

COMPLIANCE TRAINING POLICY

SCOPE

This policy shall apply to all faculty, gratis, staff, summer interns, affiliates and students of the Louisiana State University Health Sciences Center – New Orleans (“LSUHSC-NO”).

PURPOSE

To prevent acts of non-compliance by ensuring that all current workforce members and affiliates of LSUHSC-NO, are fully informed of their rights and responsibilities under all applicable federal and state laws and regulations and Louisiana State University (“LSU Administration”) policies.

DEFINITIONS

Affiliate: The term “affiliate” includes, but is not limited to: visiting faculty; visiting researchers; visiting students; and/or contractors, who perform function(s) for or on behalf of LSUHSC-NO and/or access LSUHSC-NO facilities or network. Affiliates may be compensated or gratis.

Compliance Liaison: An individual designated by their respective dean or department head to work with OCP to ensure that all workforce members and affiliates in their department complete their assigned compliance training timely.

Compliance Training: Training assigned by the Office of Compliance Programs (“OCP”) to ensure that all workforce members and affiliates are knowledgeable of all laws, regulations, LSUHSC-NO and LSU Administration policies that apply to the performance of their requisite duties.

Reciprocal Credit: Credit for completion of an assigned Compliance Training Standard that results from completion of training at another institution.

Sponsor: An LSUHSC-NO faculty or staff member who authorizes an affiliate to perform functions for or on behalf of LSUHSC-NO.

Compliance Training Standard: A Compliance Training Standard is a subject about which workforce members and affiliates are required to complete training. Examples of standards include, but are not limited to, HIPAA Privacy, FERPA, FMLA, Attendance Leave and Responsibilities, Equal Employment Opportunity, Violence in the Workplace, Sexual Harassment, Time and Effort Certification, Conflicts of Interest in Sponsored Projects, Biological Safety, Blood

borne Pathogens, Drug-Free Workplace and Campus, HIPAA Security, Code of Conduct, False Claim Act/DRA, and OIG Fraud and Abuse.

Subject Matter Experts: Departments staff that have a high level of expertise in a particular field related to a Compliance Training Standard.

Compliance Training Management System (“CTMS”): A system to track the adherence of workforce members and affiliates with required Compliance Training. The CTMS is made up of two parts: the Training Tracking System (“TTS”), which tracks compliance training of all employees regardless of network access and the Knowledge Delivery System (“KDS”), which provides web based training for those with network access.

Workforce Member: Any faculty, gratis, staff, house officer, summer intern, or student.

POLICY

All workforce members and affiliates shall promptly complete all training assigned to them by the OCP in a timely manner. New workforce members and affiliates must complete all required training within 90 days of the date of hire. Existing workforce members and affiliates must complete training within 30 days of the date training is assigned.

It shall be the responsibility of the OCP to: (1) notify workforce members and affiliates of training requirements; (2) maintain evidence of, and track completion rates for, all mandated compliance training; (3) coordinate delivery of training and provide departments with reports on the status of training of their workforce members and affiliates.

Each LSUHSC-NO department head shall ensure that all employees in their department complete all mandated training timely. It shall be the responsibility of each school’s associate or assistant dean of students to ensure that all students in their respective schools timely complete all mandated training. Deans and Vice Chancellors shall ensure that any incidents of non-compliance with this policy are investigated and appropriate corrective action is taken.

ASSIGNMENT OF COMPLIANCE TRAINING

The LSUHSC-NO Compliance Officer, with guidance from the Chancellor and the general counsel, is the final authority on compliance training requirements.

Compliance Training Standards shall be created for any of the following reasons:

1. Training is required by federal or state laws or regulations.
2. Training is part of a corrective action plan to address an identified deficiency.
3. Training is requested by a LSUHSC-NO official or department head to address a particular issue in order to reduce fraud, waste and/or abuse.

Sponsors are responsible for providing the OCP with an explanation of an affiliate's responsibilities. The Compliance Training Coordinator shall review the functions performed by the affiliate and assign the appropriate training modules. Sponsors are also responsible for notifying affiliates of all incomplete training requirements.

Any individual may request additional training by contacting the OCP.

EXEMPTION FROM COMPLIANCE TRAINING STANDARDS

In some instances, a Compliance Training Standard may be assigned that is not applicable to, or required of, the designee. For example, Driver Safety Training may be assigned to an employee who does not hold a valid driver's license. In such an instance, the individual may make a request to his/her supervisor to be exempted from the training requirement. If the supervisor agrees with the employee's request, the supervisor shall certify to the Compliance Officer that the individual should be exempted from the Compliance Training Standard. The Compliance Training Coordinator will then remove the Standard from the compliance training requirements for that individual.

In the absence of a policy specifying who shall approve exemptions from a particular Standard, the following process shall be used when requesting an exemption to an assigned Compliance Training Standard:

- Faculty and staff shall request an exemption from their department head.
- House officers shall request an exemption from their program director.
- Department heads and above shall request an exemption from their immediate supervisor.
- Students shall request an exemption from their Associate or Assistant Dean of Students.

The department head, supervisor or assistant/associate dean of students shall determine if the requested exemption is appropriate given the course and scope of the individual's duties and, if so, notify the Compliance Officer or her/his designee, in writing, of the need for an exemption.

NOTIFICATION OF COMPLIANCE TRAINING STATUS

The OCP shall provide department heads with regular reports of the training status of each of the faculty and staff in their department. The department head is responsible for notifying each of the faculty and staff in their department of any incomplete training requirements. Program directors are responsible for notifying house officers in their respective programs of any incomplete training requirements.

The OCP shall provide the Associate or Assistant Dean of Students of each school with regular reports of the training status of the students in their respective schools. The Associate or Assistant Dean of Students is responsible for notifying the students in his/her respective schools of any incomplete training requirements.

TIMELY COMPLETION OF COMPLIANCE TRAINING

All newly hired faculty and staff and newly enrolled students shall complete all assigned compliance training within ninety (90) days of notification that training is due.

All existing workforce members and affiliates shall complete their assigned compliance training within thirty (30) days of notification. Remedial training must be completed within fourteen (14) days of notification.

Workforce members and affiliates who are more than ninety (90) days out of compliance with their compliance training requirements shall be referred to their respective dean or vice chancellor for follow-up.

RECIPROCAL CREDIT

Individuals may have completed training at other institutions that is similar to that required by LSUHSC-NO. In such instances, this training may be acceptable for reciprocal credit for one or more Compliance Training Standards. In order for an individual to receive reciprocal credit for an assigned Compliance Training Standard, the following documentation must be provided to the Compliance Officer or his/her designee:

- A copy of the training content completed by the individual at the other institution.
- Documentation (certificates, transcripts, etc.) from the sponsoring institution certifying that the individual successfully completed the training.

The OCP shall review the training content from the other institution to determine if it is substantially similar to the LSUHSC-NO Compliance Training Standard. Reciprocal credit will be granted if the training is determined to satisfy that threshold. Any questions regarding the granting of reciprocal credit shall be referred to the Compliance Officer for final determination.

The OCP shall maintain a list of training content that has been approved for reciprocal credit.

DOCUMENTATION OF TRAINING

The OCP shall maintain documentation of all training completed by LSUHSC-NO workforce members and affiliates in accordance with the LSUHSC-NO document retention schedule. Documentation shall be provided upon written request.

REFERENCES

- 45 CFR §164.308(a)(5)
- 45 CFR §164.530(b)
- 16 CFR §314.4(b)(1)
- 20 U.S.C. 1092 §485(f)(1)
- 2012 Louisiana Senate Concurrent Resolution No. 107
- 29 CFR §1910.1030(g)(2)(i)
- PM-36 Attachment 1 Chapter 9
- CM-53 Section G

ROLES AND RESPONSIBILITIES

Role	Responsibility
Workforce Members and Affiliates	<ul style="list-style-type: none"> • Complete all assigned compliance training in a timely fashion as described above.
Department Head	<ul style="list-style-type: none"> • Ensure that all faculty and staff complete their assigned compliance training timely. • Designate a compliance liaison.
Associate or Assistant Dean of Students	<ul style="list-style-type: none"> • Ensure all students complete their assigned compliance training in a timely fashion as described above.
Deans and Vice-Chancellors	<ul style="list-style-type: none"> • Review reports of individuals who have incomplete training requirements which are more than 90 days delinquent. • Work with the departments to ensure that individuals are up-to- date with their compliance training requirements.
Compliance Training Coordinator	<ul style="list-style-type: none"> • Ensure that compliance training content is accurate and up-to-date. • Ensure compliance training assignments are appropriate for an individual’s role. • Serve as the system owner for the Compliance Training Management System (CTMS). • Coordinate technical support for individuals encountering difficulty in using CTMS. • Approve requests for changes in access to CTMS. • Provide documentation of training.

	<ul style="list-style-type: none"> • Review training content periodically to identify any that can be consolidated or eliminated due to changing requirements and/or risks. • Assist subject matter experts with the development of new training content.
Compliance Officer	<ul style="list-style-type: none"> • Approve requests for new compliance training requirements. • Approve compliance training content. • Review summary reports to identify areas of LSUHSC-NO that may require additional assistance in meeting compliance-training requirements. • Monitor the effectiveness of training by reviewing audit reports, hotline complaints, feedback received from departments, employees and students, network abuse reports and other sources of information. • Coordinate with management, including the Chancellor and the general counsel, to ensure that specialized compliance training occurs in identified risk areas.
Subject Matter Experts	<ul style="list-style-type: none"> • Provide training content and regulatory expertise to assist in the delivery of training. • Review and approve training content for accuracy and completeness. • Review training content on an annual basis and submit updates to the OCP as necessary.
Compliance Liaisons	<ul style="list-style-type: none"> • Ensure all workforce members and affiliates without email access are notified of training requirements. • Keep department heads informed of the training completion status of all workforce members within the department. • Perform other tasks as necessary to ensure the department is in compliance with this policy.