

Policy Title: Condition of Employment and Required Training	Policy Number: NATL.HR.012
Owner Department: Human Resources	Effective Date: 10/29/2020
Custodian: Chair, National HR Policy Roundtable	Page: 1 of 4

1.0 Policy Statement

Kaiser Permanente (KP) requires employees to complete compliance training courses to promote ethical and compliant decision-making and behaviors, be educated on important ethical and compliance topics, address existing and emerging risks, and comply with requirements set forth by laws, regulations, stipulations, corrective actions, state and federal agencies, accreditation standards, and KP policy.

2.0 Purpose

This policy sets forth the compliance training expectations for employees and supervisors to help KP promote a culture of ethics and compliance across the organization and ensure KP complies with training requirements set forth by laws, regulations, stipulations, corrective actions, accreditation standards, and KP policy.

3.0 Scope/Coverage

This policy applies to all new and existing employees and supervisors who are employed by any of the following entities (collectively referred to as "Kaiser Permanente"):

- 3.1** Kaiser Foundation Hospitals and Kaiser Foundation Health Plan, Inc. (together, KFHP/H);
- 3.2** KFHP/H's subsidiaries;
- 3.3** The Permanente Medical Group, Inc. (TPMG) [NOTE: This policy does not apply to physicians, podiatrists, and Vice Presidents of TPMG, who are covered by separate TPMG policies]; and
- 3.4** Southern California Permanente Medical Group (SCPMG) [NOTE: This policy does not apply to physicians of SCPMG].

4.0 Definitions

- 4.1 Existing Employees** – includes individuals hired by KP in a previous calendar year.
- 4.2 New Employees** – includes individuals hired by KP within the current calendar year and former KP employees and supervisors who are rehired more than 365 days after they terminated prior employment with KP.
- 4.3 Supervisors** -- includes all employees in EEO-1 Category 1 which includes executives, senior management, middle management, managers, and supervisors, regardless of whether or not they manage employees.

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5.0 Provisions

- 5.1 Training Requirements.** Training courses are required to satisfy requirements associated with an employee's employment with KP, position or job duties, or supervisory role. Courses can also be required to address corrective actions, stipulations, or to address existing or emerging risks.
- 5.1.1 Authorized Courses.** Courses can only be designated, assigned and enforced under this policy if sanctioned and approved by an authorized Human Resources representative, compliance officer, or senior vice president.
- 5.1.2 Course Types.** Courses are categorized as either:
- 5.1.2.1 Conditions of Employment (COE) Training Courses.** Courses an employee must complete as a condition of their continued employment with Kaiser Permanente.
- 5.1.2.2 Required Training Courses.** Courses that are required of an employee due to regulatory requirements associated with the employee's job, supervisory role, department, job location or their KP requirements.
- 5.1.3** A list of COE and Required courses can be found in the Training Standards.
- 5.2 Employee Training Responsibilities.** Employees must complete all designated training courses within identified course completion timeframes and due dates, per the HR Training Standards.
- 5.2.1 COE Training Requirements.** Employees assigned courses as a condition of employment, must complete each course by the course's completion due date. Failure to complete these courses by the course due date will result in termination of employment.
- 5.2.2 Required Training Requirements.** Employees assigned Required courses are required to complete each course by the course's completion due date. Employees who fail to complete these courses by the course due date will be subject to corrective/disciplinary action consistent with *Corrective/Disciplinary Action NATL.HR.014*.
- 5.2.3 Leaves of Absence.** Employees returning from Leaves of Absence must complete all COE and Required training courses within 30 days of their return to work or by the course due dates specified in the Training Standards, whichever is later.
- 5.3 Supervisor Training Responsibilities**
- 5.3.1** Supervisors must notify new, existing, and transferring employees of COE and Required training courses and associated course completion due dates.

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5.3.2 Supervisors must provide employees with the time necessary (preferably uninterrupted) to complete required training courses during work hours. Failure to release employees for trainings may result in the employee's inability to complete training on time, managers/supervisors will be held accountable for delinquencies caused by lack of employee release.

5.3.3 When notified that employees have failed to complete required courses by the associated course completion due date, and the employee was provided time to complete the training supervisors – working with Human Resources – must ensure appropriate corrective/disciplinary action is taken in accordance with *Corrective/Disciplinary Action NATL.HR.014*.

5.3.4 Supervisors who have been notified that an employee or employees have failed to meet the condition of employment training and/or the required COE or Required training by the communicated completion deadline or within the specified timeframe, may be assigned remediation training as a corrective action on the supervisor's role and responsibility.

5.4 Exceptions. Exceptions to the provisions of this policy will be determined on a case-by-case basis by Human Resources, Ethics and Compliance, the regional compliance officer, the National Department Compliance Leader, or their designee(s).

6.0 References/Appendices

- 6.1** Business Records Retention NATL.NCO.005
- 6.2** CMS Parts C and D Compliance Program Policy and Guidance - Chapter 21, Medicare Managed Care Manual, §§50.3.1-50.3.2 (42 C.F.R. §422.503(b)(4)(vi)(C)) & Chapter 9, Medicare Prescription Drug Benefit Manual, §§50.3.1-50.3.2 (42 C.F.R. §423.504(b)(4)(vi)(C)).
- 6.3** Corrective/Disciplinary Action NATL.HR.014
- 6.4** Kaiser Permanente's Principles of Responsibility
- 6.5** OIG Compliance Program Guidance for Medicare + Choice Organizations Offering Coordinated Care Plans, 64 Fed. Reg. 61893 (Nov. 15, 1999).
- 6.6** OIG Compliance Program Guidance for Hospitals, 63 Fed. Reg. 8987 (Feb. 23, 1998).
- 6.7** OIG Supplemental Compliance Program Guidance for Hospitals, 70 Fed. Reg. 4858 (Jan. 31, 2005).
- 6.8** Training Standards for NATL.HR.012
- 6.9** U.S. Federal Sentencing Guidelines §8B2.1

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7.0 Approval

Update approval 10/29/2020

In accordance with the charter of the National HR Policy Roundtable, this policy update was approved by the National HR Policy Roundtable members, as chaired by Derek Reimer.

Policy Revision History

Original Approvals	Update Approvals	Revision Approvals
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