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Education and Training

This Corporate Compliance Education and Training Policy is applicable to Samaritan Medical Center and its Affiliates: Samaritan Keep Home, Samaritan Medical Practice, Samaritan Summit Village, and Samaritan Home Health (collectively, “Samaritan”).

PURPOSE:

Education and training are critical elements of the Compliance Program. This policy sets forth Samaritan’s general education and training guidelines. Compliance policies and standards of conduct are communicated to all persons affected by Samaritan’s risk areas, including employees, the chief executive officer of SMC and other senior administrators, managers, and contractors, agents, subcontractors, independent contractors, and governing body and corporate officers (“Affected Individuals”), as appropriate, by requiring participation in training programs and by disseminating pertinent information as to what is required. Any formal training undertaken as part of the Compliance Program is documented by the Chief Compliance Officer or Human Resources and retained per Samaritan’s document management policy.

POLICY:

It is Samaritan’s policy to provide training and education about its Compliance Program to its Chief Compliance Officer and all Affected Individuals (as applicable) on compliance issues, expectations, and the operation of the Compliance Program as part of orientation, if employees or Trustees, and annually thereafter, and when any changes to federal, state, and local laws, rules and regulations are enacted and concerns are identified.

PROCEDURE:

Samaritan utilizes a training plan which outlines the scope of its training and education program, including the topics to be discussed, the time and frequency of training, the Affected Individuals subject to attendance and how attendance will be tracked, the means of training for those Affected

Individuals not subject to attendance and how self-study will be tracked and the periodic evaluation of the effectiveness of the training. Compliance training and education shall be given using a method that is in a form and format reasonably accessible and reasonably expected to be understood by the individuals receiving the training, consistent with federal and state language and other access laws, rules or policies. Affected Individuals shall timely participate in all required compliance training and education.

All Affected Individuals, including new employees and new appointments of a chief executive officer, chief compliance officer, senior leadership position and Trustee participate in an initial mandatory compliance education and training program as part of orientation, including, at minimum, the required topics set forth on Attachment 1 and are educated on accessing all Corporate Compliance policies which are located on Samaritan's website or are provided with a copy of all compliance-related information. Topics to be covered in such training will also include education on New York and federal False Claims Acts and whistleblower protections. Such training shall occur promptly upon hiring.

Leaders throughout each Samaritan entity assist the Chief Compliance Officer in identifying areas that require job specific training. The specialized training may focus on complex areas or on areas in which the Chief Compliance Officer has deemed there to be a potential for a high risk of error. All departments that undergo scheduled or investigative audits conducted by the Corporate Compliance Department shall receive specialized training to implement recommendations from the audit report as appropriate. As new developments or concerns arise, the Chief Compliance Officer may determine that additional training sessions for certain categories of individuals is required.

Each leader, in collaboration with the Compliance Department, shall prepare or obtain the training materials for the compliance training programs conducted in their respective departments, which are subject to review and approval by the Chief Compliance Officer. Regardless of the presenter, the Chief Compliance Officer shall oversee, where appropriate, the program(s) to ensure attendance and active participation in training sessions.

Attendance and participation in compliance training is a condition of continued employment or association with Samaritan. Failure to comply with training requirements may result in discipline, up to and including termination or disassociation with Samaritan in accordance with Samaritan's *Human Resource Corrective Action Policy*.

Mandatory compliance training occurs on an annual basis, and is completed by all Affected Individuals, including the Chief Compliance Officer, the CEO and other senior administrators, managers and members of the Samaritan Boards of Trustees ("Trustees"). Training includes, but is not limited to, the topics covered in the initial orientation process and Samaritan's current compliance policies and procedures. Up-to-date contact information for the Chief Compliance Officer and members of the Compliance Department is provided during such training. Samaritan's *Human Resource Corrective Action Policy*, which addresses disciplinary actions for violations of

the Compliance Program, is also provided. Upon completion of education and training, Affected Individuals will be required to complete an Acknowledgment of Education confirming they received and understood the required training and education. Specialized training related to subject risk areas may be provided to Contractors¹ who require training due to the nature of the services they provide to Samaritan. The Compliance Officer will determine if training is required for a Contractor and, if so, the scope of training required.

Affected Individuals also receive periodic compliance education and training, including when any changes of federal, state, and local laws, rules and regulations are enacted and areas of concern are identified.

REFERENCES:

45 CFR 164.530(b)

18 NYCRR 521-1.4(d)

Department of Health and Human Services

Office of Inspector General

Office of Medicaid Inspector General

Centers for Medicare and Medicaid Services

REVIEWED: 7/27/09, 10/16/12

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¹ Consistent with 18 NYCRR § 521-1.3(c), “Contractors” as used herein collectively refers to contractors, agents, subcontractors, and independent contractors of Samaritan.

Attachment 1

Elements of Samaritan's Compliance Education and Training

Samaritan's compliance education and training program shall cover, at minimum, the following required topics:

- (i) Samaritan's risk areas and organizational experience;
- (ii) Samaritan's written policies and procedures as set forth in Section 521-1.4(d)(1);
- (iii) The role of the Chief Compliance Officer, the Audit and Compliance Committee, Compliance Oversight Committee, and Compliance Core Groups;
- (iv) How Affected Individuals can ask questions and report potential compliance-related issues to the Chief Compliance Officer, and members of the Compliance Oversight Committee and/or Compliance Core Groups, as well as other members of senior management, as appropriate, including the obligation of Affected Individuals to report suspected illegal or improper conduct and the procedures for submitting such reports; and the protection from intimidation and retaliation for good faith participation in the Compliance Program;
- (v) Disciplinary standards, with an emphasis on those standards related to Samaritan's Compliance Program and prevention of fraud, waste and abuse;
- (vi) How Samaritan responds to compliance issues and implements corrective action plans;
- (vii) Requirements specific to Samaritan's categories of service;
- (viii) Coding and billing requirements and best practices, as applicable; and
- (ix) Claim development and the submission process, as applicable.