



TITLE: Compliance: Program Obligations			
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Type: Administrative		Author: Ethics & Compliance Department	
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Facility: System			
Population (Define): All Employees			
Replaces:			
Approved by: Ethics & Compliance Committee, Administrative Policy Committee, Senior Management Team			

TITLE: *Compliance: Program Obligations*

I. Purpose/Expected Outcome:

- A. To establish and explain the Compliance Program obligations of Banner Health’s (Banner) directors and officers, employees, medical staff members, and of individuals and organizations not employed by Banner who perform billing or coding functions for Banner or who provide direct patient care items or services on behalf of Banner and for whom Banner bills (excluding vendors or suppliers whose sole relationship with Banner is the sale or lease of medical supplies and equipment to Banner).

II. Definitions:

- A. N/A

III. Policy:

- A. **Compliance Program Requirements for Banner “Covered Persons.”**
 - 1. **Covered Persons.** For purposes of this policy “Covered Persons” shall include all Banner employees; and all individuals not employed by Banner who, either directly or indirectly, perform billing and coding functions for Banner or who provide direct patient care items or services on behalf of Banner and for whom Banner bills (excluding vendors or suppliers whose *sole* relationship with Banner is the sale or lease of medical supplies and equipment to Banner.)
 - a. For purposes of this policy Covered Persons shall not include medical staff members whose only relationship with Banner is membership on a Banner medical staff. Obligations of such medical staff members are explained in Section B of this policy.
 - 2. **Read, Acknowledge and Follow Banner’s Code of Conduct.** Every Banner Covered Person is expected to read, understand and follow Banner’s Code of Conduct. New Banner Covered Person’s will receive a copy of the Code of Conduct upon employment or affiliation with Banner Health, and are required to acknowledge their receipt of the Code by electronically or physically signing a Code of Conduct Acknowledgement Card which will be retained by the Banner facility with which the Covered Person is affiliated (e.g., in the employee file for all Banner employees.) The Code of Conduct must also be electronically or physically acknowledged annually by taking an online lesson titled “Banner Health: Code of Conduct” on the Banner Learning Center.
 - a. **Compliance Training.** Every Covered Person is required to complete assigned compliance training by the due date assigned.
 - b. **Orientation Training.** Newly employed Covered Persons will be assigned compliance orientation training with a due date that is 60 days from the start of employment date.

significant for purposes of this policy if they appear to involve a violation of the Code of Conduct or any legal or regulatory requirement and any of the following is true:

- a. The failure may have significant impact on Banner or on others who may be impacted by the failure;
 - b. The failure appears to be part of a pattern of failures;
 - c. The failure appears to have been fraudulent;
 - d. The failure cannot be fully addressed, halted or corrected by the manager; or
 - e. For any other reason, the manager believes that more senior members of Banner's management should be involved in investigating or correcting the failure.
3. **Enforcing Compliance Training Requirements.** Banner managers must enforce compliance training requirements by assuring that every Banner employee completes required training by assigned due dates. Training completion will be enforced in the following manner:
- a. **Performance Reviews.** When an employee fails to complete compliance training in a timely manner, their annual evaluation will be held until mandatory training is completed.
 - b. **Discipline.** Employees who fail to complete training will be placed in Banner's formal disciplinary process.

D. **Sanctions.** A Banner employee who fails to comply with any applicable requirement of this policy may be subject to discipline in accordance with Banner's formal discipline process. Any Medical Staff Member or non-employed individual or organization who fails to meet the requirements of this policy may be subject to sanctions, up to and including termination of their relationship with Banner Health.

IV. Procedure/Interventions:

- A. N/A

V. Procedural Documentation:

- A. N/A

VI. Additional Information:

- A. N/A

VII. References:

- A. Banner Employee Handbook
- B. Banner Management Guidelines

VIII. Other Related Policies/Procedures:

- A. Policy: Banner Health Code of Conduct
- B. Compliance: Prohibition Against Retaliation for Reporting Suspected Non-Compliance

IX. Keywords and Keyword Phrases:

- A. Compliance
- B. Discipline

X. Appendix:

- A. N/A