

**POLICY TITLE: COMPLIANCE TRAINING**

**APPROVED BY: COMPLIANCE COMMITTEE**

**ORIGINATED BY: COMPLIANCE OFFICER**

**REVIEWED/REVISED: 1/2012; 10/02/2012; 10/01/2013; 10/01/2014; 10/08/2015**

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**Key Points**

- This Policy applies to The Christ Hospital and all of its wholly-owned subsidiaries (collectively, “TCH”).
- This Policy establishes the requirements for compliance training.

**Definitions**

**Additional Compliance Training** means specialized training in select compliance topics for those who need such training based on work area or job function.

**Arrangements Covered Person** includes each Covered Person who is involved with the development, approval, management, or review of TCH’s Arrangements as defined in the CIA.

**Arrangements Training** means training of at least two hours in duration required of each Arrangements Covered Person under the under the CIA. Each new Arrangements Covered Persons shall receive Arrangements Training within thirty days after the beginning of their employment or becoming Arrangements Covered Persons. Thereafter, each Arrangements Covered Person shall receive Arrangements Training on an annual basis, in addition to the General Compliance Training. The Arrangements Training shall include a discussion of the following:

1. Arrangements that potentially implicate the Anti-Kickback Statute or the Stark Law, as well as the regulations and other guidance documents related to these statutes;
2. TCH’s policies, procedures, and other requirements relating to Arrangements and Focus Arrangements, including but not limited to the Focus Arrangements Tracking System, the internal review and approval process, and the tracking of remuneration to and from sources of health care business or referrals;
3. The personal obligation of each individual involved in the development, approval, management, or review of TCH’s Arrangements to know the applicable legal requirements and TCH’s policies and procedures;
4. The legal sanctions under the Anti-Kickback Statute and the Stark Law; and
5. Examples of violations of the Anti-Kickback Statute and the Stark Law.

**CIA** means the Corporate Integrity Agreement between the Office of the Inspector General of the Department of Health and Human Services and The Christ Hospital and The Christ Hospital, Inc.

**Covered Persons** includes:

1. Owners, officers, directors, and employees;
2. Contractors, subcontractors, agents, and other persons who provide patient care items or services or who perform billing or coding functions on behalf of TCH excluding vendors whose sole connection with TCH is selling or otherwise providing medical supplies or equipment to TCH and who do not bill the Federal health care programs for such medical supplies or equipment; and
3. Physicians and other non-physician practitioners who are members of TCH's active medical staff.

Notwithstanding the above, the term Covered Persons does not include part time or per diem employees, contractors, subcontractors, agents, and other persons who are not reasonably expected to work more than 160 hours per year, except that any such individuals shall become Covered Persons at the point when they work more than 160 hours during the calendar year.

**General Compliance Training** means a universal training program at least one hour in duration that all TCH Covered Persons receive that explains TCH's requirements under the CIA and Compliance Program, including the Code of Conduct.

### **Policy**

1. **Employees.** All employees shall receive General Compliance Training annually. Failure to complete mandatory General Compliance Training shall result in termination. Note: this provision of the Policy applies to medical residents.
2. **Physicians.** Physicians and certain non-physician referral sources who have a Focus Arrangement with TCH shall be required to complete Arrangements Training within thirty days of the effective date of the Focus Arrangement and annually thereafter. Active medical staff members who do not otherwise have a Focus Arrangement with TCH shall make best efforts to complete the General Compliance Training annually. Certain medical staff members in leadership positions may also require additional compliance training from time to time.
3. **New Employees.** New employees shall receive General Compliance Training during new employee on-boarding. Upon completion of on-boarding, new employees shall be deemed to have met the General Compliance Training requirement for the calendar year in which they were hired. Management shall be responsible to identify any new

employees who may need Arrangements Training or any additional compliance training and provide or arrange for such training during departmental on-boarding.

4. **Volunteers.** Volunteers shall receive General Compliance Training during volunteer on-boarding. Training may be repeated from time to time as may be deemed appropriate.
5. **PRN Staff.** Employees who work on an as needed basis and meet the definition of a Covered Person must complete the General Compliance Training.
6. **Contractors.** Contractors or vendors who meet the definition of a Covered Person must complete the General Compliance Training.
7. **Students.** Students performing rotations or internships who meet the definition of a Covered Person must complete the General Compliance Training or provide evidence of having received equivalent training elsewhere. Note: this provision of the Policy does not apply to medical residents.
8. **Board of Directors.** Members of the TCH Board of Directors are required to complete the General Compliance Training within sixty days of appointment to the Board and annually thereafter. Board members may also be required to complete additional compliance training from time to time.
9. **Update of Training.** TCH shall review the training annually, and, where appropriate, update the training to reflect changes in Federal health care program requirements any issues discovered during internal audits or the Arrangements Review under the CIA, and any other relevant information.
10. **Additional Compliance Training.** Individuals who work in certain areas, or have certain responsibilities that are deemed high-risk may be required to complete additional training specific to the risks associated in that area or job duty. Examples include, but are not limited to, coding and billing, patient access, finance, laboratory, emergency services, and persons involved in the development, management, approval, or review of physician arrangements. Management is responsible for identifying individuals or areas that need additional compliance training and for providing or arranging for such training. Any questions regarding the need for additional compliance training should be addressed to the Compliance Officer.
11. **Acknowledgement.** Individuals who complete General Compliance Training, Arrangements Training and/or additional compliance training shall acknowledge, in writing or in electronic form, that he or she has completed the required training. The acknowledgement shall specify the subject matter of the training and the date completed. For General Compliance Training, acknowledgements shall be maintained in the Human Resources Department. Additional training acknowledgements shall be maintained by the appropriate department or area. Acknowledgements may be subject to review from time to time by the Compliance Officer or the Compliance Officer's designee.

12. **Trainers.** The Compliance Officer may from time to time designate other individuals as compliance trainers, as appropriate.
13. **Training Methods.** Training methods include, but are not limited to, live training, audiovisual, electronic, written, or any combination thereof. Different methods may be used for different audiences or to meet other particular needs. TCH shall make available staff to answer questions for all electronic-based or written training.
14. **Opportunity to Complete Training.** Management shall make appropriate scheduling accommodations, as necessary, to provide individuals with a reasonable opportunity to complete any required training during regular work hours.
15. **Compensation for Training.** Any compensation for training activities outside of regular work hours shall be subject to the provisions of the appropriate TCH compensation policies. Completing training outside of regular work hours must be authorized in advance by the individual's manager.

#### **References**

- OIG Compliance Program Guidance for Hospitals, 63 Fed. Reg. 8989 (Feb. 23, 1998).
- OIG Supplemental Compliance Program Guidance for Hospitals, 70 Fed. Reg. 4875 (Jan. 31, 2005).