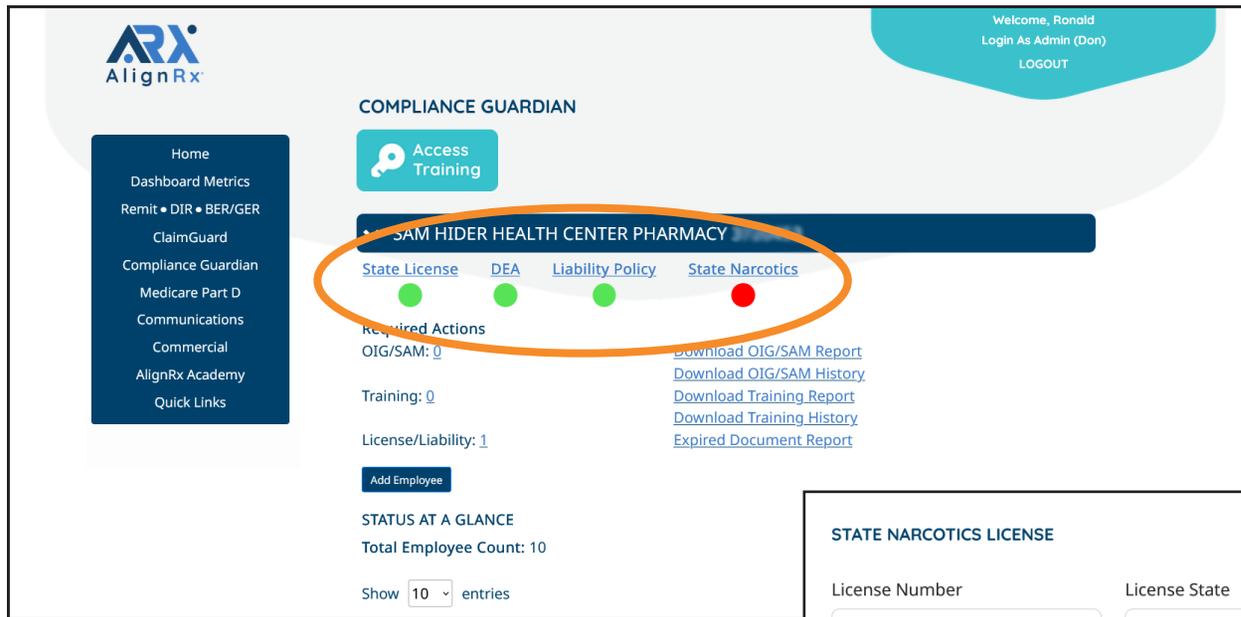
Individual / Entity	Employee Type	License Type	License State	License #	Exp. Date
JESSICA CHERRY	N/A	N/A	N/A	N/A	N/A
LUCAS DEATHERAGE	N/A	N/A	N/A	N/A	N/A
MIA JONES	N/A	N/A	N/A	N/A	N/A
GREGG WILSON	N/A	N/A	N/A	N/A	N/A
JESSICA CHERRY	TECHNICIAN	N/A	OK	N/A	07-31-2023

Check the **Expiration Date** column to determine if any employee’s license documents have expired. If an expiration date is shown, then the employee’s document is expired, and new documentation is needed.

Once the employee supplies appropriate documentation, update the employee record by uploading the new license on the **Maintain Employee** page (see page 9).

Maintaining Pharmacy-Level Licenses and Insurance Policies

Your pharmacy-level licenses and insurance policies can be viewed at a glance on the main Compliance Guardian page. If a red or yellow circle is displayed under any of these categories, click the specific license or policy name to move to the next screen. There, you can update your license and insurance policy information. On clicking **Save**, your information is submitted to the compliance team for verification.



STATE NARCOTICS LICENSE

Add License

License Number	License State	Expiration Date
10001765	Oklahoma	2023-10-31

License Number	License State	Expiration Date
Enter License Number	Please Select a State	mm / dd / yyyy

Browse... No file selected.
(File Format: JPEG and PDF only)

Save Cancel

Stop Light Color Key

- Red:** Past due/immediate action required
- Yellow:** Needs attention/coming due within 30 days
- Green:** All clear/all information is up to date

Viewing Employee Information

A list of your pharmacy's employees on record with AlignRx can be viewed on the main Compliance Guardian page. The employee grid is broken into:

- Employee/Owner**
 Click an employee/owner's name to go to the **Maintain Employee** page (see page 9).
- License**
 Identify employees with licenses that are either expired or about to expire.
- OIG/SAM Status**
 Find out if any of your employees are on the OIG/SAM exclusion list.
- Training**
 Get an overview of an employee's annual training. See page 11 for training access.
- Password Reset**
 View an employee's username on the Compliance Guardian training platform. See page 10 to learn how to reset a password.

The screenshot shows the 'COMPLIANCE GUARDIAN' dashboard. At the top right, it says 'Welcome, Emil Login As Admin (Don) LOGOUT'. A navigation menu on the left includes 'Home', 'Dashboard Metrics', 'Remit • DJR • BER/GER', 'ClaimGuard', 'EnsurePay', 'Compliance Guardian', 'Clinical', 'Medicare Part D', 'Commercial', 'Communications', 'AlignRx Academy', and 'Quick Links'. The main content area has 'Access Training' and links for 'State License', 'DEA', and 'Liability Policy'. Below these are 'Required Actions' for 'OIG/SAM: 5' and 'Training: 0'. There are also links for 'Download OIG/SAM Report', 'Download OIG/SAM History', 'Download Training Report', 'Download Training History', and 'Expired Document Report'. A 'STATUS AT A GLANCE' section shows 'Total Employee Count: 10'. A table below shows a list of employees with columns for 'Employee/Owner', 'Hire Date', 'License', 'OIG Status', 'SAM Status', 'HIPAA', 'FWA', 'Culture', 'Medicare General', and 'Password Reset'. The 'Employee/Owner' column is circled in orange. A red triangle icon is next to the name 'Peter Pham' in the 'Employee/Owner' column, and a blue arrow points from this icon to the 'NOTE' section. The table shows various status indicators (red, yellow, green) for each employee across the different categories.

Employee/Owner	Hire Date	License	OIG Status	SAM Status	HIPAA	FWA	Culture	Medicare General	Password Reset
Emil		Green	Green	Green	Yellow	Yellow	Yellow	Yellow	emil36743
Tatya		Red	Green	Green	Yellow	Yellow	Yellow	Yellow	tatya43049
Joshua		Red	Green	Green	Yellow	Yellow	Yellow	Yellow	joshua44277
Tatya	04/20/2022	Green	Green	Green	Yellow	Yellow	Yellow	Yellow	tatya87746
Joshua	04/20/2022	Green	Green	Green	Yellow	Yellow	Yellow	Yellow	joshua87747
Peter Pham	04/20/2022	Green	Green	Green	Yellow	Yellow	Yellow	Yellow	peter87748
Gabrielle	04/20/2022	Green	Green	Green	Yellow	Yellow	Yellow	Yellow	gabrie87749
Eduardo	04/20/2022	Green	Green	Green	Yellow	Yellow	Yellow	Yellow	eduard87750
Jose	04/20/2022	Green	Red	Red	Yellow	Yellow	Yellow	Yellow	jose87751
Georg	04/20/2022	Green	Green	Green	Yellow	Yellow	Yellow	Yellow	georg87752

NOTE: A red triangle next to an employee's name indicates an impending update to his/her record. Once the compliance team validates the information, the red triangle will disappear.

Stop Light Color Key

- Red:** Past due/immediate action required
- Yellow:** Needs attention/coming due within 30 days
- Green:** All clear/all information is up to date

Maintaining Employee Information

The **Adding and Changing Employee Information** page is divided into three sections:

- **Employee Information**

While fields with an asterisk are required, be sure to complete all information in this section to minimize a match on the OIG/SAM exclusion lists.

- **License Information**

View and maintain important license information for each employee.

- **Employee Access Level**

Define an employee's access to specific reports and areas within the Member Portal.

Clicking **Save** sends the information to the compliance team for review and validation.

IMPORTANT: Providing an employee with credentialing access gives the ability to change/edit employee information. Please limit credentialing access to 1-2 employees only in order to reduce the risk of duplication of data and ensure your employee roster is properly maintained.

The screenshot shows the 'COMPLIANCE GUARDIAN' interface. At the top right, it says 'Welcome, JUSTIN' with options for 'Login As Admin (Don)' and 'LOGOUT'. A left-hand navigation menu includes: Home, Dashboard Metrics, Remit • DIR • BER/GER, ClaimGuard, RxProtect, eRecon, Compliance Guardian (selected), Clinical, Medicare Part D, Commercial, Communications, AlignRx Academy, and Quick Links. The main content area is titled 'EMPLOYEE INFORMATION' and contains several form fields: First Name*, Middle Name, Last Name*, Suffix, Nickname, Date of Birth* (mm/dd/yyyy), State of Residence* (dropdown), Employee Role* (dropdown), Hire Date* (mm/dd/yyyy), Term Date (mm/dd/yyyy), Phone (###-###-####), Ext., and Email (ritajones1217@gmail.com). A note below states: '*Employees needing access to PSAO services must have a unique email. Shared email addresses are not allowed due to HIPAA audit policies.' Below this is the 'License Information' section, which notes that license information is mandatory for specific employee types and includes a '+ Add New License' button. The license form has fields for License Number, License Type, License State, Issue Date (mm/dd/yyyy), Expiration Date (mm/dd/yyyy), and an 'Upload License' button with a 'Browse...' link and a note '(File Format: JPEG and PDF only)'. The 'EMPLOYEE ACCESS LEVEL' section asks to select where the employee will be a point of contact or need access to information in the AlignRx Member Portal. It lists several options with checkboxes: Central Pay (checked), ClaimGuard, eRecon/EnsurePay (checked), RxProtect, Credentialing (highlighted with a red circle and a blue arrow from the text on the left), PSAO (checked), PBM Contact, CPESN, Clinical, and EQUIPP User. At the bottom right are 'Save' and 'Cancel' buttons.

Resetting an Employee Password

To reset an employee's password, click the employee's username. A **Training Password Reset** popup will appear.

Copy the password URL and share it with the appropriate employee. Next, **Close** the window.

										TRAINING			
Employee/Owner	Hire Date	License	OIG Status	SAM Status	HIPAA	FWA	Culture	Medicare General	Password Reset				
Emil Barakovich		●	●	●	●	●	●	●	emil36743				
Tatiana Barakovich		●	●	●	●	●	●	●	tatya43049				
Joshua Thornton		●	●	●	●	●	●	●	joshu44277				
Tatiana Barakovich	04/20/2022	●	●	●	●	●	●	●	tatya87746				
Joshua Thornton	04/20/2022	●	●	●	●	●	●	●	joshu87747				
Peter Khan	04/20/2022	●	●	●	●	●	●	●	peter87748				
Gabriela Rodriguez	04/20/2022	●	●	●	●	●	●	●	gabri87749				
Eduardo Brown	04/20/2022	●	●	●	●	●	●	●	eduar87750				
Jose Suarez	04/20/2022	●	●	●	●	●	●	●	jose87751				
George Valencia	04/20/2022	●	●	●	●	●	●	●	georg87752				

Showing 1 to 10 of 10 entries Previous 1 Next

Training Password Reset

User Name

Close Reset Password

Training Password Reset

User Name

Reset Password URL:

https://moodle-test.arx.alignrx.org/login/forgot_password.php?token=AbvnuNpXaEvvEsB67znMifIIYF8Ns9By

Please click on above link or share it with your employee to reset the password.

Close Reset Password

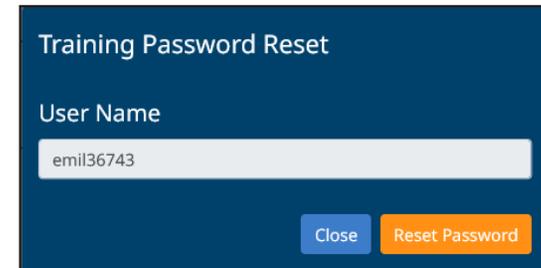
Resetting an Employee Password (continued)

NOTE: Depending on your screen resolution, you may not see the "Password Reset" column. Instead, a "+" will be visible to the left of the employee's name.

Click the "+" and then click the employee's username.

A **Training Password** Reset popup will appear.

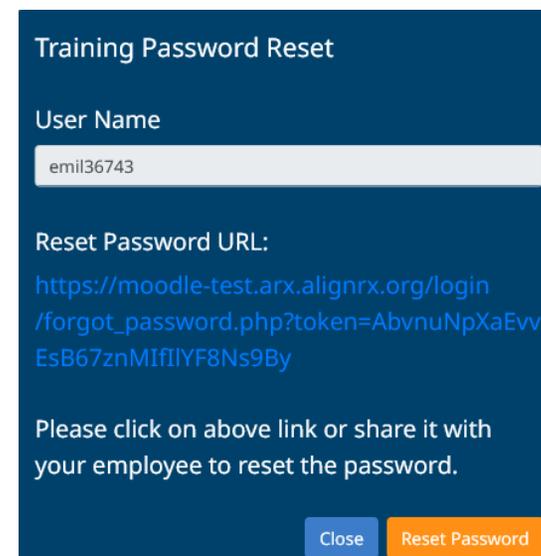
Copy the password URL and share it with the appropriate employee. Next, **Close** the window.



Training Password Reset

User Name

Close Reset Password



Training Password Reset

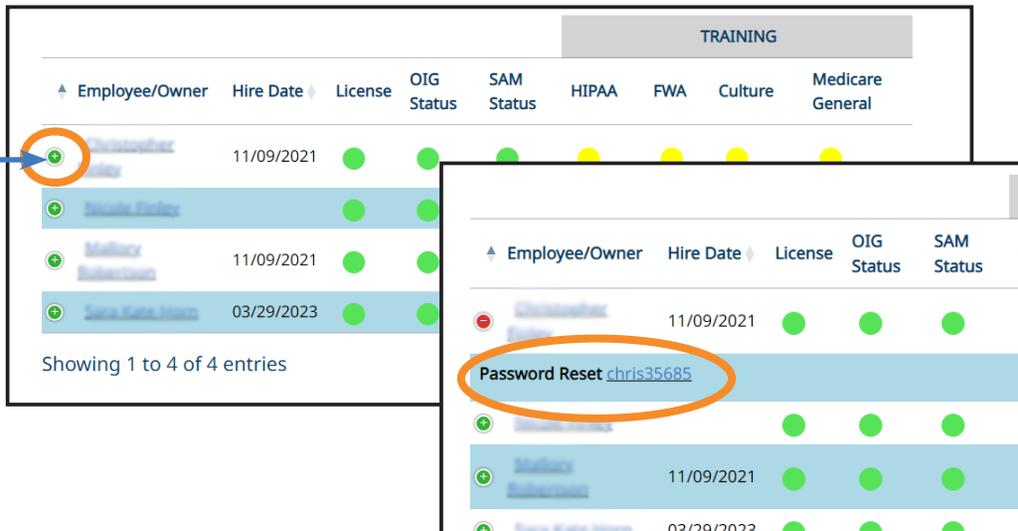
User Name

Reset Password URL:

https://moodle-test.arx.alignrx.org/login/forgot_password.php?token=AbvnuNpXaEvvEsB67znMiflIYF8Ns9By

Please click on above link or share it with your employee to reset the password.

Close Reset Password



TRAINING									
Employee/Owner	Hire Date	License	OIG Status	SAM Status	HIPAA	FWA	Culture	Medicare General	
+									
+									
+	11/09/2021								
+	11/09/2021								
+	03/29/2023								

Showing 1 to 4 of 4 entries

Training Password Reset popup:

Employee/Owner: chris35685

11/09/2021

License: [Green]

OIG Status: [Green]

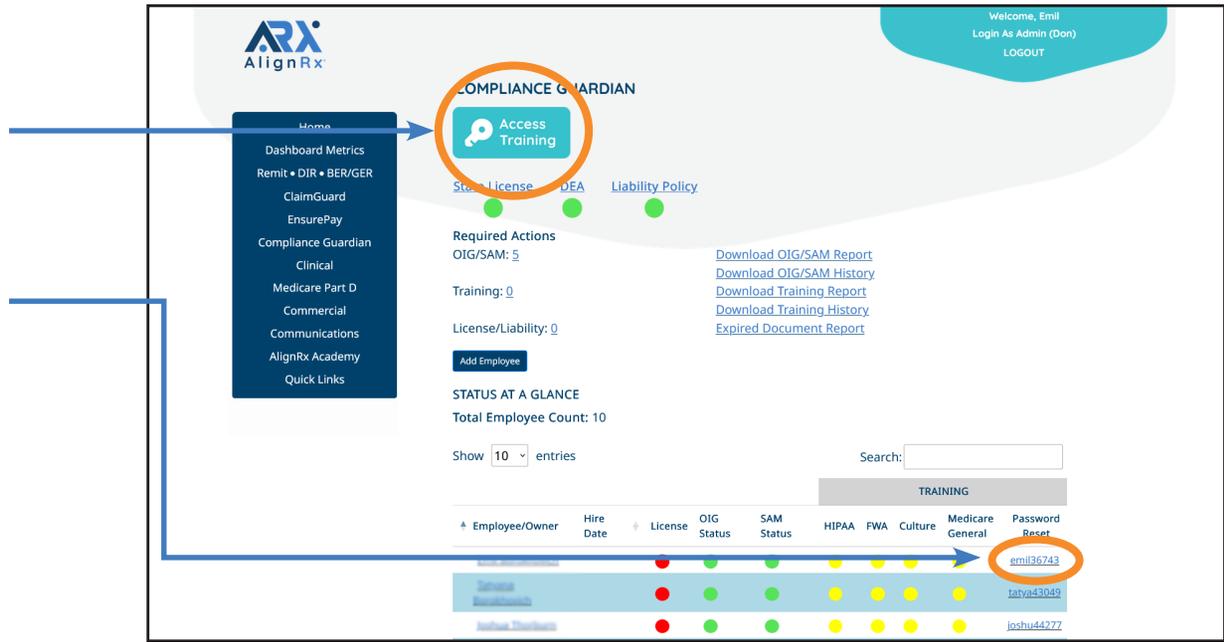
SAM Status: [Green]

Password Reset [chris35685](#)

Monitoring Annual Training Requirements & Training Access

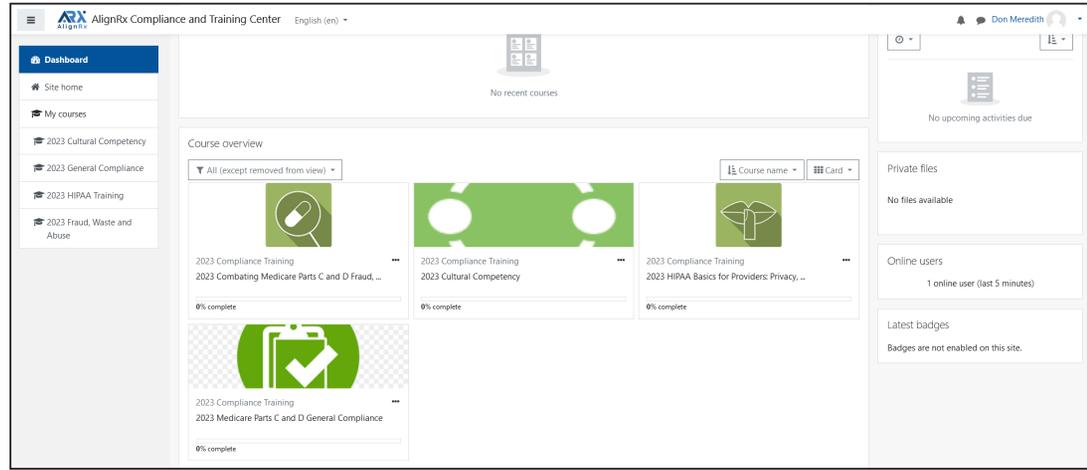
Click **Access Training** to go to the AlignRx training platform.

Log in with your username and password, which can be found in the **Password Reset** column on the main Compliance Guardian page.



Once logged in, you can view your assigned training modules. These include:

- Combating Medicare Parts C and D Fraud, Waste, and Abuse
- HIPAA Basics for Providers: Privacy, Security, and Breach Notification Rules
- Medicare Parts C and D General Compliance
- Cultural Competency



Uploading a Certificate for External Training

For employees who completed compliance training externally, you can upload their certificates into Compliance Guardian.

Click **Training History** on the **Maintaining Employee Information** page. This takes you to the training history for the employee.

AlignRx
COMPLIANCE GUARDIAN
OIG/SAM Report | OIG/SAM History | **Training History**

EMPLOYEE INFORMATION

First Name* | Middle Name | Last Name*
Suffix | Nickname

Date of Birth* | State of Residence* | Employee Role*
Hire Date* | Term Date

Phone | Ext. | Email

Click **Upload Training Certificate** and upload the external training certificate from the popup.

On clicking **Save**, your information is submitted to the compliance team for review and validation before being added to the employee record.

AlignRx
COMPLIANCE STATUS
TRAINING HISTORY

OLYMPIA PLAZA PHARMACY 05/07/2023

Employee Name: **Emil Burdakovich**

Training Type	Training Year	Date Completed
No Data to display		

If your employees are not using AlignRx training, you can upload external training program certificates.

Upload Training Certificate

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Upload Certificate

Year
2023

Training Type
Please Select a Training type

Completion Date
Select Completion Date

Upload File
Browse... No file selected.

Save Cancel

HIPAA & FWA Manuals

AlignRx offers compliance manual templates to help your pharmacy meet compliance requirements

The **HIPAA** and **FWA** compliance manuals can be found at the bottom of the Compliance Guardian main page.

Once you download the files, review and update them to reflect your pharmacy's operations.

The screenshot displays the 'COMPLIANCE GUARDIAN' dashboard. On the left is a navigation menu with options like Home, Dashboard Metrics, Remit, ClaimGuard, and Compliance Guardian. The main area shows 'Access Training' and status indicators for State License, DEA, and Liability Policy. It lists 'Required Actions' for OIG/SAM, Training, and License/Liability. A 'STATUS AT A GLANCE' section shows a total employee count of 10. Below this is a table with columns for Employee/Owner, Hire Date, License, OIG Status, SAM Status, HIPAA, FWA, Culture, Medicare General, and Password Reset. The table lists 10 employees with their respective status indicators (red, green, yellow). At the bottom, there are buttons for 'HIPAA' and 'FWA' manuals, and a copyright notice for 2023 AlignRx.

Employee/Owner	Hire Date	License	OIG Status	SAM Status	HIPAA	FWA	Culture	Medicare General	Password Reset
Emil Boudhouch		Red	Green	Green	Yellow	Yellow	Yellow	Yellow	emil36743
Tatyva Boudhouch		Red	Green	Green	Yellow	Yellow	Yellow	Yellow	tatyva3049
Joshua Boudhouch		Red	Green	Green	Yellow	Yellow	Yellow	Yellow	joshu44277
Tatyva Boudhouch	04/20/2022	Green	Green	Green	Yellow	Yellow	Yellow	Yellow	tatyva87746
Joshua Boudhouch	04/20/2022	Green	Green	Green	Yellow	Yellow	Yellow	Yellow	joshu87747
Peter Pham	04/20/2022	Green	Green	Green	Yellow	Yellow	Yellow	Yellow	peter87748
Gabriela Rodriguez	04/20/2022	Green	Green	Green	Yellow	Yellow	Yellow	Yellow	gabrie87749
Edwarda Torres	04/20/2022	Green	Green	Green	Yellow	Yellow	Yellow	Yellow	eduard87750
Jose Suarez	04/20/2022	Green	Red	Red	Yellow	Yellow	Yellow	Yellow	jose87751
Georgina Torres	04/20/2022	Green	Green	Green	Yellow	Yellow	Yellow	Yellow	georgi87752

Compliance Guardian

AlignRx

Questions?

Contact AlignRx Pharmacy Services
844-ALIGNRX (844-254-4679), option 1