

## 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) campus.

### PURPOSE

To prevent acts of non-compliance by ensuring that all workforce members and affiliates of LSUHSC-NO who are either enrolled in a course of study or perform services for or on behalf of LSUHSC-NO are fully informed of their rights and responsibilities under all applicable federal and state laws and regulations and University policies.

### POLICY

All workforce members and affiliates shall promptly complete all training assigned to them by the Office of Compliance Programs (OCP) in a timely manner. It shall be the responsibility of the OCP to notify workforce members and affiliates of training requirements, maintain evidence of, and track completion rates for, all mandated compliance training, coordinate delivery of training and provide departments with reports on the status of training of their workforce members and affiliates. Each university 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 complete all mandated training in a timely manner. Deans and vice-chancellors shall ensure that any incidents of non-compliance with this policy are investigated and appropriate corrective action is taken.

### DEFINITIONS

**Affiliate:** An individual who performs functions for or behalf of LSUHSC-NO, who is not a workforce member.

**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 OCP to ensure that all workforce members are knowledgeable of all laws, regulations and University policies that apply to the performance of their duties as faculty and staff or their enrollment as students.

**Reciprocal Credit:** Credit for completion of an assigned Compliance Training Standard that result 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.

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

**Subject Matter Experts:** Departments that, by the nature of their work, have a high level of expertise in a particular area that is related to a Compliance Training Standard. Examples of departments include but are not limited to Legal, Research Services, Information Technology, Human Resources Management, Environmental Health and Safety, International Services, Registrar, Technology Management, and Sponsored Projects.

**Compliance Training Management System (CTMS):** It is made up of two main 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.

## **ASSIGNMENT OF COMPLIANCE TRAINING**

The LSUHSC-NO Fiscal Compliance Officer is the final authority on Compliance Training requirements.

Compliance Training Standards shall be created for one 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 University official or department head to address a particular issue in order to reduce fraud, waste and/or abuse.

The content of Compliance Training assigned to an individual shall be the minimum practicable based upon their role and responsibilities.

Any individual may request additional training by making a request to OCP.

## **EXEMPTION FROM COMPLIANCE TRAINING STANDARDS**

In certain instances, a particular Compliance Training Standard is assigned that may not be appropriate for a particular individual. 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

request their supervisor to be exempted from the requirement in accordance with any applicable University policies. If the supervisor agrees with the employee's request, the supervisor shall certify to the Compliance Training Coordinator 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. If there is any question regarding the appropriateness of the request, it shall be referred to the Fiscal Compliance Officer for final determination.

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 Fiscal Compliance Officer, or her/his designee, in writing, of the need for an exemption.

## **NOTIFICATION OF COMPLIANCE TRAINING**

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 uncompleted training. Program directors are responsible for notifying house officers in their respective programs of any uncompleted training requirements.

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 are responsible for notifying the students in their respective schools of any uncompleted training modules.

Sponsors are responsible for notifying their Compliance Liaison or OCP directly of affiliates whose functions necessitate compliance training. The Compliance Training Coordinator shall review the functions performed by the affiliate and assign the appropriate training modules. Sponsors are responsible for notifying affiliates of all uncompleted 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.

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 Fiscal Compliance Officer or her/his designee:

- A copy of the training content completed by the individual at the other institution.
- Documentation (certificates, transcripts, etc.) received by the OCP directly from the authoritative office of the other institution certifying 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 LSUHSC-NO Compliance Training Standard. If the training content is found to be substantially similar, and documentation certifying the individual's completion is received from the authoritative office of the other institution, Reciprocal Credit will be given for the appropriate Compliance Training Standard. Any questions regarding the granting of Reciprocal Credit shall be referred to the Fiscal 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. Documentation shall not be provided to those individuals who have not completed all assigned Compliance Training.

## **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**

<b>Role</b>	<b>Responsibility</b>
Workforce Members	<ul style="list-style-type: none"> <li>• Complete all assigned compliance training in a timely fashion.</li> </ul>
Department Head	<ul style="list-style-type: none"> <li>• Ensure that all faculty and staff complete their assigned compliance training timely.</li> <li>• Designate a Compliance Liaison.</li> </ul>
Associate or Assistant Dean of Students	<ul style="list-style-type: none"> <li>• Ensure all students complete their assigned compliance training timely.</li> <li>• Designate someone in the office to work with the Office of Compliance Programs.</li> </ul>
Deans and Vice-Chancellors	<ul style="list-style-type: none"> <li>• Review reports of individuals who have uncompleted training assignments older than 90 days.</li> <li>• Work with the departments to ensure that those individuals become current with their Compliance Training assignments.</li> </ul>
Compliance Training Coordinator	<ul style="list-style-type: none"> <li>• Ensure that Compliance Training content is accurate and up-to-date.</li> <li>• Ensure Compliance Training assignments are appropriate for an individual’s role.</li> <li>• Act as the system owner for the Compliance Training Management System (CTMS).</li> <li>• Coordinate technical support for individuals encountering difficulty in using CTMS.</li> <li>• Approve requests for changes in access to CTMS.</li> <li>• Provide documentation of training when all Compliance Training requirements are met.</li> <li>• Review training content periodically to</li> </ul>

	<p>identify any that can be consolidated or eliminated due to changing requirements and/or risks.</p> <ul style="list-style-type: none"> <li>• Assist Subject Matter Experts with the development of new training content.</li> </ul>
Fiscal Compliance Officer	<ul style="list-style-type: none"> <li>• Approve requests for new Compliance Training requirements.</li> <li>• Approve Compliance Training content.</li> <li>• Review summary reports to identify areas of the University that may require additional assistance in meeting Compliance Training requirements.</li> <li>• Monitor the effectiveness of the training by reviewing audit reports, hotline complaints, feedback received from departments, employees and students, network abuse reports and other sources of information, periodically.</li> <li>• Coordinate with management to ensure that specialized Compliance Training occurs in identified risk areas.</li> </ul>
Subject Matter Experts	<ul style="list-style-type: none"> <li>• Provide training content and regulatory expertise to assist in the delivery of training.</li> <li>• Review and approve the training content for accuracy and completeness.</li> <li>• Review training content on an annual basis and submit updates to OCP as necessary.</li> </ul>
Compliance Liaisons	<ul style="list-style-type: none"> <li>• Ensure all workforce members and affiliates without email access in their area are notified of training requirements</li> <li>• Keep department head informed of the training completion status of all workforce members in the department</li> <li>• Perform other tasks as necessary to ensure department's compliance with this policy.</li> </ul>