Name of Standard: Compliance Training

Responsible Department
UMMS Office of Management (OoM)
Contact: PrivacyandCompliance@umassmed.edu or 508-856-TEAM

STANDARD STATEMENT

Mandatory education and training is essential to ensure an effective compliance program, to communicate the standards and procedures that must be followed, and to ensure that all Workforce members are aware of their responsibility to comply with all applicable laws, regulations, compliance policies, and the Code of Conduct. Commonwealth Medicine (CWM) Workforce shall be required to complete Compliance training at the time of orientation and to complete mandatory refresher training components. The training must be documented.

REASON FOR STANDARD

The purpose of this standard is to ensure Workforce members are aware of their responsibilities to comply with applicable laws, regulations and policies, are well-trained, and meet statutory requirements for training of all Workforce under HIPAA, and other state and federal laws, and to formalize requirements for annual education and training updates.

ENTITIES AFFECTED BY THIS STANDARD

- All Commonwealth Medicine (CWM) Workforce, including:
  - Management
  - Volunteers
  - Interns, and
  - Students
- Temporary Employees
- All Contractors who access PII remotely or on site

RELATED DOCUMENTS

SCOPE

This standard applies to all current employees of CWM and current contractors of CWM. The education and training program mandated by HIPAA and related state and federal laws focuses on privacy and security standards and practices related to Personally Identifiable Information (PII). The scope of this program shall include additional standards of practice established by state and federal law that regulate the health care industry and the public sector including, but not limited to, conflicts of interest, fraud, and non-retaliation.

DEFINITIONS: (See Glossary on Office of Management (OoM) website for additional definitions)
RESPONSIBILITIES

Supervisor:
- Ensure Workforce members timely complete training.
- Identify for training all new contractors, volunteers, interns, or others who do not complete new employee orientation.
- Ensure Workforce members are retrained if functional responsibilities are changed.
- Ensure Workforce members are retrained as part of a corrective action plan.

Workforce:
- Timely complete initial training and mandated annual training.

OoM:
- Create and update on-line training modules.
- Present in person training.
- Track completion of training and inform Supervisors of Workforce members not completing training.
- Follow-up with employees who have not completed training.

Human Resources:
- Provide OoM with the names of new employees on a regular basis;

Information Security Officer
- Assist OoM with content for Security training.

STANDARDS

A. OoM shall be responsible for developing the methods and manner for Compliance Training for the CWM Workforce, including initial/new employee Compliance Orientation; initial on-line Compliance, Privacy and Security Training and annual Compliance Refresher Training.
   1. OoM is responsible for the development of a Training Plan that addresses the aforementioned requirements.
   2. The Training Plan may be updated from time to time.
   3. At a minimum, the training shall include:
      i. an explanation of the OoM and compliance infrastructure at CWM,
      ii. how Workforce can report compliance issues anonymously and without fear of retribution,
      iii. an overview of relevant regulatory requirements with specific focus on privacy and security standards, and
      iv. an overview of the compliance standards.

B. Initial training on privacy and information security practices is mandatory under HIPAA.
   1. All Workforce shall complete Compliance Training no later than thirty (30) days after commencing work.
      - OoM may develop different training modules for full time employees, volunteers and temporary employees.
   2. Contractors with access to PII who are part of the Workforce shall complete Compliance Training no later than thirty (30) days after commencing work.
   3. Contractors with access to PII who are not part of the Workforce are responsible for providing appropriate Privacy and Security Training to employees working under the contract.
      - UMMS may provide additional training relevant to the specific project.
   4. Training shall be provided prior to giving Workforce and Contractors access to PII.
C. It shall be the responsibility of Supervisors, the OoM, and Human Resources (HR) to ensure that new Workforce and Contractors are timely trained.
   1. Each Supervisor shall be responsible for identifying all volunteers and non-UMMS employees working for his or her program, and ensuring that they complete the online Compliance, Privacy and Security Training.
   2. HR shall inform OoM of all new employees who require orientation and initial training.

D. All Workforce completing the initial UMMS training shall execute the UMMS Confidentiality Agreement and CWM Code of Conduct.

E. Annual refresher training is mandatory for all Workforce according to OoM’s Training Plan. The Training Plan may provide more than one option or component for completing this requirement.

F. Refresher training materials must include a mechanism to demonstrate comprehension of the material presented in order for the training requirement to be satisfied.

G. Classroom and web-based training may be made available.

H. Training shall be tracked by the OoM. A record of each person’s successful completion of initial or regular refresher training will be maintained by the OoM.
   - Sign-in sheets shall be used for all in person training sessions.

I. OoM will follow-up with Workforce who fail to complete the initial or refresher training.
   1. Continued failure to complete training may result in referral to HR.
   2. Physical and electronic access privileges to sensitive information may be revoked on the recommendation of the OoM for failure to fulfill training requirements.

J. Workforce members who have access to PII at facilities outside the UMMS as part of their employment or academic program shall be trained by the facility where the Employee is working, unless there is a contractual agreement requiring UMMS to complete the training. Such workforce may also be trained by UMMS.

K. Questions about which Compliance Training class to attend or complete should be directed to Supervisors or the OoM.

L. Workforce involved in research should contact the Office of Research for information about additional training, or consult the Office of Sponsored Programs website at: http://www.umassmed.edu/research/funding/

M. For further information regarding this standard, please contact the OoM at: PrivacyandCompliance@umassmed.edu.

N. Documentation regarding training must be maintained by the OoM for at least six (6) years. Anyone found in violation of the standards may be subject to disciplinary action up to and including termination.
## Training Requirements

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### CITATIONS

- 42 C.F.R. §§422.503(b)(4)(vi) and 423.504(b)(4)(vi).
- Sections 6102 and 6401(a) of the ACA

### DOCUMENT HISTORY

**Effective date:** 10/1/2011  
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### APPROVALS

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