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Compliance Operations	UNIVERSAL AMERICAN A WellCare Company	06/27/01	Compliance Operations
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	Compliance Training and Education Implementation	**SOX Ref #**	**Approved By**
		N/A	SVP, MA Compliance Officer
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	Approver's Name (Printed): Celeste Panaro - signature on file		Date: 02/14/17

1.0 PURPOSE

1.1 The purpose of this policy is to describe the process by which the Universal American Corp.'s (UAM) Compliance and Training and Development (TaD) departments provide compliance education and training to internal UAM staff and contingent workers. The UAM Delegation Oversight (DO) unit of Compliance is responsible for this function with all first tiers, delegated and related entities (FDRs).

2.0 POLICY

2.1 The UAM Compliance and TaD departments collaborate to provide, at a minimum, annual training and education to all levels of employees and contingent workers, including the governing body. The Compliance and TaD departments are also responsible for the development of training materials for DO to educate FDRs, including agents and brokers, within ninety (90) days of hire and annually thereafter, based on the Centers for Medicare and Medicaid Services (CMS) guidelines and requirements. This mandatory training includes, but is not limited to the following topics:

2.1.1   Code of Conduct

2.1.2   Compliance Program Requirements

2.1.3   Health Insurance Portability and Accountability Act (HIPAA)

2.1.4   Medicare Compliance including Fraud, Waste & Abuse (FWA)

3.0 APPLICABILITY

3.1 This policy and procedure applies to all Medicare Advantage (MA) product lines.

4.0 DEFINITIONS

4.1 **Centers for Medicare and Medicaid Services (CMS)** – The Federal agency responsible for administering Medicare, Medicaid, CHIP (Children's Health Insurance), HIPAA (Health Insurance Portability and Accountability Act), CLIA (Clinical Laboratory Improvement Amendments), and several other health-related programs.

4.2 **Delegation Oversight (DO) Team** – The Compliance Delegation Oversight Team is responsible for oversight of UAM MA delegate areas as applicable to ensure they meet CMS regulatory requirements.

5.0 PROCEDURE

5.1 The UAM Compliance and TaD departments provide new hire and annual training to all employees via the Learning Resource Center (LRC), contingent workers and agents/brokers via Brainshark. Topics for annual compliance training may include, but are not limited to:

5.1.1 Compliance Overview – This compliance training section provides an overview of the processes available to ask compliance-related questions, request compliance clarification and/or report potential issues of non-compliance. This training emphasizes confidentiality, anonymity and non-retaliation for compliance-related questions, and/or reports of potential non-compliance. This training also includes a review of the disciplinary guidelines for non-compliant and/or fraudulent behavior up to, and including, possible termination when the behavior is serious, repeated, and/or when knowledge of a possible violation is not reported.

5.1.2 Health Insurance Portability and Accountability Act (HIPAA) – This compliance training section defines policies, procedures, guidelines, and laws that are in place for maintaining the privacy and security of individually identifiable health information as well as outlining numerous offenses relating to health care and sets civil and criminal penalties for violations.

5.1.3 Medicare Fraud, Waste and Abuse (FWA) – This compliance training section defines potential types of fraud, waste and abuse based on the type of individual or professional that can commit FWA; provides information on how to report suspected activity; and describes the process that UAM follows to investigate suspected activities.

5.2 The UAM Compliance and TaD departments make compliance subject matter-specific training available to employees within identified business areas upon employee onboarding. Generally, but not always, compliance subject matter-specific training results from new or updated guidance by CMS, but can also be developed to target education on compliance issues specific to a business area. Some, but not all, of this training is developed and managed in the applicable business area in order to provide job-related training to staff.

5.3 The UAM Compliance and TaD departments review and update the compliance training on an annual basis or as changes occur to CMS guidance, regulatory mandates and/or manual changes. All employees, contingent workers, agents/brokers and FDRs are trained on changes as they occur, as applicable.

5.4 The UAM Compliance and TaD departments provide education on new CMS guidance as appropriate when it becomes available.

5.5 The UAM Compliance and TaD departments monitor post-training testing. Staff are considered to have passed training courses with a minimum of eighty five percent (85%). UAM Compliance and TaD departments follow-up with department management to ensure all staff takes and passes training courses within given timeframes. The UAM TaD department maintains records on all training and education initiatives, including computer-based modules.

5.6 The UAM Compliance and TaD departments perform an annual review of training documentation to ensure all employees have received training on Medicare Advantage compliance-related topics. If training is not completed by each employee, contingent worker or agent/broker, a reminder is sent to the appropriate supervisors to ensure the training is completed by a specified date or disciplinary actions will be initiated.

5.7 The UAM Compliance and TaD departments make training modules available on topics that include, but not limited to:

5.7.1 Material Submissions Overview

5.7.1.1 Summary of CMS requirements related to collateral materials and other various types of materials; the procedures for submitting collateral materials to the Compliance department for review; and the CMS review and approval protocol and the related timelines.

5.7.2 Enrollment/Disenrollment Overview

5.7.2.1 Summary of CMS Enrollment/Disenrollment guidance and related elements addressed in the Medicare Managed Care Manual and a description of the Compliance monitoring program.

5.7.3 Complaints Tracking Module (CTM) Overview

5.7.3.1 Summary of the CMS Complaint Tracking Module (CTM) guidance and procedures for processing beneficiary complaints and a description of the Compliance monitoring program.

5.7.4 Medicare Advantage 101 and Beneficiary Protections

5.7.4.1 Summary of Medicare history, Original/Traditional Medicare, Medicare Advantage Plans, Medicare Prescription Drug Coverage and Medicaid and Medicare Savings Programs.

5.8 The organization will retain electronic records of training provided to employees and contingent workers, including attendance logs and copies of materials distributed at training sessions.

6.0 TRAINING

6.1 Training is developed by the UAM Compliance and TaD departments to ensure full organizational compliance. General Compliance training is provided to employees within ninety (90) days of hire and at least annually thereafter. Compliance Training is also provided to FDRs, including contracted agents and brokers.

6.1.1 Examples of proof of training may include copies of sign-in sheets, employee attestations, learning management system reporting with identifying employee/non-employee ID number, course name, and completion date, or electronic certifications from the employees taking and completing the training.

7.0 REPORTING

7.1 Reporting is conducted at least weekly during the annual training period and regularly throughout the year. The reporting is maintained on UAM's Intranet site on the TaD subsite. All available data is posted and maintained.

Related Documentation

- CO.004 Regulatory Guidance Analysis and Implementation
- Compliance Program Guidelines – Managed Care Manual Chapter 9/21