

KS Plan Administrators	SUBJECT: Training and Education	POLICY NO: CP 4 PAGE 1 of 5
Reference: Prescription Drug Benefit Manual, Ch. 9- Compliance Guidelines		DATE: September 2012 REVISION:
DISTRIBUTION: All Departments		FUNCTIONAL AREAS: All Departments
SUPERCEDES POLICY: N/A		REFERENCE/ATTACHMENT:
PREPARED BY: Johnathan Randle		DATE APPROVED: October 11, 2012

I. Goal

To ensure that all KSPA employees, including chief executive or other senior administrators, managers, governing body members, and the organization's first tier, downstream and related entities (FDRs) are equipped with the knowledge and skills to perform their duties in compliance with all applicable laws, regulations, requirements and company policies.

II. Policy

KSPA will provide effective training and education annually to ensure its employees, including chief executive or other senior administrators, managers, governing body members, and the organization's FDRs possess the requisite knowledge and skills to: (a) Comply with all applicable laws, regulations, and company policies; (b) Adhere to appropriate ethical standards, and (c) Prevent and detect fraud, waste, and abuse (FWA). The intent of education should be to integrate a culture of compliance and ethical conduct into the organization's operations. Attendance and participation in formal training is a condition of continued employment and a criterion included in employee evaluations.

Procedure / Guidelines for Compliance		Responsible Party
1.	<p>Initial Training</p> <p>A. Annual General In-Service Training: Within 90 days of initial hiring or appointment, all KSPA employees and governing body members shall receive training on the Compliance Program, and in particular the Code of Conduct, as part of their new hire training. New employees shall be required to certify that they have received a copy of the Compliance Program, including the Code of Conduct, understand the contents, and agree to abide by its requirements.</p> <p>B. Specialized In-Service Training: Each department manager shall also ensure that all new employees receive the training and education necessary to perform their specific duties in compliance with</p>	<p>Human Resources</p> <p>Compliance Officer</p> <p>Departmental Management</p>

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	applicable laws, regulations and company policies.	
2.	<p>Annual General In-Service Training</p> <p>The Compliance Officer, with input and direction from the Compliance Committee, and department managers not on the Committee if necessary, shall develop a general in-service training and education program in support of the Compliance Program. The training and education program will be reviewed annually and updated whenever changes in regulations, policy or guidance require revision of training materials.</p> <p>Training will be a minimum of one hour per individual per year, and will be required for all employees as a material condition of continuing employment.</p> <p>Subject matter will focus on areas such as:</p> <ul style="list-style-type: none"> • Content of, and employee responsibilities under, the Compliance Program including a review of compliance policies and procedures, the Standards of Conduct, and KSPA's commitment to business ethics and compliance. • Laws and regulations that govern operations of KSPSA and its employees. • A review of policies related to contracting with the government, such as the laws addressing fraud and abuse or gifts and gratuities for Government employees. • Overview of HIPAA , the CMS Data Use Agreement and the importance of maintaining confidentiality of Personal Health Information. • Identification of potential compliance risks, the requirements of reporting non-compliance issues and an overview of how to ask compliance questions, request compliance clarification or report potential noncompliance. Training should emphasize confidentiality, anonymity, and non-retaliation for compliance related questions or reports of potential noncompliance or FWA. • Review of the disciplinary guidelines for non-compliance or fraudulent behavior which can result in mandatory retraining and possible termination when such behavior is serious or repeated or when knowledge of a possible violation is not reported. • Attendance and participation in formal training programs as a condition of continued employment and a criterion to be included in employee evaluations. • A review of potential conflicts of interest and KSPA's disclosure system. 	All KSPA Employees

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	<ul style="list-style-type: none"> Overview of monitoring and auditing work plan of KSPA 	
3.	<p>As needed” Training</p> <p>The Compliance Officer, Compliance Committee and KSPA managers shall ensure that employees receive appropriate “as needed” training in response to specific issues that may arise. Examples of such issues include, but are not necessarily limited to:</p> <ul style="list-style-type: none"> Revisions or additions to applicable laws and regulations Specific program guidance or direction from a regulatory agency Revisions or additions to KSPA policies and procedures Identification of specific compliance or ethical issues As required by a corrective action plan 	<p>Compliance Officer Compliance Committee</p> <p>KSPA Management</p>
4.	<p>All KSPA employees, managers, chief executive officer and other senior administrators and governing body members, as well as the employees of FDRs, shall receive FWA training, regardless of whether they are full-time, part-time, temporary, volunteer or otherwise.</p> <p>FWA training will include:</p> <ul style="list-style-type: none"> Identifying and combating FWA, including employee responsibilities under KSPA’s anti-fraud policies such as requesting compliance clarification and reporting potential noncompliance. Overview of the laws and regulations related to MA and Part D FWA (e.g., False Claims Act, Anti-Kickback statute, HIPAA) Reviewing the obligations of FDRs to have appropriate policies and procedures to address FWA Process for reporting suspected FWA to KSPA Emphasis on the confidentiality, anonymity, and non-retaliation for all compliance related questions or reports of potential noncompliance or FWA. Review of the possible types of FWA that can occur. 	<p>Compliance Officer</p> <p>Compliance Committee</p>

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5.	<p>Training and Education for FDRs All KSPA FDRs and their employees who have involvement in the administration or delivery of Parts C and D benefits are required to perform their contracted responsibilities in compliance with KSPA policy, CMS regulatory requirements, and all applicable laws and regulations. KSPA requires all KSPA FDRs to take KSPA's or their own compliance training (general and specialized), or where there are sufficient organizational similarities, training and education for contracted entities will be developed and delivered in collaboration with KSPA department managers that have established methods of contractor communication. Examples include Contracting, Marketing, UM/QM, Delegation Oversight, and Claims Oversight. All contracted entities shall receive sufficient training and education to enable them to understand and fulfill these requirements. General Compliance Training: FDRs and their employees must receive general compliance training within 90 days of contracting/hire and annually thereafter as a condition of employment. Specialized Compliance Training: Specialized training is necessary upon initial contracting/hire or appointment to the job function, when requirements change, when an employee works in an area previously found to be non-compliant with program requirements or implicated in past misconduct, and at least annually thereafter as a condition of employment. FWA Training: FDRs and their employees must also undergo FWA training(unless they are deemed by Medicare) covering the topic listed in "Fraud, Waste, and Abuse Training" above. FDRs that have met FWA certifications through enrollment into the Medicare program or accreditation as a durable medical equipment, prosthetics, orthotics, and supplies (DMEPOS) supplier are deemed to have met the FWA training and education requirement. No additional documentation beyond the documentation necessary for proper credentialing is required to establish that an employee or FDR or employee of an FDR is deemed.</p> <p>KSPA must establish effective mechanisms to ensure that FDRs fulfill the compliance training requirements (e.g. FDRs, collect attestations from FDRs, coupled with monitoring and auditing of a sample of FDRs to validate training requirements were fulfilled, etc.).</p>	All KSPA Employees

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6.	<p>Development, Delivery and Documentation</p> <p>The responsible KSPA manager shall develop the content and determine the appropriate delivery method for each particular training situation. Training may be formal or informal, according to need. For example, while development and delivery of complete and detailed training modules will be required under certain circumstances, managers are also encouraged to leverage existing communication tools, such as staff meetings, bulletins and email, when the need allows. All training and education efforts must be documented in a log. The log must include the time, attendance, topics discussed, materials distributed, and results of the training. The degree of documentation detail should be commensurate with the scope, formality, and delivery method of the training.</p>	Credentialing
7.	<p>Reporting and Tracking of Training and Education Plans</p> <p>KSPA managers with responsibility for compliance training and education shall report the status of their training and education efforts to the Compliance Committee no less than once a year. Each manager shall summarize the training goals, objectives and methods used to fulfill the education and training requirement.</p> <p>Managers shall track progress toward completion, as well as ongoing effectiveness, of their education plans. Training and education programs will be measured for effectiveness.</p> <p>The effectiveness of KSPA's training and education plans will be tracked and monitored through the administration of quizzes during the training sessions, regular monitoring of compliance and FWA reporting logs, feedback from employees, and employee compliance evaluations. If deficiencies are identified, KSPA must undertake remedial actions to correct them.</p>	