

# Corporate Compliance and Ethics Manual

*Company Name*  
*City, State*



196 Princeton-Hightstown Road  
Bldg. 1A, Suite 1A  
West Windsor, NJ 08550  
Phone: (609) 454-5020  
Fax: (609) 454-5021  
Web: [www.mednetconcepts.com](http://www.mednetconcepts.com)

*This Corporate Compliance and Ethics Policy Manual has been designed to provide guidelines for Company employees, volunteers, interns, appointees, associates, consultants, vendors, agents, executives, and Governing Body members. All policies included in this Manual apply to any and all affected individuals. This Manual is meant to replace any previous version(s) that may be present in the facility. All questions related to the policies in this Manual should be directed to the Company Compliance Officer.*

*Company Name*  
**Corporate Compliance and Ethics Manual**  
**Approval and Indications for Company Use**

Compliance is a key component to *Company Name* day-to-day operations (further referenced as “The Company” throughout this manual). We strive to maintain a good faith effort to comply with all applicable laws, rules, and regulations. In accordance with existing guidance from the U.S. Department of Health and Human Services, Office of Inspector General, as well as the statutory requirements of the Patient Protection and Affordable Care Act, The Company has adopted a Compliance and Ethics Program.

This *Corporate Compliance and Ethics Policy and Procedure Manual*, (hereafter referred to as “Manual”), has been designed to provide guidelines for all persons associated with The Company including employees, (directors, officers, clinical staff), independent contractors, consultants, vendors, executives, Governing Body members, appointees, associates, students and interns, and others working for The Company. All are expected to comply with applicable federal laws, rules, and regulations provided in this manual as well as state specific requirements referenced through links in Chapter 13 of this manual and The Company’s own policies and procedures. Those who fail to comply with the elements of this Program may face disciplinary action, up to and including termination.

This Manual is meant to replace any previous version(s) that may be present in The Company. All questions related to the policies in this Manual should be directed to The Company’s Compliance Officer.

**Manual Adoption:** The Governing Body of *Company Name* adopted the policies and procedures outlined in this Manual and these policies and procedures have been reviewed by the QAPI/QAA Committee and found to be adequate to meet the needs of *Company Name* and its residents. The administrator has been delegated the administrative authority, responsibility, and accountability of assuring that all personnel, residents, and the community are made aware of these policies and procedures through an established orientation and in-service training program.

**Manual Approved:** A group of professional personnel with appropriate representation from administration and the professional disciplines, establishes and annually reviews The Company’s Compliance and Ethics Program for use by The Company. At least one member of the group is neither an owner nor an employee of The Company.

**Manual Reviewed/Revised:** *Date(s) the Manual was reviewed*

**Revision Date:** *Date(s) the Manual was last revised*

<b>Reviewed by:</b>	<b>Title:</b>	<b>Date:</b>
<b>Reviewed by:</b>	<b>Title:</b>	<b>Date:</b>
<b>Reviewed by:</b>	<b>Title:</b>	<b>Date:</b>

## Preface

The electronic version of this Manual is interactive. The *Table of Contents* is hyperlinked to each chapter, and within each chapter is an index with hyperlinks to each policy. Click on the chapter or policy to access it directly.

Throughout the Manual are links in blue text. Click on the blue text to be redirected to a related policy/section/appendix, or to an outside website link containing additional information on the topic being discussed.

Once the Governing Body adopts this Manual, it can be individualized for organization use by inserting the organization name at the *Company Name* greyed areas of the accompanying Word version of the Title and Approval for Company Use pages.

The Governing Body updates the adoption of this Manual on an annual basis.

# CORPORATE COMPLIANCE AND ETHICS MANUAL

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# **1. COMPLIANCE AND ETHICS PROGRAM (CP)**

## 1. COMPLIANCE AND ETHICS PROGRAM (CP)

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**Policy Number:** CP 1.0

**Policy Title:** Compliance and Ethics Program: Regulatory Compliance ([§ 483.85](#) Effective November 28, 2017)

**Policy Statement/Purpose:** The organization *Compliance and Ethics Program* is designed, implemented, and enforced so that it is likely to be effective in preventing and detecting criminal, civil, and administrative violations under the Social Security Act in promoting quality of care; and Includes, at a minimum, the required components specified below.

### **Policy Interpretation and Implementation:**

#### **Definitions:**

***High-level personnel*** - individual(s) who have substantial control over The Company or who have a substantial role in the making of policy within The Company.

**Required Program components** - The Company develops, implements, and maintains an effective Program that contains, at a minimum, the following components:

- (1) Written compliance and ethics standards, policies, and procedures to follow that are reasonably capable of reducing the prospect of criminal, civil, and administrative violations under the Social Security Act and promotes quality of care, including but not limited to:
  - The designation of an appropriate Program contact to which individuals may report suspected violations, as well as an alternate method of reporting suspected violations anonymously without fear of retribution, retaliation, or intimidation.
  - Disciplinary standards that set out the consequences for committing violations for The Company's entire staff; individuals providing services under a contractual arrangement; and individuals providing services on a volunteer basis.
- (2) Assignment of specific individuals within the high-level personnel of The Company with the overall responsibility to oversee compliance with The Company's compliance and ethics program's standards, policies, and procedures, such as, but not limited to:
  - The chief executive officer (CEO)
  - Members of the board of directors
  - Directors of major divisions in The Company
- (3) Sufficient resources and authority to the specific individuals designated to oversee compliance to reasonably assure compliance with such standards, policies, and procedures.
- (4) Due care not to delegate substantial discretionary authority to individuals who have a propensity to engage in criminal, civil, and administrative violations under the Social Security Act.
- (5) The Company takes steps to effectively communicate the standards, policies, and procedures in the compliance and ethics program to:
  - The entire staff
  - Individuals providing services under a contractual arrangement
  - Volunteers, consistent with the volunteers' expected roles



Requirements include, but are not limited to:

- Mandatory participation in training:
    - As set forth at policy [WM 2.4 D](#)
    - Orientation programs
    - Disseminating information that explains in a practical manner what is required under the Compliance and Ethics program
- (6) The Company takes reasonable steps to achieve compliance with the compliance and ethics program's standards, policies, and procedures.
- Utilizing monitoring and auditing systems reasonably designed to detect criminal, civil, and administrative violations under the Social Security Act by any of The Company's staff, individuals providing services under a contractual arrangement, or volunteers
  - Having in place and publicizing a reporting system whereby any of these individuals could report violations by others anonymously within The Company without fear of retribution
  - Having a process for ensuring the integrity of reported data
- (7) Consistent enforcement of The Company's standards, policies, and procedures through appropriate disciplinary mechanisms.
- Appropriate discipline of individuals responsible for the failure to detect and report a violation to the compliance and ethics program contact identified in The Company's compliance and ethics program.
- (8) After a violation is detected, The Company must ensure that all reasonable steps identified in its program are taken to respond appropriately to the violation and to prevent further similar violations, including any necessary modification to The Company's program to prevent and detect criminal, civil, and administrative violations under the Social Security Act.

**Additional required components for operating organizations with five or more facilities-** In addition to all of the other requirements of this Compliance and Ethics Plan, organizations that operate five or more facilities must also include, at a minimum, the following components in their compliance and ethics program:

- (1) A mandatory annual training program on the operating organization's compliance and ethics program that meets the training requirements identified at policy [WM 2.4 D](#)
- (2) A designated Compliance Officer for whom the organization's compliance and ethics program is a major responsibility. This individual must report directly to the organization's governing body and not be subordinate to the general counsel, chief financial officer or chief operating officer.
- (3) Designated compliance liaisons located at each of the organization's facilities.

**Elements of an effective compliance program:** (Identified at [§483.85](#))

- Standards policies and procedures
- Compliance program administration
  - Designating a Compliance Officer and Compliance Committee
- Screening and evaluation of employees, physicians, vendors and other agents

- Conducting effective training and education;
  - Developing effective lines of communication
- Enforcing standards through well publicized disciplinary guidance
- Monitoring, auditing, and internal reporting systems
  - Responding promptly to detected offense and developing corrective action
- Investigations and remedial measures

(Reference inclusive Compliance and Ethics Program Components at policy CP 1.0)

**Compliance risk areas:**

- Quality of Care ([Appendix CP 1. Section A](#))
- Resident Rights ([Appendix CP 1. Section B](#))
- Billing and Cost Reporting ([Appendix CP 1. Section C](#))
- Employee Screening ([Appendix CP 1. Section D](#))
- Kickbacks, Inducements, and Self-Referral ([Appendix CP 1. Section E](#))
- Creation and Retention of Records ([Appendix CP 1. Section F](#))
- Privacy and Security Rules ([Appendix CP 1. Section G](#))

Reference Appendix CP 1 [Compliance Risk Assessment](#)

**Annual review-** The Company must review its compliance and ethics program annually and revise its program as needed to reflect changes in all applicable laws or regulations and within The Company and its facilities to improve its performance in deterring, reducing, and detecting violations under the Social Security Act and in promoting quality of care. (Policy CP 2.0 Section M [Compliance Reassessment/Annual review](#))

**Policy Number:** CP 1.0.1

**Policy Title:** Corporate Compliance and Ethics Program: Administration, Oversight, and Responsibility

**Mission:** The mission of The Company is to provide quality, cost effective health care in a positive and productive work environment. In fulfilling this mission, The Company is dedicated to adhering to the highest ethical standards and, accordingly, recognizes the importance of compliance with all applicable state and federal laws.

**Policy Statement/Purpose:** To ensure that The Company adheres to all applicable Medicare and Medicaid laws, rules, and regulations related to the submission of claims. This includes proper documentation of services, billing, coding, and claims submission, and the prevention, prompt detection, and appropriate corrective action to detect, address, and prevent fraud, waste, and financial abuse.

**Policy Interpretation and Implementation:** The Company Compliance and Ethics Program is intended to be part of the fabric of The Company's routine operations. The Company endeavors to communicate to all Associates The Company's commitment to accurate and lawful documentation and submission of all claims for services to Medicare, Medicaid, and other third-party payers and to comply with applicable laws and regulations. In addition, the Compliance and Ethics Program will:

1. assess The Company's business activities and minimize any potential loss to the government from erroneous claims as well as reduce The Company's potential exposure to legal risks, damages, and civil and criminal penalties through early detection and reporting, that may result from noncompliance;
2. promote the prevention, detection, and resolution of any acts that do not conform to applicable federal and/or state laws, rules, and regulations;
3. implement monitoring and reporting functions to measure the effectiveness of the Program and to address problems in an efficient and timely manner;
4. educate all associates to meet legal and ethical standards that govern Company business of providing resident care and train personnel to conduct their job activities in compliance with the policies and procedures of the Compliance and Ethics Program; and
5. include enforcement and discipline components that ensure that all personnel take their compliance responsibilities seriously.

The Company will take steps to investigate all reported violations and will endeavor to ensure that the Compliance and Ethics Program is effective in preventing, detecting, and eliminating violations of the law in accordance with Policy CP 2.0 Section I – [Compliance Investigation](#)

### **Compliance and Ethics Program Components:**

To ensure The Company remains consistent with applicable legal and ethical requirements and standards of practice, The Company Compliance and Ethics Program includes the elements of a Compliance Program identified at §483.85 (Policy CP 1.0 [Compliance and Ethics Program](#)) and incorporates the *Federal Sentencing Guidelines for Organizational Defendants*. These guidelines detail policies and practices for the federal criminal justice system that prescribe the appropriate sanctions for organizations convicted of federal crimes.

## **Strategic Risk Reduction Elements:**

- Element 1: Standards, Policies and Procedures
- Element 2: Program Administration
- Element 3: Screening and Evaluation of Employees, Physicians, Vendors and Other agents
- Element 4: Communication, Education, and Training
- Element 5: Monitoring, Auditing, and Internal Reporting Systems
- Element 6: Counseling and Discipline
- Element 7: Investigations and Remedial Measures

## **Element 1: Standards, Policies and Procedures**

### Standards, Policies, and Procedures

Written policies and procedures that describe compliance expectations, identify how to communicate compliance issues with appropriate personnel, and describe how potential compliance problems should be investigated and resolved. Compliance standards and procedures must be followed by Company employees and other agents that are reasonably capable for reducing the prospect of criminal conduct.

This Compliance and Ethics Program Manual contains many of the compliance policies and procedures that apply to Medicare-certified skilled nursing facilities and Medicaid-certified nursing facilities. It specifically addresses compliance with federal reimbursement and operational requirements and identifies potential fraud and financial abuse issues related to relationships between The Company and other referral sources, vendors, and providers.

In addition to the policies and procedures set forth in this Compliance and Ethics Program Manual, The Company maintains other corporate policies governing standards of care, ethics, and criminal wrongdoing. Such additional corporate policies may be specifically incorporated by reference throughout the Manual. (Reference policy CP 2.0 [\*Policies and Procedures\*](#))

## **Element 2: Program Administration**

### Oversight and Responsibility:

Every employee and associate at The Company is responsible for participating in Company efforts to comply with federal, state and local laws and regulations and ethical standards. Everyone associated with The Company is encouraged to share with the Compliance Officer their comments and suggestions for improving the Program or for correcting errors or mistakes.

Overall responsibility for operation and oversight of the Compliance and Ethics Program belongs to the Governing Body. The day-to-day responsibility for operation and oversight of the Compliance and Ethics Program rests with the Compliance Officer. The Compliance Officer is assisted by the Compliance Committee which is comprised of persons appointed by the Governing Body, in collaboration with the Compliance and Ethics Attorney.

No Corporation Representative has authority to act contrary to any provision of the Compliance and Ethics Program or to condone any violation by others. Any Associate with knowledge of information concerning a suspected violation of law or violation of a provision of the Compliance and Ethics Program is required to report promptly such violations.

Ultimate authority to approve changes to the Compliance and Ethics Program rests with the Governing Body. The Governing Body acts within its discretion, upon the receipt of recommendations from the Compliance Committee in relation to any Amendment or Modification of Policies and Procedures, the Compliance and Ethics Program and/or the Manual. *Delegation of Authority:*

*Material Changes.* The Governing Body may not delegate its authority to approve or reject material changes to Policies and Procedures, the Compliance and Ethics Program and/or the Manual. A material change is one which would substantially affect the integrity of the Compliance and Ethics Program or which would result in a change, modification, revision, deletion, or addition to the Compliance and Ethics Program in its entirety, or a policy or policies, or any component of a policy or policies, and which pertains to the authority of the Compliance Committee or any subcommittee thereof to act, the authority of the Compliance Officer to act, the existence of the Compliance and Ethics Program, or the deletion, addition, change, modification, or revision of any of the essential elements required by the Compliance and Ethics Program.

Any material change shall be effective on the date referenced in the resolution of the Governing Body adopting the change

*Technical Changes.* The Governing Body may delegate its authority to approve an amendment or modification to the Compliance Committee or the Compliance and Ethics Officer if the change is a technical change. A technical change is one which is procedural in nature and has the effect of improving the overall operational aspects of the Compliance and Ethics Program. Examples of technical changes include, but are not limited to, increasing or decreasing the number of charts during an audit, increasing or decreasing the number of educational sessions, changing the manner or method of providing educational sessions, topics addressed at educational sessions, amending the monitoring criteria utilized, etc.

Any technical change shall be effective on either: (a) the date referenced in the resolution of the Governing Body adopting the change; or (b) the date the Compliance Committee or Compliance Officer implements the change in writing based upon a delegation of authority.

The Company reserves the right to change, modify, or amend the Compliance and Ethics Program or the Policy Manual as deemed necessary by The Company without notice to Associates or other persons.

The Company's Governing Body adopts, develops, and implements The Company's Compliance and Ethics Program. Reference policy CP 1.1.0 [Governing Body](#).

### Discretion in Assigning Positions of Responsibility

The Company must use due care not to assign positions of substantial discretionary authority to individuals whom The Company knows, or should know, are inclined to engage in illegal activities. “Exercising due care” means that The Company diligently inquired about the employment contacts and other relevant history of employees and agents to avoid improperly giving such discretionary authority.

### Compliance Officer\*

Appointment of a Compliance Officer who is responsible for day-to-day operations of The Company Compliance and Ethics Program. The Compliance Officer reports regularly to the Compliance Committee and senior management on implementation progress and to the Governing Body on the operation of the Program and any significant developments. The Compliance Officer makes available a copy of the Compliance and Ethics Program to all directors, officers, employees, members of the medical staff, contractors, vendors, suppliers, and others (hereinafter collectively referred to as "Associates"). The Compliance Officer is responsible for:

- Recommending to the Compliance Committee all appropriate revisions to Policies and Procedures, the Compliance and Ethics Program and/or the Manual.
- Providing all proposed changes to the Compliance and Ethics Program to the Governing Body and Compliance and Ethics Attorney for The Company, as necessary.
- Ensuring that the appropriate authority approves or rejects in writing all amendments or modifications of Policies and Procedures, the Compliance and Ethics Program and/or the Manual in accordance with this policy and procedure. (Reference policy CP 1.1.1. [\*Position Description: Compliance Officer\*](#))\*

*\* Although components of compliance management can be delegated as defined in role descriptions, the Compliance Officer retains administrative oversight for Fraud and Abuse, Ethics, Privacy, Information security, and Safety Compliance as appointed by the Governing Body.*

## Compliance Committee

Appointment of a Compliance Committee (the Committee), which has overall responsibility for oversight of compliance activities. The Committee meets no less than quarterly to review reports on The Company's compliance activities. The Compliance Committee is responsible for making recommendations to the Governing Body with respect to any amendments or modifications of Policies and Procedures, the Compliance and Ethics Program and/or the Manual that the Compliance Committee has approved. (Reference policy CP 1.1.2 [Compliance Committee](#))

### **Element 3: Screening and Evaluation of Employees, Physicians, Vendors and Other agents**

#### Screening and Evaluation of Associates

Screening and evaluation are conducted for all employees, executives, Governing Body Members, Board members, and all other affected persons associated with The Company, including vendors, consultants, students, and interns. (Reference policy [CP 2.0 Section C](#), and [WM 2.0](#).)

### **Element 4: Communication, Education, and Training**

#### Compliance Training and Education

The Company takes steps to communicate effectively the standards and procedures it has set by requiring all employees and other agents to participate in compliance training programs or by disseminating information that explains the requirements of compliance policies in a practical manner. As such, compliance training and education is provided for all employees, executives, Governing Body Members, Board members, and all other affected persons associated with The Company, including: vendors, consultants, students, and interns. Training includes Company specific regulatory compliance issues, and compliance responsibilities.

The Company attempts to communicate changes to, or modification of, the Compliance and Ethics Program concurrent with, or prior to, the implementation of such changes or modifications.

Should Associates have questions or uncertainties regarding compliance with applicable state or federal law, or any aspect of the Compliance and Ethics Program, including related policies or procedures, they should seek immediate clarification from the Compliance Officer, management, Compliance and Ethics Attorney, or through the Compliance Hotline. (Reference policy WM 2.4 Section D [Compliance and Ethics Training and Education](#) and VC Appendix 1.0 sections C and D [Vendor/Contractor Compliance and Ethics Plan](#))

### **Element 5: Monitoring, Auditing, and Internal Reporting Systems**

#### Reporting System

The Company takes reasonable steps to respond appropriately and to prevent future events when an offense is detected, including making needed changes to its Compliance and Ethics Program or procedures. The reporting system supports the ability of The Company's personnel to openly and freely communicate issues of concern to their supervisors through all lines of communication including a method of anonymous reporting to detect, address, and prevent compliance issues. (Reference policy CP 2.0 section B on [Reporting Systems](#))

### Auditing and Monitoring

The Company takes reasonable steps to detect violations of its standards. The routine auditing and monitoring system identifies compliance risk areas through self-evaluation and is designed to detect criminal, civil, and administrative violations. Reasonable steps include: (a) use of monitoring and auditing systems to detect criminal conduct within The Company, and (b) establishing a reporting system that encourages the reporting of suspected criminal conduct without fear of retribution. The Company has developed systems to meet these requirements presented in Policy CP 2.0, Section G on [Compliance Monitoring and Auditing](#) and Section E on the [Compliance Hotline](#).

## **Element 6: Counseling and Discipline**

### Response and Prevention

Reasonable steps to respond are taken when potential compliance issues arise. The Company will respond appropriately to the offense including to investigate and develop remedial measures and corrective action to prevent future similar offenses. (Reference policy CP 2.0 section H on [Response and Prevention](#))

### Disciplinary Standards

The Company consistently enforces appropriate disciplinary mechanisms through a well-publicized disciplinary guidance. Non-compliant behavior may result in disciplinary action, up to and including termination. Associates who violate any provision of the Compliance and Ethics Program, including the duty to report suspected violations, shall be subject to disciplinary measures. Promotion of and adherence to the Compliance and Ethics Program is part of the job performance evaluation criteria for all Associates. The enforcement and discipline standards that apply under the Compliance and Ethics Program are discussed in Policy WM 2.9 [Disciplinary Standards](#).

### Non-Intimidation and Non-Retaliation

The Company has a policy of non-intimidation and non-retaliation for good faith participation in the Compliance and Ethics Program, including but not limited to: reporting potential issues, cooperating or participating in the investigating of issues, participating in self-evaluations, audits, and remedial action, and/or making reports to appropriate officials of inappropriate conduct. (Reference policy CP 2.0 Section D on [Protection of Employees](#))

### Reassessment



The Company performs a periodic reassessment of the Compliance and Ethics Program to evaluate its effectiveness and to make any necessary adjustments. (Reference policy CP 2.0 Section M on [Compliance Reassessment/Annual Review](#))

## **Element 7: Investigations and Remedial Measures**

### External Communications

Contact with Government Agents and Investigators. It is The Company's policy to cooperate with Government Authorities/Agents/Investigators. (Reference policy CP 2.0 Section J on [External Communications and Litigation](#))

Contact with the Media. All contacts concerning The Company with anyone from the media shall be referred to the Compliance Officer and the Administrator.

Contact with Attorneys. All contacts concerning The Company with anyone claiming to be an attorney shall be referred immediately to the Compliance Officer and the Administrator.

Contact with Competitors. All contacts with anyone representing a competitor of The Company or employed by a competitor shall be reported to your immediate supervisor.

### Investigations and Litigation

Subpoenas, Summonses, and Legal Complaints involving The Company shall be given to the Compliance Officer and the Administrator immediately. (Reference policy CP 2.0 Section J on [Compliance External Communications and Litigation](#))

**Policy Number:** CP 1.1.0 A

**Policy Title:** Governing Body Duties and Responsibilities

**Policy Statement/Purpose:** The Company must have a Governing Body that assumes full legal responsibility for establishing and implementing policies regarding the management and operation of the facility.

**Policy Interpretation and Implementation:**

## 1. GOVERNING BODY DUTIES AND RESPONSIBILITIES

- A. **Policies and Procedures:** The Governing Body is legally responsible for establishing and implementing policies regarding the management and operation of the facility. The Governing Body, in conjunction with regular reporting by the Administrator should assess on a regular basis that services are being provided in accordance with facility policies, that policies are current and reflect an acceptable standard of care, that care is coordinated among the professional staff, and that there is efficient use of resources.
- B. **Disclosure of Ownership:** The Governing Body is legally responsible for ensuring that the facility is in compliance with Title 42 Part 420, Subpart C “Program Integrity: Medicare-Disclosure of Ownership and Control Information” including, but not limited to, ensuring that all requisite CMS forms have been completed and signed, regarding the following:
- a. Determination of ownership or control percentages, including indirect ownership interest, pursuant to 42 C.F.R. Section 420.202
  - b. Disclosure of hiring of intermediary’s former employees pursuant to 42 C.F.R. Section 420.203
  - c. Disclosure of principals convicted of a program-related crime pursuant to 42 C.F.R. Section 420.204
  - d. Disclosure by providers and part B suppliers of business transaction information pursuant to 42 C.F.R. Section 420.205
  - e. Disclosure of persons having ownership, financial, or control interest pursuant to 42 C.F.R. Section 420.206
- C. **Appointment of Administrator:** The Governing Body is responsible for appointing an Administrator who shall:
- a. Be licensed by the state, where licensing is required.
  - b. Be responsible for the overall management of the facility under the authority delegated by the Governing Body.
  - c. Report to and be accountable to the Governing Body.
    - i. Facility will determine a means and schedule for regular reporting to the Governing Body and how the Governing Body will respond to Administrator.
    - ii. Administrator and Governing Body will determine which types of problems and information, i.e. survey results, allegations of abuse or neglect, complaints, compliance

- concerns, overpayments and underpayments, and other risk areas that should be reported to Governing Body and method of communicating.
- d. Implement and enforce the facility's policies and procedures.
  - e. Designate, in writing, an individual who, in the absence of the Administrator, acts on behalf of the Administrator.
  - f. Retain professional and administrative responsibility for all personnel providing facility services.
  - g. Have a thorough working knowledge of the overall operation of the facility, including the scope of services provided, policies governing these services, budgetary and fiscal matters, and the utilization and qualification of personnel.
- D. **Group of Professional Personnel**: The Governing Body, in conjunction with the Administrator, is responsible for ensuring that the facility has a group of professional personnel associated with the facility that:
- a. develops and periodically reviews policies to govern the services provided by the facility; and
  - b. consists of at least one physician and one professional representing each of the services provided by the facility.
- E. **Institutional Budget Plan**: The Governing Body is responsible for directing and ensuring that a committee consisting of representatives of the Governing Body and the Administrative staff prepares an institutional budget plan that provides for:
- a. An annual operating budget prepared according to generally accepted accounting principles.
  - b. A 3-year capital expenditure plan if expenditures in excess of \$100,000 are anticipated, for that period, for the acquisition of land; the improvement of land, buildings, and equipment; and the replacement, modernization, and expansion of buildings and equipment.
  - c. Annual review and updating by the Governing Body.
- F. **Patient Care Policies**: The Governing Body is responsible for ensuring that the facility has written patient care policies that are current and responsive to the needs of residents. The Governing Body must verify the input of the group of professional personnel in policy development and review that govern the services it furnishes. The Governing Body must ensure that the policies include the following:
- a. A description of the services the facility furnishes through employees and those furnished under arrangements.
  - b. Rules for and personnel responsibilities in handling medical emergencies.
  - c. Rules for the storage, handling, and administration of drugs and biologicals.
  - d. Criteria for patient admission, continuing care, and discharge.
  - e. Procedures for preparing and maintaining clinical records on all residents.
  - f. A procedure for explaining to the patient and the patient's family the extent and purpose of the services to be provided.
  - g. A procedure to assist the referring physician in locating another level of care for residents whose treatment has terminated and who are discharged.
  - h. A requirement that residents accepted by the facility must be under the care of a physician.

- i. A requirement that there be a plan of treatment established by a physician for each patient.
  - j. A procedure to ensure that the group of professional personnel reviews and takes appropriate action on recommendations from the utilization review committee regarding patient care policies.
- G. **Delegation of Authority**: The Governing Body is responsible for ensuring that the responsibility for overall administration, management, and operation is retained by the facility itself and not delegated to others. However, the facility, under direction of the Governing Body may permit the below services (a) through (e) to be delegated provided that: 1) there is a written contract for the services; 2) the term of the contract is not for a term longer than five (5) years; 3) the contract must be subject to termination within sixty (60) days of written notice by either party; 4) the contract must contain a clause requiring renegotiation of any provision that CMS finds to be in contravention to any new, revised, or amended federal regulation or law; 5) the contract must state that only the facility may bill the Medicare program; and 6) the contract may not include clauses that state or imply that the contractor has power and authority to act on behalf of the facility, or clauses that give the contractor rights, duties, discretions, or responsibilities that enable it to dictate the administration, management, or operations of the facility:
- a. Bookkeeping
  - b. Assistance in the development of procedures for billing and accounting systems
  - c. Assistance in the development of an operating budget
  - d. Purchase of supplies in bulk form
  - e. The preparation of financial statements
- H. **Quality Assurance and Performance Improvement (QAPI) Program**: The Governing Body and/or executive leadership and/or an organized group or individual who assumes full legal authority and responsibility for operation of the facility is responsible for the Quality Assurance and Performance Improvement (QAPI) program in accordance with federal and state laws including, but not limited to, ensuring that:
- a. an ongoing QAPI program is defined, implemented, and maintained and addresses identified priorities;
  - b. the QAPI program is sustained during transitions in leadership and staffing;
  - c. the QAPI program is adequately resourced, including ensuring staff time, equipment, and technical training as needed;
  - d. the QAPI program identifies and prioritizes problems and opportunities that reflect organizational process, functions, and services provided to residents based on performance indicator data, and resident and staff input, and other information;
  - e. corrective actions address gaps in systems, and are evaluated for effectiveness; and
  - f. clear expectations are set around safety, quality, rights, choice, and respect.
- I. **Facility-wide Assessment**: The facility must conduct and document a facility-wide assessment to determine what resources are necessary to competently care for its residents during both day-to-day operations and emergencies. To ensure the required thoroughness, individuals involved in the facility assessment should, at a minimum, include:
- a. The Administrator

- b. A representative of the Governing Body
  - c. The Medical Director
  - d. The Director of Nursing
  - e. The Environmental Operations Manager, and other department heads
- J. **Program Integrity**: The Governing Body has a duty to be knowledgeable of and have regular interaction with the facility's Compliance and Ethics program and program integrity.
- a. The Compliance Officer shall have a direct line of communication to the Governing Body to discuss and report compliance and ethics issues.
    - i. Regularly scheduled executive board sessions should be scheduled with the Compliance Officer and the Governing Body to encourage the free flow of information regarding compliance without potential for conflict.
  - b. The Governing Body must participate in regularly scheduled training, at a minimum annually, on the basic elements of a compliance program;
  - c. The Governing Body should participate in a meaningful and rigorous conflict-of-interest process and self-disclosure process.
  - d. The Governing Body is responsible for holding the facility accountable for program integrity and shall take appropriate actions to ensure program integrity as necessary;
  - e. The Governing Body is responsible for delivering a clear and consistent message about compliance, ethics and program integrity;
  - f. The Governing Body shall regularly review the existing compliance plan documents against existing requirements;
  - g. The Governing Body shall regularly conduct or receive the results of a comprehensive self-assessment of the entire compliance program and its implementation.

**Policy Number:** CP 1.1.0 B

**Policy Title:** Governing Body Adoption Agreement

**Policy Statement/Purpose:** The Governing Body directs management in the development and implementation of The Company's formal Compliance and Ethics Program which includes continuing efforts to improve quality and performance while remaining compliant with applicable laws, rules, and regulations and avoiding violations of law.

**Policy Interpretation and Implementation:** The development and implementation of a Company Compliance and Ethics Program is an element in its continuing effort to improve quality and performance and remain compliant with applicable laws, rules, regulations, and standards.

WHEREFORE, BE IT RESOLVED ON THIS DATE:

1. The scope of this Resolution applies to: (A) The Company; and (B) all directors, officers, clinical staff, employees, independent contractors, consultants, and others working for The Company ("Associates").
2. Company management is directed to dedicate the necessary resources toward development of an effective Compliance and Ethics Program designed to prevent and detect violations of federal or state law in the conduct of Company operations by employees and agents.
3. The Program will meet or exceed the elements of a Program, which require an organization to:
  - a. establish compliance standards and procedures reasonably capable of reducing the prospect of wrongful conduct;
  - b. appoint a specific, *high-level individual* with overall responsibility to oversee compliance with such standards and procedures;
  - c. exercise due care not to delegate substantial discretionary authority to individuals with a propensity to engage in unlawful activities;
  - d. take steps to communicate effectively the compliance standards and procedures to all employees and agents by, for example, mandatory training sessions or the dissemination of publications;
  - e. take reasonable steps to achieve compliance by, for example, utilizing monitoring and auditing systems, and by publicizing a reporting system whereby employees and agents can report perceived wrongful conduct by others within the organization without fear of retribution;
  - f. consistently enforce its standards through appropriate disciplinary mechanisms, including, as appropriate, discipline of individuals for failure to detect noncompliance; and
  - g. take responsible steps to respond appropriately to noncompliance after detection and to prevent recurrence, which may require modifications to the Compliance and Ethics Program.
4. The development and implementation of specific standards, educating and training employees with respect to those specific standards, and reviewing and enhancing internal controls and monitoring systems. This process may be time-consuming. Accordingly, management is directed to proceed in phases, but management should make steady progress toward the creation and implementation of specific standards and systems relating to all material areas of The Company's operations where there are compliance obligations. Management shall provide periodic progress reports to the Board.

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Date Adopted

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Signature

**Policy Number:** CP 1.1.1

**Policy Title:** Position Description: Compliance Officer

**Policy Statement/Purpose:** The Compliance Officer provides general oversight to all aspects of the Compliance and Ethics Program. Working in collaboration with the Compliance Committee, the Compliance Officer is directly involved with the creation, implementation, education, and enforcement of the Compliance and Ethics Program. The Compliance Officer maintains the responsibility for the day-to-day compliance issues, which stem from effectively incorporating the intention and design of the Compliance and Ethics Program with The Company's operations including any delegated functions pertaining to fraud and abuse, privacy, information security, quality, safety, and integrity management.

**Policy Interpretation and Implementation:**

The Compliance Officer is a *high-level individual* [appointed](#) by the Governing Body and has the following specific responsibilities:

1. Coordinate resources to ensure the ongoing effectiveness of the Compliance and Ethics Program.
2. Participate in the development of compliance and Ethics policies and standards.
3. Participate in the development, presentation, and the documentation of educational programs for all employees, agents, and affiliated providers that focus on the elements of the Program and risk areas specific to The Company.
  - a. Provide adequate information on compliance and ethics to employees and vendors.
  - b. Ensure that ongoing training of employees is conducted and documented.
  - c. Make sure that training is frequent enough, so new employees receive training promptly.
  - d. Ensure that all staff members and contractors have read the [Code of Conduct](#) and signed an Acknowledgement of their understanding of its requirements; (Reference CP 2.1 [Code of Conduct](#) and Appendix WM 2.4 [Section E](#), and [VC 1.2](#))
  - e. Participate in the presentation of policies that encourage reporting of suspected fraud and other improprieties without fear of retaliation.
  - f. In some cases, the Compliance Officer, in conjunction with the Compliance Committee, may determine that it is appropriate to share the results of a compliance inquiry among all Company employees to educate them on such issues and attempt to assure consistency. If the advice or inquiry is published in any form, the questioner's confidentiality must be protected.
4. Implement and operate retaliation-free reporting channels, including an anonymous telephone service available to all employees and vendors.
5. Develop productive working relationships with all levels of management.
6. Work with individuals responsible for personnel decisions to ensure that The Company does not delegate substantial discretionary authority to individuals whom The Company knows, or has reason to know, has the propensity to engage in criminal, civil, and/or administrative violations.
  - a. Assure that all positions of responsibility under the Program are assigned to individuals who are morally fit, honest, and capable of making the judgments called for under the duties of the position.
  - b. Ensure that there are effective employee and vendor screening systems in place so that The Company does not hire or utilize individuals or entities with propensities to violate laws, regulations or engage in unethical conduct.



- c. Provide input to Human Resources on policy and procedures relative to the performance appraisal program making the Compliance and Ethics Program part of the overall evaluation process.
7. Ensure that the Compliance and Ethics Program effectively prevents and/or detects violations of laws, regulations, company policies, or the [Code of Conduct](#).
  - a. Develop internal audits and monitoring instruments to measure effectiveness of the Compliance and Ethics Program.
  - b. Conduct or assist in conducting appropriate internal compliance reviews and audits.
8. Conduct and oversee investigations of matters that merit investigation under the Program.
  - a. Oversee the remediation and disciplinary processes to ensure that the Compliance and Ethics Program requirements are being enacted.
  - b. Follow-up, and, as applicable, ensure resolution to investigations and other issues generated by the Compliance Committee or other internal or external sources.
  - c. Bring to the Compliance Committee and senior management's attention all compliance issues for appropriate response and disciplinary action, if necessary.
9. Maintain documentation and track all issues referred to the Compliance Officer and/or Compliance Committee.
10. Make routine, periodic compliance reports to the Administrator regarding compliance activities, even if no violations are detected.
11. On at least an annual basis, the Compliance Officer will issue a report to the Senior Administration, the Governing Body, and the Board of Directors that describes the compliance efforts that have taken place during the prior year and that identifies any changes to the Compliance and Ethics Program that need to be made to improve compliance. The report shall include the following:
  - a. Copy of Audit Plan
  - b. All Audit Results
  - c. All Reports of Noncompliance (whether made by hotline call, telephone call, email, face-to-face communication, etc.)
  - d. All Investigations into Alleged Noncompliance and Results of the Investigations
  - e. Response and Corrective Action, Addressing Identified and Substantiated Noncompliance
12. Monitor developments and changes in relevant state and federal law, regulations, government agency guidance, and court rulings, which may affect the Compliance and Ethics Program.
13. Notify the Governing Body promptly of changes in the law that may affect the Compliance and Ethics Program's effectiveness.
  - a. Prepare proposed changes in the Compliance and Ethics Program for review and approval where appropriate.
  - b. As necessary, and as specific compliance issues arise that require immediate attention, the Compliance Officer will make a report on a more frequent basis.
14. Periodically review and revise the written Compliance and Ethics Program and the Code of Conduct as appropriate to reflect any changes in expectations and/or requirements.

The Compliance Officer's initial activities include:

1. Assist in the development of a written Compliance and Ethics Program that consists of the substantive policies and procedures that will guide The Company's daily operations, such as policies on inducements for referrals, vendor contract, etc.; and the mechanical operation of the provider's Compliance and Ethics Program, including methods for reporting suspected violations, privacy protections, information security, employee compliance training, etc.

2. Assist in the development of The Company [Code of Conduct](#) which is a short, clearly written document, no more than several pages in length, which includes:
  - a. The general legal principles to which employees must adhere, stated in simple language.
  - b. A description of how the process works mechanically, including how employees report infractions against the Code of Conduct. Enforce participation in the Compliance and Ethics Program as mandatory.
  - c. Establish a Compliance Committee.
  - d. Train and inform the Compliance Committee and provide committee members with clear guidance regarding their rules.
  - e. Distribute the Code of Conduct.
  - f. Conduct initial Compliance and Ethics Program training of all employees. Obtain a signed affirmation statement from employees and supervisors.
  - g. Under the guidance of Compliance and Ethics Attorney, conduct Legal training for supervisors, stressing their roles in the Compliance and Ethics Program.
  - h. Establish systems for monitoring (including the audit functions), and for ongoing training of employees.
  - i. Ensure that the entire written Compliance and Ethics Program is kept at the employment site where all employees can access it and advise employees where and how to access the written Compliance and Ethics Program.
  - j. Ensure that compliance-related files are established and maintained as described in the manual.

The Compliance Officer's ongoing activities include:

1. Under the supervision and recommendations of Compliance and Ethics Attorney, manage and monitor the employee reporting process. Ensure that employee reports are seriously and promptly investigated and addressed, including implementing systems or policy changes as needed, and working with human resources personnel to instigate disciplinary action when needed.
2. Ensure that systems for routine auditing of billing practices, quality of care, contracts, privacy practices, information security, and related areas are in place and are working. Modify these as needed.
3. Conduct employee and vendor background checks.
4. Consult with members of the Compliance Committee to obtain interpretations of any requirements of the Compliance and Ethics Program, seek investigative and remedial expertise, and coordinate delegated compliance and risk management activities to include privacy, information security, violence prevention, and safety management systems.

Compliance Officer Qualifications:

The compliance officer must:

1. Be a senior level person with knowledge and experience in health care and organizational management prior to hire.
2. Be able to conduct research and write thorough reports covering findings.
3. Possess communication skills needed to point out potential areas of improvement to organization leaders and governing body.
4. Possess knowledge of finance, statistics, and quality improvement.
5. A bachelor's degree is preferred such as in communications, human resources, health care management, or business.

6. It is preferred that the Compliance Officer possess a Compliance Officer qualifying credential or be working on achieving that credential timely upon hire.

#### **A. ROLE OF THE PRIVACY OFFICER**

Privacy concerns the protecting and control of individually identifiable health information. The Company recognizes the increased complexity of protecting patient privacy while managing access to, and release of, information about residents. The Health Insurance Portability and Accountability Act of 1996 (“HIPAA”) and rules promulgated under the Act require a Privacy Officer. In addition, there are other federal and state laws and applicable regulatory and accreditation standards that have an impact on privacy.

The Privacy Plan is a component of The Company Compliance and Ethics Program. The Privacy Officer is appointed by the Governing Body. The Privacy Officer role may be subsumed in a discipline/department specific title and job description and be accountable to a direct supervisor, but the Privacy Officer, in collaboration with the Appointed Compliance Officer, is accountable to the Governing Body for all compliance and ethics management activities.

The Privacy Officer establishes and maintains accountability for privacy in The Company by ensuring the planning, coordination, implementation, evaluation, analysis, and reporting of activities, policies, procedures, and standards pertaining to The Company Privacy Plan. Refer to Policy PP 1.1 [Privacy Officer Role Description](#). And CP [1.1.1 Section A](#)

#### **B. ROLE OF THE INFORMATION SECURITY MANAGER**

The Information security Manager ensures the planning, coordination, implementation, evaluation, analysis, and reporting of activities, policies, procedures, and standards pertaining to the Information security Plan. The Information security Manager role may be subsumed in a discipline/department specific title and job description and report to a Direct Supervisor but is accountable to the Board Appointed Compliance Officer for all compliance and Ethics management activities.

Refer to Policy DI 1 section B, [Appointment of an Information Security Manager](#)

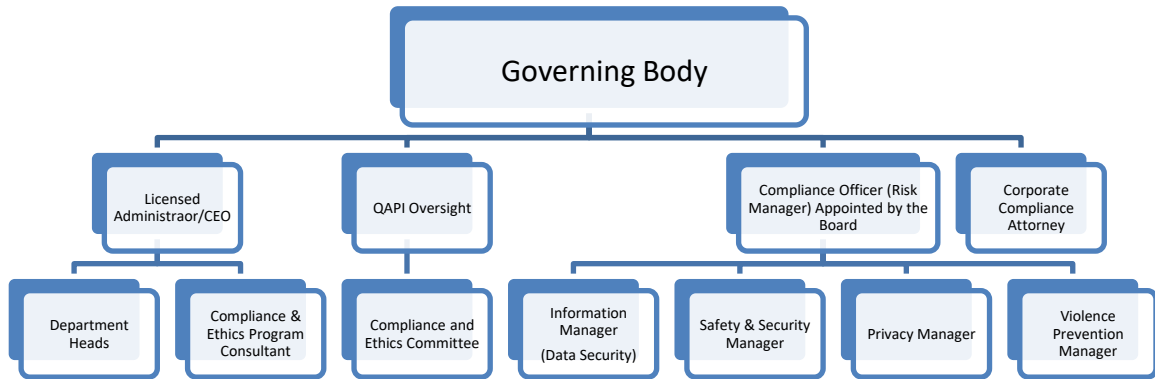
#### **C. ROLE OF THE VIOLENCE PREVENTION MANAGER**

The Violence Prevention Manager ensures the planning, coordination, implementation, evaluation, analysis, and reporting of activities, policies, procedures, and standards pertaining to the Violence Prevention Plan. The Violence Prevention Manager role may be subsumed in a discipline/department specific title and job description accountable to a supervisor but, is accountable to the Board Appointed Compliance Officer for all compliance and Ethics management activities. Refer to Policy [WM 2.8 Section A](#).

## D. ROLE OF THE SAFETY AND RISK MANAGER

The Safety and Risk Manager ensures the planning, coordination, implementation, evaluation, analysis, and reporting of activities, policies, procedures, and standards pertaining to the Safety and Risk Management Plan. The Safety and Risk Manager role may be subsumed in a discipline/department specific title and job description accountable to a supervisor but, is accountable to the Board Appointed Compliance Officer for all compliance and Ethics management activities. Refer to Policy SM 1.0 [Safety Management Plan](#)

### Relationship of Compliance Officer to Compliance Management Roles



**E. APPOINTMENT OF A COMPLIANCE OFFICER**

*Note, the Compliance Officer Board appointment encompasses oversight of all key compliance functions that fall under the appointment as noted in the organization chart (above).*

WHEREAS, the Governing Body of CompanyName, having approved the adoption of a Compliance Program and Code of Conduct; and

WHEREAS, the Compliance Program requires the appointment of a Compliance Officer; and

WHEREAS, the Governing Body having great confidence in the integrity, experience and judgment of *(insert name)*;

NOW THEREFORE, BE IT RESOLVED, that the Governing Body does hereby appoint (name) to be the Compliance Officer of CompanyName beginning on \_\_\_\_\_; and

BE IT FURTHER RESOLVED, that the Governing Body authorizes the Administrator to name an interim Compliance Officer should the Governing Body appointed Compliance Officer resign, become disabled, or otherwise be unable to perform the duties. The Administrator will, if reasonably able to do so, consult with the Governing Body prior to the appointment of a replacement. Said interim appointment will be until the Governing Body appoints a replacement; and

BE IT FURTHER RESOLVED, that the Compliance Officer will vigorously carry out the duties as set forth in The CompanyName's Compliance Program and that all employees of CompanyName will be informed of the importance of adherence to the Compliance Program and the importance of their cooperation with the Compliance Officer.

Signature \_\_\_\_\_

Date Adopted \_\_\_\_\_

**Policy Number:** CP 1.1.2

**Policy Title:** Compliance and Ethics Committee

**Policy Statement/Purpose:** The Compliance and Ethics Committee (“Compliance Committee”) Has overall responsibility for oversight of compliance activities including:

1. Reviews reports on The Company’s compliance and Ethics activities.
2. Advises and assists the Compliance Officer in his/her Compliance and Ethics Program responsibilities.
3. Ensures that The Company maintains and improves the [Code of Conduct](#) and Compliance and Ethics Program.
4. Reviews The Company’s activities.
5. Ensures The Company is meeting high standards of business, medical, legal and personal compliance.
6. Oversees:
  - a. Matters relating to educational training, about The Company's standards of conduct and ensures they are properly disseminated, understood, and followed.
  - b. The Compliance and Ethics Program.
  - c. The investigation of reported violations.
  - d. The development of monitoring and auditing procedures to ensure that the Compliance and Ethics Program is functioning effectively.
  - e. The development and implementation of systems for communicating compliance questions and concerns and reports of wrongdoing.

**Policy Interpretation and Implementation:**

The Company Compliance Committee meets no less than quarterly and has the following specific responsibilities:

1. Stays up to date on current issues and standards specific to Company business;
2. Ensures that The Company maintains and improves the Program to reflect the latest state, national, and industry standards;
3. Makes recommendations to management regarding recommended revisions to existing policies and new policies that may be necessary;
4. Reviews reports on Company compliance activities;
5. Assists the Compliance Officer and senior management in putting into place appropriate response to compliance issues as well as appropriate disciplinary action;
6. Oversee the development and implementation of systems for communicating compliance questions and concerns and reports of wrongdoing;
7. Advises and assist the Compliance Officer in his/her responsibilities;
8. Reports regularly to the Governing Body on the operation of the Program and any significant developments; and
9. Ensures The Company is meeting the highest standards of compliance.

**Committee Membership:** The Compliance and Ethics Committee consists of:

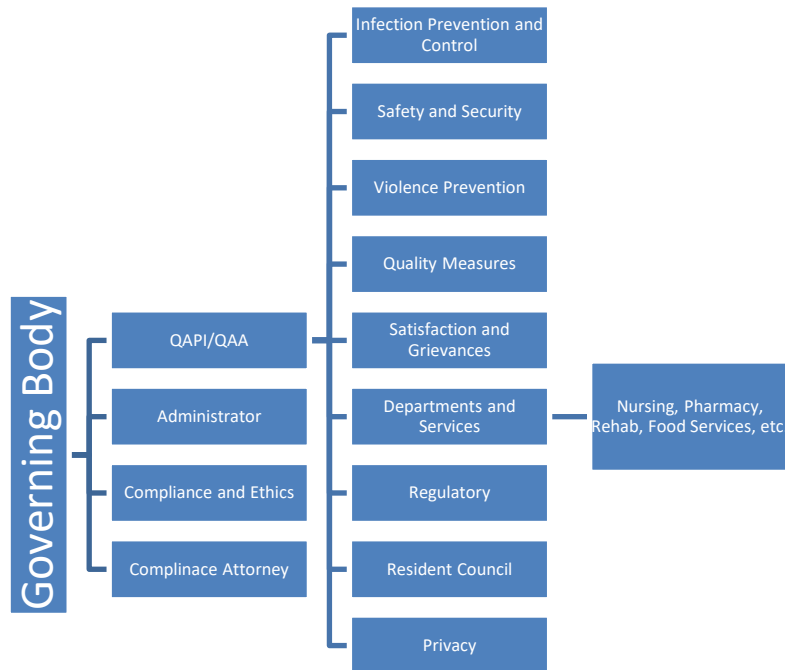
Standing Members:

- Principal
- Administrator
- Compliance Officer
- Privacy Manager/Officer
- Information (Security) Manager
- Safety Manager
- Violence Prevention Manager
- Director of Nursing

Ad Hoc Members may attend Compliance Committee meetings on an *as needed basis* at the request of the Compliance Officer or another standing member and includes the following positions:

- In-service Director
- MDS Coordinator
- Rehab Director
- Medical Director
- Admissions/Case Manager
- Medical Records Director (if applicable)
- Accounting Director
- Human Resource Director
- Pharmacy Consultant
- Compliance and Ethics attorney
- Ethicist

**Membership and Voting:** Compliance Committee members are expected to regularly attend the scheduled and called meetings. A simple majority of members present at a meeting constitutes a quorum for voting purposes. Note: The Compliance Committee can be a component of the overarching QAPI/QAA Committee if allowed by State requirements, but meeting minutes and documentation must be distinct for the Compliance Committee activities.



### Committee Functions:

1. Analyze The Company's environment, the legal requirements with which it must comply, current governmental enforcement initiatives and specific risk areas.
2. Assess and modify existing policies and procedures that address these areas for possible incorporation into the Compliance and Ethics Program.
3. Work with Department Heads to develop, review and approve policies and procedures to promote compliance with the Compliance and Ethics Program.
4. Recommend and monitor, in conjunction with relevant departments, the development of internal systems and controls to carry out The Company's standards, policies, and procedures as part of its daily operations.
5. Determine the appropriate strategy/approach to promote compliance with the Program, and detection of any potential violation through hot lines and other fraud reporting mechanisms.
6. Develop a system to solicit, evaluate and respond to complaints, problems and ethical business dilemmas.
7. The committee may also address other functions and the Compliance and Ethics Program as it becomes part of the overall operating structure and daily routine.
8. The Compliance Officer will provide an internal activity report for the past quarter based on the plan of action agreed upon by the Committee. Compliance and Ethics Attorney will review the report and make recommendations as to the next areas to be addressed. A new plan of action will be collectively decided upon by the entire Committee.
9. Assist the Compliance Officer in any other areas as delegated by Compliance Officer.
10. Report to the Board on all matters relating to the Compliance and Ethics Program on a periodic basis as necessary.
11. Oversee the implementation and operation of the Compliance and Ethics Program.
12. Receive and act upon reports and recommendations from the Compliance Officer.



13. Oversee the development and coordination of compliance educational and training sessions that focus on the essential elements of regulatory compliance.
14. Evaluate The Company's conformance to the Compliance and Ethics Program by periodic reviews of whether the Program's elements have been satisfied, e.g., whether there has been appropriate dissemination of the Program's standards, ongoing educational sessions, and internal investigations of alleged noncompliance.
15. The Compliance Officer will provide an internal activity report for the past quarter based on the plan of action agreed upon by the Compliance Committee. The Compliance Committee will review the report and make recommendations as to the next areas to be addressed. A new plan of action will be collectively decided upon by the entire Compliance Committee.
16. Investigations and Reviews of Compliance Matters: Notwithstanding the foregoing, upon the advice of, and where necessary at the direction of Compliance and Ethics Attorney, the Compliance Committee and through its delegate, the Compliance Officer, shall have the ultimate authority to undertake and/or direct all investigations and reviews of any compliance related matter. When the Compliance Committee or Compliance Officer undertake to direct or investigate a matter, the Compliance Officer shall be responsible for ensuring the appropriate completion of all documentation relating to such investigation.

All Compliance Committee members shall sign a [Confidentiality Statement](#). (Reference Appendix CP 1.1.2 A)

**Policy Number:** CP 2.0

**Policy Title:** Company Compliance and Ethics Plan: Standards, Policies and Procedures

**Policy Statement/Purpose:** Establish Company expectations for the conduct of staff members and others with whom we The Company is associated to reduce the possibility of fraud, waste, and financial abuse and maintain a proactive effort to incorporate contemporaneous changes to the standards of practice.

**Policy Interpretation and Implementation:**

**Standards**

1. Code of Conduct: Company policies include the adoption of a [Code of Conduct](#) (Appendix CP 2.1), which assists staff members in avoiding both the appearance and commission of improper activities. The *Code of Conduct* is distributed to all staff members and is made available to all associates. The Compliance Officer is responsible for ensuring that all staff members and associates have acknowledged that they have received, read, and fully understand the *Code of Conduct*. ([WM 2.4 Section E](#); [WM Appendix 3, Section D](#); [VC Appendix 1.0 D](#)).
2. Compliance Officer: The Compliance Officer is responsible for developing and maintaining all compliance-related policies and procedures. The Compliance Officer is available always to discuss compliance issues, reports compliance issues directly to senior management so that the issues can be properly addressed and investigated, makes periodic reports on compliance issues and their resolution to the Compliance Committee, the Governing Body, and the Compliance and Ethics attorney. All written compliance and ethics policies and procedures will be reviewed and revised periodically to reflect changes to business practices as well as changes to applicable laws, rules, and regulations. Revised policies and procedures shall become effective upon approval by the Compliance Officer and Compliance Committee. (See policy CP 1.1.1 [Position Description: Compliance Officer](#))
3. Lines of Communication: Company personnel must be able to openly and freely communicate issues of concern to their supervisors, the Compliance Officer, and the Compliance Committee. The Company is committed to maintaining an accessible and open communication system through which employees can (1) obtain answers to their questions on compliance policies and (2) report concerns about possible policy violations without fear of retribution. Company communication systems support communication of questions and concerns and communication of policies to associates.
4. Deficit Reduction Act (State specific): The Company must comply with state specific Deficit Reduction Act (DRA) requirements as noted in [Policy FI Appendix 1.1](#)
5. Policy Against Harassment: The Company has and enforces a policy against harassment.

## Compliance Element 1: Policies and Procedures

### A. COMPLIANCE INQUIRY SYSTEM

- 1). *Overview:* The Company's Compliance Inquiry System is maintained for resolving questions about the statutes, regulations, and rules covered by The Company's Compliance and Ethics Program. When anyone associated with The Company has questions about the appropriateness of a business activity or is unsure of the correct procedures to follow, the individual should first consult with a supervisor for clarification. If an individual is not comfortable discussing his or her concerns with a supervisor or believes that the supervisor may not have addressed his or her concerns appropriately or adequately, the individual may contact the Compliance Officer or a Compliance Committee member for further clarification. The Compliance Inquiry System is designed to provide a prompt answer to questions, and to preserve the attorney-client privilege and work product doctrine.
- 2). *Inquiries:* Reimbursement inquiries may be related to:
  - a. documentation, billing procedures, coding, or other activities related to billing and claims for Medicare, Medicaid, or another third-party payor; or
  - b. coverage determinations, guidance, or other directives about items and services that may be reimbursable under Medicare, Medicaid, or another third-party payor.
- 3). *Standards:* Consistency and accuracy are critical standards of the Compliance and Ethics Program.
  - a. Oral inquiries and answers are discouraged except in an emergency. When oral advice is given it must be documented promptly in writing.
  - b. Requests for advice, opinions, and clarification from counsel will be made exclusively through the Compliance Officer.
  - c. When an employee obtains advice or clarification about the meaning of a law, regulation, Medicare manual provision, or other rule from anyone outside The Company, the advice must be documented.
  - d. If there is any question about the reliability or appropriateness of any advice or clarification, the Compliance Officer should be contacted.

These requirements apply to advice, opinions, or clarification from any government agency, outside counsel, insurance carrier, intermediary, or consultant concerning interpretations of statutes, regulations, Medicare manual provisions, or any other directive affecting compliance with the Compliance and Ethics Program.

These requirements do not apply to communications between an internal billing office and an insurance carrier or payor as needed for the routine processing of claims, provided the procedures comply with the Compliance and Ethics Program.

## B. COMPLIANCE REPORTING SYSTEM

- 1). *Overview:* The Company shall have accessible reporting procedures for all persons associated with The Company including employees, vendors, executives, Governing Body members, members of the Board of Directors, appointees, associates, students, residents, as well as members of the public. The Company is committed to developing and supporting all lines of communication to support its efforts to detect, address, and prevent compliance issues, including anonymous reporting. The Company's Compliance Reporting System includes a hotline to report suspicious conduct, violations of law, violations of Company policy, or significant information the reporter feels they cannot report to a supervisor.
- 2). *Duty to Report Concerns:* Any representative acting on behalf of The Company as noted above, must promptly report any suspected violation of the Compliance and Ethics Program and/or state or federal law, rule or regulation in person, by phone, or in writing to the Compliance Officer, a supervisor or using the Compliance Reporting System noted below.
- 3). *Duty to Report Certain Activities:* Employees and agents who reasonably believe that any of the following activities have occurred, are occurring, or are likely to occur, must immediately report their suspicions to their supervisor or contact the Compliance Reporting System as noted below:
  - a. Excessive billing for evaluation testing under preadmission assessment and annual resident review ("PASSAR") regulations when not reasonable and necessary for diagnosis or treatment (e.g., annual screening required for Medicaid residents as part of the certification process and which is compensated by Medicaid as part of the daily rate).
  - b. Individual or group therapies that are not medically necessary.
  - c. Individual or group therapies performed by inappropriate types of providers.
  - d. Excessive volumes of medical supplies delivered to or solicited by Company staff or agents.
  - e. Unusually active presence of medical supply sales representatives who are given or request unlimited access to residents' medical receipts.
- 4). *Reporting system procedures:* Compliance Reporting System procedures, including the telephone number for the Compliance Hotline and designation of the Compliance Officer as the contact person for compliance questions, concerns, and reporting are readily accessible to all persons associated with The Company. Reporting system information is posted conspicuously in break rooms, lounges, or other common areas. The Compliance Officer maintains open lines of communication and may be reached by telephone, by inter-office mail, or by face-to-face communication.

It is the duty of the Administrator or any supervisor who receives a report of a possible compliance issue to report such issue to the Compliance Officer or appropriate compliance personnel immediately.

In order of priority the Compliance Reporting System includes:

- a. The appropriate department head or any other senior manager
- b. The Administrator
- c. The Compliance Officer
- d. The Compliance Hotline at **(800) 557-1066**

Whether reporting by phone or in writing, the individual should be prepared to provide as much detail as possible, including names, dates (times), places, and the specific conduct the individual feels may violate the law or Company policy. If calling, the individual should be prepared to securely FAX relevant documents; if writing, the individual should include copies of relevant documents and provide his or her name and a telephone number and address where he or she may be contacted (if not reporting anonymously).

The reporting system is designed to protect the attorney-client privilege to the maximum possible extent and to maintain a record of all reports and the results of any related investigations or inquiries.

- 5). *Non-retaliation*: Personnel must be able to openly and freely communicate issues of concern to their supervisors, the Compliance Officer, and the Compliance Committee.
  - a. There will be no retaliation for actions of good faith participation in the Compliance and Ethics Program, including but not limited to: reporting potential issues; cooperating or participating in the investigation of issues; participating in self-evaluations, audits, and remedial action; and/or making reports of inappropriate conduct to appropriate officials. (Reference Section D of this policy: [Protection of Employees](#) and policy WM 2.9 C [Non-Retaliation and Non-Retribution](#))
  - b. Failure to report in good faith, engaging in non-compliant behavior and/or encouraging, directing, facilitating participating in or permitting, either actively or passively, non-compliant behavior may result in disciplinary action. (policy WM 2.9 [Disciplinary Standards](#))
  
- 6). *Compliance Call Log*: All calls received will routinely be logged. A report will be created for each call received including, but not limited to, the following information:
  - a. A list of the individuals involved in the reported issue and their roles
  - b. Information about the caller if the caller has chosen to reveal his or her identity
  - c. A summary of the nature of the call
  - d. A detailed narrative of the caller's concerns
  - e. Additional comments as needed
  
- 7). *Role of Compliance Officer*: All reports will be communicated directly to the Compliance Officer for review. The Compliance Officer will:
  - a. confer with the Administrator to investigate the complaint and develop an action plan for resolution of the stated problem;
  - b. ensure that all Compliance Hotline calls are scrutinized, pursued and investigated as they are received and that all reports of compliance issues and violations are taken seriously and investigated accordingly;
  - c. document the investigation process including the completion of the investigation;
  - d. follow up with the individual making the call or report and provide a direct response from the investigation and its resolution, if it was requested;
  - e. conduct monthly random interviews with staff to encourage communication. Staff is encouraged to express any concerns regarding compliance issues during these interviews, or at any time staff has a concern; and
  - f. to the extent possible, all communication to the Compliance Officer will remain confidential. (Reference policy CP 1.1.1 [Position Description: Compliance Officer](#))

## C. SCREENING AND EVALUATION OF ASSOCIATES

1. *Overview:* The Office of the Inspector General (OIG) has established a list of individuals and/or entities who have been excluded from federally funded health care programs. The exclusions can be for various reasons and are often due to convictions for Medicare or Medicaid fraud. The OIG calls this list the List of Excluded Individuals/Entities (LEIE) and it is often referred to as the “exclusion list”. The intention of the list is to ensure that those individuals and/or entities on the list do not receive payments from federal healthcare programs.

The Company implements monthly screening procedures to avoid contracting with excluded parties. No Federal health care program payment may be made for items or services given by an excluded individual or entity. Civil monetary penalties may be imposed against an individual who contracts with an excluded party, when they know or should have known the party was excluded. All entities that receive payments from The Company (including employees, contracted workers, and vendors), must be included in the monthly check. Results should be documented as proof of compliance.

2. *Screening procedures:*

Screen all prospective owners, administrators, and agents against the OIG’s List of Excluded Individuals. Download the list of excluded individuals from the OIG web site at no charge. Monthly updates are available and should be downloaded regularly.

  - a. Periodic screening of current contracted entities
  - b. Require potential vendors to disclose if they are excluded
  - c. Train human resource personnel of the effects of exclusion
3. *Screening requirements:*
  - a. Investigate the background of employees by checking with all applicable licensing and certification authorities to verify that requisite licenses and certifications are in order
  - b. Require all potential employees to certify that they have not been convicted of an offense that would preclude employment in a nursing company and that they are not excluded from participation in the Federal health care programs
  - c. Require temporary employment agencies to ensure that temporary staff assigned to The Company have undergone background checks that verify that they have not been convicted of an offense that would preclude employment in The Company
  - d. Check the OIG’s List of Excluded Individuals/Entities and the GSA’s list of debarred contractors to verify that employees are not excluded from participating in the Federal health care programs
  - e. Require current employees to report to the nursing company if, subsequent to their employment, they are convicted of an offense that would preclude employment in a nursing company or are excluded from participation in any Federal health care program
  - f. Periodically check the OIG GSA websites to verify the participation/exclusion status of independent contractors and retain on file the results of that query (Reference [WM 2.0](#) and [VC Appendix 2.0 A](#))

4. *Downloading the database*
  - a. The exclusion list can be found at <https://exclusions.oig.hhs.gov>. Along the right side of the page is a blue box with the title “Related Content”. Select the first option which is the “LEIE Downloadable Database”.
  - b. On the page that opens, ([https://oig.hhs.gov/exclusions/exclusions\\_list.asp](https://oig.hhs.gov/exclusions/exclusions_list.asp)), select the first option, which is the most recent month’s LEIE Database. Once you select this option, the entire database will download into an Excel spreadsheet.
  
5. *Checking the database*
  - a. Manually check each Company name on the employee/vendor list to see if it’s on the list.
  - b. Alternatively, use a formula to check for duplicates or matches between your list and the database you downloaded.
  
6. *Monthly updates*
  - a. The OIG publishes monthly updates to the database. These monthly supplements can be found on the same page where The Company downloaded the full database.
  - b. Monthly supplements should be downloaded and added to the previously downloaded file. Be sure to update your list of employees/vendors to include any new entities which were hired/contracted with since the last time the database was checked.
  
7. *Investigations and Documentation*

Any matches or “hits” identified when checking the list should be investigated. More often than not, “hits” are the result of someone with a similar name. It is important to keep documentation of the fact that the list was checked on a monthly basis and that any “hits” were looked in to to make sure that The Company is not giving federal healthcare dollars to someone on the exclusion list.
  
8. *Additional lists*
  - a. Additional federal exclusions may be included in the SAM/EPLS database, which must be checked monthly. The list can be found at <https://www.sam.gov/SAM/pages/public/searchRecords/search.jsf>. Select the “Advanced Search – Exclusion” option to check Company vendors and other companies, as necessary.
  - b. In addition, check the state exclusion database monthly.

## **D. PROTECTION OF EMPLOYEES**

1. *Confidentiality:* The Company strives to maintain the confidentiality of anyone reporting a suspected violation. However, under certain circumstances, the individual’s identity may become apparent as The Company’s investigation of the allegation progresses or may have to be revealed in the event governmental authorities become involved. Reference [Section F of this policy](#))
  
2. *Non-retaliation:* No individual will be disciplined or suffer other repercussions solely on the basis that he or she reported what he or she reasonably believed to be misconduct or a violation of the Compliance and Ethics Program or The Company’s Code of Conduct. The Company is committed to following the protections set forth in 31 U.S.C. § 3730(h). (See Policy WM 2.9 C [Non-Retaliation and Non-Retribution](#))

If The Company learns that an individual knowingly fabricated, distorted, exaggerated, or minimized a report of misconduct, either to injure someone else or to protect himself or herself, the individual will be subject to disciplinary action (Policy WM 2.9 [\*Disciplinary Standards\*](#)).

If an individual who makes a report also admits to noncompliance on his or her part, the reporting itself, does not guarantee protection from disciplinary action related to the underlying noncompliance. However, volunteering information about one's own errors, misconduct, or noncompliance will be considered, if the admission is complete and truthful, and was not already known to The Company (or about to be discovered). The weight to be given the report will depend on all the facts known to The Company at the time disciplinary decisions are made, according to the criteria discussed in Section I Compliance Investigation.



## E. COMPLIANCE HOTLINE

*Purpose of compliance hotline:* The Company invites employees, agents and affiliates to report potential unlawful practice so that it can be resolved expeditiously.

1). *Overview:*

- a. Provides an employee or agent an anonymous channel to report perceived problems without fear of retribution;
- b. Allows individuals to speak candidly. Any problem such as theft, sexual harassment, bribery, alcohol or drug abuse, fraud, discrimination, safety or health violations, wrongful discharge, or any other violation of law, regulation or company policy can be uncovered and resolved expeditiously;
- c. Helps demonstrate the effectiveness of the Compliance and Ethics Program.

2). *Hotline number communication:* The Company's toll-free Compliance Hotline telephone number **(800) 557-1066:**

- a. Is made available to all employees, agents and affiliates of The Company to report suspected violations of the law, federal healthcare regulations, policies or procedures, or The Company's Code of Conduct.
- b. Is publicized and displayed in employee and public areas through a Compliance Awareness Poster and Company newsletter.
- c. Is available 24 hours per day, 7 days per week through voice mail. All voice mail calls will be returned the next business day.
- d. Is managed by an external source for ensuring anonymity if requested by the individual making the report.

3). *Hotline number operations:* The Company hotline is operationally maintained by the Compliance Officer who maintains its integrity including:

- a. Ensuring proper functioning of the Hotline
- b. Conducting investigations of all credible allegations
- c. Following-up in response to all Hotline calls to:
  1. Provide feedback to callers; and
  2. Report Compliance Hotline activity to The Company's Governing Body on a consistent/regular basis.
- d. Maintaining a secure area for all documentation
- e. Providing Compliance Hotline information/instructions to all employees during orientation and annual compliance training

4). *Hotline call tracking:* All calls will be received by Med-Net Compliance, LLC which will routinely check for and log messages.

- a. Med-Net Compliance, LLC will prepare a *Hotline Incident Report* for each call received (Reference CP Appendix 2.0 B [Compliance Incident Report Log](#))
- b. The *Hotline Incident Report* will be securely emailed directly to the Compliance Officer for review
- c. The Compliance Officer will track all Compliance Hotline calls through logging *Hotline Incident Reports* sequentially numbered according to date

- d. All Compliance Hotline calls will be scrutinized, pursued and investigated as they are received
  - e. The Compliance Officer will confer with the Administrator of The Company to investigate the complaint and develop an action plan for resolution of the stated problem
  - f. The Compliance Officer will complete a *Compliance Investigation Form* to document the investigation process (Reference Appendix CP 2.0 C [Compliance Investigation Form](#))
  - g. If requested, the individual making the call will receive a direct response from the investigation and its resolution
  - h. The resolution will be documented on the *Corrective Action Plan* (Reference Appendix CP 2.0 D [Compliance Corrective Action](#))
  - i. The date of resolution will be documented on the original Incident Report to indicate completion of the report
  - j. Providing the control number to the caller as a tracking number so that the caller may call back anonymously and inquire about the status of his/her prior call
  - k. Creating case files for each complaint and keep files in a secure area
- 5). *Retaliation*: No retaliatory actions will be taken against any individual who reports compliance violations in good faith through the Compliance Hotline. (see policy item D above, [Protection of Employees](#))

## F. COMPLIANCE CONFIDENTIALITY

- 1). *Definition of confidential information*: Confidential information is all information learned during participation on the Compliance Committee or employment with The Company and which is unknown to the public and/or the general employee population. This includes, but is not limited to, financial information, technical information, information relating to the contents of contracts, or any other proprietary or valuable information of The Company. This also includes sensitive information concerning residents, employees, and vendors. Reference [Privacy section](#).
- 2). *Access to confidential information*: Members of the Compliance Committee have access to confidential information and must not disclose such information to unauthorized individuals. He/she must agree to take appropriate steps to protect sensitive information from accidental disclosure. Reference [Privacy section](#).
- 3). *Confidentiality Statement*: Every member of the Compliance Committee must sign the *Compliance Committee Confidentiality Statement* and agree in writing not to disclose any confidential information regarding The Company or its residents to any person, firm, corporation, association, or other entity for any reason or purpose whatsoever, or make use of such confidential information for personal advantage. Reference Appendix CP1.1.2 A [Compliance Committee Confidentiality Statement](#).
- 4). *Termination of Employment*: Upon termination of employment by The Company, employees working on the Compliance Committee or having access to confidential compliance information must agree not to retain any original or copies of any file, document, record, or memorandum relating in any manner whatsoever to their employment with The Company. All such files, documents,

records, and memoranda in their possession will be immediately returned to The Company upon termination of employment. Reference [WM 2.11](#).

- 5). *The Compliance Officer*: The Compliance Officer will keep all reported information confidential by:
- a. Refraining from requiring the caller to disclose his/her identity
  - b. Assuring anonymity
    1. If/when an employee chooses to disclose his/her identity; holding it in confidence fully practical or permitted by law
    2. Refraining from recording the Compliance Hotline call and refraining from identifying the number/location of the call
    3. Keeping the Compliance Hotline Report as the only record of Compliance Hotline calls
    4. Maintaining the Compliance Hotline Report in a secure area.

Reference CP 1.1.1 [Position Description: Compliance Officer](#)

## **G. COMPLIANCE AUDITING AND MONITORING**

- 1). *Overview*: The Company is committed to remain consistent with applicable legal requirements and standards of practice. The Company has an established system for routine identification and self-evaluation of risk areas, including internal auditing and monitoring designed to detect criminal, civil, and administrative violations. Data is collected and analyzed on a regular basis to assess Company compliance with established standards of practice, quality, documentation, billing, and reimbursement guidelines. To the extent that The Company's monitoring activities reveal conduct which could potentially constitute violations of the Compliance and Ethics Program, failure to comply with applicable state or federal law, and other types of misconduct, The Company has an obligation to immediately investigate the conduct in question to determine whether a violation has occurred, to take action, to discipline the person or persons involved, and to correct the problem. (Reference policy FI Section B [Reimbursement Auditing](#))
- 2). *Compliance auditing and monitoring techniques*: The Company employs a variety of auditing and monitoring techniques and random checks to verify compliance with the Program including:
- a. Periodic interviews with management personnel regarding their perceived levels of compliance within their departments or areas of responsibility
  - b. Questionnaires developed to poll personnel regarding compliance matters as well as the effectiveness of individual training techniques
  - c. Periodic written reports of department managers, utilizing assessment tools developed to track specific areas of compliance
  - d. Audits designed and performed by internal and/or external auditors using auditing guidelines
  - e. Investigations of alleged noncompliance reported through the Reporting Policy or other means
  - f. Exit interviews of departing employees

Auditing and monitoring is conducted regularly, and written reports are presented to the Compliance Officer and Compliance Committee at least quarterly. Areas of potential noncompliance are kept confidential.

The Compliance Committee will review, revise, and issue modifications and/or updates to the Compliance and Ethics Program to employees based upon the results of such evaluation.

3). *Role of the Compliance Officer:*

- a. Is responsible for overseeing the monitoring of the various activities and operations of The Company, providing an assessment of the effectiveness of the Compliance and Ethics Program, and indicating the areas where the Compliance and Ethics Program may need to be revised or improved.
  1. Develop a schedule for periodic auditing and monitoring.
  2. Employ a variety of monitoring and auditing techniques including, but not limited to:
    - Audits designed and performed by internal and/or external auditors
    - Investigations of alleged noncompliance reported through the Compliance and Ethics Program Procedure or other means
    - Reevaluation of past audit results
    - Trend analysis
    - On-site visits
  3. The schedule will be reviewed at least annually in conjunction with the Compliance Committee and revised as necessary.
- b. Is responsible for developing, approving, and coordinating monitoring plans and formal audits in consultation with the Compliance Committee. The audits may be performed by internal or external auditors or another designee. (Reference CP Appendix 1.0 [Compliance Risk Assessment](#))
  1. Financial audit activities will assess baseline regulatory compliance performance by testing specific high-risk areas, as identified by the Office of the Inspector General (“OIG”) within associated Company policies and procedures
  2. Considerations in designing/conducting Audits
    - The Company’s policies and procedures
    - High-risk areas as identified by the OIG
    - The Company’s specific business operations
  3. Audit findings are reported to the Compliance Committee
- c. Shall analyze the results of the auditing and monitoring to determine the root cause. Based on these reports, the Compliance Officer and Compliance Committee shall determine an appropriate response.
  1. Associates will be individually notified of their noncompliance by the Compliance Officer. Depending upon the nature of the noncompliance, the Compliance Officer may require the employee to undergo additional training, increase the number of records reviewed, or the frequency of the reviews. Instances of chronic noncompliance will be reported to the Compliance Committee and the Administrator for further corrective action. (Reference policy CP 2.0 Section K [Compliance Corrective Action](#)).
- d. Revise and issue modifications and/or updates to the Compliance and Ethics Program based upon results of the evaluations and/or changes in applicable laws, rules, and regulations.
- e. Evaluates, no less than annually, the effectiveness of the [Code of Conduct](#) and other compliance policies and provide the results of such evaluation to the Compliance Committee and the Board of Directors.

- f. Confers with Legal Counsel to discuss the operation and implementation of the Compliance and Ethics Program as often as necessary, but at least twice a year.

Reference Policy CP 1.1.1 [Position Description: Compliance Officer](#)

- 4). *Qualifications of Auditors:* The reviewers should:
  - a. Possess the qualifications and experience necessary to adequately identify potential compliance issues about the matters under review
  - b. Be objective and independent of line management
  - c. Have access to relevant personnel, records, and areas of operation
  - d. Present a written evaluation concerning compliance activities to the Compliance Officer
  - e. Specifically identify areas where corrective actions are needed
- 5). *Audit Process:* The auditor:
  - a. Selects a sample audit population which appropriately reflects the matter/area in question. The sample size should be no less than five (5) records.
  - b. Determines if the sample audit reveals a potential problem and whether a larger sample should be reviewed.
  - c. Determines if the larger sample confirms the problem and the nature, scope, and frequency of the problem.
  - d. Qualifies the impact of the problem (e.g.; legal, internal policy, etc.).
  - e. Determines the cause of the problem (e.g.; human error, computer error, lack of education, fraud, malice, etc.).

## **H. COMPLIANCE RESPONSE AND PREVENTION**

- 1). *Overview:* The Company has established a system for responding to compliance issues as they arise and to prevent future similar events from occurring, including investigating, retaining legal consultation, updating policies and procedures, implementing corrective action plans, and, when appropriate, remitting payment and/or reporting misconduct to appropriate authorities.
- 2). *Responsibility:* It is the responsibility of all associated with The Company to assist in resolving compliance issues by participating in good faith in The Company's response to potential compliance violations, including cooperating when The Company is conducting investigations and abiding by identified corrective action.
- 3). *Compliance Response and Prevention Processes:* Reports received through either a reporting mechanism or through some other mechanism (e.g., auditing) are documented and assessed initially by the Compliance Officer. If the initial assessment indicates that there is a basis for believing that the conduct reported constitutes noncompliance, the matter shall be reported to the Compliance Committee for review.

All instances of potential noncompliance shall be investigated carefully to determine whether the allegation appears to be well-founded. The Compliance Officer shall promptly begin an investigation in accordance with established procedure noted in Section I, below.

## I. COMPLIANCE INVESTIGATION

- 1). *Overview:* An Effective Compliance and Ethics Program requires the prompt investigation of complaints presented by anyone working for or doing business with The Company entity. Compliance issues must be properly identified and resolved. The Compliance Officer will promptly investigate compliance related complaints. All employees are expected to assist in investigation and resolution efforts. No promises will be made to the party making the disclosure regarding his or her liability or the steps The Company will take in response to the allegation.
  
- 2). *Role of the Compliance Officer:* Reports received through either a reporting policy mechanism, or through some other monitoring mechanism shall be initially assessed by the Compliance Officer. The Compliance Officer's designee will conduct the investigation if the Compliance Officer is not available.
  - a. The Compliance Officer will complete a *Compliance Investigation Form*. (Reference CP Appendix 2.0 C, [Compliance Investigation Form](#))
  - b. If the initial assessment indicates that there is a basis for believing that the conduct reported constitutes noncompliance with the Compliance and Ethics Program, applicable state or federal law, or other corporate policy, the matter shall be reported to the Compliance Committee for review.
  - c. The Administrator will be notified of the nature of the complaint.
  - d. The Compliance Officer, in conjunction with Compliance and Ethics Attorney, will be responsible for directing the investigation, including determining the most appropriate investigator to lead the investigation. Appropriate candidates to lead the investigation, in addition to the Compliance Officer include, but are not limited to, Human Resources, Legal Counsel, Auditors, or Special Consultants. The chosen investigator, if other than the Compliance Officer, shall report to and coordinate all aspects of the investigation with the Compliance Officer.
  - e. The investigator should develop a written plan for the investigation. The plan should be revised as the investigation proceeds.
  
- 3). *Investigation Potential Noncompliance Process:* The following steps should be taken when any report or activity giving rise to an investigation occurs:
  - a. Commence an investigation as soon as reasonably possible, but in no event more than 7 days (or sooner as required by laws, rules, or regulations) following reasonable suspicion of a compliance violation. The investigation may include but is not limited to:
    1. Interviews of the person(s) involved in or having knowledge of the potential noncompliance. Make sure the area where interviews will be conducted ensures privacy
    2. Interviewees with relevant information may be required to submit a signed, dated written statement
    3. If the Compliance Officer does not request a written statement from Interviewee, the Compliance Officer shall document the interview and he/she should sign and date the record
    4. If the Compliance Officer determines that the presence of an individual under investigation could jeopardize the integrity of the investigation, he or she will seek to relieve that individual of his or her responsibilities until the investigation is completed. Further, the Compliance Officer also will take any necessary steps to secure, or prevent the destruction of, relevant documents
    5. All employees are expected to assist in investigation and resolution efforts

6. The specific allegation, issues, and identity of the complainant shall be kept confidential unless otherwise required by law
- b. Create a timeline of events
    1. Review of related documents, if appropriate
    2. Review of applicable federal and state laws, rules, and regulations as well as Company policies and procedures
    3. Collaboration with the Compliance Committee
    4. Consultation with Compliance and Ethics Attorney, auditors, healthcare consultants, etc.
  - c. Document every effort to substantiate potential noncompliance and retain documentation with the original report. All allegations are evaluated to determine:
    1. If the allegation appears to be well-founded.
    2. Whether the alleged activity violates state or federal law or The Company Compliance and Ethics Program.
    3. Whether the alleged activity puts The Company at risk of economic injury or injury to reputation.
    4. The remedial/corrective action to be taken.
      - Not all actions that are not in strict compliance with statutory and regulatory requirements will require corrective action. The Compliance Officer, in coordination with the appropriate Company personnel, including the Compliance and Ethics Attorney, will determine whether potential violations are indeed actual wrongdoing, or error that requires corrective action. If an error is found, the Compliance Officer will assure that any necessary corrective action is documented. Remedial/corrective action:
        - Is imposed as a means of facilitating the overall goal of full compliance.
        - Should assist Company employees, vendors, or business associates to understand specific issues and reduce the likelihood of future noncompliance.
        - Should be sufficient to effectively address the instance of noncompliance.
        - Should reflect the severity of the noncompliance and the past adherence to compliance standards.
        - Applies to all associated with The Company. All are responsible for actively participating in the corrective action.
    5. Whether the allegation warrants reporting to enforcement authorities and reporting timelines.
  - d. Identify the nature of the noncompliance, the immediate correction of any harm resulting from the violation, and the resolution of specific problems identified. Upon completion of the investigation, the Compliance Officer, in conjunction with Compliance and Ethics Attorney, will be responsible for preparing a Corrective Action Plan with recommendations on corrective actions, including recommended disciplinary measures to be taken against the person or persons whose activities or conduct is the subject of the investigation. The plan may include:
    1. A recommendation to revise applicable policies and procedures to clarify proper protocols and/or development of new systems to safeguard against future noncompliance of a similar nature (Reference policy CP 2.0 Section M [Compliance Reassessment/Annual Review](#))

If an investigation reveals that changes to the Compliance and Ethics Program are warranted before the next scheduled Board meeting, the Compliance Officer, in consultation with Compliance and Ethics Attorney, is authorized to make such changes and to expend such funds as are necessary to assure proper adjustments to the Compliance and Ethics Program without prior

consent of the Board of Directors. However, the Compliance Officer will report any such proposed changes to the Administrator prior to implementation to secure his or her advice and to permit the calling of an emergency meeting of the Board of Directors, if needed. Otherwise, any changes made to the Compliance and Ethics Program will be reported to the Board at its next regularly scheduled meeting.

2. Additional mandatory training for employees, contractors, vendors, and/or business associates (Reference policy WM 2.4 D [Compliance Training and Education](#))
  3. Increased auditing and/or monitoring (Reference policy CP 2.0 Section G [Compliance Auditing and Monitoring](#) and FI 1.0 B. [Reimbursement Auditing](#))
  4. For instances of financial fraud and abuse:
    - Focused review of records made by employees, contractors, vendors, or business associates for a defined period following discovery of noncompliance
    - A recommendation to not bill inappropriate claims (Reference policy [FI 2.0](#))
    - A recommendation to repay any overpayments uncovered during the investigation, with interest, if appropriate (Reference policy [FI 2.1 F](#))
    - A recommendation to report to appropriate authorities within sixty (60) days of discovery and repay any overpayments uncovered during the investigation, with interest, if appropriate, after the Compliance Officer has investigated and considered the following:
      - Identification of the exact issue
      - The amount involved
      - Any patterns or trends that the problem may demonstrate within The Company's billing system
      - The extent of the period affected
      - The circumstances that led to the overpayment
      - Whether or not The Company has a corporate integrity agreement in place which requires self-disclosure
  5. Enforcement of disciplinary standards (Reference Policy WM 2.9 [Disciplinary Standards](#))
  6. Other reasonable corrective measures calculated to ensure adherence to applicable federal and state laws, rules, regulations, and The Company's compliance and ethics Program
  7. Under no circumstances is retaliation for discussing a concern acceptable. This includes questions and concerns an employee discusses with an immediate supervisor, oversight authority, Compliance Officer, Compliance Committee member, or Compliance and Ethics Attorney
- e. Conduct follow up and audit the corrective action for a defined period to determine whether it is being followed as well as its effectiveness in preventing the recurrence of similar violations.
- f. Maintain a clear record of the investigation's conclusion as well as what factors were considered in making that determination if an allegation is not substantiated.
1. If the investigation does not substantiate the concern, documentation regarding the investigation is still filed. Once complete, the documentation filed is kept for a minimum of six (6) years.
    - When a compliance violation is found to exist, all documentation related to the investigation is kept in an "open" file until a remediation plan and any related monitoring are complete.



- All records related to reports of suspected violations will be preserved in accordance with The Company's document management program. (Reference [BP 2.1](#))
- g. Provide feedback to the source regarding the investigation, provided the issue was not reported anonymously. Sources who report anonymously may call to receive feedback. Responses should be general in nature and not reveal information of a confidential nature such as the individual's name or corrective action taken because of the investigation.

## **J. EXTERNAL COMMUNICATIONS AND LITIGATION**

1). *Overview:* The Compliance Officer shall address requests for information about The Company from individuals who are not affiliated with The Company. The Company is likely to be subject to frequent and routine requests for information and government reviews and/or litigation and may periodically receive legal documents from government auditors and investigators (e.g.; subpoenas, summonses, and legal complaints). The Company has systems in place to identify the appropriate response for dealing with requests for these documents to ensure full cooperation by The Company and its Associates. All contact with Government Agents/Investigators and all requests for information or interviews concerning The Company are immediately directed to the Compliance Officer. The Compliance Officer must not only receive legal documents immediately but must forward them on to the Compliance and Ethics Attorney immediately to ensure appropriate and consistent responses and to respond to deadlines that The Company is legally responsible to meet.

2). *General Guidelines for All Types of Inquiries:*

- a. All Company Associates should be respectful and courteous to government investigators.
- b. As soon as the investigators arrive, immediately notify the Administrator and Compliance Officer. If those individuals are unavailable, then contact the most senior management person in your area. If a senior manager is not on the premises, the investigators should be asked to wait momentarily in an unused office or an area where no Company business is being conducted. Wait with the investigators, but do not discuss anything related to business with the investigators while waiting until a senior manager arrives.
- c. The Administrator, Compliance Officer, or senior manager should request identification from all investigators, including a business card for each investigator. Enforcement agents should be asked to show their badges.
- d. The investigators should be asked the purpose of their visit and what information they are seeking.
- e. Upon receiving this information, the Administrator, Compliance Officer, or senior manager should immediately contact someone who can provide legal guidance.
- f. Do nothing to interfere with the agents.

3). *Guidelines for Specific Types of Inquiries:*

- a. Routine periodic surveys should be handled in the normal course of business. However, the Administrator and/or Compliance and Ethics Attorney should be contacted in the event there is an unscheduled visit by the state survey team, or agents other than usual state surveyors in attendance (e.g., OIG, FBI or State Medicaid Fraud Unit).
- b. If the inspectors are conducting an *OIG Audit*:

1. Notify the Administrator and/or Compliance and Ethics Attorney
  2. The Administrator and/or Compliance and Ethics Attorney should be designated to receive all requests for information or documentation
  3. The investigators should be requested to make all requests for information through this designated individual
  4. A list should be made of all information and documents requested
  5. Original documents should not be given to the investigators
  6. Two copies of all documents taken by the investigators should be made: one copy for the investigators, and one for the Administrator and/or Compliance and Ethics Attorney
    - Do not be surprised if the original documents are taken
    - We will have an opportunity later, at the government's office, to photocopy any of the documents that were taken
    - If the government agents attempt to take actual computers, attempt to detach the computers for the agents to minimize damage to the wiring, etc.
- c. If the investigators arrive with a *search warrant*:
1. The senior manager on-site should request a copy of the warrant and any accompanying exhibits or attachments and the business card (or name) of the agent in charge
  2. The affidavit in support of the warrant should be specifically requested and the Compliance Officer should be contacted immediately. Any instructions given by the Compliance Officer shall be carefully followed.
  3. Contact the Administrator and/or Compliance and Ethics Attorney and forward on a copy of the warrant
  4. The investigators will have the authority to seize original documents—the senior manager should politely request permission to make copies of important documents before they are seized
    - If permission is not granted, a careful list of documents seized, by category and location, should be made to the extent possible
  5. All Associates should be directed to not interfere with investigators conducting a seizure pursuant to a search warrant. Associates perceived by the investigators to be interfering with the investigation may risk criminal sanctions, including but not limited to obstruction of justice
- d. *Subpoenas, Summonses, and Legal Complaints*: Other than routine subpoenas for medical or personnel records, subpoenas, summonses, or other legal complaints involving The Company shall be given to the Compliance Officer immediately. It is important that the Compliance Officer and other appropriate individuals respond to subpoenas, summonses, and other legal documents. It is Company policy that staff not turn over documents or discuss the case with any individuals unless directed to do so. The Compliance and Ethics Attorney will be contacted, if appropriate.
1. Company documents shall not be photocopied by the government agents on the premises.
  2. A correct and complete inventory of all items taken shall be requested from the government agents before they leave the premises.

4). *Associate Rights and Obligations*:

- a. Associates should be advised that they may be contacted individually at home or at work by investigators. Individuals should be made aware of the following rights in the event they are contacted by government agents.

1. Associates have the right to refuse to talk to investigators, or to refuse to be interviewed unless they have an attorney to represent them. It is not an indication of guilt to request an attorney, but rather a common-sense decision to have the assistance of someone who understands the context of government investigations and how to protect individual rights. The Company will provide counsel to represent the Associate in appropriate circumstances.
  2. Associates have the right to refuse to speak to the investigators. Associates must be advised that making a false statement to a government investigator may subject the Associate to criminal sanctions. Once Associates become aware of an ongoing government investigation, no documents in any way related to the investigation should be destroyed or discarded; this may subject the Associate to criminal sanctions.
    - After an investigation has begun, Associates should be instructed (1) not to speculate about the nature of the investigation; and (2) not create memoranda, letters, emails, or other electronic or paper documents related to the investigation.
  3. If contacted by government investigators, Associates should notify the Administrator and/or Compliance and Ethics Attorney. Associates may not offer to provide access to Company documents. All requests for information and documents by government investigators should be processed through the Administrator and/or Compliance and Ethics Attorney.
- 5). *Role of Staff and Contractors:* Anyone claiming to represent a local, state, or federal agency requesting information, or an interview concerning The Company should be immediately directed to the Compliance Officer. It is Company policy to cooperate with the authorities. Considerations:
- a. While the agents may have the right to be on the premises to execute a warrant, this does not mean Company employees and/or contractors must submit to interviews. No one is required to submit to questioning by government investigators or employees.
  - b. For anyone claiming to represent the government who contacts the associate at work or at home regarding The Company or the employee's employment:
    1. Ask for identification and a business card
    2. Determine precisely why he or she wishes to speak with you
    3. Tell the investigator that you wish to make an appointment for a date and time in the future
    4. Immediately notify the Compliance Officer
  - c. Employees and contractors need not explain Company operations, bookkeeping, records, or what any document means; however, employees and contractors will cooperate in locating items called for in the search warrant.
  - d. If a government agent makes requests or demands of you inconsistent with these instructions, seek the advice of the Compliance Officer.
  - e. Other than routine subpoenas for medical or personnel records, if the employee is served with a subpoena, summons, or legal complaint involving The Company, notify the Compliance Officer immediately. Simultaneously, send a facsimile of the document to the Compliance and Ethics Attorney immediately, noting your name, the date you received the document, and when and where you can be reached. It is very important that you do not turn over documents called for in a subpoena, do not discuss the case with the individual who served you with the subpoena, and do not discuss the subpoena with anyone other than the Compliance Officer and Compliance and Ethics Attorney.
  - f. No Associate may remove, alter, create, or destroy documents or records including, but not limited to, paper, tape, and computer records.

- 6). *Procedures for Assuring Compliance with Complaints, Subpoenas, Summonses, and Court Orders:* The Compliance Officer will maintain a record of every complaint, subpoena, summons, and court order served on The Company. The Compliance Officer will be responsible for coordinating with Compliance and Ethics Attorney as needed. The Compliance Officer, with assistance from the Compliance and Ethics Attorney, will be primarily responsible for a timely and appropriate response to the served documents.
- 7). *Contact with the Media:* All contacts concerning The Company with anyone from the media **MUST** be referred to the Compliance Officer.
- 8). *Contact with Attorneys:* All contacts concerning The Company with anyone claiming to be an attorney should be referred immediately to the Compliance Officer.
- 9). *Contact with Competitors:* All contacts with anyone representing a competitor of The Company or employed by a competitor should be reported to the immediate supervisor.

#### **K. COMPLIANCE CORRECTIVE ACTION**

- 1). *Overview:* Corrective action shall be imposed as a means of facilitating the overall Compliance and Ethics Program goal of full compliance. Corrective action plans should assist Company employees, vendors, or business associates to understand specific issues and reduce the likelihood of future noncompliance. Corrective action shall be sufficient to effectively address the instance of noncompliance and should reflect the severity of the noncompliance and the past adherence to compliance standards.
- 2). *Developing a Corrective Action Plan:* A Corrective Action Plan will be developed if any noncompliance is found in an internal review report, consultant's report, reports of questionable practices, investigations of complaints, internal monitoring, or audit results.

The Corrective Action Plan should identify the nature of noncompliance and immediate correction of any harm resulting from the violation and resolution of specific problems identified. The plan may include, but is not limited to:

- a. A recommendation to repay any overpayments uncovered during an investigation (with interest, if appropriate).
  1. The overpayment must be reported to the appropriate governmental health care program within sixty (60) days after it is identified.
  2. Once a billing error has been reported and any overpayments returned (including any applicable deductibles and copayments), no further reporting to enforcement authorities is required unless there is evidence of a pattern of, or an attempt to conceal, intentional wrongdoing. The Compliance Officer will consult with the Compliance and Ethics Attorney (and any other outside experts deemed necessary) in order to comply with this policy.

3. The Compliance Officer, whenever practical, will consult in advance with the Administrator and the Board of Directors before reporting suspected violations of the law to third parties.
- b. A recommendation to not bill inappropriate claims.
- c. A recommendation to report to appropriate government authorities about the noncompliance and any variable fraud.
  1. The report should be filed within sixty (60) days of the discovery of the credible evidence of fraud and only upon the consultation of the Compliance and Ethics Attorney.
  2. In some situations, if violations of the False Claims Act are reported to the Office of the Inspector General (OIG) within thirty (30) days of learning of credible evidence, fines may be limited to double rather than triple the amount of damages.
  3. Refer to the Office of Inspector General (OIG) Provider Self-Disclosure Protocol.
  4. The Compliance Committee and Compliance and Ethics Attorney will monitor settlement of issues reported to outside authorities.
- d. Recommended revisions to existing policies and procedures and/or development of new systems to safeguard against future noncompliance of a similar nature. (Reference CP 2.0 Section M [Compliance Reassessment/Annual Review](#))
- e. Additional mandatory education and training for employees, vendors, and/or business associates who are the subject of the corrective action. (Reference Policy WM 2.4 D [Compliance Training and Education](#))
- f. Monitoring systems and auditing tools to assure The Company's adoption of and compliance with the recommendations.
- g. Focused reviews of an employee's, vendor's, or business associate's records for a defined period.
- h. Other reasonable corrective measures calculated to ensure adherence to the Compliance and Ethics Program.
- i. Any recommended disciplinary measures. (Reference WM 2.9 [Disciplinary Standards](#))

3). *Considerations for Developing Corrective Action Plans:*

- a. The Compliance Officer shall follow up and audit corrective action plans to determine whether the corrective action plan is being followed promptly and thoroughly and is effective. The failure of an individual subject to a corrective action plan to adhere to the plan shall be grounds for further corrective action.
- b. The Compliance Committee must be involved in the development of all Corrective Action Plans that:
  1. result from a significant compliance violation;
  2. affect multiple departments or service lines; or
  3. involve revisions or additions to the Compliance and Ethics Program or system-wide policies and procedures.
- c. It is against corporate policy for employees to be retaliated against for their participation in this process. This includes questions and concerns an employee discusses with an immediate supervisor, oversight authority, Compliance Officer, or the Compliance Committee.
- d. The Compliance Officer will keep all Corrective Action Plans and documentation in an "open" file until the monitoring period is successfully completed. Once complete, all documentation related to the investigation and corrective action filed is kept for a minimum of six (6) years.

- e. The Compliance Officer, in conjunction with the Compliance Committee and Compliance and Ethics Attorney, shall implement procedures, policies, and systems necessary to reduce the potential for recurrence. (Reference WM 2.9 [Disciplinary Standards](#))

## **L. COMPLIANCE AND ETHICS TRAINING AND EDUCATION**

- 1). *Overview:* The Company takes steps to communicate effectively the standards and procedures it has set by requiring all employees and other agents to participate in compliance training programs, or by disseminating information that explains the requirements of compliance policies in a practical manner. As such, compliance training and education is provided for all employees, executives, Governing Body Members, Board members, and all other affected persons associated with The Company, including: vendors, consultants, students, and interns. Training includes Company specific regulatory compliance issues, and compliance responsibilities.

The Company attempts to communicate changes to, or modification of, the Compliance and Ethics Program concurrent with, or prior to, the implementation of such changes or modifications.

- 2). *Associate Responsibilities:* Should Associates have questions or uncertainties regarding compliance with applicable state or federal law, or any aspect of the Compliance and Ethics Program, including related policies or procedures, they should seek immediate clarification from the Compliance Officer, management, Compliance and Ethics Attorney, or through the Compliance Hotline. (Reference policy WM 2.4 Section D [Compliance and Ethics Training and Education](#) and [VC Appendix 1.0 E](#))

## **M. COMPLIANCE REASSESSMENT AND ANNUAL REVIEW**

- 1). *Overview:* The Company performs a periodic reassessment and annual review of the Compliance and Ethics Program to evaluate its effectiveness and to make any necessary adjustments. The Company must change its policies and procedures, including forms, logs, and agreements as necessary and appropriate to comply with changes in the law or as needed by The Company.
- 2). *Evaluation:* The Company will employ a variety of evaluation techniques, including but not limited to:
  - a. Periodic interviews with management personnel regarding their perceived levels of compliance within their departments or areas of responsibility
  - b. Questionnaires developed to poll personnel regarding compliance matters including the effectiveness of individual training/educational techniques
  - c. Periodic written reports of department managers utilizing assessment tools developed to track specific areas of compliance
  - d. Exit interviews for departing employees
  - e. Overall Systems Review and Recommendations – The compliance and ethics systems (Systems to Promote Care at the Center, Corporate, Divisional, and Regional levels) are to be assessed as to their effectiveness, reliability, scope, and thoroughness
    1. Effectiveness - Does the system produce desired outcomes/purposes?
    2. Reliability - Is the system dependable/predictable?

3. Scope - What is the extent of the system throughout the monitored organization?
  4. Thoroughness - Is the system accurate, or lack omissions in its implementation?
- 3). *Aspects for Review*: Aspects of the Compliance and Ethics Program to include in the ongoing review include, but are not limited to:
- a. The systematic review of Company policies and procedures as necessary and appropriate
    1. The Compliance Officer is responsible for developing and maintaining all appropriate policy and procedures.
    2. All policies and procedures must be in written form.
    3. The Compliance Officer, Compliance and Ethics Attorney, and Compliance Committee must approve all policies and procedures for all compliance issues.
    4. If there are material changes in policies and procedures, the affected workforce must be trained. (Reference Policy WM 2.4 D [\*Compliance and Ethics Training and Education\*](#))
  - b. Senior management reports on audit results and/or significant visit findings
  - c. Quality of Care Dashboard metrics:
    1. Selected Clinical Indicator results (pressure injuries, returns to hospital, infection control metrics, etc.);
    2. Proactive Steps taken to Ensure Resident Care including:
      - Professional Standards of Care
      - Rules and Regulations in 42 C.F.R. Part 483
      - State and Local Statutes and Regulations
      - Company policies and procedures
  - d. Analysis of Outcome Measures. Corrective interventions including response to Quality of Care Issues
    1. Ability to Identify Issue
    2. Ability to Determine Scope of Issue
    3. Ability to Conduct Root Cause Analysis
    4. Ability to Create Action Plan
    5. Ability to Execute Action Plan
    6. Ability to Monitor and Evaluate Plan
  - e. Internal quality control systems
  - f. Annual state survey outcomes and complaint survey findings
  - g. Reports on significant reportable events, disclosure program trends/issues, and OIG updates
  - h. Overpayments or other critical billing and MDS issues that have been identified as well as any IRO audit updates/outcomes
  - i. Staffing, overtime, turnover, and agency use
  - j. Compliance audit results, incidents/occurrences/adverse events, grievances
  - k. Rehabilitation services
    1. Skilled Rehabilitation Therapy
    2. Complies with Medicare Program Requirements -Therapy Minutes
    3. Complies with Medicare Guidance on Documentation of Medical Records
  - l. Significant operational issues
  - m. Communication system
  - n. Training programs - training compliance/completion rates, review of scheduled training activities, and recommendations from the Compliance Committee for any additional training needs that have been identified

- 4). *Program Updates:* If an investigation reveals that changes to the Compliance and Ethics Program are warranted before the next scheduled Board meeting, the Compliance Officer, in consultation with the Compliance and Ethics Attorney, is authorized to make such changes and to expend such funds as are necessary to assure proper adjustments to the Compliance and Ethics Program without prior consent of the Board of Directors. However, the Compliance Officer will report any such proposed changes to the Administrator prior to implementation to secure his or her advice and to permit the calling of an emergency meeting of the Board of Directors if needed. Otherwise, any changes made to the Compliance and Ethics Program will be reported to the Board at its next regularly scheduled meeting.

The Company shall make necessary adjustments to the Compliance and Ethics Program found to be warranted through the reassessment process. It may be necessary from time to time to amend the overall structure of the Program, as well as to amend various procedural and technical components. To ensure that this Program remains a viable Program geared at maintaining defined standards of practice, the Compliance Officer and Compliance and Ethics Attorney will periodically make amendments or modifications to the Program. All such amendments or modifications will be brought to the attention of the Compliance Committee at its next regularly scheduled meeting.

The Compliance and Ethics Program is designed to accommodate future changes in the law which may arise. The Company anticipates that the scope of the Program may be updated to include issues not currently covered.

- 5). *Program Interpretation:* Questions concerning interpretation of any portion of The Company Compliance and Ethics Program, including policies and procedures, are directed to a supervisor, Compliance Officer, or Administrator using the Compliance Inquiry System and Compliance Hotline described in Policy CP 2.0 Section A [Compliance Inquiry System](#).



**Policy Number:** CP 2.1

**Policy Title:** Code of Conduct

**Policy Statement/Purpose:** Identify the Code of Conduct for all Company employees and Associates.

**Policy Interpretation and Implementation:** The Company, its employees and contractors, and those with whom The Company associates and/or contracts, where appropriate, constantly strive to ensure that all activity by, on behalf of, or with The Company follows all applicable federal, state, and local laws, regulations, ordinances, administrative directives, and any other binding governmental directives (“Laws and Regulations”).

The general principles articulated in this *Code of Conduct* are intended to provide guidance to individuals in their obligation to comply with applicable laws and regulations. However, the general principles contained herein are neither exclusive nor complete. Employees and contractors are expected to refer to The Company Compliance and Ethics Program, manuals, policies, and procedures as well as other relevant laws and regulations for further guidance. It is important for all employees and contractors to recognize that they are required to comply with all applicable laws and regulations, as well as The Company’s Compliance and Ethics Program, manuals, policies, and procedures, whether specifically addressed in this *Code of Conduct*. If questions regarding the existence of, interpretation, or application of any law, regulation, rule, standard, policy, and/or procedure arise, they should be directed to The Company’s Compliance Officer.

The Company expects everyone to whom this *Code of Conduct* applies to abide by its principles and to conduct the business and affairs of The Company in a manner consistent with the general policies set forth herein.

Nothing in this *Code of Conduct* is intended to, nor shall be construed as, providing any additional employment or contractual rights to employees and contractors or other persons.

## **ETHICAL BUSINESS PRACTICES**

1. Achieving business results by illegal acts or unethical conduct is not acceptable. It is expected that all personnel and external agents shall act in compliance with the requirements of applicable law and this Code and in a sound ethical manner when rendering services to our residents and when conducting business and operational functions.
2. Employees and contractors shall perform their duties in good faith and to the best of their ability and shall not obtain any improper personal benefit by their relationship with The Company.
3. Other than compensation from The Company, and as consistent with the conflict of interest policies, personnel shall not have a financial or other personal interest in a transaction between The Company and a vendor, supplier, provider, or customer.

4. Each supervisor and manager is responsible for ensuring that the personnel within their supervision are acting ethically and in compliance with applicable law and the Code. All personnel are responsible for acquiring sufficient knowledge to recognize potential compliance issues applicable to their duties, and for appropriately seeking advice regarding such issues.
5. Honest Communication. The Company requires honesty from individuals in the performance of their responsibilities and in communication with The Company's attorneys and auditors. No employee or contractor shall make false or misleading statements to any state or federal officials, investigator, or person/entity doing business with The Company. Employees and contractors shall not destroy or alter Company information or documents in anticipation of, or in response to, a request for documents by any applicable government agency or from any court.
6. Duty to Report. It is the ongoing and continuous obligation of all employees of The Company to alert the Human Resources Department of any conviction, exclusion from participating in a state of federal healthcare program or finding that would disqualify them from providing services.
7. Financial Reporting. All Company business transactions shall be carried out in accordance with management's general or specific directives. All the books and records shall be kept in accordance with generally accepted accounting standards or other applicable standards. All transactions, payments, receipts, accounts, and assets shall be completely and accurately recorded on The Company's books and records on a consistent basis. All information, including financial reports, cost reports, accounting records, expense accounts, time sheets, and other documents recorded and submitted to other persons must accurately and clearly represent the relevant facts or the true nature of the transaction, and must not be used to mislead those who receive the information or to conceal anything that is improper.
8. Proprietary Information. The Company's employees and contractors shall not steal information belonging to another person or entity, including from The Company, or use any publication, document, computer program, information, or product in violation of a third party's interest in such product. All employees and contractors are responsible for ensuring that they do not improperly copy documents or computer programs in violation of applicable copyright laws or licensing agreements for their own use. Employees and contractors shall not use confidential business information obtained from competitors or pre-employment agreements in violation of a covenant not to compete, or in any other manner likely to provide an unfair competitive advantage to The Company.
9. Business Relationships. Employees and contractors shall not engage in any business practice intended to unlawfully obtain favorable treatment or business from any government entity or any other party in a position to provide such treatment or business. Employees and contractors shall not use confidential or proprietary information about The Company for their own personal benefit or for the benefit of any other person or entity, except The Company.
  - A. *Disclosure of Financial Interest*. Employees and contractors shall disclose to the Compliance Officer any financial interest, ownership interest, or any other relationship they (or a member of their immediate family) have with The Company's vendors or competitors.

- B. *No Use of Insider Information.* Employees and contractors may not use “insider” information for any business activity conducted by or on behalf of The Company. All business relations with contractors providing any services to The Company must be conducted at arm’s length both in fact and in appearance, and in compliance with The Company’s policies and procedures. Employees and contractors must disclose personal relationships and business activities with such contractor personnel that may be construed by an impartial observer as influencing the employees’ and contractors’ performance or duties. Employees and contractors have a responsibility to obtain clarification from management on questionable issues that may arise.
10. Personnel shall not engage in any financial, business, or other activity which competes with The Company’s business which may interfere or appear to interfere with the performance of their duties, or that involve the use of The Company property, facilities, or resources, except to the extent consistent with the conflict of interest policies.
11. Personnel shall comply with applicable antitrust laws. There shall be no discussions or agreements with competitors regarding price or other terms for product sales, prices paid to suppliers or providers, dividing up customers or geographic markets, or joint action to boycott or coerce certain customers, suppliers, or providers.
12. The Company and its employees and contractors shall not engage in unfair competition or deceptive trade practices, including misrepresentation of The Company’s products or operations. Personnel shall not make false or disparaging statements about competitors or their products or attempt to coerce suppliers or providers into purchasing products or services.
13. Confidentiality. All personnel shall maintain the confidentiality of The Company’s business information and of information relating to The Company’s personnel, vendors, suppliers, providers, and residents. Personnel shall not use any such confidential or proprietary information except as is appropriate for business. Personnel shall not seek to improperly obtain or misuse confidential information of The Company’s competitors.
14. Personal Use of Corporate Assets. All employees and contractors are expected to refrain from converting assets of The Company to personal use. All business of The Company shall be conducted, and The Company’s property utilized, in a manner designed to further The Company’s interest rather than the personal interest of an individual employee or contractor. Employees and contractors are prohibited from the unauthorized use or taking of The Company’s equipment, supplies, materials, or services.

## LEGAL COMPLIANCE

1. Gifts from Customers or Others. Employees and contractors are prohibited from soliciting or accepting tips, personal gratuities, gifts, or other things of value from The Company’s customers or others that seek to do business with The Company. If a customer or another individual wish to present a monetary gift, he/she should be referred to the Compliance Officer.

2. Gifts Influencing Decision-Making. Employees and contractors shall not accept gifts, favors, services, entertainment, or other things of value to the extent that decision-making or actions affecting The Company might be influenced. Similarly, the offer or giving of money, services or other things of value with the expectation of influencing the judgment or decision-making process of any purchaser, supplier, government official, or other person by The Company is absolutely prohibited.
3. Gifts from Existing Vendors or Customers. Employees and contractors may retain gifts from vendors or customers, which have a nominal value generally less than \$50 in aggregate over each year. To the extent possible, these gifts should be shared with the employees and contractors' coworkers. Gifts of cash and cash equivalents (e.g., gift certificates) are never acceptable.
4. Vendor or Customer Sponsored Entertainment. Occasionally, at a vendor's or customer's invitation, an employee or contractor may accept meals or refreshments, attend a local theater or sporting event, or similar entertainment, at the vendor's or customer's expense, so long as the cost is of nominal value under the circumstances, generally less than \$50 in aggregate over each year. In most circumstances, a regular business representative of the vendor or customer should be in attendance with the employee or contractor. Employees and contractors should advise the Compliance Officer of vendors or customers that offer such invitations on a frequent basis, even if the employee or contractor does not accept such invitations.
5. Conflicts of Interest. Neither Employees nor contractors may use their positions at The Company to profit personally or to assist others in profiting in any way at the expense of The Company.
6. Anti-Discrimination/Anti-Harassment. All personnel are responsible for ensuring that the work environment is free of discrimination or harassment due to sex, age, race, gender, color, religion, national origin, disability, or any other status protected under state or federal law.
7. Fraud and Financial Abuse. The Company expects its employees and contractors to refrain from conduct which may violate any federal and state laws relating to health care fraud and abuse. Each employee and contractor is expected to: a) maintain honest and accurate records of services provided; b) follow current and applicable laws, regulations and guidelines to facilitate proper documentation of services; and c) take necessary steps to prevent the submission of claims for payment and reimbursement of any kind that are fraudulent, abusive, inaccurate, or medically unnecessary.
8. Kickbacks, Inducement, and Self-Referrals. The Company and its employees and contractors shall comply with all laws relating to kickbacks, inducements, and self-referrals.

The Company and its employees and contractors shall not knowingly offer, pay, solicit, or receive bribes, kickbacks, or other improper remuneration in order to induce business reimbursable by any federal or state governmental program including, but not limited to, Medicare and/or Medicaid.

All employees and contractors are required to report any gifts or other gratuities, other than those of nominal value, received from any outside source that is in the position to benefit from the referral of business to The Company.

9. Lobbying/Political Activity. Personnel shall not directly or indirectly authorize, pay, promise, deliver, or solicit any payment, gratuity, or favor for influencing any political official or government employee in the discharge of that person's responsibilities. Personnel shall not entertain government personnel about The Company's business.

## **EDUCATION**

1. The Company will develop and implement a regular education and training program for all employees and external agents.
2. All employees are expected to participate in educational programs and abide by policy requirements.
3. Adherence to The Company's Compliance and Ethics Program will be a factor in evaluating the performance of an employee.
4. The Company will maintain records of all educational programs presented to employees and relevant external agents.

## **REPORTING OF VIOLATIONS**

1. Illegal acts or improper conduct may subject The Company to severe civil and criminal penalties, including large fines and being excluded from certain types of federally funded insurance programs. It is, therefore, very important that any illegal activity or violations of the Code be promptly brought to The Company's attention.
2. Any director, officer, or employee who is uncertain of, or believes, or becomes aware of any violation of this Code or any illegal activity by a director, officer, employee, or another person acting on The Company's behalf shall promptly report the violation or illegal activity in person, by phone, or in writing, to:
  - a. the appropriate supervisor;
  - b. the Administrator;
  - c. the Compliance Officer; or
  - d. the Compliance Hotline at (800) 557-1066.
3. It is the duty of the Administrator or any supervisor who receives a report of a possible compliance issue to report such issue to the Compliance Officer or appropriate compliance personnel immediately.
4. It is a violation for personnel not to report a violation of the Code or any illegal activity. If you have a question about whether acts or conduct may be illegal or violate the Code, you should contact one of the persons listed above. It is a violation of this Code for personnel to whom a potential illegal act or violation of the Code is reported to not ensure that the illegal act or violation of the Code comes to the attention of those responsible for investigating such reports. If the illegal acts or conduct in violation of the Code involve a person to whom such illegal acts or violations might otherwise be reported, the illegal acts or violation should be reported to another person to whom reporting is appropriate.
5. It is The Company's policy to promptly and thoroughly investigate reports of illegal activity or violations of this Code. Personnel must cooperate with these investigations. You must not take any actions to prevent, hinder, or delay discovery and full investigation of illegal acts or violations of

this Code. It is a violation of this Code for personnel to prevent, hinder, or delay discovery and full investigation of illegal acts or violations of this Code.

6. Personnel may report illegal acts or a violation of this Code anonymously. To the extent permitted by law, The Company will take reasonable precautions to maintain the confidentiality of those individuals who report illegal activity or violations of this Code and of those individuals involved in the alleged improper activity, whether it turns out that improper acts occurred. Failure to abide by this confidentiality obligation is a violation of this Code.
7. No reprisals or disciplinary action will be taken or permitted against personnel for good faith reporting of, or cooperating in the investigation of, illegal acts or violations of this Code. It is a violation of this Code for personnel to punish or conduct reprisals regarding personnel who have made a good faith report of, or cooperated in the investigation of, illegal acts or violations of this Code.

### **DISCIPLINARY ACTION**

1. Personnel who violate the Code, or commit illegal acts are subject to discipline up to and including dismissal. Personnel who report their own illegal acts or improper conduct, however, will have such self-reporting considered when determining the appropriate disciplinary action. (Policy *WM 2.9 [Disciplinary Standards](#)*)

**Policy Number:** CP 2.2

**Policy Title:** Conflict of Interest

**Policy Statement/Purpose:**

To minimize the risk of potential conflicts of interest consistent with applicable legal requirements and standards of practice.

- Each Associate able to influence must annually disclose his or her affiliations and to execute an acknowledgement confirming that he or she has complied with The Company Code of Conduct ([CP 2.1](#)).
- Disclosure of an Associate’s affiliations is intended to assist The Company in resolving conflicts of interest. An affiliation with another organization does not necessarily mean that an unacceptable conflict of interest exists or that the affiliation would unduly influence the Associate.

**Policy Interpretation and Implementation:** Each associate in a position to influence will submit a conflict of interest disclosure statement annually. See [CP 2.2](#); WM [Appendix 3, Section B](#); [VC Appendix 1.0 Section B](#).

The Company provides guidance and establishes a procedure for the disclosure of potential conflicts of interest. Each employee is encouraged to act objectively when carrying out their duties as an employee of The Company to include avoiding conflicts of interest.

The Company relies on its employees to exercise their responsibilities in the best interests of The Company, The Company where they work, and the residents they serve. Employees should avoid all situations that are, or appear to be, conflicts of interest. Although it is impractical to attempt to define every situation that might create a conflict of interest, generally speaking, a conflict exists when an employee’s personal interests or activities may influence his or her judgment in the performance of his or her duty to The Company and its customers. This policy offers guidance in identifying and addressing potential conflicts of interest.

## **SITUATIONS CREATING A POSSIBLE CONFLICT OF INTEREST**

### **Financial Interests**

A conflict may exist when an employee or an employee’s immediate family member is in a position to influence the business decision of The Company or an outside concern and directly or indirectly (a) owns or otherwise engages in the same or similar kind of business as The Company, or (b) owns a significant interest in a competitor or concern with a current or prospective business relationship with The Company.

### **Outside Activities**

A conflict may exist when an employee, or an employee’s immediate family member, serves as director, officer, employee, or representative of a competing organization, or an organization which has a current or prospective business relationship with The Company. A conflict also may exist when an

employee engages in a personal business venture, charitable activity, or service in public office that prevents him or her from devoting the time and effort that his or her position at The Company requires.

1. Employees of The Company may not work for, consult with, or have an independent business relationship with any of The Company's service providers, vendors, competitors, or third-party payers. Employees may not invest in any payer, provider, supplier, or competitor, except through mutual funds or minority holdings of publicly traded securities.
2. Employees should not have other employment or business interest if
  - a. The employee appears to represent The Company
  - b. The employee provides goods or services similar to those The Company provides or is considering
  - c. The other job interferes with the everyday duties as an employee of The Company
3. The employee should not use company assets for personal benefit or personal business purposes. Employee should not have business dealings in products or real estate if the value may be affected by Company business. Employees may not disclose or use any confidential information, such as financial data, payer information, computer programs, or customer information, for their own personal and business purposes.
4. Employees considering a second job, a consulting engagement, or healthcare-related investment, should review their plans with their immediate supervisor or the Compliance Officer. Approval in advance is required before beginning such a task.

### **Confidential Information**

Use of confidential information obtained through the employee's relationship with The Company for personal gain or for the benefit of others generally creates a conflict.

### **Transactions Involving The Company**

A conflict may exist when an employee, or an employee's immediate family member (a) buys, rents, or sells any real estate or other property from The Company, except for a routine sale of The Company services; (b) benefits personally from any purchase or sale of property by The Company; or (c) derives personal gain from any transaction to which The Company is a party.

The Company's Board of Directors or a designated Board committee must approve any such transaction.

### **Business Opportunities**

An employee may not take advantage of the opportunity that comes from knowledge gained in the course of employment for his or her own benefit or that of any other person or organization.



## **DISCLOSURE PROCEDURE FOR POSSIBLE CONFLICTS**

Because it is not possible to list all situations or relationships which might create conflict of interest problems, and because each situation must be evaluated on the facts, employees should disclose promptly any circumstances which might constitute a violation of these guidelines. Employees should consult with the Compliance Officer to determine if a conflict exists and, if so, how it should be resolved.

## **CONFLICT OF INTEREST FOR DIRECTORS, OFFICERS, AND SENIOR MANAGEMENT**

Whenever a director, officer, or member of senior management has a personal interest in another party that has or may have business dealings with The Company, he or she should disclose that interest to the corporate secretary and refrain from participation in Company business decisions regarding that party.

Whenever a director, officer, or member of senior management has a personal interest in another party that has received, or may receive, a charitable contribution from The Company, he or she should disclose that interest to the corporate secretary and should seek permission from the corporate secretary before engaging in any discussions with The Company concerning charitable contributions to that party.

If a director, officer, or associate is in a position where access to Company proprietary information may materially influence his or her decisions in another party engaged in business or competition with The Company he or shall decline that information. Proprietary information includes financial, marketing, customer, pricing, medical management, or operations information and strategic plans and initiatives which are important to The Company or any of its affiliated organizations.

If a director, officer, or employee is in a position where access to Company proprietary information may materially influence his or her personal financial or investment decisions, he or she should decline that information.

Directors, officers, and members of senior management should complete an annual statement, in a form prescribed by The Company, disclosing financial, personal, and other interests and relationships that may present a conflict of interest. Any change to the information set forth in the annual statement should be disclosed to the corporate secretary as soon as reasonably practical.

**Policy Number:** CP 2.3

**Policy Title:** General Legal Duties and Antitrust Laws

**Policy Statement/Purpose:** The Company is committed to complying with all applicable legal requirements, standards of practice, and federal and state antitrust laws. It is critical that The Company avoids the appearance of wrongdoing. This policy summarizes The Company's general compliance-related legal duties and reinforces the importance of compliance for all Company associates.

**Policy Interpretation and Implementation:**

The Company must comply with state, as well as federal antitrust laws. In many states, these laws are known as unfair practices acts, and are generally modeled on the federal antitrust laws. Antitrust concerns arise under three principal federal antitrust statutes:

1. The Sherman Act, which prohibits concerted actions that constitute unreasonable restraints of trade, monopolization, and attempted monopolization
2. The Clayton Act, which prohibits tie-ins, exclusive contracts, and mergers and acquisitions that unreasonably restrain trade
3. The Federal Trade Commission Act, which prohibits unfair or deceptive trade practices

**Process:**

Antitrust issues to be avoided include:

1. Unfair trade practices, including bribery, deception, and other unfair business practices
2. Agreements to fix prices, collude with competitors, and price share
3. Boycotts and other forms of exclusive dealing agreements

If an employee is involved in a discussion with a competitor that begins to involve an improper anti-trust topic, the employee should leave the meeting and immediately report the incident to the Compliance Officer.

**Federal Compliance-Related Laws**

1. Federal Civil False Claims Act 31 U.S.C. § 3729: The Federal Civil False Claims Act prohibits knowingly filing a false or fraudulent claim for payment or knowingly using a false record or statement to obtain payment for a false or fraudulent claim.
2. The Federal Criminal False Claims Act 18 U.S.C § 286: The Criminal False Claims Act prohibits any person from knowingly submitting a false, fictitious, or fraudulent claim for payment by the United States government and any such person may be found guilty of a felony and is subject to significant fines and imprisonment for up to five (5) years. Additionally, anyone conspiring with another person to defraud the government by obtaining or helping to obtain payment or allowance of any false, fictitious, or fraudulent claim is subject to significant fines and/or imprisonment for up to ten (10) years.
3. The Federal Civil, Monetary Penalties Statute 42 U.S.C. § 1320a-7a: The Federal Civil Monetary Penalties Statute prohibits any person, with the exception of beneficiaries of federal health care programs, from knowingly engaging in a broad range of conduct resulting in false or improper

claims payable in United States government funds and any such person is liable for significant penalties and fines.

4. The Federal Health Care Fraud Statute 18 U.S.C. § 1347: The Federal Health Care Fraud Statute prohibits any person or entity from knowingly and willfully defrauding or attempting to defraud any health care benefit program, or obtaining through fraud or false pretenses, representations, or promises, any money or property owned or controlled by any health care benefit program in connection with the payment or delivery of health care benefits, items, or services and any such person shall be subject to significant fines and/or imprisonment for up to ten (10) years.
  - a. If a violation of this statute results in serious bodily injury, the person committing the violation is subject to significant fines and/or imprisonment for up to twenty (20) years.
  - b. If a violation of this statute results in death, the person committing the violation is subject to significant fines and/or imprisonment for any term of years, or for life.
  - c. Liability under this statute is not limited to federal health care benefit programs such as Medicare and Medicaid. Fraud as to private health insurance providers or any other health care benefit program falls within the scope of this statute as well.
5. The Federal False Statements Statute 42 U.S.C. § 1320a-7b(a): The Federal False Statements Statute prohibits any person from knowingly and willfully making false statements in connection with the delivery or payment of health care benefits, items, or services payable in United States government funds and any such person is subject to significant fines and imprisonment
6. The Federal Anti-Kickback Statute 42 U.S.C. § 1320a-7(b): The Federal Anti-Kickback Statute prohibits soliciting, receiving, or offering to pay any remuneration of any kind (including rebates, kickbacks, or bribes) in exchange for referring or recommending the referral of any individual to The Company that are paid for by federal health care programs; or offering or granting any benefit to a referring physician or other referral source on the condition that such physician or referral source refer or agree to refer any federal health care program business to The Company or an Associate.
7. The Federal Physician Self-Referral Law (Stark) 42 U.S.C. § 1395nn: The Federal Stark Law prohibits a physician from referring residents to an entity for certain designated health services if the physician, or an immediate family member of the physician, has a financial relationship with the entity, unless the financial relationship falls within certain exceptions.

## **Criminal and Civil Penalties**

Federal law provides criminal penalties for knowingly or willfully making false statements in connection with the delivery or payment of healthcare benefits, items or services payable in United States government funds. In addition to the criminal penalties, (significant fines and imprisonment), for false statements and illegal remuneration, there are also civil penalties for false or improper claims when the person submitting the claim knew or should have known the service was not provided as claimed or the claim is false and for payments to induce physicians to reduce or limit services to residents eligible for benefits. Such penalties include, but are not limited to, exclusion from participation in federal and state health care programs, loss of professional license, etc.

## Medical Records Retention

### 1. Medicare

#### a. Records for Reimbursement

Medicare requires providers to maintain and make available to the intermediary “records and documents [including medical records] necessary to ascertain information pertinent to the determination of the proper amount of [Medicare] payments due” (Provider Reimbursement Manual, PRM-1, § 2304.1). In addition to this general requirement, Medicare designates several specific periods of retention. For instance, hospitals must retain clinical and other medical records relating to Medicare claims for at least five (5) years after the month the Medicare cost report is filed with the Intermediary (Hospital Manual, HIM-10, §§ 413,413.1). However, if the provider has a reimbursement appeal for which the medical records might be relevant, the records for the relevant cost year should be retained until the appeal is finally resolved.

#### b. Conditions of Participation

As a condition of Medicare participation or coverage, providers and suppliers of health services are required to retain medical records for prescribed periods of times. The requirements for specific providers and suppliers are described below.

##### i. Hospitals

Hospitals are required to retain medical records in their original or legally reproduced form for a period of at least five (5) years as a condition of Medicare participation (42 C.F.R. § 482.24(b)(1)).

The Medicare Conditions of Participation also place varied requirements on hospitals regarding the length of time records for specific services must be maintained. For instance, a hospital must maintain records of radiologic services including copies of printouts and reports and films, scans, and other image records for at least five (5) years (42 C.F.R. § 482.26(d)(2)). As for laboratory services, the conditions of participation require that a hospital must first ensure that all laboratory services provided to its residents are performed in a company certified in accordance with 42 C.F.R. Part 493 (42 C.F.R. § 482.27(a)). Part 493 requires that laboratory test requisitions or authorizations and records of patient testing, including an original report or an exact duplicate of each test report (preliminary and final), must be retained for a minimum of two (2) years after the date of reporting (42 C.F.R. §§ 493.1105, 1107, 1109). Immunohematology records, including reports, must be retained for no less than five (5) years (42 C.F.R. §§ 493.1107, 1109; 21 C.F.R. Part 606, Subpart 1). Pathology test reports must be retained for a period of at least ten (10) years after the date of reporting (42 C.F.R. § 493.1109).

##### ii. Long-Term Care Facilities

Medicare requires long-term care facilities to retain clinical records on each resident for the period required by state law, or, if there is no state requirement, for five (5) years from the date of discharge for adults; and three (3) years after the resident reaches legal age under state law for a minor (42 C.F.R. § 483.75(1)).

##### iii. Home Health Agencies

The Medicare Conditions of Participation require home health agencies to retain their clinical records for five (5) years after the month the relevant cost report is filed, unless state law requires the records to be retained for a longer period of time. The HHA's policies must

- provide for retention of clinical records even after the HHA discontinues operations (42 C.F.R. § 484.48).
- iv. **Comprehensive Outpatient Rehabilitation Facilities**  
A comprehensive outpatient rehabilitation company participating in Medicare must retain its clinical records for five (5) years after patient discharge. Further, a company which is no longer able to provide services must provide for the continued maintenance of its clinical records (42 C.F.R. § 485.60(c)).
  - v. **Clinics and Rehabilitation Agencies Providing Outpatient Physical Therapy and/or Speech Pathology Services**  
Medicare requires clinics and rehabilitation agencies that provide outpatient physical therapy and/or speech pathology services to retain clinical records for at least as long as the state's respective statute or statute of limitations requires, or, if there is no state requirement, for five (5) years after the date of discharge for adults and, for minors, three (3) years after the patient becomes of age under state law or five (5) years after discharge, whichever is longer (42 C.F.R. § 485.721(d)).
  - vi. **End-Stage Renal Disease Services**  
Medicare Conditions for Coverage require End-Stage Renal Disease facilities to retain their clinical records for at least as long as required by state law or, if there is no state requirement, for five (5) years from the date of discharge or, in the case of a minor, for three (3) years after the patient becomes of age (42 C.F.R. § 405.2139 (e)).
  - vii. **Other Services**  
Methadone treatment programs must maintain records traceable to specific residents, showing dates, quantity, and batch or code marks of the drug dispensed, for a period of three (3) years from the date of dispensing (21 C.F.R. § 291.505(d)(13)(ii)). Likewise, when narcotic drugs are administered for treatment of narcotic dependence for hospitalized residents, the hospital must maintain accurate records showing dates, quantity, and batch or code marks for the drug used for at least three (3) years (21 C.F.R. § 291.505(t)(2)(u)).

The federal regulations protecting confidentiality of Alcohol and Drug Abuse Treatment Records do not have specific general retention periods. However, the regulations require that the records be maintained in a secure room, locked file cabinet, safe, or other similar container when not in use (42 C.F.R.- § 2.16). In addition, if a program discontinues operations or is acquired by another program, it must purge patient-identifying records or destroy the records unless the patient gives written consent to transfer the records, or there is a legal requirement that the records be kept for a specific period. In such cases, the records are to be sealed and labeled with the name of the program and citation to the court order or law requiring retention and must be destroyed as soon as practical after the end of the required retention period (42 C.F.R. § 2.19(a)).

## 2. State Medical Records Laws (Reference [State Specific Requirements](#) at Section 13)

**Policy Number:** CP 2.4

**Policy Title:** [Risk Management](#)

**Policy Statement/Purpose:** The Company ensures compliance with applicable laws and regulations regarding the management of risk to support the achievement of company objectives, protect residents, staff, associates, and business assets, and ensure financial sustainability.

**Policy Interpretation and Implementation:** Risk management is a component of The Company Compliance and Ethics Program.

The Company has a risk management program to proactively address compliance concerns and to mitigate their impact.

### 1. Electronic Protected Health Information

It is the policy of The Company to implement data security measures sufficient to reduce risks and vulnerabilities to a reasonable and acceptable level to comply with HIPAA. The Company will implement a formal documented plan for managing data security risks and vulnerabilities to electronic protected health information. Such plan shall ensure the confidentiality, integrity, and availability of all electronic protected health information that The Company creates, receives, maintains, or transmits; protect against reasonably anticipated threats or hazards to the security or integrity of such electronic protected health information; and protect against reasonably anticipated uses or disclosures of such electronic protected health information. The plan will include the assignment of responsibilities, the evaluation of recommendations from the Information Security Manager, and the implementation of a continuous monitoring, feedback, and assessment process.

- a. The Information Security Manager will be responsible for all tasks related to data risk management in accordance with the policies of The Company. The Information Security Manager will develop and implement at least the following policies and procedures and keep them up-to-date:
  - Administrative
  - Formal mechanism for processing records
  - Establish access controls
  - Security configuration management
  - Workforce termination
  - Security awareness training
  - Media controls
  - Workstation use
  - Destruction of paper records
  - Creating personal identities
  - Verifying personal identities
  - Confidentiality agreements
  - Trading partner agreements
  - Vendor agreements

- Disaster recovery and contingency planning
- b. Physical Safeguards, including physical access controls
- c. Technical Services
- d. Technical Mechanisms
- e. The Information Security Manager will monitor breaches and quality of the data security system
  - Certification
  - Vulnerability Assessment
  - Audit Trails
  - Security incidents
- f. A risk assessment will be conducted at least yearly. Specific implementations will be technology specific

## A. RAPID RESPONSE

### **Program Goals**

- Ensure that the Rapid Response Committee is conducted in conjunction with The Company's Compliance and Ethics, Risk Management, Quality Assurance and Performance Improvement ("QAPI") Programs
- Ensure that a well-thought out and consistent determination is made by the Rapid Response Committee as to whether or not a Critical Event is appropriate to report to the State Reporting/Regulatory Agency
- Ensure formal documentation of good faith effort by The Company to minimize and mitigate risk to residents, employees, The Company, and the community
- Ensure development and execution of appropriate Performance Improvement Plan ("PIP") including, but not limited to, root cause analysis, audit and education, as well as ongoing direction, review, and follow up as needed by the Rapid Response Committee
- Ensure every Critical Event's PIP is forwarded to, for systemic review and analysis, The Company's Compliance and Ethics, Risk Management, and QAPI/QAA Committees; and to ensure appropriate follow-up documentation exists
  - Ensure minimization of risk and mitigation of damages involving potential and actual lawsuits against The Company by residents and employees
  - Ensure maximal use of the QAPI privilege to minimize potential adverse disclosure to third parties
  - Ensure maximal use of the attorney-client privilege to minimize potential adverse disclosure to third parties
  - Determine when Med-Net needs to conduct the PIP investigation
  - To reduce insurance premiums based upon the comprehensive approach to detecting, preventing, and minimizing potential liability, and mitigating and controlling damages

## **The Rapid Response Committee**

The Rapid Response Committee will convene, through teleconference, to conduct a Rapid Response Call when certain Critical Events occur. Members will include the following:

### Standing Members

- Executive Vice President of Operations (*or equivalent*)
- Chief Clinical Director (*or equivalent*)
- Chief Compliance Officer (*or equivalent*)
- Corporate Compliance/Regulatory Attorney
- Med-Net Risk Management Healthcare Specialists

### Ad-hoc Members

- Regional Director of Operations (*or equivalent*)
- Regional Clinical Director (*or equivalent*)
- Additional Regional personnel as needed
- Company Administrator/Chief Executive Officer
- Company Director of Nursing
- Additional Company Personnel as needed

## **Critical Events**

Critical Events are high-risk situations or occurrences that may have resulted in, or are likely to result in, serious injury, harm, impairment, or death to a resident, employee, third party, or the community at large; serious damage to company property or reputation; increased significant potential for litigation; increased significant potential for regulatory noncompliance; increased significant potential for risk exposure; and/or increased potential for adverse media coverage. *Basically, a Critical Event is anything you would not want to read about your company in tomorrow's news reports.*

All Critical Events **require** timely notice to the Rapid Response Committee, which determines the need for a Rapid Response Call including, but not limited to, the following:

### *Resident-Related Critical Events*

- Resident, family, personal representative, or third-party allegation of any abuse or neglect, and/or misappropriation of significant property
- Any breach of resident's protected health information
- Elopement
- Any violent behavior or threats
- Emergency of any nature with potential/actual serious consequences
- Fall with serious injury
- Unexpected death



- Burn or other serious trauma
- Serious injury related to use of restraints or side rails
- Medication error requiring resident to be monitored for a period of 24 or more hours
- Drug diversion
- Resident-Employee or Resident-Resident altercation, potentially or actually resulting in serious harm
- Suicide attempt or suicide completion
- Fire or smoke inhalation
- Reasonable suspicion of a serious crime, including but not limited to sexual assault
- Drowning or choking with serious injury
- Serious injury of unknown origin
- Heat stroke or heat exhaustion
- Discovery of a company acquired advance stage pressure ulcer (Stage III or Stage IV)
- Failure to follow advance directives
- Company significant risk exposure
- Any actual/potential reportable to State Reporting/Regulatory Agency

#### *Employment-Related Critical Events*

- Post-suspension of employment
- Pre-termination of employment
- Miscellaneous-Related Critical Events
- Local, State, and/or Federal Authority involvement
- Any Lost Time Occupational Injury/WC Claim
- Any Light/Transitional Duty for Occupational Injury/WC claim more than 90 days

#### **Requesting a Rapid Response Call**

In the event that a Critical Event should occur, a Rapid Response call can be requested by sending an email to the 'Rapid Response' Outlook Distribution Email Group provided by Med-Net. Each distribution group contains Rapid Response Committee Members. The email must contain a brief description of the Critical Event and perceived priority (High, Medium, or Low).

Upon receipt of the email request for a Rapid Response call, a representative from Med-Net will immediately schedule a same-day conference call consisting of Rapid Response Committee members, The Company's Administrator/CEO, Director of Nursing, and any additional appropriate personnel.

Timely response to a Critical Event is essential for the Rapid Response Committee to know the facts and to take supportive action to help The Company's Administrator/CEO and Director of Nursing resolve risks and liability (both real and potential).

#### **Conducting a Rapid Response Call**

The Administrator/CEO and Director of Nursing are required to participate on the Rapid Response Call. They should decide between themselves as to who will present the details of the Critical Event during the Rapid Response Call. Consideration should be made as to whether or not to include the Compliance/Privacy/Data Information Security Manager, Risk Manager, Social Worker, Unit Manager, MDS Coordinator, Rehabilitation, etc. and/or witness(es) to the Critical Event as needed.

The Administrator/CEO and Director of Nursing should be prepared, as best as possible, to provide:

- a description of the Critical Event, including an investigation report, witness statements, and other relevant documents;
- time of Critical Event;
- personnel's response to Critical Event; and
- The Company's developing PIP.

In addition to the above, the Administrator/CEO and Director of Nursing should:

- Ensure the entire medical record and/or personnel file are available for reference (including but not limited to, care plans, MDS, nurses' notes, and skin sheets)
- Ensure the medical record has been reviewed and someone is able to speak on the resident's history, care needs, physical/mental/emotional condition, diagnosis as pertinent to the Critical Event, and length of time residing at The Company
- Ensure the Critical Event details have been reviewed and someone can speak to what occurred, when, how, and why (at least initial impressions)
- Identify and refer to the pertinent policy and procedure
- Ensure the pertinent policy and procedure was reviewed and at least an initial determination made as to whether or not it was followed
- Identify all who were involved and/or witnessed the Critical Event
- Discuss a PIP based upon the information available:
  - Protection for involved resident and/or employee
  - Protection for other residents and/or employees who may be at risk
  - Discuss what and how much of the PIP has been completed (quantify as percentage or number)
  - Discuss the time frame for completion of the PIP
  - Discuss who is responsible for the PIP
  - Discuss the basis for the perceived priority for the Rapid Response Call

The Rapid Response Call may be initiated before the Administrator/CEO and Director of Nursing have time to compile much information.

The Corporate Compliance/Regulatory Attorney, the Vice President of Risk Management, or a designee will lead the Rapid Response Call.

The Rapid Response Call should be short, focused on the specific Critical Event, and remain fact-driven. Rapid Response Committee members must maintain awareness of this expectation in order to support our Company's time restraint.

The Rapid Response Committee members, Administrator/CEO and Director of Nursing shall together decide whether or not a report should be made to the State Reporting/Regulatory Agency and/or other government agency. If a Critical Event is deemed reportable, our Rapid Response Committee shall review any report prior to submission to the State Reporting/Regulatory Agency and/or other government agency by The Company.

Med-Net will create and maintain a file for all Rapid Response Committee discussions and actions, including but not limited to, minutes and documents, as well as completed PIPs.

Within seven (7) days after the submission of the PIP to the Rapid Response Committee, the Administrator/CEO or Director of Nursing will submit written confirmation to the Rapid Response Committee documenting their follow-up and assurance that the PIP has been implemented.

Throughout this entire process, The Company will:

- Follow its standard policies and procedures, and remain in accordance with legal requirements
- Evaluate the individuals involved
- Notify responsible party and primary physician
- Document findings on appropriate forms
- Create timeline of Critical Event
- Obtain appropriate witness statements
- Evaluate findings and expand investigation as necessary
- Develop PIP based upon Rapid Response Committee Conference Call and send the PIP to the Rapid Response Committee as well as continue to submit updates to the Rapid Response Committee for oversight and direction
- Consider systemic issues
- Present the PIP to The Company's Compliance and Ethics Program, including notifying our Compliance/Privacy/Data Information Security Manager, and discuss the PIP during the monthly Compliance Committee meeting
- Present the PIP to The Company's Risk Management Program, including notifying the Risk Manager and Human Resource Director among others, and discuss the PIP during the monthly Risk Management Committee meeting
- Present the PIP to The Company's Quality Assurance and Performance Improvement Program, and discuss the PIP during the monthly Quality Assurance and Performance Improvement Committee meeting

## **Creation of an Action Plan**

In response to each Rapid Response call, the Committee will develop and agree upon an action plan. The Committee is responsible for overseeing and directing completion of the action plan, as well as monitoring the outcomes. The action plan should be done in conformity with, and provided to, The Company's Compliance and Ethics, Risk Management, Quality Assurance Performance Improvement Programs. The following must be considered:

- What steps were taken by The Company to protect the resident and/or employees involved (both immediate and ongoing)?
- What did The Company do to protect other residents and/or employees from similar Critical Events?
- What educational opportunities were identified during completion of the PIP, and how will The Company provide that education?
- How will The Company monitor the PIP for effectiveness?
- Who from The Company will be designated for ongoing monitoring, maintaining compliance, and reporting findings to the Rapid Response Committee as needed?
- Who from The Company will be designated for communicating the PIP to the appropriate Compliance and Ethics, Risk Management, and/or Quality Assurance Performance Improvement Programs?

## **Paula Revere Alerts**

All high-priority Rapid Response calls will be followed-up with a Paula Revere Alert. The goal of these alerts is to provide an educational point learned from a specific critical event. Each alert will contain a summary of the risk exposure, the potential reason that the event took place, a mitigation strategy, potential F-Tags, and a performance improvement/education piece.

These alerts will be distributed to, at a minimum, corporate staff, the Administrator/CEO, and Director of Nursing of The Company at which the event took place.

## **B. MEDICAL RECORD REQUEST REVIEW**

### **Submitting a Medical Record Request**

Med-Net will conduct a review of any request for medical records received from any party. In the event that a request for medical records is received, an email containing the request should be sent to the 'Risk Management' Outlook Distribution Email Group provided by Med-Net. Each distribution group contains Risk Management Committee Members.

The review will include the following:

- Review of the content. Essential information may include complete and clear:
  - Identification of the resident, including contact information
  - Identification of the entity to which the information is to be provided, including contact information

- List of information to be released
- Verification of the legal authority of the requestor. The person or entity requesting information must have legal standing to receive the information requested. Evidence of legal authority may require a witness signature or notary public seal on the request form, evidence of the relationship between the requestor and the resident, documentation from a court of competent jurisdiction, or other means.
- Verification of appropriateness of information requested for release. Medical Records personnel should review the content of the information being released to ensure that:
  - An authorization is not required. For resident care, an authorization is not required by HIPAA, but it may be required by state law
  - It conforms to the information that is requested
  - Only the minimum necessary information required to comply with the request is provided

Prior to presenting the request to Med-Net, The Company's staff should verify the resident's identification, as provided in the request for release, against The Company's master resident index to ensure the correct records are retrieved. The resident's legal name, date of birth, gender, Social Security number, address, telephone number, guarantor, subscriber, or next-of-kin are key identifying elements that assist in establishing the proper individual. When there are multiple individuals whose demographics are similar, staff should complete additional investigation, such as comparing a resident's signature on the consent with consents contained in the medical record.

Information that pertains to behavioral health or substance abuse care falls under more stringent state and federal regulations and requires particular care in the review of the request, authorization for release, and provision of the specified information to the entity designated to receive it.

Once Med-Net has completed the review of the request, a notification will be sent either approving or denying the request.

**APPENDIX**  
**1. COMPLIANCE AND ETHICS PROGRAM (CP)**  
**TOOLS AND FORMS**

(IT IS SUGGESTED THAT THE COMPANY SAVE TEMPLATES AS DIGITAL, FILLABLE,  
PROTECTED, RETRIEVABLE TOOLS)

**Appendix CP 1.0.0**  
**COMPANY NAME**  
**OUR COMPLIANCE PLAN**

**INTRODUCTION TO OUR COMPLIANCE AND ETHICS PROGRAM**

CompanyName has always strived to maintain a good faith effort to comply with all applicable laws, rules, and regulations. In accordance with existing guidance from the U.S. Department of Health and Human Services, Office of Inspector General, as well as the statutory requirements of the Patient Protection and Affordable Care Act, CompanyName has adopted a Compliance and Ethics Program.

The goal of our Compliance and Ethics Program (our Program) is to ensure that CompanyName adheres to all applicable Medicare and Medicaid laws, rules, and regulations related to the submission of claims. This includes, among other things, to ensure proper documentation of services, billing, coding, and claims submission, and the prevention, prompt detection, and appropriate corrective action to detect, address, and prevent fraud, waste, and abuse.

**CompanyName’s employees, volunteers, interns, appointees, associates, consultants, vendors, agents, executives, and Governing Body members, hereinafter referred to collectively as “affected individuals”, are all subject to our Compliance Plan. Any reference in our Compliance Plan or policies to employees, appointees, associates, vendors, agents, executives, and/or Governing Body members is intended to cover “all affected individuals” for the purpose of compliance with the elements of our Compliance Program.**

The purpose of our Program is to:

1. outline and emphasize our commitment to accurate and lawful documentation and submission of all claims for services to Medicare, Medicaid, and other third-party payers;
2. help our employees understand and meet legal and ethical standards that govern our business;
3. promote the prevention, detection, and resolution of any acts that do not conform to applicable federal and/or state laws, rules, and regulations; and
4. minimize, through early detection and reporting, any potential loss to the government from erroneous claims, as well as reduce CompanyName’s potential exposure to damages and civil and criminal penalties that may result from noncompliance.

**Compliance is a key component to our day-to-day operations. Thus, all persons associated with the provider (including employees, volunteers, interns, appointees, associates, consultants, vendors, agents, executives, and Governing Body members, hereinafter referred to collectively as “affected individuals”) are expected to comply with all applicable laws, rules, and regulations as well as CompanyName’s policies and procedures. Those who fail to comply with the elements of this Plan may face disciplinary action, up to and including termination.**

**COMPLIANCE AND ETHICS PROGRAM COMPONENTS**

## Compliance Officer

CompanyName has appointed a Compliance and Ethics Program Officer (“Compliance Officer”), who is responsible for day-to-day operations of our Program. The designated Compliance Officer should be someone within the high-level personnel of the operating organization with the overall responsibility to oversee compliance with the operating organization's compliance and ethics program's standards, policies, and procedures, such as, but not limited, to the chief executive officer (CEO), members of the board of directors, and/or directors of major divisions in the operating organization.

Our Compliance Officer is responsible for overseeing the implementation of our Program, providing a confidential means of reporting compliance concerns and suspected violations, making recommendations to CompanyName regarding changes that must be made to enhance compliance, and updating our Program, as necessary, to reflect updates in expectations enumerated in applicable laws, rules, and regulations. CompanyName will allocate sufficient resources and authority to the Compliance Officer to reasonably assure compliance with CompanyName’s compliance and ethics standards, policies, and procedures. Furthermore, CompanyName will exercise due care not to delegate substantial discretionary authority to individuals who have a propensity to engage in criminal, civil, and administrative violations under the Social Security Act.

Our Compliance Officer has the following specific responsibilities:

1. Coordinate resources to ensure the ongoing effectiveness of our Program.
2. Participate in the development of compliance policies and standards.
3. Report to the Compliance Committee and senior management on implementation progress on a regular basis.
4. Monitor developments and changes in relevant state and federal law, regulations, government agency guidance, and court rulings, which may affect our Program. Revise our Program, when appropriate, to reflect any changes in expectations and/or requirements.
5. Ensure that all staff members and contractors have read the Code of Conduct and signed a statement acknowledging their understanding of its requirements.
6. Participate in the development, presentation, and the documentation of educational programs for all employees, agents, and affiliated providers that focus on the elements of our Program and risk areas specific to CompanyName.
7. Participate in the presentation of policies that encourage reporting of suspected fraud and other improprieties without fear of retaliation.
8. Work with individuals responsible for personnel decisions to ensure that CompanyName does not delegate substantial discretionary authority to individuals whom CompanyName knows or has reason to know has the propensity to engage in criminal, civil, and/or administrative violations.
9. Conduct, or assist in conducting, appropriate internal compliance reviews and audits.
10. Receive and maintain confidentiality of reports of potential compliance issues.
11. Conduct and oversee investigations of matters that merit investigation under our Program.
12. Bring to the Compliance Committee and senior management’s attention all compliance issues for appropriate response and disciplinary action, if necessary.
13. Maintain documentation and track all issues referred to the Compliance Officer and/or Compliance Committee.



14. Report regularly to the Governing Body on the operation of our Program and any significant developments.

Annual Reporting: On at least an annual basis, the Compliance Officer will issue a report to the Senior Administration, the Governing Body, and the Board of Directors that describes the compliance efforts that have taken place during the prior year and that identifies any changes to the Compliance and Ethics Program that need to be made to improve compliance. The report shall include the following:

1. Copy of Audit Plan
2. All Audit Results
3. All Reports of Noncompliance (whether made by hotline call, telephone call, e-mail, face-to-face communication, etc.)
4. All Investigations into Alleged Noncompliance and Results of the Investigations
5. Response and Corrective Action, Addressing Identified and Substantiated Noncompliance

As necessary, and as specific compliance issues arise that require immediate attention, the Compliance Officer will make a report on a more frequent basis.

### Compliance Committee

CompanyName has appointed a Compliance Committee (the Committee), which will have overall responsibility for oversight of compliance activities.

The Committee will meet no less than quarterly to review reports on CompanyName's compliance activities.

Our Compliance Committee has the following specific responsibilities:

1. To stay up-to-date on current issues and standards specific to our business.
2. Ensure that we maintain and improve our Program to reflect the latest state, national, and industry standards.
3. Make recommendations to management regarding recommended revisions to existing policies and new policies that may be necessary.
4. Review reports on CompanyName's compliance activities.
5. Assist Compliance Officer and senior management in putting into place appropriate response to compliance issues, as well as appropriate disciplinary action.
6. Oversee the development and implementation of systems for communicating compliance questions and concerns and reports of wrongdoing.
7. Advise and assist the Compliance Officer in his/her responsibilities.
8. Report regularly to the Governing Body on the operation of our Program and any significant developments.
9. Ensure The Company is meeting the highest standards of compliance.

All Compliance Committee members shall sign a Confidentiality Statement.

### Policies and Procedures

CompanyName has written compliance and ethics standards, policies, and procedures that describe compliance expectations, identify how to communicate compliance issues with appropriate personnel, and describe how potential compliance problems should be investigated and resolved.

Our policies and procedures establish CompanyName's expectations for the conduct of our staff members and others with whom we are associated in order to reduce the possibility of fraud, waste, and abuse. Our policies include the adoption of a Code of Conduct ([Attachment A](#)), which assists staff members in avoiding both the appearance and commission of improper activities. The Code of Conduct is distributed to all staff members. The Compliance Officer is responsible for ensuring that all staff members have certified that they have received, read, and fully understand the Code of Conduct.

The Compliance Officer is responsible for developing and maintaining all compliance-related policies and procedures. All of our written policies and procedures will be reviewed and revised periodically to reflect changes to our business practices as well as changes to applicable laws, rules, and regulations. Revised policies and procedures shall become effective upon approval by the Compliance Officer and Compliance Committee.

### Training and Education

All affected individuals are responsible for compliance.

We acknowledge that our Program will be ineffective unless CompanyName ensures and MANDATES that the following are effectively trained about our Program, specific regulatory compliance issues, and their responsibilities:

1. Employees
2. Volunteers
3. Interns
4. Appointees
5. Associates
6. Consultants
7. Vendors
8. Agents
9. Executives
10. Governing Body Members

Therefore, CompanyName maintains an ongoing compliance training program, which includes the following:

1. Our Compliance Plan, including Code of Conduct
2. New Hire Orientation, including Compliance Expectations
3. Regular Compliance Training

CompanyName's compliance training and education program is designed to communicate our Program's standards and procedures to staff members in a meaningful and effective manner and to ensure consistent application of our Program's policies. In order to best accomplish this, our training program is geared to the level of responsibility and job function.

Training sessions will utilize classroom, lecture, recorded instruction, and/or other means of communication, as appropriate to accommodate the skills, experience, and knowledge of the trainees. Other forms of education will be employed, such as the use of posters, bulletin boards, paycheck stuffers, etc., to inform employees of new compliance issues or to reinforce various aspects of past training. No matter how the information is presented, that training occurred must be thoroughly documented, including the date, attendees, and agenda.

During new hire orientation, all new hires, regardless of position and seniority, will be trained on the Compliance and Ethics Program and specific requirements and expectations under the program.

It is the Compliance Officer's responsibility to coordinate training activities and maintain a library of compliance-related information and training materials.

All compliance training is mandatory.

### Reporting System

Our Program rests upon the ability of our personnel to openly and freely communicate issues of concern to their supervisors, the Compliance Officer, and the Compliance Committee. We are committed to developing and supporting any and all lines of communication to support our efforts to detect, address, and prevent compliance issues, including a method of anonymous reporting.

CompanyName has established reporting procedures which are readily accessible to all affected individuals as well as members of the general public.

CompanyName's Compliance Officer should be contacted with questions about compliance or to report potential violations or any concerns regarding compliance. The Compliance Officer will maintain open lines of communication and may be reached by telephone, by inter-office mail, or by face-to-face communication. Even if an individual merely has a general question about the propriety of conduct, he/she should still reach out to the Compliance Officer. All reports of compliance issues and violations to the Compliance Officer will be kept confidential unless the matter is turned over to law enforcement or disclosure is required during a legal proceeding. All reports of compliance issues and violations to the Compliance Officer are taken seriously and investigated accordingly.

Should any individual feel uncomfortable making a report to the Compliance Officer or wish to remain anonymous and make a good faith report of potential compliance issues, he/she has the option of making a report to our Compliance Hotline (800-557-1066), which allows for anonymous and confidential good faith reporting of potential compliance issues as they are identified without fear of retribution. Signs with information for contacting the Compliance Hotline are visible throughout our facility.

All reports must be made in good faith. There will be no adverse action or retaliation against any staff member who makes a good faith report of a compliance concern. Likewise, there will be no retaliation for other actions of good faith participation in the Compliance and Ethics Program, including but not limited to: reporting potential issues; cooperating or participating in the investigation of issues; participating in self-evaluations, audits, and remedial action; and/or making reports of inappropriate conduct to appropriate officials.

### Auditing and Monitoring

CompanyName has established a system for routine identification of compliance risk areas and self-evaluation of risk areas, including auditing and monitoring, designed to detect criminal, civil, and administrative violations by any of the operating organization's staff, individuals providing services under a contractual arrangement, or volunteers.

Internal auditing standards are integral to the Compliance and Ethics Program. Data will be collected and analyzed on a regular basis to assess CompanyName's compliance with established standards of practice, in particular: quality, documentation, billing, and reimbursement guidelines.

CompanyName will employ a variety of techniques, including but not limited to the following:

1. Periodic interviews with management personnel regarding their perceived levels of compliance within their departments or areas of responsibility.
2. Questionnaires developed to poll personnel regarding compliance matters, as well as the effectiveness of individual training techniques.
3. Periodic written reports of department managers, utilizing assessment tools developed to track specific areas of compliance.
4. Audits designed and performed by internal and/or external auditors using auditing guidelines.
5. Exit interviews of departing employees.

The Compliance Officer will ultimately be responsible for coordinating formal audits; however, the audits may be performed by internal or external auditors or another designee. The auditors should: possess the qualifications and experience necessary to adequately identify potential compliance issues; be objective and independent of management; and have access to relevant personnel, records, and areas of operation; present a written evaluation concerning compliance activities to the Compliance Officer; and specifically identify areas where corrective actions are needed.

Auditing and monitoring should be conducted regularly, and written reports must be presented to the Compliance Officer and Compliance Committee at least quarterly. Any areas of potential noncompliance shall be kept confidential.

The Compliance Officer shall analyze the results of the auditing and monitoring to determine the root cause. On the basis of these reports, the Compliance Officer and Compliance Committee shall determine an appropriate response.

## Response

When potential compliance issues arise, CompanyName will take reasonable steps to respond appropriately to the offense and prevent future similar offenses. As such, CompanyName has established a system for responding to compliance issues as they arise, including investigating, retaining legal consultation, updating policies and procedures, implementing corrective action plans, and, when appropriate, remitting payment and/or reporting misconduct to appropriate authorities. It is the responsibility of all associated with CompanyName to assist in resolving compliance issues by participating in good faith in CompanyName's response to potential compliance violations, including cooperating when CompanyName is conducting investigations and abiding by corrective action put into place.

Reports received through either a reporting mechanism or through some other mechanism (e.g., auditing) shall be documented and assessed initially by the Compliance Officer. If the initial assessment indicates that there is a basis for believing that the conduct reported constitutes noncompliance, the matter shall be reported to the Compliance Committee for review.

All instances of potential noncompliance shall be investigated carefully to determine whether the allegation appears to be well-founded. The Compliance Officer shall promptly begin an investigation in accordance with the following procedure:

1. Compliance Officer shall commence an investigation as soon as reasonably possible, but in no event more than thirty (30) days following reasonable suspicion of a compliance violation.
2. The investigation may include:
  - A. Interviews of the person(s) involved in or having knowledge of the potential noncompliance.
  - B. Interviewees with relevant information may be required to submit a signed, dated written statement.
  - C. If the Compliance Officer does not request a written statement from Interviewee, the Compliance Officer shall document the interview and he/she should sign and date the record.
  - D. The creation of a timeline of events.
  - E. Review of related documents, if appropriate.
  - F. Review of applicable federal and state laws, rules, and regulations, as well as CompanyName's policies and procedures.
  - G. Collaboration with the Compliance Committee.
  - H. Consultation with Compliance and Ethics Attorney, auditors, healthcare consultants, etc.

Every effort to investigate potential noncompliance shall be documented and kept with the original report.

If the allegation is substantiated, Compliance Officer shall determine:

1. whether the alleged activity violates state, federal, or CompanyName's policies and procedures;
2. what corrective action, if any, should be taken; and
3. whether the allegation warrants reporting.

CompanyName shall respond to compliance problems promptly and thoroughly by putting into place corrective action. Corrective action shall be imposed as a means of facilitating the overall goal of full

compliance. Corrective action plans should assist affected individuals, including but not limited to CompanyName employees, vendors, or business associates, to understand specific issues and reduce the likelihood of future noncompliance. Corrective action shall be sufficient to effectively address the particular instance of noncompliance and should reflect the severity of the noncompliance and the past adherence to compliance standards. All associated with CompanyName are responsible for actively participating in the corrective action.

The corrective action plan should identify the nature of the noncompliance and immediate correction of any harm resulting from the violation as well as the resolution of specific problems identified. The plan may include:

1. A recommendation to revise applicable policies and procedures to clarify proper protocols and/or development of new systems to safeguard against future noncompliance of a similar nature.
2. Additional mandatory training for employees, contractors, vendors, and/or business associates.
3. Increased auditing and/or monitoring.
4. Focused review of records made by employees, contractors, vendors, or business associates for a defined period of time following discovery of noncompliance.
5. A recommendation to not bill inappropriate claims.
6. A recommendation to report identified noncompliance to the appropriate government authorities after consultation with Legal Counsel.
  - A. **Report shall be filed as soon as possible but no later than sixty (60) days of the discovery of the credible evidence of fraud:**
    - i. The Office of Inspector General (OIG) Provider Self-Disclosure Protocol is available at <https://oig.hhs.gov/compliance/self-disclosure-info/protocol.asp>
    - ii. Report to the State Medicaid Office
    - iii. Reporting should also be made to the State Department of Health
7. A recommendation to report to appropriate authorities within sixty (60) days of discovery and repay any overpayments uncovered during the investigation, with interest, if appropriate, after the Compliance Officer has conducted an investigation and considered the following:
  - A. Identification of the exact issue
  - B. The amount involved
  - C. Any patterns or trends that the problem may demonstrate within the provider's billing system
  - D. The extent of the period affected
  - E. The circumstances that led to the overpayment
  - F. Whether or not the organization has a corporate integrity agreement in place which requires self-disclosure

**Report shall be filed and repayment shall be made to payor, with interest if appropriate, as soon as possible, but no later than sixty (60) days of discovery.**

  - i. The Office of Inspector General (OIG) Provider Self-Disclosure Protocol is available at <https://oig.hhs.gov/compliance/self-disclosure-info/protocol.asp>
  - ii. Report to the State Medicaid Office
8. Enforcement of disciplinary standards.
9. Other reasonable corrective measures calculated to ensure adherence to applicable federal and state laws, rules, regulations, and our Program.

For a defined period of time following the implementation of a corrective action plan, the Compliance Officer shall follow up and audit the corrective action to determine whether it is being followed, as well as its effectiveness in preventing the recurrence of similar violations.

If an allegation is not substantiated, the Compliance Officer shall keep a clear record of the investigation's conclusion as well as what factors were considered in making that determination.

### Enforcing Disciplinary Standards

Active participation in the Compliance and Ethics Program is mandatory. Adherence to applicable laws, rules, and regulations, as well as CompanyName's Compliance and Ethics Program will be an element in evaluating performance. Failing to report suspected noncompliance; participating in non-compliant behavior; or encouraging, directing, facilitating, or permitting, either actively or passively, noncompliant behavior may result in disciplinary action, up to and including termination. Also, if CompanyName learns that an individual knowingly fabricated, distorted, exaggerated, or minimized a report of misconduct, either to injure someone else or to protect himself or herself, the individual will be subject to disciplinary action, up to and including termination.

Sometimes an individual who makes a report may also admit to noncompliance on his or her part. Making a report, in itself, does not guarantee protection from disciplinary action related to the underlying noncompliance. However, volunteering information about one's own errors, misconduct, or non-compliance will be taken into account, as long as the admission is complete and truthful, and was not already known to, or about to be discovered by, CompanyName. The weight to be given to the report will depend on all the facts known to CompanyName at the time disciplinary decisions are made.

All disciplinary actions are applied consistently and in accordance with well-publicized guidelines. All compliance-related disciplinary policies are fairly and firmly enforced; as a general rule, similarly situated employees committing similar offenses under similar circumstances shall be subject to the same discipline. However, the form of correction or discipline provided will be case specific and may be based on a variety of factors, including whether the employee promptly reported his/her own violation, severity of the offense, previous incidents involving the individual, whether the employee cooperates fully in investigating/correcting the violation, and the individual's commitment to a positive change in behavior.

The range of disciplinary action to which persons may be subject include the following:

1. Verbal Warnings
2. Written Warnings
3. (Paid or Unpaid) Suspension from Employment or Revocation of Contract
4. Termination

Some acts or omissions of employees and others associated with CompanyName shall result in immediate termination. Also, individuals who commit negligent or reckless violations of laws, rules, regulations, or Company policy shall be terminated immediately.

### Non-Intimidation and Non-Retaliation

CompanyName has a policy of non-intimidation and non-retaliation for good faith participation in the Compliance and Ethics Program, including but not limited to: reporting potential issues; cooperating or participating in the investigating of issues; participating in self-evaluations, audits, and remedial action; and/or making reports to appropriate officials of inappropriate conduct.

### Reassessment

CompanyName believes that a thorough and ongoing evaluation of the various aspects of the Compliance and Ethics Program is crucial to its success. Therefore, CompanyName performs a periodic reassessment of the Compliance and Ethics Program to evaluate its effectiveness and to make any necessary adjustments.

In order to evaluate the effectiveness of the Compliance and Ethics Program, CompanyName will employ a variety of techniques, including but not limited to the following:

1. Periodic interviews with management personnel regarding their perceived levels of compliance within their departments or areas of responsibility.
2. Questionnaires developed to poll personnel regarding compliance matters including the effectiveness of individual training/educational techniques.
3. Periodic written reports of department managers utilizing assessment tools developed to track specific areas of compliance.
4. Exit interviews for departing employees.

CompanyName shall make any necessary adjustments to the Compliance and Ethics Program found to be warranted through the reassessment process.

### Additional required components for operating organizations with five or more facilities

In addition to all of the other requirements of this Compliance and Ethics Plan, organizations that operate five or more facilities must also include, at a minimum, the following components in their compliance and ethics program:

1. A mandatory annual training program on the operating organization's compliance and ethics program that meets the training requirements identified at policy [WM 2.4 D](#) and covers the following elements:
  - A. The purpose, scope, and importance of adherence to the Compliance and Ethics Program.
  - B. The disciplinary consequences of failing to adhere to Program requirements.
  - C. The standards and procedures relevant to the trainees' duties.
  - D. Relevant fraud and abuse laws.
  - E. Everyone's duty to report misconduct and to adhere to the Compliance and Ethics Program.
2. A designated Compliance Officer for whom the organization's compliance and ethics program is a major responsibility. This individual must report directly to the organization's governing body and not be subordinate to the general counsel, chief financial officer, or chief operating officer.
3. Designated compliance liaisons located at each of the organization's facilities.



## **EXTERNAL COMMUNICATIONS**

### Contact with Government Agents/Investigators

All contacts with anyone claiming to represent any local, state, or federal agency requesting information or an interview concerning CompanyName should be immediately directed to the Compliance Officer. It is CompanyName's policy to cooperate with the authorities. Keep the following in mind:

1. No one is **required** to submit to questioning by government investigators or employees. If someone claiming to represent the government contacts you at work or at your home regarding CompanyName or your employment, follow these steps:
  - A. Ask for identification and a business card.
  - B. Determine precisely why he or she wishes to speak with you.
  - C. Tell the investigator that you wish to make an appointment for a date and time in the future.
  - D. Immediately notify the Compliance Officer.

### Contact with the Media

All contacts concerning CompanyName with anyone from the media shall be referred to the Compliance Officer.

### Contact with Attorneys

All contacts concerning CompanyName with anyone claiming to be an attorney shall be referred immediately to the Compliance Officer.

### Contact with Competitors

All contacts with anyone representing a competitor of CompanyName or employed by a competitor shall be reported to your immediate supervisor.

## **INVESTIGATIONS AND LITIGATION**

### Subpoenas, Summonses, and Legal Complaints

Other than routine subpoenas for medical or personnel records, subpoenas, summonses, or other legal complaints involving CompanyName shall be given to the Compliance Officer immediately. It is important that the Compliance Officer and other appropriate individuals respond to subpoenas, summonses, and other legal documents; therefore, it is our policy that staff not turn over documents or discuss the case with any individuals unless directed to do so.

Compliance and Ethics Attorney will be contacted, if appropriate.

### Search Warrants

If someone representing a government agency attempts to execute a search warrant at any Company-Name location:

1. CompanyName employees and contractors shall not interfere with the agents.
2. CompanyName employees and/or contractors shall demand a copy of the search warrant and the business card (or name) of the agent in charge.
3. The Administrator or highest-ranking CompanyName employee on the premises shall be informed of the situation, immediately.
4. The Compliance Officer shall be contacted, also. Any instructions given by the Compliance Officer shall be carefully followed.
5. Compliance and Ethics Attorney shall be contacted, if appropriate.
6. CompanyName employees and/or contractors shall assure that:
  - A. only those items referred to in the search warrant are taken;
    - i. CompanyName acknowledges that the items taken will be our original documents
    - ii. If the government agents attempt to take actual computers, CompanyName employees and/or contractors shall attempt to detach the computers for the government agents in order to minimize damage to the wiring, etc.
  - B. CompanyName documents shall not be photocopied by the government agents on the premises; and
  - C. a correct and complete inventory of all items taken shall be requested from the government agents before they leave the premises.

While the agents may have the right to be on the premises to execute a warrant, that does not mean CompanyName employees and/or contractors must submit to interviews. Employees and contractors need not explain CompanyName operations, bookkeeping, records, or what any document means; however, employees and contractors will cooperate in locating items called for in the search warrant.

If a government agent makes requests or demands of you inconsistent with these instructions, seek the advice of the Compliance Officer.

## **ATTACHMENT A CODE OF CONDUCT**

CompanyName and its employees, volunteers, interns, appointees, associates, consultants, vendors, agents, executives, and Governing Board members, hereinafter referred to collectively as “affected individuals”, constantly strive to ensure that all activity by, on behalf of, or with the organization is in compliance with all applicable federal, state, and local laws, regulations, ordinances, administrative directives, and any other binding governmental directives (“Laws and Regulations”).

The general principles articulated in this Code of Conduct are intended to provide guidance to individuals in their obligation to comply with applicable laws and regulations. However, the general principles contained herein are neither exclusive nor complete. All affected individuals are expected to refer to CompanyName’s Compliance and Ethics Program, manuals, policies, and procedures, as well as other relevant laws and regulations for further guidance. It is important for all affected individuals

to recognize that they are required to comply with all applicable laws and regulations, as well as CompanyName's Compliance and Ethics Program, manuals, policies, and procedures, whether or not specifically addressed in this Code of Conduct. If questions regarding the existence of, interpretation, or application of any law, regulation, rule, standard, policy, and/or procedure arise, they should be directed to CompanyName's Compliance Officer.

CompanyName expects each individual to whom this Code of Conduct applies to abide by the principles in this Code of Conduct and to conduct the business and affairs of the organization in a manner consistent with the general policies set forth herein.

Nothing in this Code of Conduct is intended to, nor shall be construed as, providing any additional employment or contractual rights to employees and contractors or other persons.

## **ETHICAL BUSINESS PRACTICES**

1. Achieving business results by illegal acts or unethical conduct is not acceptable. It is expected that all affected individuals shall act in compliance with the requirements of applicable law and this Code and in a sound, ethical manner when rendering services to our residents and when conducting business and operational functions.
2. Affected individuals shall perform their duties in good faith and to the best of their ability and shall not obtain any improper personal benefit by virtue of their relationship with CompanyName.
3. Other than compensation from CompanyName, and as consistent with the conflict of interest policies, personnel shall not have a financial or other personal interest in a transaction between CompanyName and a vendor, supplier, provider, or customer.
4. Each supervisor and manager is responsible for ensuring that the personnel within their supervision are acting ethically and in compliance with applicable law and the Code. All personnel are responsible for acquiring sufficient knowledge to recognize potential compliance issues applicable to their duties, and for appropriately seeking advice regarding such issues.
5. Honest Communication. CompanyName requires honesty from individuals in the performance of their responsibilities and in communication with CompanyName's attorneys and auditors. No employee or contractor shall make false or misleading statements to any state or federal officials, investigator, or person/entity doing business with CompanyName. Employees and contractors shall not destroy or alter CompanyName information or documents in anticipation of, or in response to, a request for documents by any applicable government agency or from any court.
6. Duty to Report. It is the ongoing and continuous obligation of all affected individuals, including but not limited to employees of CompanyName, to alert the Human Resources Department of any conviction, exclusion from participating in a state or federal healthcare program, or finding that would disqualify them from providing services.
7. Financial Reporting. All of CompanyName's business transactions shall be carried out in accordance with management's general or specific directives. All of the books and records shall be kept in accordance with generally accepted accounting standards or other applicable standards. All transactions, payments, receipts, accounts, and assets shall be completely and accurately recorded on CompanyName's books and records on a consistent basis. All information, including financial reports, cost reports, accounting records, expense accounts, time sheets, and other documents recorded and submitted to other persons must accurately and clearly represent the relevant facts or

the true nature of the transaction, and must not be used to mislead those who receive the information or to conceal anything that is improper.

8. Proprietary Information. CompanyName's employees and contractors shall not steal information belonging to another person or entity, including from CompanyName, or use any publication, document, computer program, information, or product in violation of a third party's interest in such product. All employees and contractors are responsible for ensuring that they do not improperly copy documents or computer programs in violation of applicable copyright laws or licensing agreements for their own use. Employees and contractors shall not use confidential business information obtained from competitors or pre-employment agreements in violation of a covenant not to compete, or in any other manner likely to provide an unfair competitive advantage to CompanyName.
9. Business Relationships. Affected individuals, including but not limited to employees and contractors, shall not engage in any business practice intended to unlawfully obtain favorable treatment or business from any government entity or any other party in a position to provide such treatment or business. Employees and contractors shall not use confidential or proprietary information about CompanyName for their own personal benefit or for the benefit of any other person or entity, except CompanyName.
  - A. *Disclosure of Financial Interest*. Affected individuals, including but not limited to employees and contractors, shall disclose to the Compliance Officer any financial interest, ownership interest, or any other relationship they (or a member of their immediate family) have with CompanyName's vendors or competitors.
  - B. *No Use of Insider Information*. Affected individuals, including but not limited to employees and contractors, may not use "insider" information for any business activity conducted by or on behalf of CompanyName. All business relations with contractors providing any services to CompanyName must be conducted at arm's length both in fact and in appearance, and in compliance with CompanyName's policies and procedures. Employees and contractors must disclose personal relationships and business activities with such contractor personnel that may be construed by an impartial observer as influencing the employees' and contractors' performance or duties. Employees and contractors have a responsibility to obtain clarification from management on questionable issues that may arise.
10. Affected individuals shall not engage in any financial, business, or other activity which competes with CompanyName's business which may interfere or appear to interfere with the performance of their duties, or that involve the use of CompanyName property, facilities, or resources, except to the extent consistent with the conflict of interest policies.
11. Affected individuals shall comply with applicable antitrust laws. There shall be no discussions or agreements with competitors regarding price or other terms for product sales, prices paid to suppliers or providers, dividing up customers or geographic markets, or joint action to boycott or coerce certain customers, suppliers, or providers.
12. Affected individuals, including but not limited to employees and contractors, shall not engage in unfair competition or deceptive trade practices, including misrepresentation of CompanyName's products or operations. Personnel shall not make false or disparaging statements about competitors or their products or attempt to coerce suppliers or providers into purchasing products or services.
13. Confidentiality. All personnel shall maintain the confidentiality of CompanyName's business information and of information relating to CompanyName's personnel, vendors, suppliers, providers, and residents. Personnel shall not use any such confidential or proprietary information except as is appropriate for business. Personnel shall not seek to improperly obtain or misuse confidential information of CompanyName's competitors.

14. Personal Use of Corporate Assets. All employees and contractors are expected to refrain from converting assets of CompanyName to personal use. All business of CompanyName shall be conducted, and CompanyName's property utilized, in a manner designed to further CompanyName's interest rather than the personal interest of an individual employee or contractor. Employees and contractors are prohibited from the unauthorized use or taking of CompanyName's equipment, supplies, materials, or services.

## LEGAL COMPLIANCE

1. Gifts from Customers or Others. Affected individuals, including but not limited to employees and contractors, are prohibited from soliciting or accepting tips, personal gratuities, gifts, or other things of value from CompanyName's customers or others that seek to do business with CompanyName. If a customer or another individual wishes to present a monetary gift, he/she should be referred to the Compliance Officer.
2. Gifts Influencing Decision-Making. Affected individuals, including but not limited to employees and contractors, shall not accept gifts, favors, services, entertainment, or other things of value to the extent that decision-making or actions affecting CompanyName might be influenced. Similarly, the offer or giving of money, services, or other things of value with the expectation of influencing the judgment or decision-making process of any purchaser, supplier, government official, or other person by CompanyName is absolutely prohibited.
3. Gifts from Existing Vendors or Customers. Employees and contractors may retain gifts from vendors or customers that have a nominal value generally less than \$50 in aggregate over each year. To the extent possible, these gifts should be shared with the employee's and contractor's coworkers. Gifts of cash and cash equivalents (e.g., gift certificates) are never acceptable.
4. Vendor or Customer Sponsored Entertainment. Occasionally, at a vendor's or customer's invitation, an employee or contractor may accept meals or refreshments, attend a local theater or sporting event, or similar entertainment, at the vendor's or customer's expense, so long as the cost is of nominal value under the circumstances, generally less than \$50 in aggregate over each year. In most circumstances, a regular business representative of the vendor or customer should be in attendance with the employee or contractor. Employees and contractors should advise the Compliance Officer of vendors or customers that offer such invitations on a frequent basis, even if the employee or contractor does not accept such invitations.
5. Conflicts of Interest. Neither employees nor contractors may use their positions at CompanyName to profit personally or to assist others in profiting in any way at the expense of CompanyName.
6. Anti-Discrimination/Anti-Harassment. All affected individuals are responsible for ensuring that the work environment is free of discrimination or harassment due to sex, age, race, gender, color, religion, national origin, disability, or any other status protected under state or federal law.
7. Fraud and Abuse. CompanyName expects all affected individuals, including but not limited to its employees and contractors, to refrain from conduct which may violate any federal and state laws relating to healthcare fraud and abuse. Every affected individual is expected to: a) maintain honest and accurate records of services provided; b) follow current and applicable laws, regulations, and guidelines to facilitate proper documentation of services; and c) take necessary steps to prevent the submission of claims for payment and reimbursement of any kind that are fraudulent, abusive, inaccurate, or medically unnecessary.

8. Kickbacks, Inducement, and Self-Referrals. All affected individuals, including but not limited to CompanyName employees and contractors, shall comply with all laws relating to kickbacks, inducements, and self-referrals.

All affected individuals, including but not limited to CompanyName employees and contractors, shall not knowingly offer, pay, solicit, or receive bribes, kickbacks, or other improper remuneration in order to induce business reimbursable by any federal or state governmental program including, but not limited to, Medicare and/or Medicaid.

All affected individuals, including but not limited to CompanyName employees and contractors, are required to report any gifts or other gratuities, other than those of nominal value, received from any outside source that is in the position to benefit from the referral of business to CompanyName.

9. Lobbying/Political Activity. Affected individuals shall not directly or indirectly authorize, pay, promise, deliver, or solicit any payment, gratuity, or favor for the purpose of influencing any political official or government employee in the discharge of that person's responsibilities. Personnel shall not entertain government personnel in connection with CompanyName business.

## **EDUCATION**

1. CompanyName will develop and implement a regular education and training program for all employees and external agents.
2. All employees are expected to participate in educational programs and abide by policy requirements.
3. Adherence to CompanyName's Compliance and Ethics Program will be a factor in evaluating the performance of an employee.
4. CompanyName will maintain records of all educational programs presented to employees and relevant external agents.

## **REPORTING OF VIOLATIONS**

1. Illegal acts or improper conduct may subject CompanyName to severe civil and criminal penalties, including large fines and being excluded from certain types of federally funded insurance programs. It is, therefore, very important that any illegal activity or violations of the Code be promptly brought to CompanyName's attention.
2. All affected individuals, including but not limited to any director, officer, or employee, who is uncertain of, or believes, or becomes aware of any violation of this Code or any illegal activity by a director, officer, employee, or another person acting on CompanyName's behalf shall promptly report the violation or illegal activity in person, by phone, or in writing, to:
  - A. the appropriate supervisor;
  - B. the Administrator;
  - C. the Compliance Officer; or
  - D. the Compliance Hotline at (800) 557-1066.
3. It is the duty of the Administrator or any supervisor who receives a report of a possible compliance issue to report such issue to the Compliance Officer or appropriate compliance personnel immediately.

4. It is a violation for personnel not to report a violation of the Code or any illegal activity. If you have a question about whether particular acts or conduct may be illegal or violate the Code, you should contact one of the persons listed above. It is a violation of this Code for personnel to whom a potential illegal act or violation of the Code is reported to not ensure that the illegal act or violation of the Code comes to the attention of those responsible for investigating such reports. If the illegal acts or conduct in violation of the Code involve a person to whom such illegal acts or violations might otherwise be reported, the illegal acts or violation should be reported to another person to whom reporting is appropriate.
5. It is CompanyName's policy to promptly and thoroughly investigate reports of illegal activity or violations of this Code. Personnel must cooperate with these investigations. You must not take any actions to prevent, hinder, or delay discovery and full investigation of illegal acts or violations of this Code. It is a violation of this Code for personnel to prevent, hinder, or delay discovery and full investigation of illegal acts or violations of this Code.
6. Affected individuals may report illegal acts or a violation of this Code anonymously. To the extent permitted by law, CompanyName will take reasonable precautions to maintain the confidentiality of those individuals who report illegal activity or violations of this Code and of those individuals involved in the alleged improper activity, whether or not it turns out that improper acts occurred. Failure to abide by this confidentiality obligation is a violation of this Code.
7. No reprisals or disciplinary action will be taken or permitted against personnel for good faith reporting of, or cooperating in the investigation of, illegal acts or violations of this Code. It is a violation of this Code for personnel to punish or conduct reprisals in regard to personnel who have made a good faith report of, or cooperated in the investigation of, illegal acts or violations of this Code.

## **DISCIPLINARY ACTION**

1. Affected individuals who violate the Code or commit illegal acts are subject to discipline up to and including dismissal. Affected individuals who report their own illegal acts or improper conduct, however, will have such self-reporting taken into account when determining the appropriate disciplinary action.

## **ATTACHMENT B DEFICIT REDUCTION ACT OF 2005**

### **PURPOSE**

To ensure CompanyName is consistent with applicable legal requirements and standards of practice.

### **POLICY**

CompanyName is committed to adhering to all fraud and abuse compliance regulations. The Deficit Reduction Act of 2005 (“Act”) requires CompanyName to educate and train staff on federal and state false claims laws, whistleblower protections, and CompanyName’s policies and procedures for detecting and preventing fraud, waste, and abuse.

### **PROCEDURE**

CompanyName’s Compliance Officer shall implement this policy and procedure.

CompanyName shall require vendors and contractors to adopt this policy. CompanyName further expects that vendors and contractors shall disseminate this policy to their employees and managers.

### **EXCLUSION CHECKS**

In accordance with the federal Health and Human Services Office of Inspector General (“OIG”) recommendations, CompanyName should verify that any current or prospective employees (regular and/or temporary), contractors, or subcontractors who directly or indirectly will be furnishing, ordering, directing, managing, or prescribing items or services in whole or in part are not excluded from participating in a federal healthcare program by searching the following databases on a monthly basis:

1. Federal Exclusions Database (mandatory)  
<https://exclusions.oig.hhs.gov/> or <http://oig.hhs.gov/fraud/exclusions.asp>
2. The General Services Administration’s System for Award Management (mandatory)  
<http://www.sam.gov>
3. State of New Jersey Debarment List (mandatory)  
<http://www.nj.gov/comptroller/divisions/medicaid/disqualified/>
4. N.J. Treasurer’s Exclusions Database (mandatory)  
<http://www.state.nj.us/treasury/revenue/debarment/debarsearch.shtml>
5. N.J. Division of Consumer Affairs Licensure Databases (mandatory)  
<http://www.njconsumeraffairs.gov/Pages/verification.aspx>
6. N.J. Department of Health Licensure Database (mandatory)  
<http://www.state.nj.us/health/guide/find-select-provider/>



7. Certified Nurse Aide and Personal Care Assistant Registry (mandatory, if applicable)  
<http://njna.psiexams.com/search.jsp>
8. Federal Exclusions and Licensure Database (optional and fee-based)  
<https://www.npdb.hrsa.gov/hcorg/pds.jsp>. Please note that only certain provider types may access this database. See [www.npdb.hrsa.gov/hcorg/register.jsp](http://www.npdb.hrsa.gov/hcorg/register.jsp) for more information.

If any provider or person discovers fraud and/or abuse occurring in any state or federally-funded health benefit program, they should report it to the Office of State Comptroller, Medicaid Fraud Division hotline at 1-888-937-2835 or web site at <http://nj.gov/comptroller/divisions/medicaid>.

Because the Affordable Care Act has proclaimed an individual excluded in one state as excluded in all states, CompanyName shall also verify that no current or prospective employees (regular and/or temporary), contractors, or subcontractors who directly or indirectly will be furnishing, ordering, directing, managing, or prescribing items or services in whole or in part are excluded from participating in a federal healthcare program by searching currently maintained state databases.

#### **AUDIT OF PATIENT CHARTS**

CompanyName shall audit residents' charts and other documents relative to quality care and compliance to standards of practice regulated by state and federal agencies. The number of charts to be reviewed will vary depending upon the resident census. Semi-annual audits shall be prepared and a summary of findings shall be presented to the Compliance Officer and the Compliance Committee.

#### **AUDIT OF MEDICAL AND BILLING RECORDS**

CompanyName shall review medical and billing records for a designated semi-annual period, at a minimum under the overall direction of the Compliance Officer. Review may be both prospective and retrospective.

The medical records shall be provided at random. The audit shall include at least the number of records equal to five (5) percent of the facility's current census; additional records may be reviewed more frequently at the discretion of the Compliance Officer and the Compliance Committee.

CompanyName shall examine the records for compliance with the applicable standards of practice, specifically compliance with billing-related statutes, regulations, and guidelines, as well as clinical quality of care.

CompanyName shall review a representative sample of billing records for the audit period and compare the charges found in those records with the documentation entered into the medical record. This review shall assess the following:

1. Whether the recognized documentation guidelines have been met.
2. Whether key elements of the service were provided by staff members.
3. Whether the billing codes are supported by the documentation.

4. Other aspects of billing as outlined by the Office of the Inspector General standards.

### **CORRECTIVE ACTION PLANS**

The Compliance Officer and the Compliance Committee shall develop a work plan based on the audit findings to address any negative practices. Corrections may include, but are not limited to, the following actions:

1. Review of documentation process and/or forms; changes shall be made, if necessary.
2. In-service to professional staff.
3. Disciplinary actions to individual(s) who may be repeat offenders of improper documentation.

### **STAFF EDUCATION**

Written policies, employee handbooks, and employee training shall cover:

1. The Federal False Claims Act [31 U.S.C. §§ 3729–33]
2. The Federal Program Fraud Civil Remedies Act [31 U.S.C. §§ 3801–12]
3. Any applicable state false claims laws, which in New Jersey include:
  - A. New Jersey Medical Assistance and Health Services Act – Criminal Penalties [N.J.S.A. 30:4D-17(a)–(d)]
  - B. New Jersey Medical Assistance and Health Services Act – Civil Remedies [N.J.S.A. 30:4D-7.h; N.J.S.A. 30:4D-17(e)–(i); N.J.S.A. 30:4D-17.1.a]
  - C. New Jersey Health Care Claims Fraud Act [N.J.S.A. 2C:21-4.2; 4.3; N.J.S.A. 2C:51-5]
  - D. New Jersey False Claims Act [P.L. 2007, Chapter 265]
4. The right of employees for whistleblower protections under the New Jersey Conscientious Employee Protection Act [N.J.S. 34:19-1 et seq.], and some of the federal and state statutes mentioned above.
5. The employer’s policies and procedures for detecting and preventing fraud, waste, and abuse in Medicaid, NJ FamilyCare, Medicare, and other federally funded healthcare programs, as outlined above.

All employees shall be trained upon initial hire and on an annual basis thereafter.

### **DISCUSSION OF APPLICABLE LAW**

1. Deficit Reduction Act of 2005 [42 U.S.C. § 1396a(a)(68)
  - A. Federal law that requires CompanyName, because it receives Medicaid funding, to take the following actions to address fraud, waste, and abuse in healthcare programs that receive federal funds:
    - i. Establish written policies for all employees and contractors or agents.
      - a. Provide detailed information about the federal and state False Claims Act; administrative remedies for false claims or statements; and whistleblower protection.
      - b. Include provisions regarding the entity’s policies and procedures for detecting and preventing fraud, waste, and abuse.

- c. Provide employees with a specific discussion of employees' rights to be protected as whistleblowers.
- ii. Under Section 6032, CompanyName must establish and make available to their employees, contractors, and agents policies that explain:
  - a. federal and state laws dealing with false claims for payment from federally funded programs; and
  - b. CompanyName's policies and procedures to detect and prevent fraud, waste, and abuse in these programs.
- iii. Contractors and agents must also adopt CompanyName's policies and make them available to their employees.

## 2. Federal False Claims Act [31 U.S.C. §§ 3729–33]

- A. Federal law that creates liability for any person who knowingly presents or causes to be presented a false or fraudulent claim to the U.S. government for payment from any federally funded contract or program.
  - i. “Knowingly” means that a person, with respect to information:
    - a. has actual knowledge of falsity of information in the claim;
    - b. acts in deliberate ignorance of the truth or falsity of the information in a claim; or
    - c. acts in reckless disregard of the truth or falsity of the information in a claim.
- B. Health care providers and suppliers who violate the False Claims Act can be subject to civil monetary penalties ranging from \$10,957 to \$21,916 for each false claim submitted in accordance with Federal Register Vol. 82, No. 22, Friday, February 3, 2017, pgs 9131-9136 located at <https://www.gpo.gov/fdsys/pkg/FR-2017-02-03/pdf/FR-2017-02-03.pdf>.
  - i. PLUS up to three times the amount of damages sustained by the U.S. Government.
  - ii. PLUS, if convicted, possible exclusion from participation in federal healthcare programs.
- C. Qui Tam “Whistleblower” Provisions
  - i. Allow any person, also known as the “Relator”, with actual knowledge of allegedly false claims to file a lawsuit on behalf of the U.S. government.
  - ii. Relators may receive a percentage of the moneys recovered by the U.S. government.
  - iii. CompanyName is prohibited from retaliating against Relators for complaining or filing lawsuits. If there is retaliation, Relators are entitled to employment reinstatement, back pay, and any other compensation arising from retaliatory conduct against a whistleblower for filing an action, investigating a false claim, or providing testimony for or assistance in a False Claims Act action.
- D. Examples of Health Care Fraud [31 U.S.C. §§ 3801-12]
  - i. Billing for services not rendered or goods not provided
  - ii. Falsifying certificates of medical necessity
  - iii. Billing for services not medically necessary
  - iv. Billing separately for services that should be a single service
  - v. Falsifying treatment plans or medical records to maximize payments
  - vi. Failing to report overpayments or credit balances
  - vii. Duplicate billing

3. Federal Program Fraud Civil Remedies Act [31 U.S.C. §§ 3801-12]
  - A. Federal law that provides federal administrative remedies for false claims and statements to federally funded healthcare programs.
  - B. Current civil penalties are \$10,957 (in accordance with Federal Register Vol. 82, No. 22, Friday, February 3, 2017, pgs 9131-9136 located at <https://www.gpo.gov/fdsys/pkg/FR-2017-02-03/pdf/FR-2017-02-03.pdf>) for each false claim or statement, and an assessment in lieu of damages sustained by the federal government of up to double damages for each false claim for which the Government makes a payment.
  - C. Section 701 of the “Federal Civil Penalties Inflation Adjustment Act Improvements Act of 2015” (the Act) [28 U.S.C. 2461], amending the “Federal Civil Penalties Inflation Adjustment Act of 1990”, requires federal agencies to make subsequent annual adjustments for inflation. Starting in January 2017, federal agencies are required to publish in the Federal Register annual inflation adjustments for civil penalties and must do so no later than January 15 of each year.
  
4. New Jersey False Claims Act [adding N.J.S.A. 2A:32C-1–2A:32C-17 and amending N.J.S.A. 30:4D-17(e)]
  - A. State law creates liability for any person who knowingly presents or causes to be presented a false or fraudulent claim to the State of New Jersey for payment from any state funded contract or program.
  - B. Prohibits retaliation by CompanyName against any employee for the disclosure of information regarding this law; thus, CompanyName shall not discharge, demote, suspend, threaten, harass, deny promotion to, or in any other manner discriminate against an employee in the terms and conditions of employment because of the employee’s good faith report to the state or law enforcement agency.
    - i. If there is retaliation, the employer must make the employee “whole” by reinstating him/her, paying him/her two times the amount of back pay, interest on the back pay, compensation for any special damage sustained as a result of the discrimination, and, where appropriate, punitive damages.
    - ii. No employer shall make, adopt, or enforce any rule, regulation, or policy preventing an employee from disclosing information to a state or law enforcement agency or from acting to further a false claims action, including investigating, initiating, testifying, or assisting in an action filed or to be filed under this act.
    - iii. In addition, the defendant shall be required to pay litigation costs and reasonable attorney’s fees associated with an action brought under this section.
  - C. Healthcare providers and suppliers who violate the New Jersey False Claims Act can be subject to civil monetary penalties ranging from \$5,500 to \$11,000 for each false claim submitted.
  
5. New Jersey Medical Assistance and Health Services Act [N.J.S.A. 30:4D-7h; N.J.S.A. 30:4D-17(e)–(i); N.J.S.A. 30:4D-17.1.a]
  - A. State law that provides criminal and civil penalties for individuals and entities engaging in fraud or other criminal violations relating to Title XIX-funded programs.
  - B. Criminal penalties include:

- i. Fraudulent receipt of payments or benefits: fine of up to \$10,000, imprisonment for up to 3 years, or both.
  - ii. False claims, statements or omissions, or conversion of benefits or payments: fine of up to \$10,000, imprisonment for up to 3 years, or both.
  - iii. Kickbacks, rebates, and bribes: fine of up to \$10,000, imprisonment for up to 3 years, or both.
  - iv. False statements or representations about conditions or operations of an institution or facility to qualify for payments: fine of up to \$3,000, or imprisonment for up to 1 year, or both.
- C. Civil sanctions include:
- i. Unintentional violations: recovery of overpayments and interest.
  - ii. Intentional violation, and violation of New Jersey False Claims Act: recovery of overpayments; interest, up to triple damages; and between \$5,500 and \$11,000 for each false claim.
- D. Violations can result in the exclusion of an individual or entity from participation in all healthcare programs funded in whole or in part by the N.J. Division of Medical Assistance and Health Services.
6. New Jersey Health Care Claims Fraud Act [N.J.S.A. 2C:21-4.2 and 4.3; N.J.S.A. 2C:51-5]
- A. State law that provides for criminal penalties for health care claims fraud, including the submission of false claims to programs funded in whole or in part by state funds.
- i. “Health care claims fraud” means making, or causing to be made, a false, fictitious, fraudulent, or misleading statement of material fact in, or omitting a material fact from, or causing a material fact to be omitted from, any record, bill, claim or other document, in writing, electronically or in any other form, that a person attempts to submit, submits, causes to be submitted, or attempts to cause to be submitted for payment or reimbursement for health care services.
7. New Jersey Conscientious Employee Protection Act [N.J.S.A. 34:19-1 et seq.]
- A. State law that prohibits CompanyName from taking any retaliatory action against an employee because the employee:
- i. discloses, or threatens to disclose to a supervisor or to a public body an activity, policy, or practice of the employer, or another employer, with whom there is a business relationship, that the employee reasonably believes:
    - a. is in violation of a law, rule, or regulation promulgated pursuant to law; and/or
    - b. is fraudulent or criminal
  - ii. provides information to, or testifies before, any public body conducting an investigation, hearing, or inquiry into any violation of law, rule, or regulation promulgated pursuant to law by the employer, or another employer; or
  - iii. objects to, or refuses to participate in, any activity, policy, or practice which the employee reasonably believes:
    - a. is in violation of a law, rule, or regulation promulgated pursuant to law and/or;
    - b. is fraudulent or criminal; and/or

- c. is incompatible with a clear mandate of public policy concerning the public health, safety, or welfare, or protection of the environment.
    - B. An employee who feels that he/she has been retaliated against may make a report by contacting any of the following:
      - i. Administrator
      - ii. Compliance Officer
        - a. Reports may be made either openly or anonymously.
      - iii. NJ Medicaid Fraud and Abuse Hotline: 609-826-4701 or 1-888-937-2385
      - iv. Centers for Medicaid and Medicare Services: 1-800-447-8477
8. New Jersey Uniform Enforcement Act [N.J.S.A. 45:1-21]
- A. State law that provides that a licensure board within the N.J. Division of Consumer Affairs “may refuse to admit a person to an examination or may refuse to issue or may suspend or revoke any certificate, registration, or license issued by the board” who has engaged in “dishonesty, fraud, deception, misrepresentation, false promise or false pretense, or has “advertised fraudulently in any manner”.”
9. New Jersey Consumer Fraud Act [N.J.S.A. 56:8-2, 56:8-3.1, 56:8-13, 56:8-14 and 56:8-15]
- A. State law that makes it unlawful to use “any unconscionable commercial practice, deception, fraud, false pretense, false promise, misrepresentation, or the knowing concealment, suppression, or omission of any material fact”, with the intent that others rely upon it, in connection with the sale, rental, or distribution of any items or services by a person, or with the subsequent performance of that person.
  - B. Penalties include a fine of not more than \$10,000 for the first offense and not more than \$20,000 for the second and each subsequent offense. Restitution to the victim can also be ordered.

## **ATTACHMENT C POLICY AGAINST HARASSMENT**

### **POLICY**

CompanyName intends to provide a work environment that is pleasant, healthful, comfortable, and free from intimidation, hostility, or other offenses that might interfere with work performance. Harassment of any sort - verbal, physical, and/or visual - will not be tolerated.

### **WHAT IS HARASSMENT?**

CompanyName is committed to equal opportunity and non-discrimination in all aspects of employment, including hiring, promotions, and the work environment. CompanyName endeavors to foster a congenial work environment in which all individuals are treated with respect and dignity. Each individual has the right to work in an environment that promotes equal opportunity and prohibits discriminatory practices, including sexual and other forms of harassment.

CompanyName expressly prohibits any form of employee harassment or discrimination based on sex, race, color, religion, national origin, age, disability, sexual orientation, marital status or veteran status, or any other factor illegal under federal, state, or city law (any of which is referred to as an “Unlawful Category”). Improper interference with the ability of employees to perform their expected job duties is not tolerated.

Harassment or discrimination is unacceptable on CompanyName’s property, or in other work-related settings.

### **DEFINITIONS AND EXAMPLES OF HARASSMENT**

For purposes of this policy, harassment is defined as unwelcome or unwanted conduct, whether verbal or physical, based upon race, sex, religion, or any other Unlawful Category. Harassment occurs when the unwelcome or unwanted conduct is made a condition of employment, utilized for decisions affecting employment (including, but not limited to, promotions, hiring, and firing), used to create an intimidating or hostile work environment, or found to unreasonably interfere with an individual's ability to work.

Examples of the type of conduct that constitutes harassment include, but are not limited to: physical conduct, verbal conduct, display of harassing pictures or materials, name calling and jokes which are based on Unlawful Categories such as race, sex, national origin, sexual orientation, disability, etc.

### **COVERAGE**

This policy covers all CompanyName employees and independent contractors without exception. CompanyName will not tolerate, condone, or allow harassment, whether engaged in by fellow employees, supervisors, managers, independent contractors, or other non-employees who conduct business with The Company. CompanyName encourages the reporting of all incidents of harassment, regardless of who the offender may be.

## **COMPLAINT PROCEDURES**

While CompanyName encourages individuals who are being harassed, or subject to discrimination, to promptly notify the offender that his or her behavior is unwelcome, CompanyName also recognizes that power and status disparities between an alleged harasser and a target may make such confrontation extremely difficult. Whether or not such informal, direct communication between individuals is effective, CompanyName requires that the complaint be reported in the following manner:

If an individual has been subjected to harassment based on an Unlawful Category, or believes he or she has been treated in an unlawful, discriminatory manner, whether by a coworker, superior, or other non-employee who conducts business with CompanyName, the individual should promptly report the incident, either verbally or in writing, to his or her immediate supervisor. In the event the employee believes it would be inappropriate to discuss the matter with his or her immediate supervisor, the employee should report it to CompanyName's Compliance Officer.

All reports of harassment or discrimination will be reduced to writing by the person receiving the complaint and signed by the complainant. If a person other than the Compliance Officer receives the complaint from a CompanyName employee or agent, he or she will promptly confer with the Compliance Officer who will coordinate and direct an investigation into the allegations.

Where necessary, CompanyName may employ a Compliance and Ethics Attorney, a lawyer or consultant to investigate the complaint and provide guidance in handling the matter.

The complaint will be investigated expeditiously. While CompanyName endeavors to keep the complaint confidential throughout the investigatory process, please be aware that CompanyName will only do so to the extent practical and appropriate under the circumstances.

## **RESOLVING THE COMPLAINT**

Upon completing the investigation of a complaint and conferring with counsel and CompanyName's management, if necessary, the Compliance Officer will communicate his or her findings and intended action to the complainant and alleged offender.

If CompanyName determines that an individual is guilty of harassing or discriminating against another individual, appropriate disciplinary action, up to and including termination, will be taken against the offending person. Appropriate sanctions will be determined by the management of The Company in consultation with the person conducting the investigation, Compliance and Ethics Attorney, and/or any outside counsel or consultant so engaged. In addressing confirmed incidents of harassment, CompanyName's response, at a minimum, will include reprimanding the offender and preparing a written record of the offense. Additional action may include, but is not limited to: referral to counseling, withholding of a promotion, reassignment, temporary suspension without pay, financial penalties, or termination.



## **RETALIATION PROHIBITED**

CompanyName will not in any way retaliate against an individual who makes a report of harassment or unlawful discrimination or provides information concerning such actions, nor will it permit any employee to do so. Retaliation is a serious violation of this policy and should be reported immediately. Any person found to have retaliated against another individual for reporting harassment or discrimination will be subject to the same disciplinary action provided for offenders.

## **FALSE ACCUSATIONS**

If, after investigating any complaint of harassment or unlawful discrimination, CompanyName determines that the complainant or purported witness falsely accused another knowingly or in a malicious manner, the complainant or witness, as the case may be, will be subject to appropriate disciplinary action.

## **COMPANYNAME ACKNOWLEDGEMENT OF OUR COMPLIANCE PLAN**

I hereby acknowledge by my signature that I have received a copy of CompanyName's document entitled "Our Compliance Plan." Further, I understand that:

- Our Compliance and Ethics Program has committed our organization to support each employee in our efforts to provide quality of care while adhering to all applicable laws and regulations.
- If I have any concerns that may involve a violation of a law or regulation, I am expected to report such concern. Even if I am unsure it is a violation of any law or regulation, I am encouraged to report the concern without delay.
- I should report concerns to either my manager, the Administrator, or the Compliance Officer, by openly or anonymously calling the Compliance Hotline at (800) 557-1066.
- If my concern is reported in good faith, I will not be subjected to retaliation for making the report.
- CompanyName's Compliance and Ethics Program Manual is available for my review should I have any questions or require any clarification.
- If I am a vendor and/or contractor, I agree to abide by the standards contained in Facility's Compliance Plan as well as its Compliance and Ethics Program Manual and also agree to participate in Facility's mandatory compliance training which can be accessed at [www.mednetcompliance.com](http://www.mednetcompliance.com) under E-Learning Courses (Password – elements1). Vendor shall disseminate Facility's policies to vendor's managers and employees.

I hereby agree to abide by all Compliance and Ethics Program requirements and understand that adherence to this document and other policies and procedures in CompanyName’s Compliance and Ethics Program Manual is a condition of employment or continued business dealings with Company-Name.

I hereby acknowledge receipt of the following:

1. Code of Conduct
2. Deficit Reduction Act
3. Policy Against Harassment

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Print Name

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Signature

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Company Name (If Contractor)

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Date

## Appendix CP 1.0.1

### COMPLIANCE RISK ASSESSMENT

**Directions:** Employees and Associates audit and proactively review multifaceted compliance risk areas for their designated areas of responsibility and generate a report of findings for submission to the Compliance Committee for periodic review as assigned. The Compliance Committee creates a compliance reporting calendar, takes appropriate action on identified risks, makes reports as required, educates associates as indicated, documents provided education, and makes changes to Company policies and procedures as appropriate (Reference CP 2.0 Section M [Compliance Reassessment/Annual Review](#) and FI 1 Section B [Reimbursement Auditing](#)).

#### A. Quality of Care (42 CFR 483.20(k))

Person Completing Quality of Care Risk Assessment: \_\_\_\_\_

Date: \_\_\_\_\_

- Care Coordination risk areas: Lack of comprehensive assessments of each resident’s functional capacity and a comprehensive care plan that includes measurable objectives and timetables to meet the resident’s medical, nursing, and mental and psychosocial needs
  - Inappropriate and insufficient treatment and services to address residents’ clinical conditions, including pressure ulcers, dehydration, malnutrition, incontinence of the bladder, and mental or psychosocial problems
  - Failure to accommodate individual resident needs and preferences
  - Failure to provide appropriate therapy services
  - Failure to provide appropriate services to assist residents with activities of daily living
  - Failure to provide appropriate restorative and Personal Care Services
    - Failure to provide these services, after billing for them, will result in liability under fraud and abuse statutes
      - ❖ Facilities should implement comprehensive procedures to ensure that such services are afforded to each resident at the appropriate quality and level
      - ❖ Maintain complete and contemporaneous documentation to ensure that these services are being rendered
  - Failure to provide an ongoing activities program to meet the individual needs of all residents
  - Measures to ensure an interdisciplinary and comprehensive approach to developing care plans, meetings to accommodate the full interdisciplinary team, involving the residents’ family members or legal guardians, documenting the length and content of each meeting
  - Policies to facilitate participation by the attending physician, to ensure that a physician supervises care and involvement in the process
- Medication Management risk areas: Failure to properly prescribe, administer, and monitor prescription drug usage. Facilities are required to provide pharmaceutical services to meet the needs of each resident (42 CFR 483.60) and avoid prescribing conflicts of interest

- Facilities should have proper policies and procedures in place to ensure that the service needs of each resident are met
- Policies for maintaining accurate drug records and tracking medications, processes that advance patient safety, minimize adverse drug interactions, and ensure that irregularities in a resident's drug regimen are promptly discovered and addressed
  - Create a system of records for controlled drugs used, and ensure that controlled drugs are all accounted for and properly maintained
  - Obtain the services of a licensed consultant pharmacist not employed by the long-term care pharmacy who reviews the drug regimen of each resident at least once per month
  - Review the total compensation paid to consultant pharmacists to ensure that it is not structured in a manner that involves the volume or value of a particular drug prescribed for residents
  - Train and supervise those prescribing and administering drugs to residents
  - Educate the workforce regarding the legal prohibition of accepting anything of value from a pharmaceutical company to influence the choice of drug for a resident
  
- Psychotropic Drug Use risk areas:
  - Psychotropic Medication should never be given to a resident for discipline or convenience purposes
  - If a resident requires psychotropic medication, The Company should give the resident gradual medication reductions and behavioral interventions aimed at reducing medication use
  - Facilities should document, monitor, and review the use of these drugs
  - Facilities should educate their providers regarding the proper way to document and review the use of these drugs
  
- Sufficient Workforce risk areas: Inadequate staffing levels or insufficiently trained (inadequate clinical expertise) or supervised staff to provide medical, nursing, and related services or to meet the unique acuity levels of the residents
  - Federal Law (42 CFR 483.30) requires sufficient staffing in facilities to highest practicable overall wellbeing of their residents
  - Facilities should assess their staff models considering:
    - Staff skill levels
    - Staff to resident ratios
    - Staff turnover
    - Staffing schedules
    - Adverse event reports
  - Payroll records: show actual hours worked, rather than theoretical staff schedules
    - Timesheets
  
- Promoting Resident Safety risk areas: Internal commitment to eliminating resident abuse including commitment to preventing and responding to abuse. Policies and procedures:

- Prevent, investigate, and respond to abuse, neglect, and misappropriation
- Resident-on-Resident, Staff-on-Resident, and injuries of unknown source
  - Resident Interactions - address resident-on-resident abuse by:
    - ❖ Educating staff who are involved with hostile residents
    - ❖ Initial and periodic resident screenings
    - ❖ Proper staffing assignments
    - ❖ Care plans that reflect the additional attention needed by these residents
  - Staff screening: cannot employ individuals found guilty of abusing, neglecting, or mistreating residents
    - ❖ Conduct state required criminal background checks from every state in which an applicant has been previously employed
- A confidential reporting system for anyone to make a report
- Post public notices that encourage the reporting of incidents and how reports can be made
- Failure to report incidents of mistreatment, neglect, or abuse to the Administrator of The Company and other officials as required by law.

Findings/Conclusion:

Corrective Action Plan:

## **B. Resident Rights**

Person Completing Resident Rights Risk Assessment: \_\_\_\_\_

Date: \_\_\_\_\_

Resident Rights risk areas:

- Discriminatory admission or improper denial of access to care
- Verbal, mental, or physical abuse; corporal punishment; and involuntary seclusion
- Inappropriate use of physical or chemical restraints
- Denial of a resident's right to participate in care and treatment decisions
- Failure to safeguard resident's financial affairs
- Failure to ensure that residents have personal privacy and access to their personal records upon request and that the privacy and confidentiality of those records are protected

Findings/Conclusion:

Corrective Action Plan:

## C. Billing and Cost Reporting

Person Completing Billing and Cost Reporting Risk Assessment: \_\_\_\_\_

Date: \_\_\_\_\_

Billing and Cost Reporting risk areas:

- Submissions of Accurate Claims: Facilities must submit accurate claims to Federal health care programs. Submitting false claims could result in:
  - Criminal Prosecution
  - Exclusion from Federal health care programs
- Proper Reporting of Resident Case-Mix to reduce risk, the assessment, reporting, and evaluation of resident case-mix data facilities should:
  - Train persons collecting data and those analyzing the data to ensure that they are informed of the purpose and utility of case mix data
  - Conduct internal and external validation of the data
  - Scrutinize the quality-reporting data
- Therapy Services- potential risk results from:
  - Improper utilization of therapy services to inflate the severity of RUG classifications and obtain additional reimbursement
  - Overutilization of services billed on a fee-for-service basis to Part B under consolidated billing
  - Stinting, or providing an inadequate amount of therapy services to residents covered by Part A PPS payment
  - Failure to have policies and procedures that require therapy contractors to provide complete documentation of each resident's services
    - Regular reconciliation of the physician's orders and the services provided
    - Assessment, with the ordering physician authorizing the medical necessity of services
    - Interview the family members of residents to ensure services are being provided
- Financial Compliance risk areas:
  - Submitting claims for items or services not ordered
  - Knowingly billing for inadequate or substandard care
  - Submitting claims to Medicare Part A for residents who are not eligible for Part A coverage
  - Billing for items or services not actually rendered or provided as claimed
  - Submitting claims for equipment, medical supplies, and services that are medically unnecessary
  - Duplicate billing
  - False Cost Reports
  - Credit Balances—failure to refund
  - Providing misleading information about a resident's medical condition on the MDS, or otherwise providing inaccurate information used to determine the RUG assigned to the resident
  - Up-coding the level of service provided

- Billing for individual items or services when they either are included in The Company's per diem rate, or are of the type of item or service that must be billed as a unit and may not be unbundled
- Billing for residents for items or services that are included in the per diem rate, or otherwise covered by the third-party payor
- Billing for visits to residents who do not require a qualifying service
- Altering documentation, or forging a physician signature on documents, used to verify that services were ordered and/or provided
- Failing to maintain sufficient documentation to support the diagnosis, justify treatment. document the course of treatment and results, and promote continuity of care

Findings/Conclusion:

Corrective Action Plan:

#### **D. Employee Screening**

Person Completing Employee Screening Risk Assessment: \_\_\_\_\_

Date: \_\_\_\_\_

Employee Screening risk area:

- Screening for Excluded Individuals and Entities
  - No Federal health care program payment may be made for items or services given by an excluded individual or entity
  - Civil monetary penalties may be imposed against an individual who contracts with an excluded party, when they know, or should have known, the party was excluded
  - Facilities should implement screening procedures to avoid contracting with excluded parties:
    - Screen all prospective owners, administrators, and agents against the OIG's List of Excluded Individuals
    - Periodic screening of current contracted entities
    - Require potential vendors to disclose if they are excluded
    - Train human resource personnel of the effects of exclusion
- Investigate the background of employees by checking with all applicable licensing and certification authorities to verify that requisite licenses and certifications are in order
- Require all potential employees to certify that they have not been convicted of an offense that would preclude employment in a nursing company and that they are not excluded from participation in the Federal health care programs

- Require temporary employment agencies to ensure that temporary staff assigned to The Company have undergone background checks that verify that they have not been convicted of an offense that would preclude employment in The Company
- Check the OIG's List of Excluded Individuals/Entities and the GSA's list of debarred contractors to verify that employees are not excluded from participating in the Federal health care programs
- Require current employees to report to the nursing company if, subsequent to their employment, they are convicted of an offense that would preclude employment in a nursing company or are excluded from participation in any Federal health care program
- Periodically check the OIG GSA websites to verify the participation/exclusion status of independent contractors and retain on file the results of that query

Findings/Conclusion:

Corrective Action Plan:

## **E. Kickbacks, Inducements, and Self-Referrals**

Person Completing Kickbacks, Inducements, and Self-Referrals Risk Assessment: \_\_\_\_\_

Date: \_\_\_\_\_

Kickbacks, inducements, and self-referrals risk areas:

- The Federal Anti-Kickback Statute: The provision of goods or services that have independent value to the recipient confers a benefit to the recipient:
  - Routinely waiving coinsurance or deductible amounts without a good faith determination that the resident is in financial need, or absent reasonable efforts to collect the cost-sharing amount
  - Agreements between The Company and a hospital, home health agency, or hospice that involve the referral or transfer of any resident to or by the nursing home
  - Soliciting, accepting, or offering any gift or gratuity of more than nominal value to or from residents, potential referral sources, and other individuals and entities with which the nursing company has a business relationship
  - Conditioning admission or continued stay at a company on a third-party guarantee of payment, or soliciting payment for services covered by Medicaid, in addition to any amount required to be paid under the State Medicaid plan
  - Arrangements between a nursing company and a hospital under which The Company will only accept a Medicare beneficiary on the condition that the hospital pays The Company an amount over and above what The Company would receive through PPS
  - Financial arrangements with physicians, including The Company's service contract for physician services include ways to minimize risk:
    - Contemporaneous documentation of the arrangement with the physician



- Compensation is appropriate with respect to the skill level and experience of the physician
- Structure service arrangements to comply with the personnel services and management contracts safe harbor whenever possible
- Arrangements with vendors that result in the nursing company receiving non-covered items [such as disposable adult diapers] at below market prices or no charge, provided The Company orders Medicare-reimbursed products may be a means to disguise kickbacks. Facilities must ensure that there is a legitimate need for the services or goods and that compensation is at fair-market value in an arm's length transaction. The Company must ensure the goods or services are provided
- The arrangement is not related in any manner to the volume or value of Federal health care program business
- Soliciting or receiving items of value in exchange for providing the supplier access to residents' medical records and other information needed to bill Medicare
- Joint ventures with entities supplying goods or services
- Swapping services of value with a third-party provider for mutual benefit
- Examples of arrangements that create risk:
  - Pharmaceutical consultant services
  - Infection control and chart review from laboratories
  - Equipment (computers & software) of value to The Company
  - Durable Medical Equipment offered by DME suppliers
  - Hospice nurse providing nursing for non-hospice residents
- Discounts (Price Reductions)
  - Anti-Kickback provides an exception for discounts offered to customers that submit claims to Federal health care programs. The exception only covers price reductions in the product's or service's price. To use the discounts safe-harbor, facilities must comply with it
  - All discounts must be disclosed and reflected on cost reports filed with the Federal program
  - Group Purchasing Organizations must document and report any discounts
- Discounts (Swapping violation)
  - Avoid discounts tied or linked, directly or indirectly, to referrals of other Federal health care program business; e.g. Company accepts lower price from a supplier on an item covered by the facility's Part A per diem payment in exchange for The Company referring to the supplier other Federal health care plan business
  - The size of the discount is not the determinative factor for the OIG
  - If any direct or indirect link exists between a price offered for items or services The Company would normally pay out-of-pocket for any referrals for Federal health care plan business, then there is a violation of anti-kickback

- Hospices- hospice services for residents inside The Company pose a risk for anti- kickback violations
  - Facilities must be mindful that requesting remuneration, which influences their decision to do business with the hospice, from a hospice may subject both parties to anti-kickback violations
  - Practices that pose a substantial risk:
    - ❖ Hospice offers free goods or services at below market value to induce referrals from The Company
    - ❖ Hospice paying room and board fees to The Company more than what they would have received from Medicare
    - ❖ Hospice paying for additional services, or paying above market value for services that Medicare does not consider to be part of its room and board payment to The Company
    - ❖ Hospice referring residents to The Company to induce referrals from The Company
- Reserved Bed Arrangements
  - Hospitals providing remuneration to facilities to keep beds open for the hospital’s residents: This can be a risk of an anti-kickback violation if the arrangement is there to induce referrals to the hospital
  - Make sure these payments are not a disguise for referrals from The Company to the hospital
  - Examples of problematic arrangements
    - ❖ Payments that are more than the actual cost to the nursing company of holding an empty bed
    - ❖ Payments for “lost opportunity” calculated by considering the cost to The Company to hold an empty bed
    - ❖ Payment for more beds than the hospital needs
    - ❖ Payments should be for the exclusive purpose of securing needed beds
- The Stark Law
  - The physician self-referral law (The Stark Law) prohibits entities that furnish “designated health services” (DHS) from submitting claims for DHS if the referral comes from a physician with whom the entity has a prohibited financial relationship
  - Nursing facilities that bill Part B for lab services, physical therapy, and occupational services or DHS pursuant to the consolidated billing rules are considered DHS entities
  - Potential Self-Referral three party inquiry:
    - Is there a referral from a physician for a DHS?
      - ❖ Includes ordering a service for a resident
    - Does the physician have a direct or indirect financial relationship with The Company?
      - ❖ Can be created by ownership, investment, or compensation; it does not have to directly relate to the DHS
    - Does the financial relationship fit in an exception?

- Polices to avoid self-referral violations
  - Have written signed agreements with parties ensuring and documenting that any services or items received are compensated with fair-market value
  - Track non-monetary compensation provided annually to referring physicians
- Anti-Supplementation
  - For covered items, a company cannot charge a Medicare or Medicaid beneficiary any amount in addition to what is otherwise required to be paid under Medicare or Medicaid
    - e.g. A company may not accept supplemental payments from a hospital or other source merely because The Company believes the Federal payment to be inadequate
- Medicare Plan D
  - “Under no circumstances should a nursing home require, request, coach, or steer any resident to select or change a plan for any reason”; Nor should it “knowingly and/or willingly allow the pharmacy servicing the nursing home” to do the same-- CMS May 11, 2006 letter
  - Facilities have to be careful not to act in ways that would frustrate a beneficiary’s freedom of choice in choosing a Part D plan
  - Facilities and their employees and contractors should not accept any payments from any plan or pharmacy to influence a beneficiary to select a particular plan

Findings/Conclusion:

Corrective Action Plan:

## **F. Creation and Retention of Records**

Person Completing Creation and Retention of Records Risk Assessment: \_\_\_\_\_

Date: \_\_\_\_\_

Creation and Retention of Records risk areas:

- All records and documentation [e.g., billing and claims documentation] required for participation in Federal, State, and private health care programs, including the resident assessment instrument, the comprehensive plan of care and all corrective actions taken in response to surveys
- All records, documentation, and audit data that support and explain cost reports and other financial activity, including any internal or external compliance monitoring activities
- All records necessary to demonstrate the integrity of the nursing company compliance process and to confirm the effectiveness of the program. Secure information in a safe place
- Maintain hard copies of all electronic or database documentation
- Limit access to such documentation to avoid accidental or intentional fabrication or destruction of records

- Conform document retention and destruction policies to applicable laws

Findings/Conclusion:

Corrective Action Plan:

## **G. HIPAA Privacy and Security Rules**

Person Completing HIPAA Privacy and Security Rules Risk Assessment: \_\_\_\_\_

Date: \_\_\_\_\_

HIPAA Privacy and Security Rules risk areas:

- Facilities that conduct electronic transactions governed by HIPAA are required to comply with the Privacy Rule adopted under HIPAA
- Facilities have flexibility under the rule to adopt their own procedures
- Procedures must agree with the rule's requirements
- The Rule allows for flexibility when adopting procedures to conform. Facilities should consider their organization and its capabilities when complying with the rule

Findings/Conclusion:

Corrective Action Plan:

**Appendix CP 1.0.2**

**ACKNOWLEDGEMENT OF THE COMPANY COMPLIANCE AND ETHICS PLAN**

**Appendix CP 1.1.2 A**

**COMPLIANCE COMMITTEE CONFIDENTIALITY STATEMENT**

I understand and agree that, in connection with the performance of my duties as a member of the Compliance Committee of The Company, I shall be engaged in confidential activities, including but not limited to participating in reviews and evaluations of internal examinations, evaluations, and self-evaluations of the policies, practices, and procedures of The Company and its residents and staff. I understand that I shall be expected to receive and/or become privy to confidential information, including but not limited to medical records, documents, and statistics that go to the issue of compliance with policies, procedures, statutes and regulations, and other information of a confidential nature. I further understand that I shall be called upon to evaluate such information, in part, by the application of laws, regulations, and policies, as well as policies of The Company to the information which I receive. I understand that my position as a member of this Committee is one that demands the highest trust, and that The Company policies and procedures, as well as in some instances, specific statutes, regulations, and governmental policies protect the confidentiality of certain records and information which I shall be reviewing by prohibiting their disclosure in any manner. In addition to any duty of confidentiality or nondisclosure imposed on me by specific statutes, regulations, and governmental policies, I agree to keep secret and not to disclose to others, nor make any personal use whatsoever, either during my service on said Committee or at any time thereafter, of any said confidential information, and to hold any such documents and/or information, regardless of nature, in strictest confidence. I understand that any violation of this confidentiality statement will subject me to disciplinary action, up to and including removal from this Committee and/or termination of employment. I further understand that my duty to maintain the information in confidence imposed hereunder will survive my resignation or termination from this Committee or my termination of employment, for whatever reason, from The Company.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Sign Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Title

**Appendix CP 1.1.2 B**  
**COMPLIANCE COMMITTEE MEETING SIGN IN SHEET**

**TOPIC:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

Print Name

Signature

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

**Appendix CP 2.0 A  
COMPLIANCE INCIDENT REPORT FORM**

Tracking Number:
Verbal Complaint (via Hotline) <input type="checkbox"/> Written Compliant <input type="checkbox"/> Other <input type="checkbox"/>
Date/Time of Call:
Name/Position of Caller:
Telephone Number:

Description of complaint/concern: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Name of Reporting Individual	Date
Name of Compliance Officer	Date Issued

- Investigation completed and returned with documentation to Med-Net Compliance
- Compliance Investigation Form completed and returned to Med-Net Compliance
- Corrective Action Plan completed and returned to Med-Net Compliance

Signature of Compliance Officer	Date of Resolution
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**Appendix CP 2.0 B**  
**COMPLIANCE INCIDENT REPORT LOG**

(The Company can create an Excel spreadsheet with these headings to facilitate tracking, trending, analysis, and resolution)

<b>Date Report Received</b>	<b>Tracking Number</b>	<b>Investigation Completed (by/date)</b>	<b>Corrective Action Completed (by/date)</b>	<b>Re-Audit Performed to Ensure Compliance (by/date)</b>



**Appendix CP 2.0 C**  
**COMPLIANCE INVESTIGATION FORM**

Tracking Number: \_\_\_\_\_ Date of Report:

Problem was identified by (attach report):  Audit  Monitoring  Incident Report  
 Other \_\_\_\_\_

Description of alleged compliance violation:

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\_\_\_\_\_  
Department/Position Involved

Individual(s) Involved:

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Business Associate Affected: \_\_\_\_\_

Business Associate Contact Person: \_\_\_\_\_

The Compliance Officer will conduct an investigation which may include the following:

- |   |  |
|---|--|
| <input type="checkbox"/> Interviews                                 | <input type="checkbox"/> Organize internal oversight committee |
| <input type="checkbox"/> Review documentation                       | <input type="checkbox"/> Contract with external authority      |
| <input type="checkbox"/> Review statutes, regulations, and policies |  |

Describe the actual investigation process, including dates where applicable:

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- 
- 
- Report to Compliance Committee - The conduct reported constitutes noncompliance with the Compliance Program, applicable state or federal law, or The Company policy.
  - Investigation finds no violation. No Corrective Action is required.
  - Complete Corrective Action Plan Form.

Date Investigation Completed

---

Signature of Compliance Officer

**Appendix CP 2.0 D**  
**COMPLIANCE CORRECTIVE ACTION PLAN**

Tracking Number: \_\_\_\_\_

Date of Report: \_\_\_\_\_

Problem was identified by (attach report):  Audit  Monitoring  Incident Report  Other \_\_\_\_\_

Violation involves (check all that apply):

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Billing – Services Not Rendered | <input type="checkbox"/> Employment/Human Resources | <input type="checkbox"/> Safety or Health Violation |
| <input type="checkbox"/> Billing – Duplicate Claims      | <input type="checkbox"/> Discrimination             | <input type="checkbox"/> Company Policy Violation   |
| <input type="checkbox"/> Billing – Other                 | <input type="checkbox"/> Sexual Harassment          | <input type="checkbox"/> Staff Services/Credentials |
| <input type="checkbox"/> Medical Record Documentation    | <input type="checkbox"/> Wrongful Discharge         | <input type="checkbox"/> Physician Services         |
| <input type="checkbox"/> Cost Reporting – Medicare       | <input type="checkbox"/> Alcohol/Drug Abuse         | <input type="checkbox"/> Resident Care              |
| <input type="checkbox"/> Cost Reporting – Medicaid       | <input type="checkbox"/> Theft                      | <input type="checkbox"/> Resident Trust Accounts    |
| <input type="checkbox"/> Referral Arrangements           | <input type="checkbox"/> Workplace Violence         | <input type="checkbox"/> Other                      |

Description of compliance violation:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Department/Position Involved: \_\_\_\_\_ Individual(s) Involved: \_\_\_\_\_

Business Associate Affected: \_\_\_\_\_

Business Associate Contact Person: \_\_\_\_\_

The recommended corrective action plan shall include the following (check all that apply):

- |  |   |
|--|---|
| <input type="checkbox"/> Overpayment to be refunded              | <input type="checkbox"/> In-service for vendors/business associates |
| <input type="checkbox"/> Report to government authorities        | <input type="checkbox"/> Monthly monitoring                         |
| <input type="checkbox"/> Revise existing policies and procedures | <input type="checkbox"/> Quarterly auditing                         |
| <input type="checkbox"/> In-service for employees                | <input type="checkbox"/> Disciplinary measures                      |

Describe the actual corrective action plan taken, including dates where applicable:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
Signature of Compliance Officer

\_\_\_\_\_  
Date of Resolution

## **2. FINANCIAL INTEGRITY (FI)**

## 2. FINANCIAL INTEGRITY (FI)

Policy Number	Policy
FI 1.0	<a href="#">FINANCIAL INTEGRITY MANAGEMENT PLAN</a> <a href="#">A. FINANCIAL AUDITING AND MONITORING</a> <a href="#">B. FINANCIAL REIMBURSEMENT AUDITING</a> <a href="#">C. MEDICAL RECORD MONITORING</a> <a href="#">D. FINANCIAL COMPLIANCE INVESTIGATION</a> <a href="#">E. EXTERNAL COMMUNICATIONS AND LITIGATION</a> <a href="#">F. FINANCIAL COMPLIANCE CORRECTIVE ACTION</a>
FI 2.0	<a href="#">FINANCIAL BUSINESS PRACTICES</a> <a href="#">A. GENERAL ACQUISITION</a> <a href="#">B. COST REPORTING</a> <a href="#">C. PURCHASE ORDER</a>
FI 2.1	<a href="#">BILLING MANAGEMENT</a> <a href="#">A. CONTRACTS FOR BILLING SERVICES</a> <a href="#">B. MEDICARE BILLING</a> <a href="#">C. MEDICARE CREDIT BALANCE REPORTING REQUIREMENTS AND CERTIFICATION</a> <a href="#">D. MONTHLY BILLING STATEMENTS</a> <a href="#">E. DEMAND BILLING</a> <a href="#">F. REFUND OF OVERPAYMENTS</a> <a href="#">G. ACCOUNTS RECEIVABLE/COLLECTIONS/BAD DEBT</a>
FI 2.2	<a href="#">RESIDENT FUND MANAGEMENT</a> <a href="#">A. DEPOSIT OF RESIDENT FUNDS (ADVANCED PAYMENTS)</a> <a href="#">B. COMMINGLING OF RESIDENT FUNDS</a> <a href="#">C. RESIDENT PERSONAL SPENDING ACCOUNT MANAGEMENT AND AUTHORIZATION</a> <a href="#">D. QUARTERLY ACCOUNTING OF RESIDENT FUNDS</a> <a href="#">E. CONVEYANCE OF FUNDS UPON A RESIDENT'S DEATH</a> <a href="#">F. PRIVATE RESIDENTS PAYMENTS</a> <a href="#">G. DISCRIMINATION AGAINST RESIDENTS AND PAYMENT PROVISIONS</a>

FI. 2.3	<a href="#"><u>AUDIT BY CERTIFIED PUBLIC ACCOUNTANT</u></a>
<b>APPENDIX</b>	<b>Appendices, Tools, and Forms</b>
FI 1 A	<a href="#"><u>DEFICIT REDUCTION ACT OF 2005</u></a>
FI 2.1 A	<a href="#"><u>MEDICARE CREDIT BALANCE REPORTING CERTIFICATION</u></a>
FI 2.2 A	<a href="#"><u>PERSONAL NEED ALLOWANCE FUND MANAGEMENT AUTHORIZATION</u></a>
FI 2.2 B	<a href="#"><u>PERSONAL NEED ALLOWANCE FUND ACCESS AUTHORIZATION</u></a>

**Policy Number:** FI 1.0

**Policy Title:** Financial Integrity Management Plan

**Policy Statement/Purpose:** To ensure the integrity of the various Financial Management components of the Compliance and Ethics Program, as well as to ensure that The Company is complying with all financial compliance Policies, applicable Laws, Rules and Regulations.

**Policy Interpretation and Implementation:** The Financial Integrity Management Plan is a component of the overarching Company Compliance and Ethics Program.

### A. FINANCIAL AUDITING AND MONITORING

1). *Overview:* It is the policy of The Company that the Compliance Officer will oversee the auditing and monitoring of its various activities and operations including its financial integrity, provide an assessment of the effectiveness of the Compliance and Ethics Program, and indicate financial integrity management areas the Compliance and Ethics Program may need to be revised or improved. To the extent that The Company's monitoring activities reveal conduct which could potentially constitute violations of the Compliance and Ethics Program, failure to comply with applicable federal or state law, or any other type of misconduct, the Compliance Officer has an obligation to investigate the conduct in question immediately to determine whether any such violation occurred, take action to facilitate any necessary discipline with respect to the person or persons involved, and correct the problem. (Reference policy CP 2.0 Section G [Compliance Auditing and Monitoring](#))

### B. REIMBURSEMENT AUDITING

- 1). *Overview:* Internal auditing standards are integral to the Compliance and Ethics Program. Data will be collected and analyzed on a regular basis to assess the faculty and residents' compliance with the established standards of practice. Access to the staff members' resident medical and billing records is essential. (Reference CP 2.0 Section G [Compliance Auditing and Monitoring](#))
- 2). *Compliance Review:* Routine chart review will be conducted for each Department to assess compliance with the established standards of practice and billing guidelines. (Reference CP Appendix 1 A-G [Compliance Risk Assessment](#))
- 3). *Scope of Review:* Concurrent and prospective reviews of both billing and medical records will be conducted. (Retrospective review will be done when no current charts are available.) Payor reviews will be phased in as follows:
- a. Initially, the reviewers will focus on Medicare records
  - b. When determined to be feasible by the Compliance Officer, Compliance Committee, and Administrator, or if required by law, the Scope of Review will be expanded to Medicaid records

- c. When determined to be feasible by the Compliance Officer, Compliance Committee, and Administrator, or as required by law, the Scope of Review will be expanded to other third-party payors

**Review Procedures:** Reviewers selected and trained by the Compliance Officer shall conduct routine, random reviews from a representative sample of each staff member’s medical and billing records for a designated period (“Audit Period”). Review may be both prospective and retrospective.

The billing and medical records will be drawn at random by the Reviewer from resident encounters occurring within a specified Audit Period.

- a. A minimum of ten (10) records will be reviewed annually per staff member; however, additional records may be reviewed at the discretion of the Compliance Officer.
- b. If any staff member had less than ten (10) encounters during an Audit Period, then all of the staff members’ records for that Audit Period will be reviewed.
- c. The Audit Period shall be determined by the Compliance Officer.

The Reviewers will examine the records for compliance with the applicable standards of practice, specifically, compliance with billing-related statutes, regulations, and guidelines.

The Reviewers will review a representative sample of each Practice Group or Staff Service billing records for the Audit Period and compare the charges found in those records with the documentation entered into the medical record. The Reviewer will assess the following:

- a. Whether the recognized documentation guidelines are met
- b. Whether key elements of the service were provided by the staff member
- c. Where the services were provided
- d. Whether the billing codes are supported by the documentation
- e. Other aspects of billing as determined by the Compliance Officer

Review codes for noncompliance shall be used and can be amended as necessary to ensure continued compliance with current law and interpretation.

Reviews will be conducted of billings and medical records of all staff members, regardless of the character of their practices or payor mixes. Reviewers are expected to maintain medical records and other resident information confidentially. Resident information can be disclosed to the Compliance Committee, Compliance Officer, and others charged with administering the Compliance and Ethics Program, but all such persons shall maintain the confidentiality of resident information. All Reviewers, the Compliance Officer, and Compliance Committee staff shall be required to sign a confidentiality statement upon their employment. (Reference CP [Appendix 1.1.2 A](#))

**Review Reports:** Each Reviewer will prepare a preliminary report detailing the total number of billable encounters reviewed, the number of random charges reviewed as selected from the billing records, the number of compliant and noncompliant records, and the reasons for noncompliance.

The Reviewer's preliminary report will be presented to the Compliance Officer who may direct additional reviews.



A final report will be prepared by the Reviewer indicating each reviewed staff member's compliance and compliance of his or her appropriate Department. A determination of whether the staff member is compliant will be made after offsetting. The final report will include reasons for the noncompliance.

The final report will be provided to the Compliance Officer.

**Compliance Officer Reports:** From the review data developed by the Reviewers, the Compliance Officer will analyze the data to determine compliance trends. The results of this analysis will be reported at each Compliance Committee meeting.

**Objections to Review Report:** The staff member may object to any final review report by submitting objections to the Compliance Officer.

- a. Any objections must be made in writing and must be stated with particularity.
- b. The objection must be made by the staff member within fifteen (15) business days of the date the Compliance Officer transmits the report to the Compliance Committee.
- c. Objections to the law or billing guidelines will not be considered.

The Compliance Officer will consider and rule on all objections in a timely manner. The Compliance Officer may request additional information supporting the objection from the aggrieved staff member.

If the Compliance Officer agrees with the objection, then the matter is concluded, and the Reviewer's report shall reflect the change. The record of his or her decision shall state the reasons, with citations to appropriate billing regulations, Intermediary or Carrier letters or bulletins, or other supporting documentation.

If the Compliance Officer disagrees with the aggrieved staff member, he or she shall advise the staff member of that decision and his or her appeal rights. The record of the Compliance Officer's decision shall state the reasons, with citations to appropriate billing regulations, or other authorized documentation. Written notice of disagreement shall be provided to the staff member. The method of transmission will be determined by the Compliance Officer. If the staff member fails to make a timely appeal in the manner, the review report results shall stand, and the Compliance Officer may implement a corrective action plan as required. (Reference policy CP 2.0 Section K [\*Compliance Corrective Action\*](#))

## **ACTION ON NONCOMPLIANT CLAIMS**

**Internal Reports-** These reports will be used as the basis for action on noncompliant claims.

**Action on Noncompliant Claims -** The Company, the Compliance Committee, and the Compliance Officer expect the staff members to follow the actions below when advised about noncompliant bills. Failure to follow these standards as determined from reviews and investigation, shall result in disciplinary measures against the faculty member, which can include termination of employment. Furthermore, when a claim is identified as noncompliant, the correction active plan shall incorporate the appropriate claim refund or withdrawal process as described below:

- a. Payment will be refunded for encounters erroneously billed or misbilled.
- b. If a claim has been billed but is unpaid, the Payor will be notified, and the billing withdrawn.

- c. If the claim has not been billed, then no billing will be made unless and until the Compliance Officer determines that a correct billing can occur.
- d. Claims may not be rebilled without approval of the Compliance Officer.

**Notice:** The staff members will be individually notified of their noncompliance by the Compliance Officer. Depending upon the nature of the noncompliance, the Compliance Officer may require the staff member to undergo additional training, increase the number of records reviewed, or the frequency of the reviews. Instances of chronic noncompliance will be reported to the Compliance Committee and the Administrator for further corrective action. (Reference CP 2.0 Section K [Compliance Corrective Action](#))

## GENERAL REQUIREMENTS

**Communications:** All communications between the Compliance Officer or staff with the Centers for Medicare & Medicaid Services (“CMS”), the fiscal Intermediary, or Carrier shall be documented at the time of the communication. This documentation shall include the following:

- a. The date, time, and method of the communication
- b. The names and titles (if known) of the individuals engaged in the communication, and the employee preparing this documentation
- c. A detailed description of the billing advice received, including citations to regulations, provider letters, or other bulletins
- d. Any other information conveyed by CMS, the fiscal Intermediary, or Carrier
- e. A confirmation letter shall be sent to CMS, the fiscal Intermediary, or Carrier documenting or confirming the billing advice received
- f. The documentation and copies of the confirmation letters must be given to the Compliance Officer promptly, who shall retain them permanently in his or her files

**Confidentiality:** Reviewers are expected to confidentially maintain the information contained in the medical records; however, medical record information that is relevant to an analysis of the staff member’s billing practices may be disclosed to the Compliance Committee and Compliance Officer, provided it has been redacted to eliminate resident-specific information or information which identifies or tends to identify the resident. To ensure compliance with this standard, Reviewers will be required to sign confidentiality statements upon their engagement or employment and sign re-acknowledgements at intervals determined by the Compliance Officer. (Reference CP 2.0 Section F [Compliance Confidentiality](#) and Policy PP Appendix 2.0.1 Section D [Confidential Information Agreement](#))

## C. MEDICAL RECORD MONITORING

- 1). *Overview:* The Company has a process in place to monitor medical records standards of practice monthly.
- 2). *Medical Record Monitoring Process:*
  - a. Monthly, a nurse from one unit will monitor two (2) medical records from another unit so that each unit will have two (2) charts reviewed every month. The nurse will utilize the *Medical Records Review form* to capture the data from his/her evaluation.

- b. The completed *Medical Records Review form* will be submitted to The Company Compliance Officer. The Compliance Officer will review this information and identify trends. Specified deficits in standards of practice are addressed internally immediately, and the Compliance and Ethics Attorney should be notified, accordingly.
- c. The results of monthly audits will be discussed at The Company's quarterly Compliance Committee meetings.

**D. FINANCIAL COMPLIANCE INVESTIGATION**

Reference Policy CP 2.0 Section I [Compliance Investigation](#)

**E. EXTERNAL COMMUNICATIONS AND LITIGATION**

Reference Policy CP 2.0 Section J [External Communications and Litigation](#)

**F. FINANCIAL COMPLIANCE CORRECTIVE ACTION**

Reference Policy CP 2.0 Section K [Compliance Corrective Action](#)

**Policy Number:** FI 2.0

**Policy Title:** Financial Business Practices

**Policy Statement/Purpose:** To ensure the integrity of financial business practices, as well as to ensure that The Company is complying with all business practice Policies, applicable Laws, Rules and Regulations.

**Policy Interpretation and Implementation:** Financial business practices are components of the overarching Company Compliance and Ethics Program.

### A. GENERAL ACQUISITIONS

1). *Overview:* Companies often grow by acquisition, buying smaller companies or facilities outright, purchasing some or all of their assets, by mergers, or through joint ventures. Each of these methods of growth carry varying degrees of risk to The Company. It is possible to acquire more than new business – The Company could be acquiring civil and criminal liability. Depending on the nature of the acquisition, The Company could be taking on criminal liability for actions that occurred before the acquisition, not just liability for actions that occur after the acquisition.

Even transactions structured as asset purchases only (rather than stock purchases) can be vulnerable to successor liability. Some courts have found “de facto” mergers where the successor company has assumed responsibility for completing a project begun by the acquired company, where it takes credit for selling the acquired company's work, collects money, or makes repairs on prior projects.

Acquisitions in which key management personnel from the target company are retained pose special problems. In certain regulated businesses, employment contracts are susceptible to government claims that they are unlawful installment sales contracts disguised as employment contracts.

The Company has established procedures and protocols to be used in the “due diligence” process of scrutinizing the backgrounds and operations of businesses targeted for acquisition. In addition to the usual review of target companies’ “profit and loss statements”, the review process will include the following procedures.

2). *General Acquisition Procedures:*

- a. **Past Violations:** The Company will acquire only those ongoing businesses that operate within the law and are free of evidence of current violations of the law. The target company will be required to make written disclosure about the existence of, and details about:
  1. Any past violations of local, state, or federal criminal laws during the life of The Company, or during the past fifteen (15) years, whichever is less
  2. Whether it is currently under investigation by any governmental agency
  3. Whether it is the subject of any threatened or pending civil litigation
  4. Whether any current or former “high level” or “substantial authority” personnel have ever been the subject of investigations or charged with offenses relevant to the acquisition

A target company's denial of relevant past violations must be certified in writing. Further, The Company will offer employment only to those employees of acquired businesses who are without past violations of relevant criminal laws and who do not have a propensity to engage in illegal activities.

- b. **Certifications:** As part of any final purchase, key officials of the target company will be required to execute certifications attesting to their awareness (or lack thereof) of violations, investigations, unlawful practices, and the like, unless approval to forego such certifications is given by The Company's Board of Directors.
- c. **Escrow of Purchase Price:** The Company will escrow a portion of the purchase price to be held in escrow for a period of time (with a partial payout over a period of time) for payment of any threatened or pending judgments and as a general reserve in the event of a criminal indictment where the due diligence suggests that the target company may be vulnerable to criminal charges.
- d. **Target Company's Compliance and Ethics Program:** Counsel for The Company will be asked to conduct a careful review of the target company's Compliance and Ethics Program, if any, to determine whether the Program is sufficient to satisfy a sentencing court that the plan is "effective" within the meaning of the Federal Sentencing Guidelines. Review of the plan will include a determination of how long the Program has been in existence, its effectiveness, and the results of its audit and training components.

The Company's Compliance and Ethics Program will be used to analyze the target company's operations to determine whether they can be reasonably assimilated into The Company's operations.

- e. **Indemnification:** Unless provided otherwise by The Company's Board of Directors, indemnification agreements with the target company will be required if it is the subject of a pending investigation.
- f. **Acquisition Contracts:** The Company will establish a written policy identifying those employees of The Company who are authorized to negotiate for the purchase of businesses (whether by asset or stock) and related contracts (such as employment contracts with sellers or noncompete contracts).

All contracts for the purchase of any business will be reviewed by Counsel and will contain the following restrictive language:

*"This contract will not take effect and will not be binding on The Company unless and until signed by the Compliance Officer after documented consultation with the Compliance and Ethics Attorney in the space designated below." [A signature line and title with date should be provided.]*

*"No amendment to this contract will be binding on The Company unless and until signed by the Compliance Officer after consultation with Compliance and Ethics Attorney in a fashion expressly acknowledging approval of the amendment."*

- 3). *Adherence to Acquisition Procedures:* The Company's acquisition personnel will follow the written audit standards and procedures established by the Compliance Officer, which implement the policies set forth in this section.

## B. COST REPORTING

- 1). *Overview:* The Company has systems in place to ensure various cost reports, prepared in connection with its operation and to receive payment, are prepared as accurately as possible and in conformity with applicable law and regulations. If errors are discovered, billing personnel shall contact an immediate supervisor promptly for advice concerning how to correct the error(s) and notify the appropriate payor.
- 2). *Cost Reporting Elements that are Incorporated into the Compliance and Ethics Program:*
  - a. *Cost Reporting Guidelines:* In the preparation of cost reports or the compilation of information to be sent to outside parties to prepare cost reports on The Company's behalf, all employees involved in the preparation of cost reports shall abide by Company guidelines including:
    1. Costs are consistent with prudent buyer principle rules, and reasonably related to patient care
    2. Information provided for or used in the cost report is adequately supported by documentation
    3. Non-allowable costs are properly identified and removed
    4. Costs are reported in the appropriate cost categories
    5. Statistics are based on reliable information
    6. Related parties are identified, and their services treated in accordance with program rules
    7. Costs claimed in non-conformity with program rules, as interpreted by the Medicare or Medicaid program or the fiscal intermediary (FI), either are disclosed in a letter accompanying the cost report or are included in protested amounts
  - b. *Reporting False Cost Reporting Practices:* If an employee or agent who has any reason to believe that anyone (including the employee himself or herself) is engaging in questionable or false cost reporting or is engaged in questionable internal accounting practices shall immediately report the practice to his or her immediate supervisor, the [compliance hotline, anonymous drop box, post office box, etc.], or the Compliance Officer or any of the officers designated to receive such report verbally or in writing. Employees or agents who report a suspected cost reporting or accounting irregularity in good faith shall not be retaliated against or subject to adverse action. (Reference policy CP 2.0 Section B [Compliance Reporting System](#)).
  - c. *Failure to act when an employee has knowledge that someone is engaged in questionable cost reporting or accounting irregularities shall be considered a breach of that employee's or agent's responsibilities and shall subject the employee to disciplinary action by The Company, including possible termination of employment or of their contractual relationship with The Company. (Reference policy WM 2.9 [Disciplinary Standards](#)).*

## C. PURCHASE ORDER

- 1). *Overview:* The Company has a purchase order and approval process in place to ensure conformity with applicable policy, law, and regulations.
  
- 2). *Purchase Order Elements that are Incorporated into the Compliance and Ethics Program:*
  - a. All purchases for The Company will utilize a number purchase order system.
  - b. Prior to making any purchase, a completed *Purchase Order*, listing items and their cost, must be submitted to the Administrator for approval.
  - c. The purchase order is tracked for completion and monitoring:
    1. The person placing the order retains the Original *Approved Purchase Order* and immediately sends a copy to the Business Office.
    2. The Business Office places the order and retains a copy of the Approved Purchase Order on file.
    3. Upon receipt of the merchandise, the Business Office receives the packing slip/invoice and matches it to the Approved Purchase Order and processes for payment.
    4. The Dietary Department will not be required to use purchase orders for food or replacement supplies. All other purchases by Dietary will be done through the purchase order system.
    5. Department heads are provided access to the Purchase Order System including a supply of paper purchase orders, as appropriate.

**Policy Number:** 2.1

**Policy Title:** Billing Management

**Policy Statement/Purpose:** To ensure the integrity of Company billing management practices as well as to ensure that The Company is complying with all billing Policies, applicable laws, rules, and regulations.

**Policy Interpretation and Implementation:** Billing management is a component of the overarching Company Compliance and Ethics Program.

#### **A. CONTRACTS FOR BILLING SERVICES**

Cross reference VC 1.0 Section D [Contract for Billing Services](#)

#### **B. MEDICARE BILLING**

1). *Overview:* The Company is committed to prompt, complete, and accurate billing of all services provided to residents for payment by residents, government agencies, Medicare, or other third-party payors and ensure that billing is consistent with applicable legal requirements and standards of practice. Billing shall be made only for services provided, directly or under contract, pursuant to all terms and conditions specified by the government or third-party payor and consistent with industry practice.

2). *Billing Practices:*

a. The Company and its employees shall not make or submit any false or misleading entries on any bills or claim forms, and no employee shall engage in any arrangement, or participate in such an arrangement at the direction of another employee (including any officer of The Company or a supervisor), that results in such prohibited acts. Any false statement on any bill or claim form shall subject the employee to disciplinary action by The Company, including possible termination of employment. (Reference Policy WM 2.9 [Disciplinary Standards](#))

b. **Prohibited Billing Practices:** False claims and billing fraud may take a variety of different forms including, but not limited to, false statements supporting claims for payment, misrepresentation of material facts, concealment of material facts, or theft of benefits of payments from the party entitled to receive them. The Company and employees shall specifically refrain from engaging in the following billing practices:

1. Make claims for items or services not rendered or not provided as claimed (such as billing for three hours of therapy when only a few minutes were provided).
2. Submit claims to Medicare Part A for residents who are not eligible for Part A coverage, in other words, who do not require services that are so complex that they can only be effectively and efficiently provided by, or under the supervision of, professional or technical personnel.
3. Submit claims to any payor, including Medicare, for services or supplies that are not medically necessary or that were not ordered by the resident's physician or other authorized caregiver.
4. Submit claims for items or services that are not provided as claimed, such as billing Medicare for expensive prosthetic devices when only non-covered adult diapers were provided.



5. Submit claims to any payor, including Medicare and Medicaid, for individual items or services when such items or services either are included in the provider's per diem rate for a resident or are of the type that may be billed only as a unit and not unbundled.
  6. Double bill (billing for the same time or service more than once).
  7. Provide inaccurate or misleading information for use in determining the Resource Utilization Groups (RUGs) or other resident, payment, or acuity classification scale score or ranking assigned to the resident, including but not limited to misrepresenting a resident's medical condition on the minimum data set (MDS).
  8. Pay or receive anything of financial benefit in exchange for Medicare or Medicaid referrals (such as receiving non-covered medical products at no charge in exchange for ordering Medicare-reimbursed products).
  9. Bill residents for services or supplies that are included in the per-diem payment from Medicare, Medicaid, a managed care plan, or other payor.
- c. Reporting False Billing Practices: If an employee has any reason to believe that anyone (including the employee himself or herself) is engaging in false billing practices, that employee shall immediately report the practice to his or her immediate supervisor, the Compliance Hotline, or the Compliance Officer or any of the officers designated to receive such report verbally or in writing. (Reference Policy CP 2.0 Section B [Compliance Reporting System](#) and Section E [Compliance Hotline](#))

Failure to act when an employee has knowledge that someone is engaged in false billing practices shall be considered a breach of that employee's responsibilities and shall subject the employee to disciplinary action by The Company, including possible termination of employment. (Reference Policy WM 2.9 [Disciplinary Standards](#))

### 3). *Billing Procedures:*

- a. Daily
  1. Census is updated with new admissions or readmissions, discharges, and status changes per data completed by the Admissions Office.
  2. Census, along with face sheets are securely provided to all ancillary vendors per contractual agreements.
  1. Weekly Prior to transmission, the MDS coordinator submits the MDS software's "Transmittal Batch Report" and "Rugs Classification – Resident Summary" for all locked MDS to the Business Office. The Business Office billing system is updated with the RUG scores, modifiers, and assessment dates provided. If clinical data is unable to be provided via network computer, the MDS coordinator will provide the RUG scores and assessment dates to the Business Office through written format.
  2. An MDS schedule listing RUG's provided and RUG's required is printed and given to the MDS Coordinator.
- b. Last business day of the month
  1. A preliminary Medicare census printed from the Business Office billing system is faxed to all ancillary vendors as a double check for billing proper source.
- c. First business day of month

1. Medicare census accessed from the Business Office billing system is securely provided to all ancillary vendors for their billing to The Company for PPS residents per contractual agreements.
2. When PPS charges are received from ancillary vendors, they are checked against the Business Office billing system Medicare census for final verifications. Corrections are done immediately with ancillary vendors, and credits are received the following month.
3. Once ancillary invoices are entered into the Business Office billing system, along with the Medicare RUGS, the UB04s are produced. The Business Office Manager and the MDS Coordinator or the Director of Nursing must review the UB04s prior to electronic transmission of claims.
4. After billing is transmitted, the following items are filed in a secure, retrievable system for each Medicare resident (if applicable):
  - UB04
  - Copy of pharmacy bill
  - Copy of x-ray/EKG bill
  - Copy of ambulance charges
  - Copy of therapy logs
  - Copy of lab charges maintained on a roster billing are filed in a monthly Medicare file folder. The original roster billing is posted and filed with Accounts Payable.
- d. When a Medicare claim is paid, a copy of the remittance advice is filed with the resident's Medicare information.

### **C. MEDICARE CREDIT BALANCE REPORTING REQUIREMENTS AND CERTIFICATION**

- 1). *Overview:* The Company has systems in place to comply with information that has been prepared by the Centers for Medicare and Medicaid Services (CMS).
- 2). *Instructions for Completion for a Medicare Credit Balance Report:*
  - a. Do not report credit balance data relative to any payor other than Medicare, such as Medicaid, resident paid, etc.
  - b. If the appropriate adjustment requests (such as a corrected claim or documentation of other payment) have not been previously submitted, it should be attached to the credit balance report.
  - c. Complete column 15 on Medicare Secondary Payor cases. If it involves Auto or Liability, also indicate an "M" for Med-Pay and "C" for Liability in column 15 along with the primary payor name and address. (Reference [FI 2.1 B](#))
  - d. The report should list only credit balances owed to Medicare which occurred/were discovered during the quarter and are still outstanding on the last day of the quarter. If the credit has been corrected on a remittance advice prior to the end of the quarter, it should not be reported. Balances which were reported on a previous quarterly report and are still outstanding should not be reported again.
  - e. Please direct any questions to \_\_\_\_\_ at \_\_\_\_\_ (phone). Or fax them to \_\_\_\_\_ (fax).
  - f. Complete the [Medicare Credit Balance Report Certification](#) found at FI Appendix 2.1 A.
  - g. The credit balance report and certification should be mailed to the following address in time to arrive within 30 days after the end of the reporting calendar quarters:

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## D. MONTHLY BILLING STATEMENTS

- 1). *Overview:* The Company provides each resident with an itemized statement for services rendered during the billing cycle.
- 2). *Monthly Billing Procedures:*
  - a. Residents are billed monthly. The billing statement includes an itemized listing of services and charges for:
    1. Private room rates (as applicable)
  - b. Charges for non-covered items provided by outside services are billed directly to the resident or representative (sponsor), government agencies, etc. (Note: If billings made by the outside suppliers are considered excessive, the resident should contact the Administrator or designated representative).
  - c. The resident will be notified in writing at least thirty (30) days prior to a change in his/her billing.

## E. DEMAND BILLING

- 1). *Overview:* The Company submits a demand bill to the Medicare intermediary when requested to do so by the resident.
- 2). *Demand Bill Procedures:*
  - a. Prior to, or upon admission, the Admissions Office informs the resident of his or her right to submit demand bills to the Medicare intermediary.
  - b. If a resident disputes a company's conclusion that the billed services are not covered in the Medicare program, the resident has a right to insist that the provider submit a demand bill to the intermediary to confirm that such services are or are not covered. (Note: During the time this decision is pending, The Company will not require, request, or accept an advance deposit or other payment for the disputed item(s)).
  - c. If the provider company determines that the disputed services are not covered by Medicare for "technical" reasons (e.g., the resident has not satisfied the 3-day hospitalization requirement, the resident's Medicare days are exhausted, the resident is not admitted to the SNF within the required time after discharge from the hospital, etc.), the prohibition on advance payment for the non-covered service/item does not apply. (Note: The resident has the right to insist that The Company submit a demand bill; however, during the time the intermediary is making its determination on coverage, The Company may charge an advance deposit for such services/items).

- d. Should the demand bill be rejected by the Medicare intermediary, the provider company will provide such information, in writing, to the resident.
- e. Should the intermediary determine that such service/item is covered under the Medicare program, The Company will refund any advance deposit made by the resident upon receipt of payment of such service from the intermediary. (Note: Policies governing refunds are in Policy FI 2.1 Section F [Refund of Overpayments](#).)

## F. REFUND OF OVERPAYMENTS

- 1). *Overview:* The Company has procedures in place to ensure refund of overpayments are made consistent with applicable legal requirements and standards of practice.
- 2). *Refund of Overpayment Policy:*
  - a. Standards of Conduct state that submission of any claim or request for reimbursement or payment that is false or inaccurate will not be tolerated. If inaccuracies are discovered in claims already submitted for payment or reimbursement, the payor shall be immediately notified, and appropriate action taken to remedy the matter.
  - b. Personnel will promptly refund to any federal government, state agency, or private payor any overpayment received in error due to incorrect billing or for services found on audit not to meet coverage requirements. The refund process will be completed within thirty (30) days from the discovery of the overpayment.
  - c. Any monies on deposit with The Company shall be refunded upon the appropriate request or the death of the resident.
- 3). *Refund of Overpayment Procedures:*
  - a. Anyone who determines an overpayment was made must notify his/her supervisor immediately with the following information:
    1. Patient name
    2. Type and amount of overpayment
    3. Date
    4. Payor
  - b. The issue should be researched promptly and discussed with all department managers involved in the service rendered to substantiate the overpayment.
  - c. As soon as it is determined that the overpayment exists, a refund to the appropriate payor should be completed as soon as possible but not later than thirty (30) days.
  - d. If an electronic adjustment can be completed, it should be completed as soon as possible but not later than thirty (30) days.
  - e. Routine processing errors should be reported to the immediate supervisor and corrected as soon as they are identified using the above procedures.
  - f. Follow all standard business office procedures.
  - g. If unable to resolve an issue, consult with the Regional Account Manager or Company designee as soon as possible.
- 4). *Refunds Due Residents:* Upon receiving a written request from the resident, the following schedule will be implemented:

- a. Monies on deposit in The Company's resident petty cash fund will be refunded promptly.
- b. Within thirty (30) days of the death of a resident, the resident's personal funds and a final accounting of those funds will be made available to the resident's representative, or to the probate administering the resident's care.
- c. Should a resident pay for services for which retroactive Medicare/Medicaid eligibility is determined, a prompt refund will be made to the resident upon The Company's receipt of payment from the intermediary.
- d. Information concerning refunds and Medicare/Medicaid eligibility are posted publicly on the resident bulletin board.
- e. Inquiries concerning refunds should be referred to the Business Office.
- f. Anyone who determines there may be an overpayment must notify his/her supervisor immediately with the following information:
  1. Patient name
  2. Type and amount of overpayment
  3. Date
  4. Payor
- g. The issue should be researched promptly and discussed with all department managers involved in the service rendered to substantiate the overpayment.
- h. As soon as it is determined that the overpayment exists, a refund to the appropriate payor should be completed as soon as possible but not later than thirty (30) days.
- i. If an electronic adjustment can be completed, it should be completed as soon as possible but not later than thirty (30) days.

5). *Processing Errors:*

- a. Routine processing errors should be reported to the immediate supervisor and corrected as soon as they are identified using the above procedures.
- b. Follow all standard business office procedures.
- c. If unable to resolve an issue, consult with the Regional Account Manager or Company designee as soon as possible.

## **G. ACCOUNTS RECEIVABLE, COLLECTIONS, AND BAD DEBT**

1). *Overview:* The Company has procedures in place for collecting of past due accounts and bad debt write-offs.

2). *Collecting Past Due Accounts:*

- a. *Payment source private:* The Business Office will utilize all reasonable means to collect outstanding balances due from the resident and/or private payor. Reasonable means include, but are not limited to, sending the responsible party a minimum of three (3) consecutive monthly statements indicating the balance due. If The Company has exhausted all reasonable efforts and is still unable to collect the outstanding balance due to The Company, then the outstanding balance will be written off at that time as a bad debt.

- 3). *Medicaid*: The Business Office will bill the state Medicaid program for up to twelve (12) months. If payment is denied or unpaid after twelve (12) months, the account will be written off as a bad debt.
- 4). *Medicare*: The Business Office will bill Medicare intermediary for up to twelve (12) months. If payment is denied or unpaid after twelve (12) months, this account will be written off as a bad debt.
- 5). *Medicare Co-Insurance Private*: The Business Office will utilize all reasonable means to collect outstanding balances due from the private payor. Reasonable means include, but are not limited to, sending the responsible party a minimum of three (3) consecutive monthly statements indicating the balance due. If The Company has exhausted all reasonable efforts and is still unable to collect the outstanding balance due to The Company, then the outstanding balance will be written off at that time as a bad debt and identified on the appropriate Medicare cost report listing for Part A or Part B bad debts.
- 6). *Medicare Co-Insurance Medicaid*: The Business Office will bill the state Medicaid program. When payment is received, the balance, which represents a bad debt, will be written off and put on the appropriate Medicare cost report listing for Part A or Part B bad debts.

**Policy Number:** FI 2.2

**Policy Title:** Resident Fund Management

**Policy Statement/Purpose:** To ensure the integrity of resident fund management as well as to ensure that The Company is complying with all resident fund management compliance Policies, applicable Laws, Rules and Regulations.

**Policy Interpretation and Implementation:** Resident Fund Management is a component of the overarching Company Compliance and Ethics Program.

#### A. DEPOSIT OF RESIDENT FUNDS (ADVANCE PAYMENTS)

- 1). *Overview:* Residents are required to make payments in advance for requested items and services not included in The Company's Medicare/Medicaid payment. Residents will *not be required* to make advance payments for services or items which are reimbursed to The Company through Medicare/Medicaid payment.
- 2). *Deposit of Resident Funds Policy:* Residents are permitted to deposit their personal funds with The Company.
  - a. Should the resident permit The Company to hold, safeguard, and manage his or her personal funds, The Company will:
    1. Deposit funds more than \$50.00 (\$100.00 for Medicare residents) into an interest-bearing account
    2. Deposit the resident's funds into the residents' trust fund account maintained at a bank
    3. File in the resident's financial record a copy of his or her account authorization
    4. Provide the resident with a quarterly accounting of his or her funds on deposit with The Company
  - b. The Company will not charge the resident a fee for managing his or her personal funds.
  - c. Funds not on deposit in the residents' trust fund account are deposited into the resident petty cash fund managed by The Company on behalf of the resident.
  - d. Inquiries concerning the resident trust fund account and resident petty cash fund should be referred to the Business Office.
  - e. Administrative policies governing refunds are outlined in Policy FI 2.1 Section F - [Refund of Overpayments](#).
- 3). *§ 483.10 Resident Rights:* (e) 10 B (vi) Assurance of financial security.

The Company must purchase a surety bond, or otherwise provide assurance satisfactory to the Secretary, to assure the security of all personal funds of residents deposited with The Company. States may have a specific formula for the surety bond.
- 4). *Deposit of Resident Funds Procedures:*
  - a. Residents will *not be required* to make advance payments for services or items which are reimbursed to The Company through Medicare/Medicaid payment.

- b. Should there be doubts about the eligibility of the resident to receive Medicare/Medicaid benefits, The Company reserves the right to require one (1) month's room and board deposit in advance. (Reference Policy FI 2.1 Section E [Demand Billing](#).)
- c. Residents will be required to make advance payments for items or services requested and received that are not included in The Company's Medicare/Medicaid payment. Resident will be provided with a list of items and services that are not included in Medicare/Medicaid reimbursement to The Company.
- d. Administrative policies governing refunds are outlined in Policy FI 2.1 Section F [Refund of Overpayments](#).

## B. COMMINGLING OF RESIDENT FUNDS

- 1). *Overview*: Commingling of resident funds with other funds of The Company shall be prohibited.
- 2). *Commingling of Resident Funds Policy*:
  - a. The Company does not permit commingling of resident funds with funds of The Company.
  - b. Resident funds are deposited in a resident trust fund account which is separate from The Company's banking account.
  - c. The resident is provided with a quarterly accounting report of his or her funds on deposit with The Company.
  - d. Inquiries concerning the resident trust fund account and petty cash fund are referred to the Business Office.

## C. RESIDENT PERSONAL SPENDING ACCOUNT MANAGEMENT AND AUTHORIZATION

- 1). *Overview*: The Company has policies to manage and protect resident personal spending accounts.
- 2). *Personal Spending Account Policies*:
  - a. Residents are discouraged from keeping large sums of money in their room. The Resident Personal Spending Account provides easy access to funds for personal needs and is especially beneficial for residents for beauty shop services, trips out of The Company, and to make purchases or give monetary gifts to family or friends.
  - b. The resident or representative must implement authorization to both manage and access the account. (Reference [FI Appendix 2.2 A](#); [FI Appendix 2.2.B](#))
  - c. The moneys will be available to the resident seven (7) days per week at his or her request, or the representative upon request for the resident.
  - d. Proof of disbursement is required for each transaction, and a record of it will be retained in The Company accessible for review upon request.
  - e. Interest from the Personal Needs Account will be distributed quarterly based upon the resident's account balance at the end of the quarter.
  - f. Statements of all transactions shall be submitted to the resident/representative quarterly.
  - g. Upon discharge from The Company, a final accounting will be made, and the balance will be returned to the resident or mailed to The Company to which the resident has been transferred.



- 3). § 483.10 Resident Rights: (e) 10 B (vi) Assurance of financial security. The Company must purchase a surety bond, or otherwise provide assurance satisfactory to the Secretary, to assure the security of all personal funds of residents deposited with The Company. States may have a specific formula for the surety bond.
- 4). *Private Pay Residents*: Private paying residents may elect to deposit monies into the Resident Personal Spending Account with The Company. There is no minimum or maximum for the account.
- 5). *Medicaid Residents*: Each Medicaid recipient living in a long-term care company can retain \$35 from his or her income. Where there is no income, \$40 is provided by the SSI program for the resident's personal needs. If the resident or representative chooses, this amount will be retained monthly by The Company in the Resident Personal Spending Account.
  - a. The maximum accumulation allowed in the Personal Needs Allowance Account is \$2,000. If the balance reaches \$1,800, the Business Office notifies Social Services, who will inform the resident or representative that the resource limit is approaching.
  - b. Upon the death of a Medicaid recipient, the balance remaining in the account will be released upon receipt of (1) a letter from County Welfare Agency stating there was no assistance provided for burial expenses, and (2) a letter of administration from the County Surrogate's Office designating the person handling the estate.
  - c. Personal Needs Account funds unclaimed after ninety (90) days will be sent to the State Treasurer.

#### **D. QUARTERLY ACCOUNTING OF RESIDENT FUNDS**

- 1). *Overview*: The Company provides each resident who has funds managed by The Company on his/her behalf with a quarterly accounting of such funds.
- 2). *Quarterly Accounting of Resident Funds Procedures*:
  - a. The Company will provide an individual quarterly accounting of funds managed for each resident with personal funds entrusted to The Company.
  - b. Separate quarterly statements will be prepared by the Business Office and each record will include:
    1. The resident's balance at the beginning of the statement period
    2. The total of deposits and withdrawals by the resident for the quarter
    3. Any interest earned
    4. The ending balance for the quarter
    5. Any petty cash on hand
    6. The total amount of cash on deposit and petty cash on hand
  - c. Statements of residents who are eligible for SSI or medical assistance will reflect the difference between the ending balance and the applicable benefits eligibility level.
  - d. Inquiries concerning quarterly statements are referred to the Business Office.

## **E. CONVEYANCE OF FUNDS UPON A RESIDENT'S DEATH**

- 1). *Overview:* The Company has policies to ensure conveyance of funds upon a resident's death are consistent with applicable legal requirements and standards of practice.
- 2). *Conveyance of Funds upon a Resident's Death Procedures:* Upon the death of a resident, a representative of the Business Office determines if the resident has any monies on deposit with The Company.
  - a. Upon notification of a resident's death, a representative of the Business Office will review the resident's records and determine if any of the resident's monies are on deposit with The Company or with the financial institution in which resident funds are on deposit.
  - b. Should the resident have funds on deposit, a final accounting and transfer of funds will be made to the resident's representative or probate jurisdiction administering the resident's estate.
  - c. Within thirty (30) days of the death of the resident, The Company will convey the deceased resident's personal funds and a final accounting of those funds to the individual or probate jurisdiction administering the resident's estate.
  - d. Inquiries concerning the release of resident funds should be referred to the Administrator or to the Business Office designee.

## **F. PRIVATE RESIDENTS PAYMENTS**

- 1). *Overview:* The Company has policies to ensure residents make timely payments for services rendered that are not covered in the Medicare/Medicaid payment.
- 2). *Private Pay Resident Policies:*
  - a. The resident or legal representative is responsible for payment of his or her monthly charges on a timely basis. Statements not paid by the designated date of each month will be considered delinquent.
  - b. Resident accounts delinquent for more than the designated number of days will be considered grounds for discharge.
  - c. Payment may be made by:
    1. the resident; or
    2. the individual who has control of, or access to, the resident's funds.
  - d. Individuals who may have control of the resident's funds will be held responsible for payment of the resident's account. Failure to do so may result in legal action and/or the discharge of the resident.
  - e. Inquiries concerning payment should be referred to the Business Office designee.
  - f. Administrative policies governing financial agreements are outlined in The Company's *Admission Agreement*.

## **G. DISCRIMINATION AGAINST RESIDENTS AND PAYMENT PROVISIONS**

- 1). *Overview:* The Company protects and promotes the rights of each of The Company's residents from discrimination with respect to payment provisions consistent with applicable legal requirements and standards of practice. The Company maintains identical policies and practices for all

individuals regarding transfer and discharge, regardless of payment source, and complies with applicable law with respect to admissions decisions, as well as the provision of services under the state Medicaid plan.

2). *Elements of The Company Corporate Compliance and Ethics Program:*

- a. The Company will not require residents or potential residents to waive their rights under Medicaid or Medicare, nor require oral or written assurances that residents or potential residents are not eligible, or will not apply, for Medicaid or Medicare benefits
- b. The Company will not require a third-party guarantee of payment as a condition of admission, expedited admission, or continued stay at The Company. The Company may require a person who has legal access to and/or control over a resident's income or resources to pay for Company care or sign a contract to provide payment for the resident's services, without requiring the person to assume personal financial liability for such care
- c. For Medicaid eligible residents, The Company will not charge, solicit, accept, nor receive for services covered by Medicaid any gift, money, donation, or other consideration, in addition to any amount required to be paid under the state Medicaid plan, as a precondition of admission, expedited admission, or continued stay at The Company
- d. The Company may charge residents amounts above and beyond payment received by Medicaid for items and services requested by the resident and not included in the Medicaid package of "nursing company services" as long as The Company gives proper notice of the availability and cost of such services or items and does not condition the resident's admission and continued stay on the purchase of such items or services
- e. The Company may solicit, accept, or receive charitable, religious, or philanthropic contributions from an organization or a person unrelated to a Medicaid resident as long as such contribution is not a condition of a resident's admission or continued stay. All offers for the donation of such contributions shall be reported to The Company Administrator, Corporate Compliance Officer, or other person designated by the provider, for a determination that such contribution is allowed under applicable law.

**Policy Number:** FI 2.3

**Policy Title:** Audit by Certified Public Accountant

**Policy Statement/Purpose:** To ensure the integrity of the Financial Management System as well as to ensure that The Company is complying with all financial compliance policies, applicable laws, rules, and regulations, and The Company engages a certified public accountant to conduct quarterly/annual audits.

**Policy Interpretation and Implementation:**

1. The Accounting Office Manager will contact the accounting firm to set a date for the accountant to review the general ledger each quarter and annually.
2. Payroll taxes and payroll accruals will be done and posted to the general ledger.
3. The general ledger will be prepared for the accountant's review to assure all cost centers are correct and proper accounting procedures were followed.
4. The certified public accountant will prepare financial statements for ownership on a quarterly/annual basis.

## **APPENDIX**

### **2. FINANCIAL INTEGRITY (FI)**

#### **TOOLS AND FORMS**

## Appendix FI 1 A

### DEFICIT REDUCTION ACT OF 2005

1. *Overview:* To ensure The Company is consistent with applicable legal requirements and standards of practice. The Company is committed to adhering to all fraud and abuse compliance regulations. The Deficit Reduction Act of 2005 (“Act”) requires The Company to educate and train staff on federal and state false claims laws, whistleblower protections, and CompanyName’s policies and procedures for detecting and preventing fraud, waste, and abuse.
2. *Policy Interpretation and Implementation:*
  - a. The Company Compliance Officer shall implement this policy and procedure.
  - b. The Company shall require Vendors and Contractors to adopt this policy. The Company further expects that Vendors and Contractors shall disseminate this policy to their employees and managers.
  - c. *Exclusion Checks:* In accordance with the federal Health and Human Services Office of Inspector General (“OIG”) recommendations, CompanyName should verify that any current or prospective employees (regular and/or temporary), contractors, or subcontractors who directly or indirectly will be furnishing, ordering, directing, managing, or prescribing items or services in whole or in part are not excluded from participating in a federal healthcare program by searching the following databases on a monthly basis:
    9. Federal Exclusions Database (mandatory)  
<https://exclusions.oig.hhs.gov/> or <http://oig.hhs.gov/fraud/exclusions.asp>
    10. The General Services Administration’s System for Award Management (mandatory)  
<http://www.sam.gov>
    11. State specific Debarment List (mandatory)
    12. State specific Treasurer’s Exclusions Database (mandatory)
    13. State specific Division of Consumer Affairs Licensure Databases (mandatory)
    14. State specific Department of Health Licensure Database (mandatory)
    15. Certified Nurse Aide and Personal Care Assistant Registry (mandatory, if applicable)  
<http://njna.psiexams.com/search.jsp>
    16. Federal Exclusions and Licensure Database (optional and fee-based)  
<https://www.npdb.hrsa.gov/hcorg/pds.jsp>. Please note that only certain provider types may access this database. See [www.npdb.hrsa.gov/hcorg/register.jsp](http://www.npdb.hrsa.gov/hcorg/register.jsp) for more information.

If any provider or person discovers fraud and/or abuse occurring in any state- or federally-funded health benefit program, they should report it to the Office of State Comptroller, Medicaid Fraud Division hotline at 1-888-937-2835 or web site at <http://nj.gov/comptroller/divisions/medicaid>.

Because the Affordable Care Act has proclaimed an individual excluded in one state as excluded in all states, CompanyName shall also verify that no current or prospective employees (regular and/or temporary), contractors, or subcontractors who directly or indirectly will be furnishing, ordering, directing, managing, or prescribing items or services in whole or in part are excluded from participating in a federal healthcare program by searching currently maintained state databases.

- d. **Audit of Patient Charts:** THE COMPANY shall audit residents' charts and other documents relative to quality care and compliance to standards of practice regulated by state and federal agencies. The number of charts to be reviewed will vary depending upon the resident census. Semi-annual audits shall be prepared, and a summary of findings shall be presented to the Compliance Officer and the Compliance and Ethics Committee.
- e. **Audit of Medical and Billing Records:** CompanyName shall review medical and billing records for a designated semi-annual period, at a minimum, under the overall direction of the Compliance Officer. Review may be both prospective and retrospective.
  1. The medical records shall be provided at random. The audit shall include at least the number of records equal to five (5) percent of the facility's current census. Additional records may be reviewed more frequently at the discretion of the Compliance Officer and the Compliance Committee.
  2. The Company shall examine the records for compliance with the applicable standards of practice, specifically compliance with billing-related statutes, regulations, and guidelines as well as clinical quality of care.
  3. The Company shall review a representative sample of billing records for the audit period and compare the charges found in those records with the documentation entered into the medical record. This review shall assess the following:
    - Whether the recognized documentation guidelines have been met
    - Whether key elements of the service were provided by staff members
    - Whether the billing codes are supported by the documentation
    - Other aspects of billing as outlined by the Office of the Inspector General standards
- f. **Corrective Action Plans:** The Compliance Officer and the Compliance Committee shall develop a work plan based on the audit findings to address any negative practices. Corrections may include, but are not limited to, the following actions:
  1. Review of documentation process and/or forms; changes shall be made, if necessary
  2. In-service to professional staff
  3. Disciplinary actions to individual(s) who may be repeat offenders of improper documentation
- g. **Staff Education:** Written policies, employee handbooks, and employee training shall cover:
  1. The Federal False Claims Act [31 U.S.C. §§ 3729–33]
  2. The Federal Program Fraud Civil Remedies Act [31 U.S.C. §§ 3801–12]
  3. Any applicable state false claims laws
- h. **Discussion of Applicable Law:**
  1. Deficit Reduction Act of 2005 [42 U.S.C. § 1396a(a)(68)]
    - Federal law that requires The Company, because it receives Medicaid funding, to take the following actions to address fraud, waste, and abuse in health care programs that receive federal funds:
      - Establish written policies for all employees and contractors or agents
      - Provide detailed information about the Federal and State False Claims Act, administrative remedies for false claims or statements, and whistleblower protection
      - Include provisions regarding the entity's policies and procedures for detecting and preventing fraud, waste, and abuse
      - Provide employees with a specific discussion of employees' rights to be protected as whistleblowers

2. Under Section 6032, The Company must establish and make available to their employees, contractors, and agents, policies that explain:
    - federal and state laws dealing with false claims for payment from federally funded programs; and
    - CompanyName’s policies and procedures to detect and prevent fraud, waste, and abuse in these programs.
  - i. Contractors and agents must also adopt Company policies and make them available to their employees.
    1. Federal False Claims Act [31 U.S.C. §§ 3729–33]
  - j. Federal law that creates liability for any person who knowingly presents or causes to be presented a false or fraudulent claim to the U.S. government for payment from any federally funded contract or program.
    1. “Knowingly” means that a person, with respect to information:
      - has actual knowledge of falsity of information in the claim;
      - acts in deliberate ignorance of the truth or falsity of the information in a claim; or
      - acts in reckless disregard of the truth or falsity of the information in a claim.
  - k. Health care providers and suppliers who violate the False Claims Act can be subject to civil monetary penalties ranging from \$10,957 to \$21,916 for each false claim submitted in accordance with Federal Register Vol. 82, No. 22, Friday, February 3, 2017, pgs 9131-9136 located at <https://www.gpo.gov/fdsys/pkg/FR-2017-02-03/pdf/FR-2017-02-03.pdf>.
    1. PLUS up to three times the amount of damages sustained by the U.S. Government.
    2. PLUS, if convicted, possible exclusion from participation in federal health care programs.
  - l. Qui Tam “Whistleblower” Provisions
    1. Allow any person, also known as the “relator”, with actual knowledge of allegedly false claims to file a lawsuit on behalf of the U.S. government.
    2. Relators may receive a percentage of the moneys recovered by the U.S. government.
    3. The Company is prohibited from retaliating against Relators for complaining or filing lawsuits. If there is retaliation, Relators are entitled to employment reinstatement, back pay, and any other compensation arising from retaliatory conduct against a whistleblower for filing an action, investigating a false claim, or providing testimony for or assistance in a False Claims Act action.
  - m. Examples of Health Care Fraud [31 U.S.C. §§ 3801-12]
    1. Billing for services not rendered, or goods not provided
    2. Falsifying certificates of medical necessity
    3. Billing for services not medically necessary
    4. Billing separately for services that should be a single service
    5. Falsifying treatment plans or medical records to maximize payments
  - n. Failing to report overpayments or credit balances
  - o. Duplicate billing
3. *Federal Program Fraud Civil Remedies Act [31 U.S.C. §§ 3801-12]*
- a. Federal law that provides federal administrative remedies for false claims and statements to federally funded health care programs.
  - b. Current civil penalties are \$10,957 (in accordance with Federal Register Vol. 82, No. 22, Friday, February 3, 2017, pages 9131-9136 located at <https://www.gpo.gov/fdsys/pkg/FR-2017-02-03/pdf/FR-2017-02-03.pdf>).



- [03/pdf/FR-2017-02-03.pdf](#)) for each false claim or statement, and an assessment in lieu of damages sustained by the federal government of up to double damages for each false claim for which the Government makes a payment.
- c. Section 701 of the “Federal Civil Penalties Inflation Adjustment Act Improvements Act of 2015” (the Act) [28 U.S.C. 2461], amending the “Federal Civil Penalties Inflation Adjustment Act of 1990”, requires federal agencies to make subsequent annual adjustments for inflation. Starting in January 2017, federal agencies are required to publish in the Federal Register annual inflation adjustments for civil penalties and must do so no later than January 15 of each year.
  - d. Criminal penalties include:
    - 1. Fraudulent receipt of payments or benefits: fine of up to \$10,000, imprisonment for up to three (3) years, or both
    - 2. False claims, statements or omissions, or conversion of benefits or payments: fine of up to \$10,000, imprisonment for up to three (3) years, or both
    - 3. Kickbacks, rebates, and bribes: fine of up to \$10,000, imprisonment for up to three (3) years, or both
    - 4. False statements or representations about conditions or operations of an institution or facility to qualify for payments: fine of up to \$3,000, or imprisonment for up to one (1) year, or both
  - e. Civil sanctions include:
    - 1. Unintentional violations: recovery of overpayments and interest
    - 2. Intentional violation, and violation of New Jersey False Claims Act: recovery of overpayments, interest, up to triple damages, and between \$5,500 and \$11,000 for each false claim
  - f. Violations can result in the exclusion of an individual or entity from participation in all health care programs funded in whole or in part by the N.J. Division of Medical Assistance and Health Services.

#### 4. *State Specific DRA Requirements*

**Reference Chapter 13 for state specific [Deficit Reduction Act \(DRA\) requirements](#)**

**FI Appendix 13 [State Specific Requirements](#)**

**VC Appendix 2.0 A [State Specific Consumer Protection and Exclusion Web Sites](#)**

**Appendix FI 2.1 A**

**MEDICARE CREDIT BALANCE REPORT CERTIFICATION**

The Medicare Credit Balance Report is required under the authority of Sections 1815(a), 1833(e), 1886(a)(1)(C) and related provisions of the Social Security Act. Failure to submit this report may result in a suspension of payments under the Medicare program and may affect your eligibility to participate in the Medicare program.

ANYONE WHO MISREPRESENTS, FALSIFIES, CONCEALS, OR OMITTS ANY ESSENTIAL INFORMATION MAY BE SUBJECT TO FINE, IMPRISONMENT, OR CIVIL MONEY PENALTIES UNDER APPLICABLE FEDERAL LAWS.

**CERTIFICATION BY OFFICER OR ADMINISTRATOR OF PROVIDER(S).**

I HEREBY CERTIFY that I have read the above statements and that I have examined the accompanying credit balance report prepared for:

\_\_\_\_\_  
Provider Name(s)

\_\_\_\_\_  
Provider Number(s)

For the quarter ended: \_\_\_\_\_

and that it is a true, correct, and complete statement prepared from books and records of the provider in accordance with applicable Federal laws, regulations, and instructions.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title (Officer or Administrator of Provider)

\_\_\_\_\_  
Date

- The Credit Balance Report is attached.
- There are no Medicare credit balances for the reporting quarter.

**Appendix FI 2.2 A  
PERSONAL NEED ALLOWANCE  
FUND MANAGEMENT AUTHORIZATION**

\_\_\_\_\_  
Resident

Having read The Company's Policy FI 2.2 C, [Resident Personal Spending Account Management and Authorization](#), I hereby make my selection as to who will handle such money.

- The Company will establish a Personal Need Account (PNA) and assist the resident in the management of the account.
- The Company will establish a Personal Need Account (PNA) account and assist the authorized representative in the management of the account.
- I, \_\_\_\_\_ will manage my own PNA Fund.  
(Resident's Name)
- I will manage the PNA Fund for my \_\_\_\_\_.  
(Specify Type of Relationship)

\_\_\_\_\_  
Authorized by Resident

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Authorized Representative

\_\_\_\_\_  
Signed

\_\_\_\_\_  
Date

**Appendix FI 2.2 B**  
**PERSONAL NEED ALLOWANCE**  
**FUND ACCESS AUTHORIZATION**

\_\_\_\_\_  
Resident

Having read The Company's Policy FI 2.2 C, [Resident Personal Spending Account Management and Authorization](#), I hereby authorize The Company to deduct from my Personal Needs Account those monies owed to them for any personal charges.

\_\_\_\_\_  
Authorized by Resident

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Date

### **3. VENDOR AND ASSOCIATE CONTRACTS AND SERVICES (VC)**

### 3. VENDOR AND ASSOCIATE CONTRACTS AND SERVICES (VC)

Policy Number	Policy
VC 1.0	<a href="#"><u>CONTRACTING PLAN AND PRINCIPLES</u></a> <a href="#"><u>A. VENDOR CONTRACTS</u></a> <a href="#"><u>B. PPS/MEDICARE PART A</u></a> <a href="#"><u>C. ENGAGEMENT OF OUTSIDE CONTRACTORS</u></a> <a href="#"><u>D. CONTRACT FOR BILLING SERVICES</u></a> <a href="#"><u>E. STAFFING AGENCY CONTRACTING</u></a> <a href="#"><u>F. THERAPY CONTRACTS AND SERVICES</u></a> <a href="#"><u>G. PHYSICIAN AND OTHER REFERRAL SOURCES CONTRACTS</u></a> <a href="#"><u>H. FEDERAL GOVERNMENT CONTRACTING</u></a> <a href="#"><u>I. BUILDING AND EQUIPMENT LEASES POTENTIAL REFERRAL SOURCES CONTRACTS</u></a>
VC 1.1	<a href="#"><u>CONFLICT OF INTEREST</u></a>
VC 1.2	<a href="#"><u>CODE OF CONDUCT</u></a>
VC 2.0	<a href="#"><u>REFERRALS</u></a>
	<a href="#"><u>A. REFERRALS FOR SERVICES</u></a> <a href="#"><u>B. PHYSICIAN REFERRAL AND ASSOCIATE KICKBACK</u></a>
VC 2.1	<a href="#"><u>BUSINESS ASSOCIATES</u></a> <a href="#"><u>A. TYPICAL BUSINESS ASSOCIATES FOR A LONG-TERM CARE COMPANY</u></a> <a href="#"><u>B. TYPICAL BUSINESS ASSOCIATES FOR AN ASSISTED LIVING COMMUNITY</u></a> <a href="#"><u>C. TYPICAL BUSINESS ASSOCIATES FOR A HOME HEALTH AGENCY</u></a>
<b>APPENDIX</b>	<b>Appendices, Tools, and Forms</b>
Appendix VC 1.0 A	<a href="#"><u>VENDOR CONTRACT PRE-ENGAGEMENT APPLICATION AND APPROVAL</u></a>
Appendix VC 1.0 B	<a href="#"><u>ANNUAL VENDOR/CONTRACTOR COMPLIANCE AND CONFLICTS OF INTEREST DISCLOSURE STATEMENT</u></a>

Appendix VC 1.0 C	<a href="#"><u>VENDOR/CONTRACTOR COMPLIANCE AND ETHICS PLAN ACKNOWLEDGEMENT COVER LETTER</u></a>
Appendix VC 1.0 D	<a href="#"><u>VENDOR/CONTRACTOR COMPLIANCE AND ETHICS PLAN AND CONFLICT OF INTEREST ACKNOWLEDGE- MENT</u></a>
Appendix VC 1.0 E	<a href="#"><u>VENDOR/CONTRACTOR CERTIFICATION OF COM- PLIANCE: EMPLOYEE BACKGROUND SCREENINGS COMPLIANCE AND ETHICS PROGRAM MANDATORY COMPLIANCE TRAINING</u></a>
Appendix VC 2.0 A	<a href="#"><u>STATE CONSUMER PROTECTION AND EXCLUSION WEB- SITES</u></a>
Appendix VC 2.1 A	<a href="#"><u>BUSINESS ASSOCIATE WORKSHEET</u></a>
Appendix VC 2.1 B	<a href="#"><u>BUSINESS ASSOCIATE AGREEMENT</u></a>
Appendix VC 2.1 C	<a href="#"><u>BUSINESS ASSOCIATE AGREEMENT COVER LETTER SAMPLE</u></a>
Appendix VC 2.1 D	<a href="#"><u>BUSINESS ASSOCIATE AGREEMENT DENIAL LETTER SAMPLE</u></a>
Appendix VC 2.1 E	<a href="#"><u>BUSINESS ASSOCIATE RELEASE OF PROTECTED HEALTH INFORMATION</u></a>

**Policy Number:** VC 1.0

**Policy Title:** General Contracting Principles

**Policy Statement/Purpose:** The Company ensures that contracts are entered in accordance with applicable laws and regulations and consistent with The Company Compliance and Ethics Program.

**Policy Interpretation and Implementation:** The Company is a party to numerous contracts that bind it to specific rights and obligations according to the terms of the contracts. The Company has adopted general contracting principles to ensure that contracts receive appropriate review, and that The Company is not committed to contracts that are against its own best interests.

- 1). *Overview:* General contracting principles ensure that contracts receive appropriate review, and that The Company is not committed to contracts that are against its own best interests.
- 2). *Contract Restrictions:* All service agreements and contracts for the purchase of goods that commit The Company to a total obligation in excess of \$10,000 should contain the following or similar language:

*This contract will not take effect and will not be binding on The Company unless and until signed by the Compliance Officer after documented consultation with the Compliance and Ethics Attorney in the space designated below. [A signature line and title with date should be provided.]*

*No amendment to this contract will be binding on The Company unless and until signed by the Compliance Officer, after consultation with the Compliance and Ethics Attorney in a fashion expressly acknowledging approval of the amendment.*

- 3). *Uniform Contracts:* Where possible, The Company will use uniform contracts that have been reviewed and approved by the Compliance and Ethics Attorney for transactions with vendors and purchasers of services. Uniform contracts are not required for vendors and purchasers that regularly do business with The Company using standard preprinted contracts; however, The Company will seek to supplement such agreements with its own standard provisions as needed.

The uniform contracts will be circulated throughout The Company. The uniform contracts will be reviewed annually by the Compliance and Ethics Attorney if any changes are needed. A copy of each uniform contract will be maintained by the Compliance Officer.

Changes or amendments to the pre-approved uniform contracts must be approved in advance by the Compliance Officer, after consultation with the Compliance and Ethics Attorney where appropriate.

Contracts that already exist when uniform contracts are developed and circulated need not be modified; however, a uniform contract should be employed upon the renewal, modification, or restatement of the agreement where contractually practicable.

- 4). *Evergreen Contracts:* Self-renewing contracts (or contracts with so-called evergreen clauses) should be avoided. All contracts should be written to have a specific termination date of no more than two (2) years from the effective date.



- 5). *Execution of Contracts:* Contracts will be executed only by an authorized representative of The Company and of the other contracting party.
- 6). *Maintenance of Contracts:* Original, executed contracts will be maintained at the location where the contract was entered. Copies of all executed contracts will be provided immediately after execution to the Compliance Officer for central filing.

## A. VENDOR CONTRACTS

- 1). *Overview:* The Company has systems in place to ensure vendor contract meet requirements when the items or services supplied by the vendor are reimbursable by federal or state health care programs.
- 2). *Requirements for Vendor Contracts:*
  - a. All applicable vendor agreements must:
    1. Be in writing and specify the items or services to be provided
    2. Specify the payments that will be made to the vendor. Payments will either be made in accordance with applicable fee schedules or guidelines established by federal or state agencies or other third-party payers or will be based on fair market value. Payments may not reflect the volume or value of referrals provided to or by The Company
    3. Be signed by all parties
    4. Be negotiated only by the Compliance and Ethics Attorney and/or the Administrator, owner(s), or their designees
    5. Be approved by the Compliance and Ethics Attorney or his or her designee prior to execution
    6. Specify all obligations of the parties
    7. When taken, be reasonable in its entirety
    8. Not take into consideration the value or volume of referrals provided by or to The Company except as is specifically permitted by the "safe harbors" found at 42 C.F.R. Pat 1001.952
    9. Not involve free or discounted goods or services or goods or services below fair market value to induce a referral to or by The Company except as specifically permitted by the "safe harbors"
    10. Not involve the referral or transfer of any resident to or by The Company to induce the other party to refer or obtain referrals or residents from The Company
    11. Certify that the vendor is eligible for participation in Medicare and/or Medicaid. On a quarterly basis, The Company will check for vendor's status on federal and state government web sites including:
      - Office of the Inspector General List of Exclusions and Reinstatements – <http://www.exclusions.oig.hhs.gov/search.html>
      - General Services Administration List of Contractors Barred from Dealing with the Federal Government – <http://www.sam.gov>
      - State specific websites as noted on [VC Appendix 2.0 A](#)
        - If The Company does not have access to the Internet, The Company will request the Compliance Attorney to conduct the certification on a quarterly basis

- Any vendor who has been convicted of a criminal offense related to health care, or who has been debarred, excluded, or held to be otherwise ineligible for participation in federal health care programs, will not be eligible to continue the contractual relationship with The Company
12. Contain a clause stating that the vendor will cooperate with The Company if Medicare, Medicaid, or another third-party payer conducts an audit or otherwise requests documentation regarding services or supplies provided by the vendor or its subcontractors
  13. Contain a clause stating that the vendor will comply with The Company's Compliance and Ethics Program
  14. If the value or cost of the services or supplies to be provided under the agreement equals or exceeds \$10,000 over a 12-month period, the contract must:
    - contain a clause requiring the vendor to retain records for a period of at least four (4) years after the furnishing of services and supplies;
    - contain a clause requiring the vendor to retain records verifying the nature and extent of the costs of the services and supplies;
    - ensure that those records be made available to The Company upon request; and
    - require the vendor to impose similar obligations on any subcontractor it uses to provide services or supplies under the contract.
  15. The vendor and any subcontractor of the vendor shall cooperate with The Company if any third-party payer, including the Medicare or Medicaid program, conducts an audit or otherwise requests documentation regarding services or supplies provided by the vendor or its subcontractor
  16. No vendor contracts shall be executed until The Company has reviewed the OIG's *List of Excluded Individuals and Entities*, or other applicable sources, and verified that the vendor currently is certified to participate in the Medicare and Medicaid programs, and is not subject to any sanction that would render The Company unable to legally contract with vendor
  17. Contracts with entities in which the medical director has an ownership or investment interest: Contracts between The Company and any entity in which The Company's medical director and ownership or financial interest present special issues under federal and state law. No contract may be executed between The Company and any entity in which The Company's medical director has an ownership, investment, or other financial interest without approval by the Compliance and Ethics Attorney or his or her designee [or other people selected by The Company]
  18. All building and/or equipment leases shall meet the requirements referred to in Policy VC 1.0 Section I [\*Building and Equipment Leases\*](#) and shall be reviewed and approved by the Compliance and Ethics Attorney or his or her designee prior to execution to avoid violation of federal anti-kickback or Stark laws. Similar state laws may also apply and should be reviewed so that all such leases comport with state law as well
- b. Part B Services: For services which The Company must submit consolidated bills to the Medicare program for items and services provided to Medicare Part B residents receiving services in The Company or under The Company's plan of care, all vendor agreements shall:
1. Provide that the vendor will bill The Company for those Part B services provided to Medicare residents and that are subject to consolidated billing requirements, and that the vendor will not submit bills directly to Medicare for such services

2. Provide that the vendor or its subcontractors will ensure that The Company receives any orders or certifications necessary to provide the service, as well as supporting documentation required to receive payment from Medicare or Medicaid for such service
3. Provide that the vendor or its subcontractors will participate fully, as reasonably requested by The Company, in any appeals by The Company, of payment decisions by any third-party payor in connection with items or services rendered by the vendor or its subcontractors
4. Provide that the vendor and its subcontractors will participate, as reasonably requested by The Company, in The Company's Compliance and Ethics Program and Quality Assurance program, including any internal or external audits by The Company of The Company's billing, payment, and/or collection procedures and quality assurance
5. Require that the vendor and its subcontractors notify The Company prior to execution of a contract and, on an ongoing basis, of the imposition of any penalties and/or sanctions, including termination of Medicare and/or Medicaid program participation imposed by CMS, the OIG, or any state Medicaid agency, and of the initiation of any audit or investigation of the vendor and/or its subcontractors by any such agency
6. The Company may also conduct a background investigation on vendors whose job functions or responsibilities may impact The Company's compliance with federal or state law or the Compliance and Ethics Program
  - Vendors will be required to fill out a pre-engagement application and respond to all questions therein, when applicable, including whether they have been:
    - Convicted of a criminal offense related to health care; specifically:
      - Criminal offenses related to the delivery of an item or service under Medicare or Medicaid
      - Criminal offenses related to the neglect or abuse of residents in connection with the delivery of a health care item or service
      - Felonies related to fraud, theft, embezzlement, breach of fiduciary responsibility, or other financial misconduct in connection with the delivery of a health care item or service, if the conviction or guilty plea occurred after August 21, 1996
      - Felonies related to the unlawful manufacture, distribution, prescription, or dispensing of a controlled substance, if the conviction or guilty plea occurred after August 21, 1996
      - Listed by the government as debarred, excluded, or otherwise ineligible for federal program (i.e., Medicare and Medicaid) participation

## **B. PPS/MEDICARE PART A**

- 1). *Overview:* The Company has policies that applicable vendor contracts will contain provisions clarifying The Company's responsibility to bill for all services provided under PPS/Medicare Part A and that such vendors will not bill Medicare separately for those services.
- 2). *PPS/Medicare Part A Billing Provisions:* All applicable vendor agreements must contain the following provisions regarding billing under PPS/Medicare Part A:
  - a. Vendor will bill The Company, not Medicare, for services provided to Medicare Part A residents, except for services excluded under PPS
  - b. Vendor must ensure that The Company is provided with all necessary orders, certifications, etc., prior to providing services, in addition to all documentation necessary to receive payment
  - c. Vendor will cooperate fully in any appeal of third-party payer payment decisions relating to items or services provided by The Company
  - d. Vendor will participate in The Company's quality improvement program, including the quarterly quality assurance committee meetings, and The Company's Compliance and Ethics Program, including internal or external audits requested by The Company
  - e. Vendor will notify The Company immediately of the imposition of any remedies, fines, or other sanctions imposed by federal or state regulatory agencies
  - f. Vendor will bill The Company for services to Medicare Part A residents, and that the vendor will not submit bills directly to Medicare for such services, except for those services specifically excluded from PPS
  - g. Vendor, or its subcontractors, will ensure that The Company receives any orders or certifications necessary before providing the service, as well as supporting documentation required to receive payment from Medicare or Medicaid for such service
  - h. Vendor, or its subcontractors, will participate fully, as reasonable requested by The Company in any appeals
  - i. The Company must be notified of payment decisions by any third-party payor in connection with items or services rendered by the vendor or its subcontractors
  - j. The Company provides that the vendor and its subcontractors will participate as reasonably requested by The Company, in The Company's Compliance and Ethics Program and quality assurance program, including any internal or external audits by The Company or The Company's billing, payment, and/or collection procedures and quality assessments
  - k. Require that the vendor and its subcontractors, notify The Company prior to execution of a contract and, on an ongoing basis, of the imposition of any remedies or sanctions, including termination of Medicare and/or Medicaid program participation imposed by the OIG or a state Medicaid agency, and of the initiation of any audit or investigation of the vendor and/or its subcontractors by any such agency

## **C. ENGAGEMENT OF OUTSIDE CONTRACTORS**

- 1). *Overview:* The Company may need the services offered by outside contractors who are not employees of The Company, including physicians and other potential referral sources. Several federal

and state laws protecting against fraud and abuse in the health care industry apply to these contractual relationships. The following policy and procedure is designed to ensure that The Company's engagement of outside contractors complies with applicable fraud and abuse laws.

- 2). *Commission and Fee Arrangements*: Unless the arrangement is permitted by applicable law, The Company will not enter into commission or fee arrangements with firms or persons that are not serving as bona fide agents or consultants, or with any firm in which a government official or employee is known to have an interest.

Commissions or fees paid to an agent or consultant must be reasonable as to amount and consistent with the normal practice of the industry for the products involved and for the services rendered. All commission and fee arrangements will be covered by a written contract, which will be reviewed and approved in advance by Counsel and comply with *Contracts with Outside Contractors* below.

- 3). *Contracts with Physicians and Other Potential Referral Sources*: All of The Company's independent contractor arrangements with physicians and other potential referral sources will be reviewed by Counsel to ensure compliance with federal and state laws governing fraud and abuse and physician self-referrals.
- 4). *Contracts with Outside Contractors*: Under some circumstances, an outside contractor is considered an agent of The Company, thus, all relationships with outside contractors will be subject to the following requirements:
  - a. To the extent that written agreements with outside contractors are used, the agreements should contain normal terms and conditions as well as:
    1. a clear description of the services to be rendered;
    2. a representation that nothing will be done to improperly influence the actions of government officials;
    3. a requirement that the contractor comply with The Company's policies concerning ethical and legal business practices, this policy statement, applicable law, and the government contracting standards of conduct applicable to employees of The Company;
    4. a provision for revocation of the contract and repayment of all funds paid under the contract in the event the contractor violates either applicable law or the standards and policies set forth in this policy statement; and
    5. language prohibiting the contractor from subcontracting in the name of The Company and requiring that any subcontracts be reviewed and approved by Counsel for The Company.
  - b. No contractor who provides services that may affect payment for resident care may be engaged on a percentage or other incentive basis that ties the contractor's compensation to increases in resident revenues.
  - c. All contractors will be subject to background screenings.
  - d. All contractors will be given and required to acknowledge receipt and understanding of those portions of the Compliance and Ethics Program Manual that are relevant to their duties and agree to be bound thereby.
  - e. Each contractor will be required to execute the [Code of Conduct](#) for Health Care Providers to ensure compliance with the Compliance and Ethics Program.

- 5). *Advice from Consultants:* Any action taken on advice received from outside consultants concerning coding, billing, and reimbursement issues should be consistent with the procedures described in Policy VC 1.0 Section C, [Engagement of Outside Contractors](#).

#### **D. CONTRACT FOR BILLING SERVICES**

- 1). *Overview:* The Company's Medicare and Medicaid billing may be handled by outside billing service providers. Similarly, The Company may occasionally provide billing services for other health care providers. The Company is committed to submitting only those claims for reimbursement that are accurate, based upon medically necessary items and services rendered or costs incurred, and substantiated by verifiable documentation. This policy establishes guidelines for the billing arrangements to which The Company is a party, to ensure that billings submitted by or on behalf of The Company comply with applicable laws, regulations, and other publications relevant to Medicare and Medicaid billing.
- 2). *Contracts for Billing Services in General:* Billing work will be performed only under terms of a written contract. All billing contracts will be approved on an annual basis by the Compliance Officer in consultation with Counsel, as needed. The purpose of the annual review is to ensure that those arrangements and contracts meet the criteria in this policy.
- 3). *Billing Services Provided on Behalf of The Company:* All contracts between The Company and any other entity for the handling of The Company's Medicare and Medicaid billing should address the following issues:
- a. The billing entity's experience in billing for the specific services at issue in the contract
  - b. Allocation of responsibility for documentation and knowledge of standards which pertain to the services at issue in the contract and the manner of updating such information
  - c. Obligations regarding periodic monitoring of documentation and reports submitted during the term of the agreement
  - d. Responsibility for conveying to The Company any information received by the billing entity pertaining to Medicare and Medicaid billing, including general policy documents as well as specific correspondence, profile information, audit requests, overpayment notification, interviews, subpoenas, and summonses directed to the billing entity
  - e. Responsibilities regarding participation in cost payment audits, even to survive the termination of the agreement, as well as availability of and access to data from prior periods
  - f. Responsibilities regarding write-offs, appeals, and the respective parties' obligations to assist with appeals
  - g. Ability to terminate at will, in accordance with Medicare requirements, and, if possible, liquidated damages or indemnification for losses from billing errors
  - h. The Company's ownership of and access to the data on which the billings are based, documents created by the billing entity, the billings submitted, the collections, denials, and payor inquiries
  - i. Confidentiality of documents provided to the billing entity by The Company and documents created by the billing entity
  - j. Retention by the billing entity of relevant records in a manner consistent with law and The Company's document management system

All billing contracts will be reviewed to assure that payment of the billing entity is not based on improper incentives that may encourage the submission of claims regardless of whether the claims meet applicable coverage criteria for reimbursement or accurately represent the services rendered.

The Company will use its best efforts to amend any contract for its Medicare and Medicaid billing as necessary to ensure the foregoing issues are addressed at the first opportunity.

- 4). *Billing Services Provided by The Company:* All billing relationships between The Company and its health care provider clients, where appropriate, should:
  - a. be in writing and comply with Contract Restrictions in Policy VC 1.0 [Contracting Plan and Principles](#);
  - b. be reviewed by Counsel to verify that all obligations of the parties to the contract meet existing statutory and legal requirements; and
  - c. Set forth clear understandings as to:
    - Time limits for bringing disputes arising out of the contractual relationship
    - The controlling law and conflicts of laws
    - Liquidation of damages and limitation of damages
    - Indemnification and subrogation of rights and claims
    - Clarification of the responsibilities of the parties, including documentation, coding decisions, and training
    - Record creation and retention responsibilities

Any agreements that do not contain the necessary and appropriate contract provisions will be corrected as soon as contractually permissible or as business needs dictate.

## **E. CONTRACTION WITH A STAFFING AGENCY**

- 1). *Overview:* The Company Compliance and Ethics Program vendor contract policies address potential liability with relationships with a nursing temporary staffing agency. The contract is the most explicit way to articulate expectations that the agency takes the same precautions that the nursing home takes with its own nursing personnel.
- 2). *Staffing Agency Contracting Expectations:*
  - Criminal background checks
  - Adherence to licensure requirements
  - Monitoring nurses' continued eligibility to participate in federal health care programs
  - Ongoing compliance training
  - Participation in the Compliance and Ethics Program
  - Key terms must be identified and defined
  - Responsibilities, duties, and objectives for both parties must be specifically identified
  - The nursing temp agency must be required to take responsibility for adhering to any state and federal laws and regulations, as well as Joint Commission standards, if applicable, that apply
  - Agreement must be reached and articulated on the hiring policies and standards of the temp nursing agency
  - Termination rights must be clearly articulated

In addition to entering into a contract with the temporary nursing agency, the nursing home should assess the qualifications of the agency with respect to its hiring standards, ongoing requirements for training its staff, and other business practices.

## **F. THERAPY CONTRACTS AND SERVICES**

- 1). *Overview*: The Company is committed to providing quality therapy services and to providing only those therapy services that are reasonable and necessary to a resident's appropriate care, and consistent with government and third-party payor coverage guidelines and the criteria set forth below.
- 2). *Therapy Contracts and Services Criteria*: The following requirements are incorporated into The Company Compliance and Ethics Program.

### **PHYSICAL THERAPY SERVICES**

- a. Medicare: Required Elements - Physical therapy services provided to Medicare residents by The Company must:
  1. Relate directly and specifically to an active written treatment regimen established by the resident's physician after any needed consultation with the qualified physical therapist
  2. Be reasonable and necessary to the treatment of the resident's illness or injury
  3. Be of such a level of complexity and sophistication, or the condition of the resident must be such, that the services required can be safely and effectively performed only by a qualified physical therapist or under his or her supervision. Services not requiring the performance or supervision of a physical therapist are not considered reasonable or necessary physical therapy services, even if they are performed or supervised by a physical therapist
  4. Be provided pursuant to an expectation that the condition will improve significantly in a reasonable (and generally predictable) period based on the assessment made by the physician, or the services must be necessary to the establishment of a safe and effective maintenance program required in connection with a specific disease state
  5. Be reasonable in terms of amount, frequency, and duration
- b. Medicaid: Required Elements - Physical therapy services, including all necessary supplies and equipment, provided to Medicaid residents by The Company must:
  1. Be prescribed by a physician or other licensed practitioner of the healing arts within the scope of his or her practice under state law
  2. Be provided to a recipient by or under the direction of a qualified physical therapist.

### **SPEECH THERAPY SERVICES**

- a. Medicare: Required Elements - Speech therapy services provided to Medicare residents by The Company must:
  1. Be reasonable and necessary to the treatment of the resident's illness or injury
  2. Relate directly and specifically to a written treatment regimen established by the resident's physician after any needed consultation with the qualified speech pathologist
  3. Be considered under accepted standards of practice to be a specific and effective treatment for the resident's condition



4. Be of such a level of complexity and sophistication, or the resident's condition must be such, that the services required can be safely and effectively performed only by or under the supervision of a qualified speech pathologist
  5. Be provided pursuant to an expectation that the resident's condition will improve significantly in a reasonable (and generally predictable) period based on the assessment by the physician, or the services must be necessary to the establishment of a safe and effective maintenance program required in connection with a specific disease state
  6. Be reasonable in terms of amount, frequency, and duration under accepted standards of practice
- b. Medicaid: Required Elements - Speech therapy services, including the necessary supplies and equipment, provided to Medicaid residents by The Company must:
1. Be prescribed by a physician or other licensed practitioner of the healing arts within the scope of his or her practice under state law
  2. Be provided to a recipient by or under the direction of a speech pathologist or audiologist

### **OCCUPATIONAL THERAPY SERVICES**

- a. Medicare: Required Elements - Occupational therapy services provided to Medicare residents by The Company must:
1. Be prescribed by a physician
  2. Be performed by a qualified occupational therapist or a qualified occupational therapy assistant under the general supervision of a qualified occupational therapist
  3. Be reasonable and necessary for the treatment of the resident's illness or injury
  4. Be provided pursuant to an expectation that the therapy will result in a significant practicable improvement in the resident's level of functioning within a reasonable period
- b. Medicaid: Required Elements - Occupational therapy services, including all necessary supplies and equipment, provided to Medicaid residents by The Company must:
1. Be prescribed by a physician or other licensed practitioner of the healing arts within the scope of his or her practice under state law
  2. Be provided to a recipient by or under the direction of a qualified occupational therapist

### **OUTPATIENT PHYSICAL, OCCUPATIONAL, AND SPEECH THERAPY SERVICES**

- a. Outpatient physical, occupational, and/or speech therapy services provided to Medicare residents by The Company must:
1. Be provided only to residents who were or are under the care of a physician. The resident's clinical record must reflect that a physician has seen the resident at least every thirty (30) days
  2. Be provided pursuant to a written plan established by a physician, physical therapist, occupational therapist, or speech pathologist for furnishing such services, and which periodically is reviewed by the physician
  3. Be required by the resident
  4. Be recertified by the resident's physician at least once every thirty (30) days if the services continue over time

## G. PHYSICIAN AND OTHER REFERRAL SOURCES CONTRACTS

- 1). *Overview:* Federal and state anti-kickback and physician self-referral laws prohibit the offer or payment of any compensation to any party for the referral of residents. All physician agreements shall be reviewed and approved by the Compliance and Ethics Attorney prior to execution to avoid violation of federal anti-kickback or self-referral laws. Similar state laws also may apply. (Reference VC [Appendix 2.0 A](#))
  
- 2). *Referral Sources Contracting:* The Company's contracts with physicians and other potential referral sources will comply with applicable laws regarding resident referrals. The Company:
  - a. Shall comply with the policies governing gifts set forth in this Company *Corporate Compliance and Ethics Manual*
  - b. Shall not accept or solicit a referral from a physician to an entity in which the physician (or an immediate family member) has a financial relationship (broadly defined to encompass any ownership interest, investment interest, or compensation agreement) for a designated health service as defined in 42 USC Part 1395nn(h)(6), except as permitted by law. Designated health services include:
    1. Clinical laboratory services
    2. Rehabilitation services including physical therapy, occupational therapy, and speech language pathology services
    3. Radiology and other imaging services including magnetic resonance imaging (MBA), computerized axial tomography (CT) scans, PET scans, and ultrasound services
    4. Radiation therapy services and supplies
    5. Durable medical equipment and supplies
    6. Parenteral and enteral nutrients, equipment, and supplies
    7. Prosthetics, orthotics, and prosthetic devices and supplies
    8. Home health services
    9. Outpatient prescription drugs
    10. Inpatient and outpatient hospital services
    11. Nuclear medicine services
  - c. Shall have physician agreements that
    1. are in writing;
    2. are approved by the Compliance and Ethics Attorney or his or her designee prior to execution;
    3. are negotiated by the Compliance and Ethics Attorney, The Company Administrator, owner(s), or their designees;
    4. are signed by all parties;
    5. are reasonable in their entirety;
    6. specifically describe:
      - The services to be performed are full- or part-time, position description and scope of authority, reporting relationships, skills necessary, licensing or certification requirements, and performance requirements for bonus
      - The method of compensation (i.e., annual, per diem, or hourly; units of compensation tied to units of the structure of the relationship, and incentive compensation related to service performed). Supporting documentation should be reviewed and retained

- The amount to be compensated which is supported by a fair market value (“FMV”) analysis. FMV determination can be made by assessing multiple sources of objective data such as professional organization salary surveys (i.e., Medical Group Management Association), proprietary physician surveys from consulting firms, telephone surveys, public records, and historical compensation information. Incorporate the specific needs of the arrangement and any other special circumstances affecting compensation. Supporting documentation should be reviewed and retained;
- 7. shall not take into consideration the value or volume of referrals provided to The Company; and
- 8. shall be for a term or at least one (1) year.

## **H. FEDERAL GOVERNMENT CONTRACTING**

- 1). *Overview:* The Company is committed to complying with all applicable government-contracting laws and regulations when it acts as a prime contractor or subcontractor on federal projects or federally funded projects. The laws and regulations governing government contracting impose requirements traditionally not associated with purely commercial business transactions. This policy addresses key risk areas associated with The Company’s legal obligations under government contracts.
- 2). *Cost Record, Price Estimates, and Time Charging:* The Company will maintain and provide the government with audit access to accounting and other records as a basis for payment on existing contracts and estimates on future contracts. Records must be accurate and preserved for the period required by applicable laws and contract provisions. All costs and labor must be charged accurately and to the appropriate account, regardless of the status of the budget for that account. The Company prohibits the charging of labor or material costs to the wrong contract, charging contract effort to an overhead or indirect account, falsification of time-cards, and improper destruction or alteration of records.
- 3). *Cost or Pricing Data:* The Company will make full disclosure in negotiations for government contracts or subcontracts. The Company prohibits the submission of cost or pricing data that is not current, accurate, and complete as of the date of agreement on price.
- 4). *Unallowable Costs:* Any proposals for reimbursement of indirect costs that The Company submits to the government, either under cost reimbursement contracts or as part of overhead rates, will not contain “unallowable” costs, such as costs for advertising, public relations, donations, entertainment, fines and penalties, lobbying, defense of fraud proceedings, and goodwill. The Company will request reimbursement only for those indirect costs that are clearly allowable or as to which The Company has a good faith argument are allowable. Clearly unallowable costs must not be included in indirect cost proposals.
- 5). *Quality Control, Testing, and Compliance with Specifications:* The Company will deliver goods and services that meet all applicable contract requirements for quality control specifications and testing requirements.

- 6). *Certification and Representation:* The Company's employees and other representatives must exercise due diligence to ensure that any certifications or affirmative representations made on the part of The Company that pertain to federal projects, such as compliance with socioeconomic programs, contract specifications, environmental laws, and various procurement regulations, are accurate when made.

## **I. BUILDING AND EQUIPMENT LEASES POTENTIAL REFERRAL SOURCES CONTRACTS**

- 1). *Overview:* All building and equipment leases shall meet the requirements below and shall be reviewed and approved by the Compliance and Ethics Attorney or his or her designee, prior to execution to avoid violation of federal anti-kickback or Stark laws. Similar state laws may apply and should be reviewed to ensure that such leases comport with state law.
- 2). *Referral Source Contract Requirements:* The following requirements are incorporated into the Compliance and Ethics Program. In general, building and/or equipment leases shall:
- a. Be in writing
  - b. Have a term of at least one (1) year
  - c. Specify the premises or equipment covered by the lease
  - d. Set the rental charge in advance
  - e. Specify the exact schedule of access or use, the precise length, and the exact rent if the lease is for part-time or periodic access
  - f. Charge a rental or lease charge consistent with fair market value, and which does not take into consideration the value of business or referrals between the parties
  - g. Be commercially reasonable and not exceed what is necessary for the legitimate business purpose of the lease
  - h. Specify that vendor will submit all bills in accordance with the payment method and amount set forth in the vendor agreement
  - i. Be signed by all parties
  - j. Certify that the vendor is currently eligible for participation in the Medicare and, where applicable, Medicaid programs
  - k. The agreement shall be negotiated only by the Compliance and Ethics Attorney and/or The Company Administrator or their designees or other people selected by The Company
  - l. The agreement shall be approved by the Compliance and Ethics Attorney or his or her designee or other people selected by The Company
  - m. If the value or cost of the services or supplies to be provided under the vendor agreement equals or exceeds \$10,000 over a 12-month period, the vendor will, for a period of at least four (4) years after the furnishing of services and supplies and make such records available upon request by The Company, and the vendor shall impose similar obligations on any subcontractor it uses to provide the services and supplies under the vendor agreements
  - n. The vendor and any subcontractor of the vendor shall cooperate with The Company if any third-party payer, including the Medicare or Medicaid program, conducts an audit or otherwise requests documentation regarding services or supplies provided by the vendor or its subcontractor

**Policy Number:** VC 1.1

**Policy Title:** [Conflict of Interest](#)

**Policy Statement/Purpose:**

To minimize the risk of potential conflicts of interest consistent with applicable legal requirements and standards of practice.

- Each Associate able to influence must annually disclose his or her affiliations and to execute an acknowledgement confirming that he or she has complied with The Company Conflict of Interest Policy ([CP 2.2](#)).
- Disclosure of an Associate's affiliations is intended to assist The Company in resolving conflicts of interest. An affiliation with another organization does not necessarily mean that an unacceptable conflict of interest exists or that the affiliation would unduly influence the Associate.

**Policy Number:** VC 1.2

**Policy Title:** [Code of Conduct](#)

**Policy Statement/Purpose:** Identify the [Code of Conduct](#) for all Company employees and Associates.

**Policy Interpretation and Implementation:** The Company, its employees and contractors, and those with whom The Company associates and/or contracts, where appropriate, constantly strive to ensure that all activity by, on behalf of, or with The Company follows all applicable federal, state, and local laws, regulations, ordinances, administrative directives, and any other binding governmental directives (“Laws and Regulations”).

**Policy Number:** VC 2.0

**Policy Title:** Referrals

**Policy Statement/Purpose:** The Company ensures that all resident referrals are consistent with applicable legal requirements and standards of practice.

**Policy Interpretation and Implementation:** The Company accepts referrals from all licensed, independent practitioners (LIPs) legally authorized to diagnose and refer clients for care, consistent with The Company Compliance and Ethics Program.

#### **A. REFERRALS FOR SERVICES**

- 1). *Overview:* The Company has a process in place to accept referrals from licensed independent practitioners (physicians, dentists, podiatrists, etc.) who are legally qualified to diagnose and refer clients for care.
- 2). *Receiving Referrals:*
  - a. Verbal referrals will be accepted
    1. Must be received from known providers
    2. Must be followed by written referral in five (5) working days
  - b. Written referrals will be accepted that contain a verifiable practitioner signature
    1. Hand carried
    2. Mailed
    3. Faxed
  - c. Emailed referrals will not be accepted as they do not provide a verifiable signature
- 3). *Referral Requirements:*
  - a. Resident's name
  - b. Date of referral
  - c. Diagnosis and diagnosis code (preferred)
  - d. General or specific treatment prescription
  - e. Contraindications
  - f. Practitioner's signature
- 4). *Referral Types:*
  - a. Initial referrals
    1. All new referrals, received thirty (30) days past the "date of referral", will not be accepted
    2. All new referrals, received thirty (30) days past the "date of referral", will require a new/current referral to initiate the intake process
  - b. Continuation Referrals
    1. Referrals for continuation of care must be received prior to the expiration of the previous referral
    2. Referrals for continuation of care can only be authorized from the practitioner, or his or her representative, who prescribed the initial care

3. Residents supported by Medicare and Medicaid require a continuation referral, obtained by the Business Office, every thirty (30) days
- c. Other
1. Referrals received by a licensed medical consultant (physician) who is not the resident's primary physician, but is providing consultation to the primary referring physician as a second opinion, will be accepted
  2. Referrals received after evaluation, by a clinic medical (physician) consultant during a company sponsored or hosted clinic will be accepted
    - The medical consultant does not assume responsibility for the primary care of the resident
    - All reports are sent to the consultant who may elect to confer with the resident's primary physician
  3. Referrals received from practitioners who are licensed by the state to refer, but are not licensed physicians, will only be accepted under the following conditions:
    - They are countersigned by a licensed physician before they are admitted to The Company
    - They are licensed clinical psychologists who receive payment for service from The Company
    - They are Physician Assistants who have been approved by Medicare/Medicaid and The Company can collect fees for service based on their signatures and licenses to practice
  4. Referrals received from a licensed medical physician, after evaluation by a Company therapist who is licensed by the state to perform evaluation without referral, will be accepted
  5. When residents are referred by a social worker or other service provider to another agency, the referral should contain at least the following:
    - The place or person where or to whom the resident is being referred
    - The reason for the referral
    - The name of the contact person
    - Summary of Company outcomes that have been achieved by the resident

## **B. PHYSICIAN REFERRAL AND ASSOCIATE KICKBACK**

- 1). *Overview:* To provide quality health care to members of the community, The Company employs and conducts business with many different physicians. The Company's interactions with physicians can affect a variety of issues, including the anti-kickback law, the IRS rules on employee and independent contractor status, and the "Stark II" self-referral law. The Company is committed to complying with all applicable laws in its relationships with physicians, maintaining the highest ethical standards, and ensuring that the physicians practicing at The Company also adhere to the highest ethical standards.
- 2). *The Stark II Self-Referral Law:* The Stark II Self-Referral law prohibits physicians from referring residents to The Company for certain health services if the physician or a physician's family member has a financial relationship with The Company. A financial relationship can include an ownership or investment interest or a compensation arrangement. Any relationship involving the transfer of payments or benefits, including income guarantees, certain types of loans, free or discounted services, equipment, or office space, constitutes a compensation arrangement.



To ensure that all financial arrangements between The Company and physicians comply with federal law governing prohibitions on physician self-referrals, all arrangements involving physicians who may refer residents for any of the following services **must** be submitted to the Compliance Officer prior to execution and approved by Counsel:

- a. Clinical laboratory services
- b. Physical therapy services
- c. Occupational therapy services
- d. Radiology services, including magnetic resonance imaging, computerized axial tomography scans, and ultrasound services
- e. Radiation therapy services and supplies
- f. Durable medical equipment and supplies
- g. Parenteral and enteral nutrients, equipment, and supplies
- h. Prosthetics, orthotics, and prosthetic devices and supplies
- i. Home health services
- j. Outpatient prescription drugs
- k. Inpatient and outpatient hospital services

- 3). *The Anti-Kickback Law*: Physicians and employees are strictly prohibited from accepting gifts, favors, payments, services, or anything else of value which might appear to influence the actions of the physician or of The Company. Physicians and employees may retain gifts of nominal value, such as pens, coffee mugs, and other similar novelties, but must refuse any gift of more than nominal value and should report any inappropriate offers to the Compliance Officer. Physicians and employees are strictly prohibited from soliciting or accepting anything of value in exchange for patient referrals or in exchange for purchasing or leasing any item or service which may be reimbursed by Medicare, Medicaid, or any federal or state health care program.

Compliance with these policies is a required condition of employment or continued engagement with The Company. Violations of these policies should be reported in accordance with the Compliance and Ethics Program's Reporting Policy. (Reference policy CP 2.3 [General Legal Duties and Antitrust Laws](#) and policy CP 2.0 section B [Compliance Reporting System](#))

No employee of The Company may enter into any agreement or arrangement calling for a commission, rebate, bribe, kickback, or otherwise, which such employee knows or should suspect is intended to or likely to result in an improper reward, either directly or indirectly.

Employees and other Company representatives may not offer or give inducements to anyone in exchange for a decision or action that is favorable to The Company. Employees and other Company representatives may not give anything of value to anyone under circumstances that could create even an appearance that The Company is seeking preferential treatment or is paying a reward for referrals. An improper reward includes anything of value, not just money. For example, free or special price services or trips at The Company expense, without a proper business purpose, would be considered an improper payment just as readily as a cash payment. Further, no action that would otherwise be suspect is permissible merely because it appears to be customary in a particular location or a particular area of business activity.

Company employees will not request or accept fees, commissions, compensation, gifts, or gratuities from contractors or suppliers, directly or indirectly. However, small gifts, gratuities, and promotional items of less than \$50.00 in value that are given as tokens of appreciation or esteem are permissible.

Business relationships and practices that may be construed as improper kickback arrangements, and which therefore are restricted under the Compliance and Ethics Program, are described below. See “Illegal Remuneration” in Policy CP 2.3 [General Legal Duties](#) for a discussion of the statute prohibiting kickbacks.

a. Free or Below-Fair Market Value Goods or Services:

1. Except for routine discounts to payors and certain marketing activity, The Company will not provide goods, services, or other items of value free of charge or at a price below fair market value to influence the flow of business to The Company. However, certain equipment or services (e.g., specimen collection materials) may be provided to customers, without additional cost, in connection with health care services that The Company furnishes to such customers, to permit The Company to perform such services properly
2. All employees and independent contractors engaged in marketing for The Company will be provided with a copy of The Company’s Code of Conduct. (Reference policy CP 2.1 [Code of Conduct](#)). The Company expects its employees, independent contractors, and other representatives to always adhere to these ethical standards. All employees engaged to market The Company’s services and products will be required to attend educational programs concerning ethical and legal business practices. To ensure that its independent contractors comply with The Company’s policies concerning ethical and legal business practices, the [Code of Conduct](#) and applicable policies will be incorporated by reference into all contracts with independent contractors (Reference [VC Appendix 1.0 D](#))
3. Each company must regularly inform the Compliance Officer, in writing, of all existing arrangements involving commission-based payments to employees or independent contractors for business they generate for The Company and must supply a copy of any contracts for, or other documentation of, such arrangements. The Compliance Officer, together with the Compliance and Ethics Attorney, will review all commission-based marketing arrangements for consistency with Compliance and Ethics Program requirements. Any arrangements contrary to Program requirements will be modified, amended, or corrected as soon as practicable under the terms of the agreement

b. Kickback Arrangements with Potential Referral Sources for Long-Term Care Services:

Many arrangements with potential referral sources for long term care services may be viewed as kickback arrangements. Referral sources can include physicians, residents, their family members, hospitals, other long-term care facilities, home health agencies, pharmacies, hospices, and rest homes. Some examples of kickback arrangements follow, although the list is not exhaustive:

1. Fees to a physician for plans of care the physician certifies on behalf of a long-term care company affiliated with The Company
2. Disguising referral fees as salaries by paying referring physicians for services they have not rendered, or by paying more than fair market value for services they have provided
3. Offering free services to beneficiaries if they agree to switch providers
4. Providing hospitals with free discharge planners to induce referrals
5. Providing or accepting meals, entertainment, gifts, or benefits to induce referrals

6. Receiving excessive or inappropriate payments from a hospice to provide services to nursing company (“NF”) residents who have elected the hospice benefit
7. Receiving free services, such as 24-hour nursing coverage, in return for referrals
8. Providing home health aide services, such as bathing, assistance with grooming, or meal preparation, to Medicare beneficiaries receiving skilled home health care who reside in assisted living facilities, when The Company is already required by state law to provide these services under its license
9. Contracting with suppliers and providers to induce referrals to a company affiliated with The Company
10. Solicit or receive any remuneration, directly or indirectly, overtly or covertly, in cash or in kind, in return for referring an individual to a person for furnishing (or arranging for the furnishing) of any item or service for which payment may be made in whole or in part under a federal health care program
11. Solicit or receive any remuneration, directly or indirectly, overtly or covertly, in cash or any kind, in return for purchasing, leasing, ordering, or arranging for, or recommending purchasing, leasing, or ordering any goods, company service, or item for which payment may be made, in whole or in part under a federal health care program
12. Offering or providing any gift, hospitality, or entertainment of more than nominal value to any Medicare and Medicaid beneficiary. Examples of permissible items include pens, T-shirts, water bottles, etc., valued at less than fifty dollars (\$50), if such items are not offered or provided to influence health care decisions by a beneficiary, family member, or responsible party
13. Offering waivers of coinsurance or deductible amounts as part of any advertisement or solicitation
14. Routinely waiving coinsurance or deductible amounts, only waiving such amounts after determining in good faith that the resident is in financial need, or after making reasonable efforts to collect the cost-sharing amounts from the resident
15. Participating in any arrangement with a health care plan that effectively requires The Company and its employees to forego certain Medicare cost-sharing amounts
16. Participating in any arrangement with a health care plan that requires The Company and its employees to waive charges for copayments and deductibles when Medicare is the primary payer and the applicable Medicare reimbursement is higher than the plan fee schedule amount

These activities and any other kickback arrangements are prohibited and must be reported immediately to the Compliance Officer.

- c. Discharge Planning by a Skilled Nursing Company or Nursing Company: A Skilled Nursing Company (“SNF”) or Nursing Company (“NF”) is legally required to perform discharge planning services for its residents. The Company prohibits delegation of discharge planning activities to other personnel not connected with The Company except in very narrow circumstances that require prior approval from the Compliance Officer.
- d. Gifts/Benefits to or from Physicians, Suppliers, and Other Entities:
  1. Gifts or other benefits may not be given to, or solicited or received from, physicians, suppliers, or other persons or entities, except as permitted above
  2. Periodic inventory checks will be performed to detect whether any SNF has received un-ordered supplies, such as incontinence supplies or wound care products

- e. Referrals to or by Hospice: Provide services pursuant to a written agreement with a hospice program that meets the conditions of participation for hospices (42 CFR Pat 418) upon evidence that the resident qualifies for and has properly elected the hospice benefit.
  - 1. Develop and implement, in conjunction with the hospice program, a coordinated plan of care
  - 2. Bill the Medicare and/or Medicaid programs only for the treatment of conditions unrelated to the terminal illness, as permitted by law
  - 3. For residents eligible for Medicare hospice benefits and Medicaid coverage of the resident's room and board, The Company shall not accept payment by a hospice for room and board provided to a hospice resident in excess of the amount that The Company would have received if the resident had not been enrolled in hospice. Any additional payments from the hospice for items and services purchased from The Company must represent the fair market value of such additional items and services provided to the resident that are not included in the Medicaid daily rate
  - 4. Provide only those services The Company is allowed to provide to hospice residents under applicable law
  - 5. Not engage in any arrangement in which The Company offers, accepts, provides, or receives free services to or from a hospice in exchange for a promise or agreement to refer nursing company residents to the hospice, or vice versa

4). *Independent Contractors/Employees*: All agreements with physicians should be reviewed by the Compliance Officer with the assistance of the Compliance and Ethics Attorney as necessary. The Compliance Officer will review all agreements with physicians to determine whether there is an independent contractor relationship or an employee relationship in light of the relevant IRS guidelines.

To ensure that the public is informed about independent contractors and to avoid liability for the acts or omissions of independent contractors, all such arrangements with independent contractors must be reviewed by the Compliance Officer. Notices should be posted conspicuously in an area where those dealing with the independent contractor will be properly informed of the independent contractor relationship. Resident forms should include a notice disclosing which goods or services, if any, are provided by independent contractors. The form of such notices should be reviewed by the Compliance and Ethics Attorney.

5). *Private Benefit/Private Inurement*: The Company may not engage in activities primarily serving private interests and may not enter into agreements in which the profits of The Company pass to "insiders" such as physicians. The Company may not pay physicians unreasonable or excessive compensation, whether the compensation is for goods or services. Employees who learn of activities or arrangements which may involve excessive or unreasonable compensation or other substantial private benefits, or private inurement must report their concerns to the Compliance Officer in accordance with the Compliance and Ethics Program's Reporting Policy. (Reference Policy CP 2.0 Section B [Compliance Reporting System](#))

Officers, directors, and other individuals having similar powers or duties within The Company should scrutinize all proposed transactions with physicians. Officers, directors, and others should ensure that physicians are paid based on the fair market value of the goods or services provided. All transactions involving physicians must be approved by board members or committee members

without an interest in the transaction in accordance with the guidelines suggested by Congress and discussed in detail above. The board or committee considering the transaction must obtain and rely upon comparison data as appropriate for the transaction. For example, if The Company is to enter into an employment agreement with a physician, the board or committee should obtain and review information on compensation paid to physicians with similar skills and experience in the region. This information may generally be obtained through compensation surveys and similar materials. The board or committee should ensure that it properly documents its decision. The record should generally include an evaluation of the physician and the basis for determining the physician's compensation.

Under federal law, directors, officers, and physicians who participate in transactions involving unreasonable or excessive compensation will be subject to penalty taxes. Anyone with concerns in connection with any transaction or agreement involving physicians should report concerns to the Compliance Officer.

- 6). *Grants from Vendors:* The Company will accept grants, rebates, or other similar gifts (“Grant Money”) from vendors and other nongovernmental entities (collectively “Vendor Companies”) only for use in connection with the Grant Money’s stated business purposes. The Company will not accept Grant Money as an inducement to generate business for the grantor. However, The Company is free to negotiate discounts on its purchases of equipment or supplies from any vendor, but all such discounts must be reflected in any applicable cost reports filed by The Company.

Grant Money may be accepted only under the following conditions:

- a. The Grant Money is used only for the stated purpose for which it is provided
- b. When Grant Money is provided for educational, research, or other programs, the programs must be bona fide programs with real scientific or educational value
- c. Educational programs sponsored with Grant Money may not address the drugs, devices, or products manufactured or distributed by the grantor Vendor Company, and the programs must be made available to attendees free of charge or at a nominal cost and without regard to whether the attendees are customers or prospective customers of The Company
- d. Grant Money cannot be used to relieve The Company of existing obligations or expenses it otherwise would have incurred without the receipt of Grant Money
- e. Grant Money from any Vendor Company must be approved by the Compliance Officer prior to receipt
- f. On a semi-annual basis, and using forms supplied for such reports, The Company’s Departments will report any Grant Money received and certify to the Compliance Officer that such funds have been, or will be expended and accounted for in accordance with any requirements placed on their use

- 7). *Contracting with Excluded Physicians:* Federal law prohibits The Company from contracting with physicians who are excluded from participation in Medicare and other federal health care programs; all agreements with physicians should be reviewed by the Compliance Officer. The Compliance Officer or designee will conduct background checks.

- 8). *Reassignment of Medicare Benefits:* Medicare benefit payments for physician services may normally only be paid to the physician providing services or to the Medicare beneficiary. These benefit payments may, however, be assigned to The Company if The Company employs the physician or if the physician's services are provided in any of The Company's health care facilities. For The Company to receive Medicare benefit payments for physician services, the physician should sign an agreement allowing The Company to receive payment for the services. If the physician is an independent contractor, in order for The Company to receive payment for the physician's services, the services must be provided within The Company's health care company, and the physician must sign an agreement whereby The Company submits the bill for the services.

All arrangements involving reassignment to The Company of Medicare benefit payments for physician services should be reviewed by the Compliance Officer to ensure compliance with an appropriate exception. Suspected violations of the reassignment rules should be reported to the Compliance Officer in accordance with the Compliance and Ethics Program's Reporting Policy.

- 9). *Physician Recruitment:* All agreements involving physician recruitment incentives, whether in the form of income guarantees, discounted office space, subsidized services, or discounted equipment, should be reviewed by the Compliance Officer and the Compliance and Ethics Attorney. The recruitment incentives should be structured so as to minimize risks of violating the Stark II Self-Referral law and the Anti-kickback law.

**Policy Number:** VC 2.1

**Policy Title:** Business Associates

**Policy Statement/Purpose:** To protect The Company by assuring that business associates will appropriately safeguard Protected Health Information (“PHI”) and will not use or disclose PHI other than permitted by the business associate agreement and/or applicable regulations.

**Policy Interpretation and Implementation:** The Company shall identify all persons and entities that serve as a business associate. The Company shall require that all business associates execute a Business Associate Agreement (“BAA”).

**Definitions:**

**Business Associate -**

- a. As defined under the Health Insurance Privacy and Accountability Act (“HIPAA”), “Business Associate” is a person who acts in a capacity other than as a member of the workforce of The Company to perform or assist in the performance of a function or activity involving the use or disclosure of individual health information, or any other function or activity otherwise governed by the privacy regulations.
- b. A person or entity that performs certain functions or activities that involve the use or disclosure of protected health information on behalf of, or provides services to, a covered entity. This includes persons and entities that perform the following functions:
  1. Data aggregation, analysis, processing, or administration
  2. Accounting, billing, claims processing, or financial services or administration
  3. Utilization review
  4. Quality assurance
  5. Benefit management
  6. Practice management
  7. Re-pricing
  8. Legal
  9. Actuarial
  10. Consulting
  11. Administrative
  12. Accreditation

**Examples of Business Associates:**

- a. Third party administrators that assist with claims processing
- b. Patient Safety Organizations
- c. Health Information Organizations
- d. Data Storage Companies, whether electronic or hard copy
- e. Data Destruction Companies (e.g., shredding)
- f. Subcontractors that create, receive, or transmit PHI on behalf of the business associate (e.g., legal, actuarial, accounting, consulting, data aggregation, management, administrative, accreditation, and financial services)

- g. Note that a covered entity may be a business associate of another covered entity (e.g., pharmacy consultant)

**Business Associates Exclude:**

- a. Health care providers, where the use or disclosure is for the purpose of treatment (ex. attending physicians and other providers).
- b. Members of The Company workforce (e.g., medical director).
- c. Oversight agencies, both federal and state.
- d. Persons and organizations that act as a conduit (e.g., USPS, courier, and electronic equivalents)
- e. Persons/entities whose functions and services do not involve the use/disclosure of PHI and any access would be incidental (ex. janitorial, construction, electrician).

**Examples of Business Associate Relationships:**

- a. A long-term care company enters in a vendor relationship with a billing company. Because the billing company is acting on behalf of the provider and is receiving PHI in the form of patient billing information, the billing company is a business associate
- b. An outpatient rehab clinic enters into a contract with a vendor to outsource certain information technology services, such as claims processing and data warehousing. The IT vendor is a business associate
- c. A medical group enters into a management contract with a physician practice management company that will provide various administrative services to the group, including billing. The management company is a business associate
- d. A health care provider hires a consultant to review the accuracy of its billing and coding practices. The consultant is a business associate

Reference [\*Typical Business Associates Charts\*](#) below

**Procedure:**

**Covered Entity Business Associates:** (Covered entity provider directly bills for federal reimbursement such as Medicare and Medicaid).

- a. The Company shall have a [\*Business Associate Agreement\*](#) with all business associates
- b. The contract must provide that the business associate will
  - 1. comply with the applicable privacy and security requirements;
  - 2. ensure that any subcontractors that create, receive, maintain, or transmit electronic protected health information (e-PHI) on behalf of the business associate agree to comply with applicable privacy and security requirements by entering into a compliant contract or other arrangement; and
  - 3. report to the covered entity any security incident of which it becomes aware, including breaches of unsecured protected health information.
- c. Further, all business associates must contractually agree to the following:
  - 1. Not use or further disclose the information other than as permitted under the contract or as required by law
  - 2. Use appropriate safeguards to prevent use or disclosure of the information other than as provided by its contract
  - 3. Report to The Company any use or disclosure not provided for by its contract of which it becomes aware



4. Ensure that any agents to whom it provides protected health information agree to the same restrictions and conditions that apply to the business associate with respect to such information
5. Afford residents access to their protected health information
6. Make information available for amendment and incorporated amendments
7. Make available the information to provide an accounting of disclosures
8. Make its internal practices, books and records relating to the use and disclosures of protected health information received from, or created or received by the business associate on behalf of The Company available to the Secretary of the Department of Health and Human Services for the purposes of assessing The Company's compliance with the privacy regulations
9. At the termination of the contract, if feasible, return or destroy all protected health information received from or created or received by the business associate on behalf of The Company
10. Report to the covered entity and business associate any security incident of which it becomes aware, including breaches of unsecured protected health information

Non-Covered Entity Business Associates: (Provides services for covered entity but does not itself bill for federal reimbursement such as Medicare or Medicaid).

- a. The Company shall have a [\*Business Associate Agreement\*](#) with all subcontractors, meeting all requirements that apply to contracts or other arrangements between a covered entity and business associate, including that the subcontractor will
  1. comply with the applicable privacy and security requirements;
  2. ensure that any subcontractors that create, receive, maintain, or transmit electronic protected health information (e-PHI) on behalf of the subcontractor agree to comply with applicable privacy and security requirements by entering into a compliant contract or other arrangement; and
  3. report to the covered entity and business associate any security incident of which it becomes aware, including breaches of unsecured protected health information.
- b. Further, all subcontractors must contractually agree to the following:
  1. Not use or further disclose the information other than as permitted under the contract or as required by law
  2. Use appropriate safeguards to prevent use or disclosure of the information other than as provided by its contract
  3. Report to covered entity and business associate any use or disclosure not provided for by its contract of which it becomes aware
  4. Ensure that any agents to whom it provides protected health information agree to the same restrictions and conditions that apply to the subcontractor with respect to such information
  5. Afford residents access to their protected health information
  6. Make information available for amendment and incorporate amendments
  7. Make available the information to provide an accounting of disclosures
  8. Make its internal practices, books and records relating to the use and disclosures of protected health information received from, or created or received by the subcontractor on behalf of The Company available to the Secretary of the Department of Health and Human Services for the purposes of assessing The Company's compliance with the privacy regulations
  9. At the termination of the contract, if feasible, return or destroy all protected health information received from or created or received by the subcontractor on behalf of The Company

**A. TYPICAL BUSINESS ASSOCIATES FOR A LONG-TERM CARE COMPANY**

<b>Vendor Type</b>	<b>Business Associate Agreement</b>
Administrative Support	YES
Clinical Support	YES
Consultants	YES
Dental Consultants	YES
Dietitian Consultant	YES
Hair Care Services	YES
Pharmacy Consultant	YES
Medical Director	YES
Physician Services (Attending Physician)	NO
Therapists	NO
IT- Information Technology (claims progressing/data warehousing)	YES
Medical Billing Software Supplier/Programmer	YES
Management Company	YES
Webmaster	YES
Nursing Agencies (Temp Staffing)	YES
Nursing Placement Companies (Permanent)	YES
Ambulance	NO
Hospitals	NO
Beds	YES
Billing Company	YES
Cleaning	YES
DME	YES
Enteral Feeding	YES
Food	YES
Laboratory	YES
Pharmacy	NO
Podiatry Services	NO
Prosthetics and Orthotics	NO
Radiology Services (X-Ray)	NO
Security Services	YES

**B. TYPICAL BUSINESS ASSOCIATES FOR AN ASSISTED LIVING COMMUNITY**

<b>Vendor Type</b>	<b>Issue Business Associate Agreement</b>	<b>Issue Privacy Plan Acknowledgment</b>
Administrative Support	Yes, only if company	Yes, each clinical support personnel
Clinical Support	Yes, only if company	Yes, each clinical support personnel
Consultants	Yes, only if company	Yes, each consultant
Dental Consultants	Yes, only if company	Yes, each consultant
Dietitian Consultant	Yes, only if company	Yes, each consultant
Hair Care Services	Yes, only if company	Yes, each consultant
Pharmacy Consultant	Yes, only if company	Yes, each consultant
Medical Director	No	Yes
Physician Services (Attending Physician)	No	Yes
Therapists	Yes, only if company	Yes, each therapist
IT- Information Technology (claims progressing/data warehousing)	Yes	No
Medical Billing Software Supplier/Programmer	Yes	No
Management Company	Yes, only if company	No
Webmaster	Yes	No
Nursing Agencies (Temp Staffing)	Yes, only if company	Yes, each nurse
Nursing Placement Companies (Permanent)	No	No, individual becomes employee
Ambulance	Yes	No
Hospitals	Yes	No
Beds	Yes	No
Billing Company	Yes	No
Cleaning	Yes	No
DME	Yes	No
Enteral Feeding	Yes	No
Food	Yes	No
Laboratory	Yes	No
Pharmacy	Yes	No
Podiatry Services	Yes	No
Prosthetics and Orthotics	Yes	No
Radiology Services (X-Ray)	Yes	No
Security Services	Yes	No

### C. TYPICAL BUSINESS ASSOCIATES FOR A HOME HEALTH AGENCY

Vendor Type	Issue Business Associate Agreement	Issue Privacy Plan Acknowledgment
Administrative Support	Yes, only if company	Yes, each administrative personnel
Clinical Support	Yes, only if company	Yes, each clinical support personnel
Consultants	Yes, only if company	Yes, each consultant
Medical Director	No	Yes
Pharmacy Consultant	Yes, only if company	Yes, each consultant
Physician Services (Attending Physician)	No	Yes
Therapists	Yes, only if company	Yes, each therapist
IT- Information Technology (claims progressing/data warehousing)	Yes	No
Medical Billing Software Supplier/Programmer	Yes	No
Management Company	Yes, only if company	No
Webmaster	Yes	No
Nursing Agencies (Temp Staffing)	Yes, only if company	Yes, each nurse
Nursing Placement Companies (Permanent)	No	No, individual becomes employee
Non-Certified Home Health Agencies	Yes, only if company	Yes, each aide
Ambulance	Yes	No
Hospice	Yes	No
Hospitals	Yes	No
Answering Service	Yes	No
Beds	Yes	No
Billing Company	Yes	No
Cleaning	Yes	No
DME	Yes	No
Enteral	Yes	No
Food	Yes	No
Infusion Company	Yes	No
Laboratory	Yes	No
Medical Supply	Yes	No
Pharmacy	Yes	No
Podiatry Services	Yes	No
Prosthetics and Orthotics	Yes	No

Radiology Services (X-Ray)	Yes	No
Security Services	Yes	No

**APPENDIX**  
**3. VENDOR AND ASSOCIATE CONTRACTS AND SER-**  
**VICES (VC)**  
**TOOLS AND FORMS**

**Appendix VC 1.0 A**  
**VENDOR CONTRACT PRE-ENGAGEMENT APPLICATION AND APPROVAL**

Contractor Name: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_

Contact Person: \_\_\_\_\_  
Name Title Phone

Medicare Service:  Yes  No Type of Service: \_\_\_\_\_

Estimate of annual cost: \$ \_\_\_\_\_ and/or rate/hr. \$ \_\_\_\_\_

Conflict of Interest:  Yes  No

(If yes, complete [COI form](#) and submit form/documentation to the Compliance Officer)

1. Have you ever been convicted of a criminal offense related to:

- A. the delivery of an item or service under Medicare or Medicaid? Yes / No
- B. the neglect or abuse of residents in connection with the delivery of a health care item or service? Yes / No
- C. a felony conviction or guilty plea after August 21, 1996 related to fraud, theft, embezzlement, breach of fiduciary responsibility, or other financial misconduct in connection with the delivery of a healthcare item or service? Yes / No
- D. a felony conviction or guilty plea after August 21, 1996 related to the unlawful manufacture, distribution, prescription, or dispensing of a controlled substance? Yes / No

2. Debarred, excluded, or otherwise ineligible for federal program (i.e., Medicare and Medicaid) participation. Yes / No

\_\_\_\_\_  
Signature of Contractor (if Completed by Contractor)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Company Employee Requesting Contractor Engagement

\_\_\_\_\_  
Position/Department

Preauthorization: (Prior to Negotiation of Agreements) \_\_\_\_\_

**Appendix VC 1.0 B**  
**ANNUAL VENDOR/CONTACTOR COMPLIANCE AND CONFLICTS OF INTEREST**  
**DISCLOSURE STATEMENT**



**Appendix VC 1.0 C**  
**VENDOR/CONTRACTOR COMPLIANCE AND ETHICS PLAN AND CONFLICT OF INTEREST ACKNOWLEDGEMENT**  
**COVER LETTER SAMPLE**

(Date)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
(Name)  
(Vendor Name or Health Care Provider Name)  
(Address)

Dear \_\_\_\_\_:

The Company(name) has retained Med-Net Compliance, LLC to incorporate an integrity program called a Corporate Compliance and Ethics Program. This program ensures The Company’s commitment to a high standard of conduct, honesty, and reliability in its business practices, and to advance and maintain compliance with federal and state laws and regulations applicable to health care programs. The Corporate Compliance and Ethics Program also includes The Company’s commitment to adhere to the requirements of the Deficit Reduction Act of 2005, 42 U.S.C. Section 1396a(a)(68).

Since you are a vendor or provider of goods and/or services to The Company, you are expected to honor the same commitment and adhere to our Corporate Compliance and Ethics Program. In addition, it is mandatory that your contract comply with all federal and state laws and regulations.

Enclosed is The Company’s [\*Compliance and Ethics Plan\*](#). Please read carefully and sign the acknowledgement below. Please disseminate the plan and make it available to all managers and employees who will be doing business with our Company. All vendors are required to participate in mandatory Compliance Training ‘Elements of a Compliance Program and Code of Conduct’. Online training modules can be accessed at [www.mednetcompliance.com](http://www.mednetcompliance.com) under E-Learning Courses/Fraud Waste & Abuse/Elements of a Compliance Program and Code of Conduct (Password = elements).

Return a copy of your signed acknowledgement to me at:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The complete *Corporate Compliance and Ethics Program* manual is available should you choose to review it. If you have any questions or concerns, please feel free to contact me.

I hereby acknowledge by my signature that I have received a copy of The Company *Compliance and Ethics Plan*, and my responsibility to participate in the mandatory compliance training noted above. I

have read the policy carefully and understand that I must adhere to it as a condition of doing business with The Company.

---

Print Name and Title

---

Date

---

Signature

Sincerely,

---

Compliance Officer

Reference: Policy CP 2.0 [Compliance and Ethics Plan](#)

**Appendix VC 1.0 D**  
**VENDOR/CONTRACTOR COMPLIANCE AND ETHICS PLAN AND CONFLICT OF INTEREST ACKNOWLEDGEMENT**  
**(TEMPLATE)**

This Vendor/Contractor Compliance Acknowledgement Form shall serve as an Addendum to the contract dated \_\_\_\_\_, \_\_\_\_\_ between The Company (“The Company”) and \_\_\_\_\_ (“Vendor”).

Vendor acknowledges The Company’s Compliance and Ethics Program and the following policies and requirements:

1. Conflict of Interest. For The Company’s employees to perform their duties with honesty and fairness and in the best interest of The Company, employees must avoid conflicts of interest in their employment. Conflicts of interest may arise from having a position or interest in, or furnishing managerial or consultative services to, any concern or business from which The Company obtains goods or services, or with which it competes or does business, and from soliciting or accepting gifts, excessive entertainment, or gratuities from any person or entity that does, or is seeking to do, business with The Company. Vendors and/or contractors shall not retain any of The Company’s employees to assist them in business or pay any of The Company’s employees for any services furnished to their business. Vendors and/or contractors shall not offer or give any of The Company’s employees any gifts, favors, gratuities, or excessive entertainment. This, however, does not prohibit offering or giving items of nominal or minor value (a) that are clearly tokens of respect or friendship and not related to any particular transaction or activity of The Company, or (b) which do not go beyond the common courtesies usually associated with accepted business practices, such as baseball caps and the exchange of lunch or dinner meetings which occur as a normal part of a healthy business relationship.
2. Charities. The Company is involved with and supports several charities. Vendors and/or contractors are not required or expected to contribute to any such charity as part of, or as a condition of, doing business with The Company. It is not proper for any of The Company’s employees to suggest otherwise. Of course, vendors and/or contractors may support any charity desired regardless of its relationship with The Company but is an entirely voluntary matter.
3. Grants. The Company will accept grants from vendors and other non-governmental entities, but only for use in connection with the grant money’s stated business purpose. The Company will not accept grant money as an inducement to generate business for the grantor. All grants must be approved in advance by The Company’s Compliance Officer.
4. Fraud and Abuse. The Company employees are required to refrain from conduct that may violate fraud and abuse laws. Among other things, these laws prohibit direct, indirect, or disguised payments in exchange for referral of residents. Vendors and/or contractors will not receive any inducements from The Company for referring residents to that company. Vendors and/or contractors are not required or expected to refer residents to The Company as part of, or as a condition of, doing business with The Company.

5. Adherence to the Deficit Reduction Act of 2005, 42 U.S.C. Section 1396a(a)(68).
6. Financial Inducements. The Company employee may not offer any financial inducement, gift, payoff, kickback, or bribe intended to induce, influence, or reward favorable decisions of, or terms from, any contractor or vendor in a commercial or business transaction or any person in a position to benefit The Company or the employee in any way. Employees must act honestly and with integrity in their business dealings with all contractors and vendors. We know this is what you expect and that you will act likewise in your dealings and transactions with The Company.
7. Rebates. Appropriate rebates, discounts, and allowances are customary and acceptable business practices if they do not constitute illegal or unethical payments. Any such rebate, discount, or allowance given or made to The Company must have a reasonable business or commercial basis and should be competitively justified. Payments shall be made to The Company and not to any employee of The Company.
8. Discharge Planning. A skilled nursing company is legally required to perform discharge-planning services for its residents. Delegation of this service is prohibited to anyone other than an employee of The Company, with limited exceptions that must be approved of in advance from the Compliance Officer.
9. Compliance Officer. The Company has a Compliance Officer who oversees and monitors the Compliance and Ethics Program. If you have any questions about the program as it may affect you, please feel free to call \_\_\_\_\_, Compliance Officer at \_\_\_\_\_. If any vendor and/or contractor believes that employees of The Company have been less than completely honest in their dealings or in suggestions made, please advise the Compliance Officer or Compliance and Ethics Attorney. If you prefer, you may call the “Compliance Hotline” at (800) 557-1066 and leave an anonymous message.
10. Screening. The Company will conduct reasonable background investigations on vendors and contractors to determine if any such vendor or contractor has a criminal conviction related to health care or has been disbarred or excluded by a federal agency. The Company will not contract with any person or entity that has been so convicted or excluded or debarred and will attempt to terminate its contract arrangements with any such person or entity.

Offshore Operations. The Company does not perform Offshore Services.

Enclosure: Appendix VC 1.0 D - [Vendor/Contractor Compliance Acknowledgement Form](#)

**Appendix VC 1.0 E**  
**VENDOR/CONTRACTOR CERTIFICATION COMPLIANCE**  
**EMPLOYEE BACKGROUND SCREENINGS**  
**ETHICS PROGRAM**  
**MANDATORY COMPLIANCE TRAINING**

Vendor hereby certifies that it has performed criminal background checks on all employees or agents (“employees”) providing direct services to The Company and has determined that no such employee or agent has a criminal conviction related to or affecting healthcare or the care of an elderly or disabled person.

Vendor certifies that it has verified that all employees or agents (“employees”) providing direct services to The Company are not listed on the US Office of Inspector General’s Medicare or State maintained Medicaid Exclusion database (“exclusion checks”). Vendor certifies that it does exclusion checks monthly for all employees.

Vendor certifies that all of Vendor’s employees or agents providing direct services to The Company (“employees”) hold licenses or certifications necessary to provide such services and have been verified by Vendor at least once during the past 12-month period as holding a valid license or certification in good standing as required by state or federal law. Documentation of this verification is maintained on file by Vendor.

Vendor certifies that it does not perform Offshore Services.

Vendor agrees to abide by the standards set forth in The Company’s Compliance and Ethics Program and disseminate The Company’s “Compliance Plan” to Vendor’s owners, managers, and employees. Vendor also agrees to participate in The Company’s mandatory compliance training which can be accessed as follows:

Go to [www.mednetcompliance.com](http://www.mednetcompliance.com)  
Click on: E-LEARNING COURSES  
Click on: FRAUD, WASTE, AND ABUSE  
Click on: ELEMENTS OF A COMPLIANCE PROGRAM AND CODE OF CONDUCT  
Password: elements

_____	_____
Print Name	Title
_____	_____
Sign Name	Date

**Appendix VC 2.0 A**  
**STATE CONSUMER PROTECTION AND EXCLUSION WEBSITES**

**Appendix VC 2.1 A**  
**BUSINESS ASSOCIATE WORKSHEET**

**Definitions:** A Business Associate is defined as a person (or company) that provides a service to The Company that requires their use of individually identifiable health information. Individually identifiable health information (PHI) includes patient demographic information, claims data, insurance information, diagnosis information, and any other information that relates to the past, present, or future health condition, provision of health care, payment for health care, and that identifies the individual (or there is reasonable reason to believe could identify the individual).

**Directions:** List all those vendors, companies, and individuals that The Company conducts business with who may access PHI either for business purposes or inadvertently when providing a service (e.g., repair people). Does The Company have a contract with the Business Associate? List the contract name of the vendor, company, etc. and the phone number. What service does the Business Associate provide (example: information system vendor, equipment repair, business process consultant, transcription vendor, etc.)? When in doubt, include a Business Associate on the list. What PHI does the Business Associate receive or see? Demographics, insurance info, claim information, the entire record, etc. How does the Business Associate get PHI? On-line access (if so, how do they have access: dial in, network, etc.) email, US mail, paper record.

Business Associate	Contract Y/N	Contact Name	Phone	Service Provided	PHI Received or Disclosed	How do they get PHI?

## **Appendix VC 2.1 B BUSINESS ASSOCIATE AGREEMENT**

This Health Insurance Portability and Accountability Act (“HIPAA”) Business Associate Agreement (“Agreement”) is entered into by and between \_\_\_\_\_, hereafter referred to as the Covered Entity (“CE”) and the \_\_\_\_\_, hereafter referred to as the Business Associate (“Associate”), and is effective as of \_\_\_\_\_, (the “Agreement Effective Date”).

### **Recitals**

1. CE wishes to disclose certain information (“Information”) to Associate pursuant to the terms of the Agreement, some of which may constitute Protected Health Information (“PHI”) or Electronic Protected Health Information (“EPHI”).
2. CE and Associate intend to protect the privacy and provide for the security of any PHI and EPHI disclosed to Associate pursuant to the Agreement in compliance with the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 (“HIPAA”) and regulations promulgated thereunder by the U.S. Department of Health and Human Services including, but not limited to, Title 45, Section 164.504(e) of the Code of Federal Regulations, as the same may be amended from time to time (the “HIPAA Regulations”); and as amended by the Health Information Technology for Economic and Clinical Health Act (“HITECH”) and any regulations that may be promulgated thereunder, from time to time (the “HITECH Regulations”); the Privacy Rule amendments outlined in the American Recovery and Reinvestment Act (“ARRA”); the Patient Protection and Affordable Care Act (“PPACA”), as well as any other applicable state or federal laws (hereinafter, HIPAA, the HIPAA Regulations, HITECH, the HITECH Regulations, ARRA and PPACA are collectively referred to as the “HIPAA Laws”).
3. The purpose of this Agreement is to satisfy certain standards and requirements of the HIPAA Laws. In consideration of the mutual promises below and the exchange of information pursuant to this Agreement, the parties agree as follows:

### **Definitions**

**HIPAA Rules** – shall mean the Privacy, Security, Breach Notification, and Enforcement Rules at 45 CFR Part 160 and Part 164.

**Covered Entity** – shall generally have the same meaning as the term “covered entity” at 45 CFR 160.103.

**Business Associate** – shall generally have the same meaning as the term “business associate” at 45 CFR 160.103.

**Protected Health Information (“PHI”)** – Means any information, whether oral or recorded in any form or medium:



- A. that relates to the past, present, or future physical or mental condition of an individual; the provision of health care to an individual; or the past, present, or future payment for the provision of health care to an individual; and
- B. that identifies the individual or with respect to which there is a reasonable basis to believe the information can be used to identify the individual and shall have the meaning given to such term under HIPAA and the HIPAA Regulations.

**Electronic Protected Health Information (“EPHI”)** – Means any PHI transmitted in electronic format.

**Breach, Data Aggregation, Designated Record Set, Disclosure, Health Care Operations, Individual, Minimum Necessary, Notice of Privacy Practices, Protected Health Information, Required By Law, Secretary, Security Incident, Subcontractor, Unsecured Protected Health Information, and Use** – as used in this Agreement shall have the same meaning as those terms in the HIPAA Rules.

### **Obligations of Associate**

1. **Compliance with HIPAA’s Security Rule and the HITECH Act’s Privacy Provisions** – Associate must comply with HIPAA’s Security Rule and the HITECH Act’s Privacy Provisions. Pursuant to this obligation, Associate must, at a minimum, perform a risk analysis, periodically reassess and update security protections, and implement reasonable and appropriate security policies and procedures.
  - A. When carrying out a HIPAA obligation of CE, Associate must comply with the HIPAA Privacy Rule to the same extent as CE would be required to.
2. **Permitted Uses and Disclosures** – Associate may use and/or disclose PHI/EPHI received by Associate pursuant to this Agreement (“CE’s PHI”) solely in accordance with the specifications set forth in this agreement and in accordance with 45 CFR 164.502 (e) (1) (iii) and 45 CFR 164.38 (b) (2), which can be modified at any time if agreed upon by both parties.
  - A. Associate may use PHI received by Associate in its capacity as a Business Associate of CE for the proper management and administration of Associate, if such disclosure is necessary (1) for the proper management and administration of Associate or (2) to carry out the legal responsibilities of Associate.
  - B. Associate may disclose PHI received by Associate in its capacity as a Business Associate of CE for the proper management and administration of Associate if (1) the disclosure is required by law, or (2) Associate (a) obtains reasonable assurances from the person to whom the PHI is disclosed that it will be held confidentially and used or further disclosed only as required by law or for the purpose for which it was disclosed to the person, and (b) the person notifies Associate of any instances of which it becomes aware in which the confidentiality of the PHI has been breached.
  - C. For purposes of this Section, “Data Aggregation” means, with respect to CE’s PHI, the combining of such PHI by Associate with the PHI received by Associate in its capacity as a

Business Associate of another CE to permit data analyses that relate to the health care operations of the respective Covered Entities. Associate shall provide Data Aggregation services relating to the health care operations of CE.

- D. Associate agrees to make uses and disclosures and requests for PHI consistent with CE's minimum necessary policies and procedures.
3. **Nondisclosure** – Associate shall not use or further disclose CE's PHI otherwise than as permitted or required by this Agreement or as required by law. Associate may not use or disclose PHI in a manner that would violate Subpart E of 45 CFR Part 164 if done by CE.
    - A. To the extent Associate is to carry out one or more of CE's obligation(s) under Subpart E of 45 CFR Part 164, Associate must comply with the requirements of Subpart E that apply to CE in the performance of such obligation(s), except for the specific uses and disclosures set forth in this Agreement.
  4. **Safeguards** – Associate shall use appropriate safeguards and comply with Subpart C of 45 CFR Part 162 with regard to EPHI to prevent use or disclosure of CE's PHI otherwise than as provided for by this Agreement. Associate shall maintain a comprehensive written Information Privacy and Information Security Program that includes administrative, technical, and physical safeguards appropriate to the size and complexity of the Associate's operations and the nature and scope of its activities. Associate shall also maintain a written Identity Theft Prevention Program.
  5. **Subcontractors** – In accordance with 45 CFR 164.502(e)(1)(ii) and 164.308(b)(2), if applicable, Associate shall ensure that any subcontractors that create, receive, maintain, or transmit PHI on behalf of Associate agree to the same restrictions, conditions, and requirements that apply to the business associate with respect to such information.
  6. **Notification of Breach** – During the term of this Agreement, Associate shall notify CE within twenty-four (24) hours of any suspected or actual breach of security, intrusion, or unauthorized use or disclosure of PHI and/or any actual or suspected use or disclosure of data in violation of any applicable federal or state laws or regulations. Such notice shall identify the nature of the breach, including (1) a description of what happened, (2) the date of the breach, and (3) specific elements of PHI that were subject to the breach. Associate shall take (1) prompt corrective action to cure any such deficiencies and (2) any action pertaining to such unauthorized disclosure required by applicable federal and state laws and regulations. Associate shall also report a pattern of material breach of PHI by a subcontractor, pursuant to 45 CFR 164.504 (e)(1)(ii).
  7. **Associate's Agents** – Associate shall ensure that any agents, including subcontractors, to whom it provides PHI received from (or created or received by Associate on behalf of) CE agree to the same restrictions, conditions, and requirements that apply to Associate with respect to such PHI.
  8. **Availability of Information to CE** – Associate shall make available to CE such information as CE may require fulfilling CE's obligations to provide access to, provide a copy of, and account for disclosures with respect to PHI pursuant to the HIPAA Laws as necessary to satisfy CE obligations under 45 CFR 164.528. Associate shall make PHI available for CE in a designated record in accordance with 45 CFR 164.504 and 164.524.

9. **Amendment of PHI** – Associate shall make CE’s PHI available to CE as CE may require to fulfill CE’s obligations to amend PHI pursuant to the HIPAA Laws and Associate shall, as directed by CE, incorporate any amendments to CE’s PHI into copies of such PHI maintained by Associate pursuant to 45 CFR 164.526, or take other measures as necessary to satisfy CE’s obligations under 45 CFR 164.526.
  - A. Where CE receives a request for inspection and/or copying of PHI, which is created and maintained by the Associate's CE’s Privacy Officer will pass the Request for Inspection and Copying to the Associate and the Associate is responsible for fulfilling the request, as appropriate. CE’s log should be updated accordingly.
10. **Internal Practices** – Associate shall make its internal practices, books, and records relating to the use and disclosure of PHI received from CE (or created or received by Associate on behalf of CE) available to the Secretary of the U.S. Department of Health and Human Services for purposes of determining Associate’s compliance with the HIPAA Laws.
11. **De-identification** – Associate is expressly prohibited from de-identifying PHI as defined in 45 CFR 164.514.

### **Obligations of CE**

1. CE shall notify Associate of any limitation(s) in the notice of privacy practices of CE under 45 CFR 164.520, to the extent that such limitation may affect Associate’s use or disclosure of PHI.
2. CE shall notify Associate of any changes in, or revocation of, the permission by an individual to use or disclose his or her PHI, to the extent that such changes may affect Associate’s use or disclosure of PHI.
3. CE shall notify Associate of any restriction on the use or disclosure of PHI that CE has agreed to or is required to abide by under 45 CFR 164.522, to the extent that such restriction may affect Associate’s use or disclosure of PHI.
4. CE shall be responsible for using appropriate safeguards to maintain and ensure the confidentiality, privacy, and security of PHI transmitted to Associate pursuant to this Agreement, in accordance with the standards and requirements of the HIPAA Laws, until such PHI is received by Associate.
5. CE shall not request Associate to use or disclose PHI in any manner that would not be permissible under Subpart E of 45 CFR Part 164 if done by CE, except where Associate will use or disclose PHI for data aggregation or management and administration and legal responsibilities of Associate.

### **Audits, Inspection, and Enforcement**

From time to time upon reasonable notice, upon a reasonable determination by CE that Associate has breached this Agreement, CE may inspect systems, books, and records of Associate to monitor com-

pliance with this Agreement. Associate shall promptly remedy any violation of any term of this Agreement and shall certify the same to CE in writing. The fact that CE inspects, or fails to inspect, or has the right to inspect, Associate's systems and procedures does not relieve Associate of its responsibility to comply with this Agreement, nor does CE's (1) failure to detect or (2) detection, but failure to notify Associate or require Associate's remediation of any unsatisfactory practices constitute acceptance of such practice or a waiver of CE's enforcement rights under this Agreement

Associate may elect to retain and compensate an independent third-party to conduct a privacy audit in lieu of inspection by CE. Selection of a particular independent third-party is subject to CE's approval. Associate agrees, under such circumstances, to comply with the independent auditor's findings and to provide CE with both a copy of the independent auditor's written audit report as well as proof that Associate has, subsequently, remedied the breach of this Agreement.

### **Term and Termination**

1. **Term and Termination** - The term of this Agreement shall be effective as of this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_, and shall terminate when all of the PHI provided by CE to Associate, or created or received by Associate on behalf of CE is destroyed or returned to CE, or, if it is infeasible to return or destroy the PHI, protections are extended to such PHI in accordance with the termination provisions in this section.
2. **Termination for Cause** - If either party knows of a pattern of activity or practice of the other party that constitutes a material breach or violation of this Agreement, then the non-breaching party shall:
  - A. provide an opportunity for the other party to cure the breach or end the violation and terminate this Agreement if the other party does not cure the breach or end the violation within the time specified;
  - B. immediately terminate this Agreement if the other party has breached a material term of this Agreement and a cure is not possible; or
  - C. if neither termination nor cure is feasible, the non-breaching party shall report the violation to the Secretary.

Material Breach shall include Associate's improper use or disclosure of PHI, and any changes or any diminution of Associate's reported security procedures or safeguards that render any or all of Associate's safeguards unsatisfactory to CE, in CE's sole discretion. A material breach shall provide grounds for immediate termination of the Agreement by CE.

3. **Reasonable Steps to Cure Breach** – If CE knows of a pattern of activity or practice of Associate that constitutes a material breach or violation of the Associate's obligations under the provisions of this Agreement or another arrangement and does not terminate this Agreement, then CE shall take reasonable steps to cure such breach or end such violation, as applicable. If CE's efforts to cure such breach or end such violation are unsuccessful, CE shall either (1) terminate this Agreement, if feasible, or, (2) if termination of this Agreement is not feasible, CE shall report Associate's breach or violation to the Secretary of the Department of Health and Human Services.

4. **Judicial or Administrative Proceedings** – Either party may terminate this Agreement, effective immediately, if (1) the other party is named as a defendant in a criminal proceeding for a violation of the HIPAA Laws, or (2) a finding or stipulation that the other party has violated any standard or requirement of the HIPAA Laws or other security or privacy laws is made in any administrative or civil proceeding in which the party has been joined.
5. **Effect of Termination** – Upon termination of this Agreement for any reason, Associate shall return and destroy all PHI received from CE (or created or received by Associate on behalf of CE) that Associate still maintains in any form, and shall retain no copies of such PHI, or, if return or destruction is not feasible, it shall continue to extend the protections of this Agreement to such information and limit further use of such PHI to those purposes that make the return or destruction of such PHI infeasible.
6. **Obligations of Business Associate Upon Termination** - Upon termination of this Agreement for any reason, Associate, with respect to PHI received from CE, or created, maintained, or received by Associate on behalf of CE, shall:
  - A. retain only that PHI which is necessary for Associate to continue its proper management and administration, or to carry out its legal responsibilities;
  - B. return to CE (or, if agreed to by covered entity, destroy) the remaining PHI that the Associate still maintains in any form;
  - C. continue to use appropriate safeguards and comply with Subpart C of 45 CFR Part 164 with respect to EPHI to prevent use or disclosure of the protected health information, other than as provided for in this Section, for as long as Associate retains the PHI;
  - D. not use or disclose the PHI retained by Associate other than for the purposes for which such PHI was retained and subject to the same conditions set out forth above, which applied prior to termination; and
  - E. return to CE (or, if agreed to by CE, destroy) the PHI retained by Associate when it is no longer needed by Associate for its proper management and administration or to carry out its legal responsibilities.

In addition, upon termination, Associate shall either obtain or ensure the destruction of PHI created, received, or maintained by subcontractors.

7. **Survival** – The obligations of Associate under this Section shall survive the termination of this Agreement.

### **Indemnification**

Each party will indemnify, hold harmless, and defend the other party to this Agreement and its respective employees, directors, officers, subcontractors, agents, and affiliates from and against any and all claims, actions, damages, losses, liabilities, costs, fines, penalties, and other expenses incurred (including, without limitation, reasonable attorneys' fees), arising from or in connection with any breach of this Agreement, or any negligent or wrongful acts or omissions in connection with this Agreement, caused by the party or by its employees, directors, officers, subcontractors, or agents.

## **Disclaimer**

CE makes no warranty or representation that compliance by Associate with this Agreement, the HIPAA Laws will be adequate or satisfactory for Associate's own purposes or that any information in Associate's possession or control, or transmitted or received by Associate, is or will be secure from unauthorized use or disclosure. Associate is solely responsible for all decisions made by Associate regarding the safeguarding of PHI.

## **Certification**

To the extent that CE determines that such examination is necessary to comply with CE's legal obligations pursuant to the HIPAA Laws relating to certification of its security practices, CE or its authorized agents or contractors may, at CE's expense, examine Associate's facilities systems, procedures, and records as may be necessary for such agents or contractors to certify to CE the extent to which Associate's security safeguards comply with the HIPAA Laws or this Agreement. Associate may elect to retain an independent third-party to conduct a privacy audit in lieu of inspection by CE or its authorized agents or contractors. Associate's selection of an independent third-party is subject to CE's approval. CE and Associate agree to equally share the expense incurred in hiring such independent third-party.

## **Agreement**

1. **Covered Entity** – CE and Associate agree that both CE and Associate are required to comply as “covered entities” under the HIPAA Laws and the obligations of this Agreement are intended to apply mutually to both CE and Associate.
2. **Agreement to Comply with Law** - The parties acknowledge that applicable state and federal laws relating to electronic data security and privacy are rapidly evolving and that amendment of this Agreement may be required to provide for procedures to ensure compliance with such developments. The parties specifically agree to take such action as is necessary to implement the standards and requirements of the HIPAA Laws and other applicable laws relating to the security or confidentiality of PHI. The parties understand and agree that CE must receive satisfactory written assurance from Associate that Associate will adequately safeguard all PHI that it receives or creates pursuant to this Agreement. Upon CE's request, Associate agrees to promptly enter into negotiations with CE concerning the terms of an amendment to this Agreement embodying written assurances consistent with the standards and requirements of the HIPAA Laws or other applicable laws. CE may terminate this Agreement upon thirty (30) days written notice in the event:
  - A. Associate does not promptly enter into negotiations to amend this Agreement when requested by CE pursuant to this Section; or
  - B. Associate does not enter into an amendment to this Agreement providing assurances regarding the safeguarding of PHI that CE, in its sole discretion, deems sufficient to satisfy the standards and requirements of the HIPAA Laws.

## **Assistance in Litigation or Administrative Proceedings**

Associate shall make itself, and any subcontractors, employees, or agents assisting Associate in the performance of its obligations under this Agreement, available to CE, at no cost to CE, to testify as witnesses, or otherwise, in the event of litigation or administrative proceedings being commenced against CE, its directors, officers, or employees based upon claimed violation of the HIPAA Laws or other laws relating to security and privacy, except where Associate or its subcontractor, employee, or agent is a named adverse party.

## **No Third-Party Beneficiaries**

Nothing expressed or implied in this Agreement is intended to confer, nor shall anything herein confer, upon any person other than CE, Associate, and their respective successors or assigns, any rights, remedies, obligations, or liabilities whatsoever.

## **Severability**

If any court of competent jurisdiction holds any provisions of this Agreement in violation of any applicable law, the remaining provisions shall be enforced and remain in full force and effect to the extent they are not unlawful or are unenforceable.

## **Integration and Interpretation**

This Agreement contains the entire understanding of the parties with respect to the subject matter hereof and supersedes all prior agreements, oral or written, and all other communications between the parties relating to such subject matter.

This Agreement shall be interpreted as broadly as necessary to implement and comply with the Privacy and Security laws, rules, and regulations as well as applicable state laws. The parties agree that any ambiguity in the Agreement shall be resolved in favor of a meaning that complies and is consistent with the Privacy and Security laws, rules, and regulations.

## **Governing Law**

This Agreement shall be governed by and construed in accordance with the laws of the state having jurisdiction without giving effect to the conflict of law principles thereof. The Superior Court of the state having jurisdiction shall have exclusive jurisdiction over any such disputes, except those that may be subject to fee arbitration under the Rules of the Court. In the event of any litigation arising out of this Agreement, each party unconditionally and irrevocably waives the right to a jury trial.

## **Miscellaneous**

1. **Regulatory References** – A reference in this Agreement to a section in the HIPAA Rules means the section as in effect or as amended.
2. **Amendment** – The Parties agree to take such action as is necessary to amend this Agreement from time to time as is necessary for compliance with the requirements of the Privacy and Security

laws, rules, and regulations and any other applicable federal and/or state law. This Agreement may only be amended in writing, signed by CE and Associate; however, this Agreement must be amended to conform to any applicable regulatory changes or amendments to the Privacy and Security laws, rules, and regulations.

IN WITNESS WHEREOF, the parties hereto have duly executed this Agreement as of the Agreement Effective

\_\_\_\_\_  
Covered Entity (CE)

\_\_\_\_\_  
“ASSOCIATE”

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date



**Appendix VC 2.1 C**  
**BUSINESS ASSOCIATE AGREEMENT COVER LETTER SAMPLE**

(Date)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(Name)

(Vendor Name or Health Care Provider Name)

(Address)

Dear \_\_\_\_\_:

As a part of CompanyName’s compliance program to meet and exceed all regulatory requirements, we are contacting our business associates regarding recent changes to the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”) and The Health Information Technology for Economic and Clinical Health Act (“HITECH”) regulations. In particular, new regulations require additional efforts on the part of business associates in protecting health care information. This includes the preparation, distribution, and signing of new business associate agreements laying out these new government efforts. Please read, sign, and return the enclosed agreements. You may always contact us with any questions you may have.

Under these new regulations, business associates are expected to institute and maintain HIPAA compliance programs. Among the new requirements are standards for utilizing electronic records. Specific safety programs must be in place to prevent unintended or unauthorized breaches of protected health information. Additionally, business associates must take a proactive approach in supervising the HIPAA compliance of any subcontractors. All business associates and subcontractors can be investigated by the U.S. Department of Health, even if their services are not health related. Criminal charges are a possibility for severe situations.

We appreciate your attention to this matter and look forward to continuing our business relationship.

Sincerely,

\_\_\_\_\_, Administrator

Enclosed: Appendix VC 2.1 C – [\*Business Associate Agreement\*](#)

**Appendix VC 2.1 D**  
**BUSINESS ASSOCIATE AGREEMENT DENIAL LETTER SAMPLE**  
**(COMPANY LETTERHEAD)**

\_\_\_\_\_  
Name of Vendor

\_\_\_\_\_  
Address  
  
\_\_\_\_\_

Dear Vendor:

We recently received an inquiry from you for CompanyName to execute a Business Associate Agreement in order to meet the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”) Privacy regulations requirements which became law on April 14, 2003. It is CompanyName’s position that such an agreement is not required under the Privacy regulations.

At its basic level, the regulations do not require the execution of a Business Associate Agreement between covered entities (ex: your “practice/company” and CompanyName) for the exchange of Protected Health Information (PHI) for routine Treatment, Payment, or Healthcare Operations (TPO). Our Counsel states our activities clearly fall within this realm.

If you would like to review the full text of the OCR Guidance, it is available at <http://www.hhs.gov/ocr/hipaa/privacy.html>.

We are all learning the details of the complicated HIPAA regulations together. If you have any questions regarding this letter, or other HIPAA questions, please do not hesitate to contact me.

Sincerely,

\_\_\_\_\_, Privacy Officer

**Appendix VC 2.1 E**  
**BUSINESS ASSOCIATE RELEASE OF PROTECTED HEALTH INFORMATION**  
**(COMPANY LETTERHEAD)**

\_\_\_\_\_  
Name of Health Care Provider

\_\_\_\_\_  
Address  
\_\_\_\_\_

Dear Health Care Provider:

The following request has been made on behalf of our Company for certain Protected Health Information (“PHI”):

\_\_\_\_\_  
Name of Resident

\_\_\_\_\_  
Resident Address  
\_\_\_\_\_

Protected health information requested: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Your office has declined to provide us with this PHI citing “HIPAA Privacy Rule” requirements. We acknowledge that the information being requested is protected under the Health Insurance Portability and Accountability Act (HIPAA); however, we need to bring to your office’s attention that the information requested is for treatment and/or payment purposes. As such, we are entitled to receive such protected health information routinely and without impediment in our efforts to provide treatment and/or payment.

Please provide the above requested information as soon as possible. We appreciate participating with you in the continuum of care that we are all part of when we provide treatment and/or payment for the above-named resident.

Thank you in advance for your cooperation.

Sincerely,

\_\_\_\_\_, Privacy Officer

## **4. BUSINESS PRACTICES (BP)**

#### 4. BUSINESS PRACTICES (BP)

Policy Number	Policy
BP 1.0	<p><a href="#"><u>ADMISSIONS PLAN</u></a></p> <p><a href="#"><u>A. ADMISSION POLICIES</u></a></p> <p><a href="#"><u>B. ADMISSION TO COMPANY</u></a></p> <p><a href="#"><u>C. AGE RESTRICTIONS</u></a></p> <p><a href="#"><u>D. AUXILIARY AIDS AND SERVICES FOR PERSONS WITH DISABILITIES</u></a></p> <p><a href="#"><u>E. COMMUNICATION WITH PERSONS WITH LIMITED ENGLISH PROFICIENCY (LEP)</u></a></p> <p><a href="#"><u>F. NON-DISCRIMINATION POLICY</u></a></p> <ul style="list-style-type: none"> <li>• <a href="#"><u>DISSEMINATION OF NONDISCRIMINATION POLICY</u></a></li> <li>• <a href="#"><u>NONDISCRIMINATION &amp; ACCESSIBILITY REQUIREMENTS</u></a></li> </ul> <p><a href="#"><u>G. DISCRIMINATION AGAINST RESIDENTS AND PAYMENT PROVISIONS</u></a></p> <p><a href="#"><u>H. SECTION 504 NOTICE OF PROGRAM ACCESSIBILITY</u></a></p> <ul style="list-style-type: none"> <li>• <a href="#"><u>SECTION 504 GRIEVANCE PROCEDURE</u></a></li> </ul>
BP 2.0	<p><a href="#"><u>BUSINESS RELATIONS PRACTICES</u></a></p> <p><a href="#"><u>A. GIFTS MADE BY RESIDENTS TO STAFF AND AGENTS</u></a></p> <p><a href="#"><u>B. RECEIVING AND EXTENDING BUSINESS COURTESIES</u></a></p> <p><a href="#"><u>C. MARKETING LUNCHESES</u></a></p> <p><a href="#"><u>D. CHARITABLE CONTRIBUTIONS</u></a></p> <p><a href="#"><u>E. CAMPAIGN AND ELECTION LAW GUIDELINES</u></a></p>
BP 2.1	<p><a href="#"><u>DOCUMENT MANAGEMENT</u></a></p> <p><a href="#"><u>A. RECORDS RETENTION</u></a></p> <p><a href="#"><u>B. ELECTRONIC SIGNATURE POLICY</u></a></p> <p><a href="#"><u>C. FACSIMILE TRANSMISSION OF MEDICAL RECORDS</u></a></p>
BP 2.2	<p><a href="#"><u>WORKFORCE DATA MANAGEMENT</u></a></p> <p><a href="#"><u>A. MANDATORY SUBMISSION OF STAFFING INFORMATION</u></a></p>
<b>APPENDIX</b>	<b>Appendices, Tools, and Forms</b>
BP 2.1 A	<a href="#"><u>RECORDS RETENTION CHECKLIST</u></a>

BP 2.1 B	<a href="#"><u>ELECTRONIC SIGNATURE FOR THE MINIMUM DATA SET (MDS) ACKNOWLEDGEMENT/CERTIFICATION FORM</u></a>
BP 2.1 C	<a href="#"><u>COMMON ABBREVIATIONS/ACRONYMS/INITIALISMS</u></a>

**Policy Number:** BP 1.0  
**Policy Title:** Admissions Plan

**Policy Statement/Purpose:** The Company has systems in place to ensure compliance with applicable state and federal laws and regulations, and The Company Compliance and Ethics Program.

**Policy Interpretation and Implementation:** The admission plan and its protocols are components of The Company Compliance and Ethics Program.

### **A. ADMISSION POLICIES**

- 1). *Overview:* It is the policy of The Company to admit and to treat, all residents without regard to race, color, national origin, sex (including pregnancy, sexual orientation, and gender identity), age, disability, religion, ancestry, marital or veteran status, domestic violence victim status, and/or payment source.
- 2). *Requirements:*
  - a. There is no distinction in eligibility or in the manner of providing resident services provided by The Company.
  - b. All services of The Company are available without distinction to all residents and visitors regardless of race, color, national origin, sex (including pregnancy, sexual orientation, and gender identity), age, disability, religion, ancestry, marital or veteran status, domestic violence victim status, and/or payment source.
  - c. All persons and organizations that have occasion either to refer residents for admission or recommend The Company are advised to do so without regard to the resident's race, color, national origin, sex (including pregnancy, sexual orientation, and gender identity), age, disability, religion, ancestry, marital or veteran status, domestic violence victim status, and/or payment source.
- 3). *Inquiries:* Please stop in and visit us or call for information and a tour. The Admissions Coordinator will be pleased to show you around and answer your questions concerning our admission policy.

### **B. ADMISSION TO COMPANY**

- 1). *Overview:* The Company will admit only those residents whose medical and nursing care needs can be met.
- 2). *Admission Policy Objectives:*
  - a. Provide uniform guidelines for admitting residents to The Company.
  - b. Admit residents who can be adequately cared for by The Company.
  - c. Address concerns of residents and families during the admission process.
  - d. Review with the resident, and/or his/her representative (sponsor), The Company's policies and procedures relating to resident rights, resident care, financial obligations, visiting hours, etc.
  - e. Assure that The Company receives appropriate medical and financial records prior to, or upon the resident's admission.

3). *Admission Requirements:*

- a. Prior to, or at the time of admission, the resident's attending Physician must provide The Company with information needed for the immediate care of the resident, including orders covering at least:
  1. type of diet (e.g., regular, mechanical, etc.);
  2. medication orders, including (as necessary) a medical condition or problem associated with each medication; and
  3. routine care orders to maintain or improve the resident's function until the physician and care planning team can conduct a comprehensive assessment and develop a more detailed Interdisciplinary Care Plan.
- b. Residents will be admitted to this company if their nursing and medical needs can adequately be met by The Company.
- c. The acceptance of residents with certain conditions or needs may require authorization or approval by the Medical Director, Director of Nursing Services, and/or the Administrator.
- d. Company admission policies apply to all residents admitted to The Company regardless of race, color, creed, national origin, age, sex (including pregnancy, sexual orientation, and gender identity), religion, disability, ancestry, marital or veteran status, domestic violence victim status, and/or payment source.
- e. The Administrator, through the Admissions Department, shall ensure that the resident and The Company follow applicable admission policies.

**C. AGE RESTRICTIONS STATEMENT**

*(Select one Statement)*

- 1) *No Age Restriction:* It is the policy of The Company to not deny or restrict access to services based on an individual's age, unless age is a factor necessary to normal operations or the achievement of any statutory objective.
- 2). *Age Requirement 18 or Older - Scope of Company Operations:*
  - a. It is the policy of The Company to extend services to persons over the age of 18 years.
  - b. The Company does not extend services for pediatric care. The Company is not properly equipped, and staff members are not trained to cater to this demographic.

**D. AUXILIARY AIDS AND SERVICES FOR PERSONS WITH DISABILITIES**

- 1). *Overview:* The Company will take appropriate steps to ensure that persons with disabilities, *including persons who are deaf, hard of hearing, or blind, or who have other sensory or manual impairments*, have an equal opportunity to participate in our services, activities, programs, and



other benefits. Company procedures are intended to ensure effective communication with residents/clients involving their medical conditions, treatment, services, and benefits. The procedures apply to communication of information contained in important documents, including waivers of rights, consent to treatment forms, financial and insurance benefit forms, authorization to dispense medical information, handling of personal valuables etc. All necessary auxiliary aids and services shall be provided without cost to the person being served.

All staff will be provided written notice of this policy and procedure, and staff that may have direct contact with individuals with disabilities will be trained in effective communication techniques, including the effective use of interpreters.

2). *Services for Persons with Disabilities:*

- a. Identification and Assessment of Need: The Company provides notice of the availability of a procedure for requesting auxiliary aids and services through notices in Company brochures, letters and written advertisements, etc. and through notices posted in the lobby, nursing station, and all other posting areas. When an individual self-identifies as a person with a disability that affects the ability to communicate or to access or manipulate written materials or requests an auxiliary aid or service, staff will consult with the individual to determine what aids or services are necessary to provide effective communication in particular situations.
- b. Provision of Auxiliary Aids and Services: The Company shall provide the following services or aids to achieve effective communication with persons with disabilities:
  1. AN INTERPRETER FOR PERSONS WHO ARE DEAF OR HARD OF HEARING
    - For persons who are deaf/hard of hearing, and who use sign language as their primary means of communication, the Administrator of Record\* is responsible for providing effective interpretation or arranging for a *qualified* interpreter when needed.
    - If an interpreter is needed, the Administrator of Record\* is responsible for:
      - Maintaining a list of qualified interpreters on staff showing their names, phone numbers, qualifications, and hours of availability
      - Contacting the appropriate interpreter on staff to interpret, if one is available and qualified to interpret; or obtaining an outside interpreter if a qualified interpreter on staff is not available
      - If an outside interpreter is required, the Administrator of Record\* is responsible for arranging for interpreter services through the Language Line at [www.language-line.com](http://www.language-line.com) or (1-800-752-6096)

\*The Administrator of Record, or designee can be reached at \_\_\_\_\_

2. AUXILIARY AIDS AND SERVICES FOR COMMUNICATING WITH PERSONS WHO ARE DEAF OR HARD OF HEARING
  - The Company utilizes relay services for external telephone with TTY users. The Company can accept and make calls through a relay service. The state relay service number is 711.
  - For the following auxiliary aids and services, staff will contact the Administrator of Record\* who is responsible for providing the aids and services, as appropriate, in a timely manner: Note-takers, computer-aided transcription services, telephone handset amplifiers, written copies of oral announcements, assistive listening devices, assistive listening systems, telephones compatible with hearing aids, closed caption decoders,

open and closed captioning, telecommunications devices for deaf persons (TDDs), videotext displays, or other effective methods that help make aurally delivered materials available to individuals who are deaf or hard of hearing.

- Some persons who are deaf or hard of hearing may prefer or request to use a family member or friend as an interpreter. However, family members or friends of the person will not be used as interpreters unless specifically requested by that individual and after an offer of an interpreter at no charge to the person has been made by The Company. Such an offer, and the response will be documented in the person's file. If the person chooses to use a family member or friend as an interpreter, issues of competency of interpretation, confidentiality, privacy, and conflict of interest will be considered. If the family member or friend is not competent or appropriate for any of these reasons, competent interpreter services will be provided.

***NOTE: Children and other residents will not be used to interpret, to ensure confidentiality of information and accurate communication and interpretation.***

\*The Administrator of Record, or designee can be reached at \_\_\_\_\_

### 3. AUXILIARY AIDS AND SERVICES FOR PERSONS WHO ARE BLIND OR WHO HAVE LOW VISION

- Staff will communicate information contained in written materials concerning treatment, benefits, services, waivers of rights, and consent to treatment forms by reading out loud and explaining these forms to persons who are blind or who have low vision.
- Large print taped/recorded, Braille, and electronically formatted materials are available on an as-needed basis. These materials may be obtained by calling the Administrator of Record\*.
- Staff will contact the Administrator of Record\* for auxiliary aids and services. The Administrator of Record\* is responsible for providing the aids and services, as appropriate, in a timely manner: Qualified readers, reformatting into large print, taping or recording of print materials not available in alternate format, or other effective methods that help make visually delivered materials available to individuals who are blind or who have low vision. In addition, staff are available to assist persons who are blind or who have low vision in filling out forms and in otherwise providing information in a written format.

\*The Administrator of Record, or designee can be reached at \_\_\_\_\_

### 4. FOR PERSONS WITH SPEECH IMPAIRMENTS

- To ensure effective communication with persons with speech impairments, staff will contact the Administrator of Record\* who is responsible for providing the aids and services, as appropriate, in a timely manner: Writing materials, typewriters, TDDs, computers, flashcards, alphabet boards, communication boards, and other communication aids are to be made available on an as-needed basis.

\*The Administrator of Record, or designee can be reached at \_\_\_\_\_

### 5. FOR PERSONS WITH MANUAL IMPAIRMENTS

- Staff will assist those who have difficulty in manipulating print materials by holding the materials and turning pages as needed, or by providing one or more of the following: note-takers, computer-aided transcription services, speaker phones, or other effective methods that help to ensure effective communication by individuals with manual impairments.
- For these and other auxiliary aids and services, staff will contact the Administrator of Record\* who is responsible for providing the aids and services, as appropriate, in a timely manner.

\*The Administrator of Record or designee can be reached at \_\_\_\_\_

## **E. COMMUNICATING WITH PERSONS WITH LIMITED ENGLISH PROFICIENCY (LEP)**

- 1). *Overview:* The Company will take reasonable steps to ensure that persons with Limited English Proficiency (LEP) have meaningful access and an equal opportunity to participate in our services, activities, programs, and other benefits. The policy of The Company is to ensure meaningful communication with LEP residents/clients and their authorized representatives involving their medical conditions and treatment. The policy also provides for communication of information contained in vital documents, including but not limited to, waivers of rights, consent to treatment forms, financial and insurance benefit forms, authorization to dispense medical information, handling of personal valuables etc. All interpreters, translators, and other aids needed to comply with this policy shall be provided without cost to the person being served, and residents/clients and their families will be informed of the availability of such assistance free of charge.

Language assistance will be provided through use of competent bilingual staff, staff interpreters, contracts or formal arrangements with local organizations providing interpretation or translation services, or technology and telephonic interpretation services. All staff will be provided notice of this policy and procedure, and staff that may have direct contact with LEP individuals will be trained in effective communication techniques, including the effective use of an interpreter.

The Company will conduct a regular review of the language access needs of the patient population, as well as update and monitor the implementation of this policy and these procedures, as necessary.

- 2). *Communicating with Persons with Limited English Proficiency (LEP):*
  - a. Identifying LEP Persons and their Language
    1. The Company will promptly identify the language and communication needs of the LEP person. If necessary, staff will use a language identification card (or “I speak cards,” available online at [www.lep.gov](http://www.lep.gov)) or posters to determine the language.
    2. In addition, when records are kept of past interactions with residents (clients/residents) or family members, the language used to communicate with the LEP person will be included as part of the record.
  - b. Obtaining a Qualified Interpreter (One who is experientially prepared and unbiased in the outcome of the discussion)
    1. The Administrator of Record\* is responsible for:

- Maintaining an accurate and current list showing the name, language, phone number, and hours of availability of bilingual staff (see attached list)
  - Contacting the appropriate bilingual staff member to interpret, if an interpreter is needed, if an employee who speaks the needed language is available and is qualified to interpret
  - Obtaining an outside interpreter if a bilingual staff or staff interpreter is not available or qualified or does not speak the needed language. The Administrator of Record\* is responsible for arranging for interpreter services as appropriate through Language Line at [www.language.com](http://www.language.com) or (1-800-752-6096).
2. Some LEP persons may prefer or request to use a family member or friend as an interpreter. However, family members or friends of the LEP person will not be used as interpreters unless specifically requested by that individual and after the LEP person has understood that an offer of an interpreter at no charge to the person has been made by The Company. Such an offer, and the response will be documented in the person's file. If the LEP person chooses to use a family member or friend as an interpreter, issues of competency of interpretation, confidentiality, privacy, and conflict of interest will be considered. If the family member or friend is not competent or appropriate for any of these reasons, competent interpreter services will be provided to the LEP person.
  3. Children and other clients/residents/residents will not be used to interpret, in order to ensure confidentiality of information and accurate communication.
- c. Providing Written Translations
    1. When translation of vital documents is needed, each unit in The Company will submit documents for translation into frequently-encountered languages to the Administrator of Record\*. Original documents being submitted for translation will be in final, approved form with updated and accurate legal and medical information.
    2. Facilities will provide translation of other written materials, if needed, as well as written notice of the availability of translation, free of charge, for LEP individuals.
    3. The Company will set benchmarks for translation of vital documents into additional languages over time.
  - d. Providing Notice to LEP Persons
    1. The Company will inform LEP persons of the availability of language assistance, free of charge, by providing written notice in languages LEP persons will understand. At a minimum, notices and signs will be posted and provided in intake areas and other points of entry, including but not limited to the lobby, nursing station, and all other posting areas in The Company. Notification will also be provided through one or more of the following: brochures, letters, and written advertisements.
  - e. Monitoring Language Needs and Implementation
    1. On an ongoing basis, The Company will assess changes in demographics, types of services, or other needs that may require reevaluation of this policy and its procedures.
    2. In addition, The Company will regularly assess the efficacy of these procedures, including but not limited to mechanisms for securing interpreter services, equipment used for the delivery of language assistance, complaints filed by LEP persons, feedback from residents and community organizations, feedback from staff, regular company-wide self-audits.

\*The Administrator of Record or designee can be reached at \_\_\_\_\_

## F. NONDISCRIMINATION POLICY

- 1). *Overview:* As an equal opportunity employer and recipient of Federal financial assistance, The Company does not exclude, deny benefits to, or otherwise discriminate against any person on the ground of race, color, age, sex (including pregnancy, sexual orientation, and gender identity), marital status, religion, creed, disability, national origin, or veteran status, in admission to, participation in, or receipt of the services and benefits under any of its programs and activities, whether carried out by The Company directly, or through a contractor or any other entity with which The Company arranges to carry out its programs and activities.

This statement is in accordance with the provisions of Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, the Age Discrimination Act of 1975, and Regulations of the U.S. Department of Health and Human Services issued pursuant to these statutes at Title 45 Code of Federal Regulations Parts 80, 84, and 91.

### 2). *Implementation:*

1. The Company will not consider the race, color, age, sex (including pregnancy, sexual orientation, and gender identity), marital status, religion, creed, disability, national origin, or veteran status, of an applicant.
2. The Company and its employees will not discharge or cause an employee to resign on the basis of race, color, age, sex (including pregnancy, sexual orientation, and gender identity), marital status, religion, creed, disability, national origin, or veteran status.
3. The Company will not base pay rates, salary, benefits, or other employee privileges on the basis of race, color, age, sex (including pregnancy, sexual orientation, and gender identity), marital status, religion, creed, disability, national origin, or veteran status.
4. The Company will not tolerate any jokes or insensitive comments relating to race, color, age, sex (including pregnancy, sexual orientation, and gender identity), marital status, religion, creed, disability, national origin, or veteran status. Any such statements are to be reported to a Department Head and the Administrator.
5. All complaints of discrimination are to be made to the employee's Department Head and then forwarded to the Administrator.

### **In case of questions, please contact:**

Company Name: \_\_\_\_\_

Contact Person/Section 504 Coordinator: Administrator of Record

Telephone number: \_\_\_\_\_

TDD or State Relay number: 7-1-1

### 2). *Dissemination of Nondiscrimination Statement*

- a. For the public:

1. A copy of the nondiscrimination statement is posted in The Company for visitors and clients/residents to view.
2. The nondiscrimination statement is printed in The Company brochure and is routinely distributed to residents, referral sources, and the community.
3. The nondiscrimination statement is included in newspaper advertisements for The Company.
- b. For the residents:
  1. The nondiscrimination statement is included in resident admissions packet.
  2. The nondiscrimination statement is discussed with residents upon their initial visit with The Company.
  3. A copy of the nondiscrimination statement is available upon request.
- c. For the employees:
  1. The nondiscrimination statement is included in employee advertisements.
  2. The nondiscrimination statement is included in the employee handbook.
  3. The nondiscrimination statement is discussed and distributed during employee orientation.
  4. The nondiscrimination statement is posted in employee break rooms.

The Company Nondiscrimination Policy is posted on The Company website. Please visit our website for more details and to find additional information about The Company.

The Company Nondiscrimination clause is incorporated into the accompanying documents.

- 3). *Nondiscrimination & Accessibility Requirements*: The Company complies with applicable Federal civil right laws and does not discriminate based on race, color, national origin, age, disability, or sex (including pregnancy, sexual orientation, and gender identity).

The Company does not exclude people or treat them differently because of race, color, national origin, age, disability or sex (including pregnancy, sexual orientation, and gender identity).

- 4). *Auxiliary Aids and Services*: This company provides the following:
  - a. Free aids and services to people with disabilities for effective communications with The Company include:
    1. Qualified sign language interpreters
    2. Written information in other formats (large print, audio, accessible electronic formats, other formats)
  - b. Free language services to people whose primary language is not English, such as:
    1. Qualified interpreters
    2. Information written in other languages

To access these services, contact the Administrator of Record or designee at \_\_\_\_\_

## **G. DISCRIMINATION AGAINST RESIDENTS AND PAYMENT PROVISIONS**

- 1). *Overview*: It is the policy of The Company to maintain identical policies and practices for all individuals regarding transfer and discharge, regardless of payment sources, and to comply with

all applicable law with respect to admissions decisions, as well as the provision of services under the state Medicaid plan.

- 2). *Implementation:* Providers may wish to include the following suggested elements as part of their corporate compliance policy:
- a. The Company will not require residents or potential residents to waive their rights under Medicaid or Medicare, and not require oral or written assurances that residents or potential residents are not eligible or will not apply for Medicaid or Medicare benefits.
  - b. The Company will not require a third-party guarantee of payment as a condition of admission, expedited admission, or continued stay at The Company. The Company may require a person who has legal access to and/or control over a resident's income or resources to pay for Company care or sign a contract to provide payment for the resident's services, without requiring the person to assume personal financial liability for such care.
  - c. For Medicaid eligible residents, The Company will not charge, solicit, accept, nor receive for services covered by Medicaid any gift, money, donation, or other consideration, in addition to any amount required to be paid under the state Medicaid plan, as a precondition of admission, expedited admission, or continued stay at The Company.
  - d. The Company may charge residents amounts above and beyond payment received by Medicaid for items and services required by the resident and not included in the Medicaid package of "nursing company services" as long as The Company gives proper notice of the availability and cost of such services or items and does not condition the resident's admission and continued stay on the purchase of such items or services.
  - e. The Company may solicit, accept, or receive charitable, religious, or philanthropic contributions from an organization or a person unrelated to a Medicaid resident as long as such contribution is not a condition of a resident's admission or continued stay. All offers for the donation of such contributions shall be reported to The Company Administrator, Corporate Compliance Officer, or other person designated by The Company for a determination that such contribution is allowed under applicable law.

## H. SECTION 504 NOTICE OF PROGRAM ACCESSIBILITY

- 1). *Overview:* The regulation implementing section 504 requires that an agency/company "...adopt and implement procedures to ensure that interested persons, including persons with impaired vision or hearing, can obtain information as to the existence and location of services, activities, and facilities that are accessible to and usable by disabled persons." (45 C.F.R. §84.22(f))
- 2). *Program Accessibility:* The Company and all of its programs and activities are accessible to and useable by disabled persons, including persons who are deaf, hard of hearing, blind, or who have other sensory impairments. Access features include:
  - a. Convenient off-street parking designated specifically for disabled persons.
  - b. Curb cuts and ramps between parking areas and buildings
  - c. Level access into first floor level with elevator access to all other floors
  - d. Fully accessible offices, meeting rooms, bathrooms, public waiting areas, cafeteria, patient treatment areas, including examining rooms, and patient wards
  - e. A full range of assistive and communication aids provided to persons who are deaf, hard of hearing, blind, or who have other sensory impairments. There is no additional charge for such aids. Some of these aids include:
    1. Qualified sign language interpreters for persons who are deaf or hard of hearing
    2. A twenty-four-hour (24) telecommunication device (TTY/TDD) which can connect the caller to all extensions within The Company and/or portable (TTY/TDD) units, for use by persons who are deaf, hard of hearing, or speech impaired
    3. Readers and taped material for the blind, and large print materials for the visually impaired
    4. Flash cards, Alphabet boards, and other communication boards
    5. Assistive devices for persons with impaired manual skills

If any of the aids listed above are needed, contact the receptionist, nurse, or the Administrator of record.

- 3). *Section 504 Grievance Procedure:* It is the policy of The Company not to discriminate based on the person's disability. The Company has adopted an internal grievance procedure providing for prompt and equitable resolution of complaints alleging any action prohibited by Section 504 of the Rehabilitation Act of 1972 (29 U.S.C. §794) or the U.S. Department of Health and Human Services regulations implementing the individual "...shall, solely by reason of his handicap, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance...."
  - a. The Law and Regulations may be examined in the office of the Administrator of Record\* who has been designated to coordinate the efforts of The Company to comply with Section 504.
  - b. Any person who believes she or he has been subjected to discrimination based on disability may file a grievance under this procedure. It is against the law for The Company to retaliate against anyone who files a grievance or cooperates in the investigation of a grievance.
  - c. If you believe that this Company has failed to provide these services or discriminated in another way based on race, color, national origin, age, disability, or sex, you can file a grievance with the Administrator of Record\*.



(Company Address)

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(Company Phone Number)

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(Company Email)

*You can file a grievance in person or by mail, fax, or email. If you need help filing a grievance, the Administrator of Record is available to help you.*

- d. You can file a civil rights complaint with the U.S. Department of Health and Human Services, Office for Civil Rights, electronically through the Office for the Civil Rights Complaint Portal, available at <http://ocrportal/lobby.jsf>, or by mail or phone at:

U.S. Department of Health and Human Services  
200 Independence Avenue, SW / Room 509F, HHH Building  
Washington, D.C. 20201  
1-800-368-1019, 800-537-7697 (TDD)

Complaint forms are available at <http://www.hhs.gov/ocr/office/file/index.html>

**LANGUAGE INTERPRETIVE ASSISTANCE FOR THE PROVISION OF HEALTHCARE SERVICES  
(State Specific)**

- 4). *Filing a grievance:* Grievances must be submitted to the Section 504 Coordinator within thirty (30) days of the date the person filing the grievance becomes aware of the alleged discriminatory action.
- A complaint must be in writing, containing the name and address of the person filing it
  - The complaint must state the problem or action alleged to be discriminatory and the remedy or relief sought
  - The Section 504 Coordinator (or her/his designee) shall investigate the complaint. This investigation may be informal, but it must be thorough, affording all interested persons an opportunity to submit evidence relevant to the complaint
  - The Section 504 Coordinator will maintain the files and records of The Company relating to such grievances
  - The Section 504 Coordinator will issue a written decision on the grievance no later than thirty (30) days after its filing
  - The person filing the grievance may appeal the decision of the Section 504 Coordinator by writing to the Administrator, who shall issue a written decision in response to the appeal no later than thirty (30) days after its filing
- 5). *Grievance Considerations:*
- The availability and use of this grievance procedure does not prevent a person from filing a complaint of discrimination based on disability with the U.S. Department of Health and Human Services, Office for Civil Rights

- b. The Company will make appropriate arrangements to ensure that disabled persons are provided other accommodations, if needed, to participate in this grievance process. Such arrangements may include, but are not limited to, providing interpreters for the deaf, providing taped cassettes of materials for the blind, or assuring a barrier-free location for the proceedings. The Section 504 Coordinator will be responsible for such arrangements

\*The Administrator of Record or designee can be reached at \_\_\_\_\_

**Policy Number:** BP 2.0

**Policy Title:** Business Relations Practices

**Policy Statement/Purpose:** The Company has policies in place to ensure business practices are compliant with Laws, Rules, and Regulations and other directives of federal, state and local governments, departments and agencies and the requirements of The Company Compliance and Ethics Program

**Policy Interpretation and Implementation:** Business practices are components of The Company Compliance and Ethics Program.

#### **A. GIFTS MADE BY RESIDENTS TO STAFF AND AGENTS**

- 1). *Overview:* Company employees and agents shall not obtain any improper personal benefit from his or her employment or association with The Company. Company Associates may not accept gifts from residents or family members, unless the gift is a non-cash gift of nominal value (e.g., cookies baked by a family member or fruit and vegetables grown in a family member's garden).
- 2). *Protocol for Accepting and Giving Gifts:* Skilled Nursing Company protocols must specify, at a minimum, that:
  - a. No Associate shall solicit, receive, or accept from any person or entity, nor offer or give to any person or entity, anything of material value if that person or entity is in a position to refer business to The Company, or if The Company is in a position to refer business to that person or entity except as permitted by law.
  - b. No Associate shall accept any gift, hospitality, or entertainment in any amount from, or on behalf of, a resident of The Company; and shall not accept from any other person any cash or cash equivalents, any gift of more than the nominal value of fifty dollars (\$50) per gift, or an aggregate of fifty dollars (\$50) per year from any particular person or entity, or any hospitality or entertainment that, because of its source or value, might influence the employee's independent judgment in transactions involving The Company. If any gift is received as allowed under the terms of this provision, employee shall notify his or her immediate supervisor promptly.
  - c. No Associate shall provide any gifts or gratuities to any government or public agency representatives except as permitted by law.
  - d. No Associate shall make payments for a physician's travel to, or for, participation in conferences, unless the subject matter of the conference is of direct benefit to The Company. Similarly, there shall be no payments of a physician's continuing education fees, no discounted billing services, no interest-free loans, and no forgiveness of loans as part of any gift to a physician, unless such benefits are specifically allowed as part of a permissible physician agreement.
  - e. No Associate shall pay or receive anything of financial benefit in exchange for Medicare or Medicaid referrals, such as receiving non-covered medical products at no charge in exchange for ordering Medicare-reimbursed products.
  - f. No gift or loan of cash or cash equivalents (e.g., gift certificates or gift cards) may be accepted.

- g. Associates will discourage residents or family members from giving gifts of greater than a nominal value. If a resident or family member insists that the employee/agent accept a gift that is of greater than nominal value, then, prior to accepting the gift, the employee/agent will report the offer to the Compliance Officer.
- h. The Compliance Officer, in conjunction with the Compliance Attorney, will determine the appropriateness of accepting the gift and any action to be taken. The Compliance Officer may require the resident and employee/agent to sign a statement attesting that the gift is given voluntarily and with no direct bearing on the services provided to the resident by the employee/agent.
- i. Employees/agents are absolutely and unconditionally prohibited from selling merchandise to residents or family members under any circumstances.
- j. Should a resident ask an employee/agent of The Company whether he or she would like to be a beneficiary under the resident's will, the employee/agent will be required to immediately inform the Compliance Officer. The Compliance Officer will then be obligated to advise the resident to consult with his or her attorney prior to making any disposition to the employee/agent.

## **B. RECEIVING AND EXTENDING BUSINESS COURTESIES**

- 1). *Overview:* Company policies provide employee guidance on receiving and giving business courtesies. Employees must contact the Compliance Officer if there are questions regarding business courtesies that are not addressed in this policy.
- 2). *Receiving Business Courtesies:*
  - a. Social Events/Entertainment
    1. Invitations to social events may be accepted from current or potential business associates to further develop a business relationship under the following conditions:
      - The event must not include any travel costs (other than travel by car), or overnight lodging. The cost associated with the event must be reasonable and appropriate (i.e., less than one hundred dollars (\$100) per person). Such social events with respect to any individual should not occur more frequently than quarterly. All exceptions to the above-mentioned conditions must be approved by the Administrator
    2. Employees shall not accept business courtesies to the extent that their decision making might be improperly influenced.
  - a. Training/Education
    1. Attendance at a vendor-sponsored workshop, seminar, or training session is permitted. Arrangements that include travel and overnight lodging at no cost to the employee must be approved in advance by the Administrator.
    2. Attendance at an event at a vendor's expense to receive information about new products or services must be approved in advance by the Administrator.
  - b. Gifts
    1. Employees may accept a gift with a total value of fifty dollars (\$50) or less in any one (1) year from any individual vendor that has a business relationship with The Company.
      - Attending physicians at The Company are considered, for purposes of this policy, to be vendors that have a business relationship with The Company

2. Employees may not accept cash, or cash equivalents such as gift certificates or gift cards.
  3. A unit or group within The Company may accept a general gift of perishable or consumable gifts.
- 3). *Extending Business Courtesies to Non-Referral Sources (Sources not in a position to make resident referrals):*
- a. Social Events/Entertainment
    1. Invitations extended to non-referral sources to attend social events to develop a business relationship must be approved in advance by the Administrator.
    2. Additionally, the following conditions apply:
      - During these events, topics of a business nature must be discussed and the representative from The Company must be present
      - The non-referral source's travel expenses should not be paid for by The Company (other than travel by car). The cost associated with such an event must be reasonable and appropriate (i.e., less than one hundred dollars (\$100) per person)
      - Business entertainment with respect to any individual must be infrequent (less than quarterly)
      - Any exceptions to the above conditions must be approved by the Administrator. If the approved amount is inadvertently exceeded, a report after the fact will be submitted to the Compliance Officer in addition to the Administrator
  - b. Business Events
    1. Reasonable and appropriate meals may be offered in conjunction with a business event.
    2. Transportation and lodging are reimbursable by The Company with appropriate receipts.
    3. Gifts
      - Gifts or other incentives must never be used to improperly influence relationships or business outcomes
      - Gifts to business associates who are not government employees must not exceed fifty dollars (\$50) per year per recipient
      - Cash or cash equivalents, such as gift certificates or gift cards, must never be given
      - All exceptions to this policy must be approved by the Administrator and a report submitted to the Compliance Officer
- 4). *Extending Business Courtesies to Referral Sources (Sources that may be able to make resident referrals):*
- a. Extending Business Courtesies to Possible Referral Sources:
    1. Reasonable and appropriate meals may be offered in conjunction with a business event.
    2. Transportation and lodging for a business event are reimbursable by The Company.
    3. Any entertainment (business or social) or gifts involving physicians or other persons who can refer residents to The Company must be approved by the Administrator.
- 5). *Business Courtesies with Government Employees:*
- a. Providing gifts, entertainment, or anything else of value to any employee of the federal or state government is prohibited.
  - b. Modest meals and refreshments in connection with business discussions may be provided.

## C. MARKETING LUNCHES

- 1). *Overview:* The Company occasionally offers light lunches in conjunction with specific events. These events must include a specific educational purpose that does not include fostering good will among clients or residents. Lunches can never be provided in exchange for referrals or with the hope of obtaining referrals. Lunches cannot accompany recreational or client relation meetings. They can only be provided in addition to discussions of a scientific or otherwise educational nature.

The lunches must be modest. Exuberant lunches suggest that the lunch is the main attraction of the event and therefore serves the purpose of encouraging referrals.

- 2). *Marketing Lunches:*
  - a. When a staff member recognizes an opportunity to include a lunch, they should prepare a description of the event. The description should include the purpose of the event, the agenda for the event, and the intended participants in the event. A history of similar events should be listed as well.
  - b. The description should be provided to the Compliance Officer. The Company administration will add background information on the relationship between The Company and the client.
  - c. Compliance counsel will be available to provide a legal analysis of a proposed event.
  - d. The staff member organizing the event will document any changes made to the event for further review by Company administration.

## D. CHARITABLE CONTRIBUTIONS

- 1). *Overview:* The Company complies with applicable laws, rules, and regulations governing charitable contributions, and ensures that Associates do not offer or give anything of value in exchange for referral of any item or service furnished under federal or state health care programs.

The Company requires that Associates be aware of laws and regulations governing the support of charitable and cultural institutions and ensure that charitable contributions are appropriately extended to and received from charitable and cultural institutions.

- 2). *Charitable Contributions:*
  - a. The Company shall provide its Associates access to the Charitable Contributions policy.
  - b. The Company shall revise this policy as necessary to comply with changes in the law and shall document and implement any changes.
  - c. Charitable contributions must be to a public charity, recognized as tax exempt by the Internal Revenue Service (“IRS”).
  - d. All proposed contributions to The Company referral, or potential referral, sources must be expressly consented to by the Compliance Officer.
  - e. Contributions must be unconditional; i.e., not tied to the referral of residents to The Company.
  - f. The size of the contribution must not be dependent upon the volume of business with, or the number of resident referrals by, the charity.

- g. The charity must substantiate the gift in writing and certify that it did not and will not take fundraising participation or the size of donations into account when awarding contracts, purchasing items, or making resident referrals. Such substantiation must be made by the charity contemporaneously with the award of the charitable gift, and in no event any more than thirty (30) days after the gift is awarded.
- h. The fundraising solicitation by the charity should be one that is being made broadly to the public and not just to vendors and business associates.
- i. Incidental benefits offered in exchange for the donation, such as attendance at a fundraising event, may be used by The Company Associates. Such benefits shall not be given away to others to generate business or referrals.
- j. Associates must identify and report potential issues immediately to their immediate supervisor or the Compliance Officer when appropriate. If the Associate is not comfortable speaking to the supervisor or if the supervisor fails to respond quickly and appropriately to the concern, then the individual with the concern should report the concern through the confidential Compliance Hotline.
- k. Associates should be aware of The Company's [Code of Conduct](#).
- l. A copy of the Code of Conduct is available from any supervisor, as well as from the Compliance Officer.

#### **E. CAMPAIGN AND ELECTION LAW GUIDELINES**

- 1). *Overview:* The Company is committed to complying with all federal, state, and local campaign and election laws. Further, The Company recognizes that individual employees are voters who are free to make personal financial contributions to the election campaigns of candidates of their choice. This policy establishes guidelines for ensuring the appropriateness of political activities on the part of The Company or its employees.
- 2). *Corporate Activity:* The Company will comply with all applicable federal, state, and local campaign and election laws.
- 3). *Employee Activity:* While The Company does not discourage individual political activity, these activities should be at the employee's sole expense and reimbursement is not available from The Company in any form. Employees of The Company should refrain from partisan political activities on Company premises, on Company time, or under any circumstances that could create the appearance that such activities are sponsored by The Company.
- 4). *Gifts to, and Entertainment of, Government Officials:* Gifts given to, and entertainment of, government officials must comply with Policy BP 2.0 Section B - [Receiving and Extending Business Courtesies](#).

**Policy Number:** BP 2.1

**Policy Title:** Document Management

**Policy Statement/Purpose:** The Company has policies and procedures for document management consistent with rules, regulations, requirements, and standards.

**Policy Interpretation and Implementation:** Document management is component of The Company Compliance and Ethics Program.

## A. RECORDS RETENTION

- 1). *Overview:* Documents (including computer records) relating to uses and disclosures, authorization forms, business partner contracts, notices of privacy information practice, response to a patient who wants to amend or correct his/her information, patient's statement of disagreement, complaint record, or any other written communication required by HIPAA, as well as any other documents generated pursuant to the Privacy Compliance Program, including meeting minutes, investigatory documents, review reports and supporting documentation, authoritative documentation, corrective action plans, and educational materials, shall be maintained by the Privacy Officer according to the guidelines set forth below. The document management program will be documented in a form which has been approved by Legal Counsel and must be maintained for a minimum seven (7) years, unless otherwise specified by state or local law, from its date of creation or the date when it was last in effect, whichever is later. Records must also be retained for two (2) years after a patient's death. Documented Company policies and procedures must be maintained for a minimum of seven (7) years, unless otherwise specified by state or local law. The Company specifies retention periods related to the Health Insurance Portability and Accountability Act of 1996 ("HIPAA").
- 2). *Retention:* All records developed in accordance with the operation of this Program shall be maintained for a minimum seven (7) years, unless otherwise specified by state or local law; provided, however, that if there is any ongoing internal or external investigation, including cost report reviews, Department of Health and Human Services ("DHHS") investigations, lawsuits, or similar actions, then those records relevant to the action shall be retained until the action is concluded. Documents may be retained for longer periods upon the decision of the Privacy Officer. In such event, the Privacy Officer shall adopt a Compliance Office schedule setting forth the type of record and the length of retention. Additional records include, but are not limited to:
  - a. All records and documentation required by federal or state law for the protection of patient privacy and confidentiality;
  - b. Medicare requires long term care facilities to retain clinical records on each resident for the period re-quired by state law, or, if there is no state requirement, for five years from the date of discharge for adults; and three years after the resident reaches legal age under state law for a minor (42 C.F.R. § 483.75(1)) all records necessary to protect the integrity of the compliance process and confirm the effectiveness of The Company's Privacy Compliance Program, including:
    1. documentation that employees were adequately trained;



2. reports from the hotline, including the nature and results of any investigations conducted;
3. documentation of corrective action, including disciplinary action taken;
4. policy improvements introduced in response to any internal investigation or audit;
5. modifications to the Privacy Compliance Program;
6. self-disclosures; and
7. the results of auditing and monitoring efforts.

The Privacy Officer will audit The Company's document management program, and, as appropriate, the Privacy Officer will update the document management program to ensure that the policies meet at least the following minimum requirements:

- a. All records will be retained for at least the minimum period as stated in applicable state or federal law or regulation
- b. All records that may substantially affect the obligations of The Company will be retained for a period of time that will reasonably assure the availability of those records when needed
- c. Adequate records will be developed and maintained to document The Company's compliance with all relevant laws
- d. All records related to reports of violations will be preserved in accordance with law and in a manner, which will assure maximum protection under the attorney-client privilege and attorney work product doctrine

Documents created by The Company, or submitted to The Company, are to be retained for the time required by law and in the manner required by law.

Documents that are no longer needed on a daily basis are to be preserved and stored in accordance with The Company's document management program.

Documents may be held beyond the legal minimum only if required for reasons set forth in The Company's document management program. Anyone who fails to surrender documents for destruction in accordance with the Privacy Compliance Program will be subject to disciplinary action. No employee may retain documents contrary to the document management program, or which otherwise belong in archives.

### 3). *Method of Retention:*

- a. Records shall be maintained in their original form for a minimum seven (7) years, unless otherwise specified by state or local law. Documents retained for periods greater than for a minimum seven (7) years, unless otherwise specified by state or local law, at the discretion of the Privacy Officer, may be retained in a format other than the original format, provided that such format allows for the accurate reproduction of the record.
- b. Records maintained on magnetic tape or other electronic data processing storage media will be preserved and stored appropriately.
- c. Informational copies (so-called "FYI" copies) and the like will be discouraged. Documents may be distributed only to the addressee(s) and those expressly identified as requiring a copy. Any other copying, distribution, or possession of documents is prohibited.
- d. Employees are not authorized to receive or possess documents that are not necessary to their regular job performance. Ordinarily, an employee should not have a copy of a document unless he or she created the document, is the intended addressee (or designated recipient of a copy),

or the document was transmitted as an attachment to a document sent to the employee. Unauthorized possession of The Company documents is a violation of The Company policy.

- 4). *Filing Systems*: The [Compliance Officer](#) should establish and maintain a filing system for all compliance-related documents. The following seven files should be established:
- a. Compliance Manual – Regulatory codes, and Policies: This file shall contain this compliance manual and any amendments, the Code of Conduct, all conflict of interest statements, and any compliance program policy statements issued after the program's initiation.
  - b. Oversight - This file should document the appointment of the Compliance Officer, and non-privileged communications to the Compliance Officer, all Board of Directors' minutes in which compliance issues are discussed, and any other oversight records.
  - c. Information and Education Campaign - This file shall contain signed affirmation statements, all employee training records, educational materials provided to employees, notices and fraud alerts that have been posted or placed in payroll envelopes (and the dates and locations of such notices), and all other written records of training activities.
  - e. Monitoring and Auditing - This file shall contain all employment contracts and all other documents relating to employment relationships with employees. Finally, opinion letters from Legal Counsel approving physician contracts shall be included.
  - f. Enforcement - This file shall contain all documents pertaining to the enforcement of the compliance program, such as disciplinary action taken, policies regarding graduated punishment, and informal and formal reprimands issued.  
*Note: Files containing information relating to employee sanctions or disciplines present special legal issues. As such, access to these files should be controlled. With regard to notices related to an employee's failure to follow the compliance program, access should be limited to the Compliance Officer and others whose access is approved by the Human Resources Department. Additional language can be inserted in the Enforcement file policy, reading "The Enforcement File shall be maintained by the Compliance Officer and the Human Resources Department, and access shall be limited to the Compliance Officer and individuals approved by the human resources director."*
  - g. Response - This file shall contain all documents reflecting actions taken after an issue has been detected, as well as efforts to deter and prevent future violations.
  - h. Privileged - This file shall include a record of requests for legal assistance or legal opinions in connection with all reports received via the hotline, and any other means used to report to the compliance officer, and the response from legal counsel. This file shall be privileged and confidential; its content shall be kept in a secure location and only the Compliance Officer, administrator and legal counsel shall have access. All material in this file shall be treated subject to the attorney-client and/ or work product privilege and shall not be disclosed to people outside the privileged relationship.
- 5). *Destruction Schedule*: Destruction of records will take place pursuant to a standard policy which has been developed for business reasons so that it cannot be said that The Company deliberately destroyed records in anticipation of a specific problem. Premature destruction is a violation of Company policy.
- a. Records shall be uniformly destroyed in a manner determined by the Privacy Officer upon the expiration of the retention period. However, prior to the destruction of any records, the Privacy Officer shall institute a program of notification whereby the destruction schedule can

be interrupted for cause by someone in a position of authority, including the Privacy Officer, to interrupt the destruction process. *For cause* shall include, but is not limited to, service of legal process, notification from governmental agency, or request of the Compliance Committee or Legal Counsel.

- b. The Company employees and agents will create only those documents which are:
  - 1. required to be created by law;
  - 2. necessary for the performance of their jobs, or otherwise compelled by reason of business necessity; or
  - 3. needed to obtain or follow legal advice.

Documents not meeting those requirements will not be created.

- c. The creation of memos or letters for the sole purpose of recording the employee's version of events (commonly called "CYA" memos) are discouraged. All memos or letters created by employees must accurately reflect the events.
- d. Documents created by The Company, or submitted to The Company, may be distributed to those persons within and outside of The Company on a need-to-know basis.
- e. A document which is clearly marked as a "cc" may be destroyed by the designated recipient of the copy if he or she no longer has a need for that document.
- f. All records which have been the subject of an incident that could lead to litigation, and all records which have been requested by an attorney or an administrative agency should be excepted from the general retention policy. These records should not be destroyed until the matter is fully resolved.

6). *Removal or Theft:*

- a. Documents created by The Company, or provided to it by others, are the property of The Company. No employee is authorized to remove a document—whether an original or a copy—from The Company's offices or computer systems. This prohibition applies to documents "created" by the employee him or herself.
- b. Therefore, removal of documents from The Company premises, offices, or computer systems is strictly prohibited. Exceptions to this policy require the express authorization of the Administrator.

7). *Medical Records:* The Company's document management program must incorporate the statutes and regulations concerning retention of medical records that apply to The Company. Reference Section 13 for [State Specific Requirements](#).

Unless specified by state law or regulation, a general retention period of seven (7) years has been chosen for medical records of adult residents that do not fall within specific exceptions or state specific exceptions *as noted below*. Records known to be subject to an actual or potential claim or investigation are to be retained indefinitely or until the matter is known to be finally resolved. Retention of records of minors is to be dictated by state statutes of limitations for claims brought by minors but in no event less than seven (7) years, or until a minor reaches the majority age of 21, whichever is longer. Employee health records must be retained according to specific state and federal retention and statute of limitations requirements. Requests to review or copy patient medical records must be responded to in strict compliance with applicable statutes and regulations.

- 8). *State Specific Medical Records Retention Requirements:*
- 9). *Privacy and Security:* The Privacy Officer, in conjunction with the Compliance Committee, shall take reasonable steps to ensure that the records are secured and retained in private. Such steps shall include assurance that the document destruction procedure is equally secure. When implementing a protocol to maintain security, the Privacy Officer shall ensure that the protocol integrates steps to limit access to documents during the retention period to authorized individuals.
- 10). *Communications:*  
All communications with government authorities, including but not limited to: Equal Opportunity Commission, Unemployment Divisions, and Department of Labor, shall be documented at the time of the communication. This documentation shall include:
- a. The date, time, and method of the communication
  - b. The names and titles (if known) of the individuals engaged in the communication, and the employee preparing this documentation
  - c. A detailed description of the billing advice received, including citations to regulations, provider letters, or other bulletins
  - d. Any other information conveyed by federal and state authorities
  - e. A confirmation letter shall be sent to federal and state authorities documenting or confirming the communication received
  - f. The documentation and copies of the confirmation letters shall be given to the Compliance Officer promptly, who shall retain them permanently
- Reference FI 1.0 Section C, *Medical Record Monitoring*

## **B. ELECTRONIC SIGNATURE POLICY**

- 1). *Overview:* Electronic signatures are acceptable for the Minimum Data Set (“MDS”) as permitted by state and federal laws. When electronic signatures are used, safeguards to prevent unauthorized access, reconstruct information, and minimize fraud must be in place.
- 2). *Safeguards include but are not limited to:*
- a. Verification of a person’s identity before assigning the unique qualifier
  - b. Acknowledgement in writing that the user is the only person authorized to use the unique qualifier assigned to him/her and may not allow anyone to access or alter information using his/her unique qualifier
  - c. Certification in writing that the user will not release his/her unique identifier (user ID and password) to anyone
  - d. Certification in writing by the administrator/designee and the user that the electronic signature is as legally binding as the user’s traditional handwritten signature
  - e. Certification in writing that if the user discloses his/her unique identifier (user name and password) to another person he/she will be subject to progressive discipline that may result in termination
  - f. Passwords must be revised at least every ninety (90) days
  - g. System security roles to control what sections/areas individuals can access or enter data based on the individual’s role, security role and unique identifier

- h. A specific computer “lock out” time that is activated when there has been no activity
  - i. A process for maintaining electronic back up of the electronic MDS
  - j. A process to allow for the printing of all records as necessary
  - k. System security that prevents a record from being changed once it is electronically signed and requires any corrections to be entered as amendments to the record
- Reference BP Appendix 2.1 B [Electronic Signature for the MDS Acknowledgement/Certification Form](#) and DI 2.3 B [Password Standards](#)

### C. FACSIMILE TRANSMISSION OF MEDICAL RECORDS

- 1). *Overview:* The Company shall protect the confidentiality, integrity, and availability of Electronic Protected Health Information (“e-PHI”) it creates, receives, maintains, or transmits. The information released will be limited to the minimum necessary to meet the requestor’s needs. Whenever possible, de-identified information will be used. The Company has procedures to ensure the appropriate use of the facsimile system when transmitting Protected Health Information (“PHI”).
- 2). *Procedure:*
  - a. The fax machine shall be located in an area that is not easily accessible to unauthorized persons. If not possible, a sign should be posted regarding access to the documents.
  - b. Received documents shall be removed promptly from the fax machine. To promote secure delivery, instructions on the cover page shall be followed.
  - c. A cover page shall be attached to a facsimile document that includes PHI. The cover page shall include:
    1. Destination of the fax, including name, fax number, and phone number
    2. Name, fax number, and phone number of sender
    3. Date
    4. Number of pages transmitted
    5. Confidentiality statement. Suggested language:
      - The documents accompanying this transmission contain confidential protected health information that is legally privileged. This information is intended only for the use of the individual or entity named above. The authorized recipient of this information is prohibited from disclosing this information to any other party unless required to do so by law or regulation and is required to destroy the information after its stated need has been fulfilled.
      - If you are not the intended recipient, you are hereby notified that any disclosure, copying, disseminating, distribution, or action taken in reliance on the contents of these documents is strictly prohibited. If you have received this information in error, please notify the sender immediately and arrange for the return or destruction of these documents.
  - d. The PHI disclosed will be the minimum necessary to meet the requestor’s needs.
  - e. If a fax transmission fails to reach a recipient, or if the sender becomes aware that a fax was misdirected, the internal logging system shall be checked to obtain the incorrect recipient’s fax number. A letter shall be faxed to the inadvertent recipient, asking that the material be returned or destroyed.

**Policy Number:** BP 2.2

**Policy Title:** [Workforce Data Management](#) (See DI 2.3)

**Policy Statement/Purpose:** The Company establishes policies and procedures to maintain the integrity of Workforce Data Management systems consistent with requirements, regulations, and standards.

**Policy Interpretation and Implementation:** Workforce Data Management is a component of The Company Compliance and Ethics Program and includes: Acceptable Use, Password Standards, Workstation use, Unacceptable Use, Workstation Security, and Server Security

#### **A. MANDATORY SUBMISSION OF STAFFING INFORMATION: PAYROLL-BASED JOURNAL**

**Policy Statement/Purpose:** The Centers for Medicare & Medicaid Services (CMS) utilizes staffing as a key factor in determining a nursing home's ability to provide quality care. CMS has studied staffing to accurately and effectively gauge impact on quality of care and is utilizing the data in the Nursing Home Five Star Quality Rating System to assist consumers in understanding the level and differences of staffing in nursing homes. The Affordable Care Act (2010) required facilities to submit direct care staffing information (including agency and contract staff) in an electronic format based on the facilities' payroll and other auditable data. The submitted payroll data, in conjunction with the census information, can then be used to report on the level of staffing in each nursing home, but can as well report employee turnover and tenure, which also can impact the quality of care delivered.

The final rule, published on August 4<sup>th</sup>, 2015, established the requirement for Long-Term Care (LTC) facilities to submit staffing data and was amended (42 CFR §483.75) to require all LTC facilities to electronically submit to CMS complete and accurate direct staffing information, including information for agency and contract staff, based on payroll and other verifiable and auditable data in a uniform format according to specifications established by CMS. Based on the final rule, the Electronic Payroll Based Journal (PBJ) was established.

**Policy Interpretation and Implementation:** The mandatory submission of staffing information is based on payroll data, submitted based on the specifications established by CMS as follows:

- (1) Direct Care Staff are persons who provide interpersonal contact with residents or resident care management, provide care and services to allow residents to attain or maintain the highest practicable physical, mental and psychosocial well-being. This category does not include staff whose primary duty is maintaining the physical environment of the LTC facility (for example, house-keeping.)
- (2) Submission requirement: The facility must electronically submit to CMS complete and accurate direct care staff information, including the following:
  - (i) Category of work for each person in direct care staff (including, but not limited to, whether the individual is a registered nurse, licensed practical nurse, licensed vocational nurse, certified nursing assistant, therapist, or other type of medical person as specified by CMS);
  - (ii) Resident census data; and

- (iii) Information on direct care staff turnover and tenure, and on hours of care provided by each category of staff per resident per day, including but not limited to start date, end date (if applicable), and hours worked for each individual.
- (3) Distinguish employee(s) from agency and contract staff. The facility must specify whether the individual is an employee of the facility or is engaged by the facility under contract or through an agency.
- (4) Data format: The facility must submit direct care staff information in the uniform format specified by CMS.
- (5) Submission schedule: The facility must submit direct care staffing information on the schedule specified by CMS, but no less frequently than quarterly.

**Submission Timeliness and Accuracy:** Direct care staffing and census data will be collected quarterly and is required to be timely and accurate. Staffing and census data will be collected each fiscal quarter. Staffing data includes the number of hours paid to work by each staff member each day with the quarter. The Census data includes the facility's census on the last day of each three months in the quarter.

**Deadline:** Submissions must be received by the end of the 45<sup>th</sup> calendar day after the last day in each fiscal quarter to be considered timely. Data may be entered and submitted at any frequency though out a quarter. The last accepted submission received prior to the deadline will be considered the facility's final submission. Facilities may view their data submitted through Certification and Survey Provider Enhanced Reports (CASPER) and via the PBJ Online System. The facilities must check their data and the validation report to allow time to correct any errors and resubmit, if needed. The PBJ system will accept submissions after deadline, but these submissions will not be considered timely and will not be used to calculate a facility's staffing measures.

**Accuracy:** Staffing information is required to be accurate and a complete submission of the facility's staffing records. CMS will conduct audits to assess a facility's compliance related to this requirement.

Facilities that do not meet the requirements will be considered noncompliant and subject to enforcement actions by CMS.

For Additional Information and Technical Specifications:

<https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/Nursing-HomeQualityInits/Downloads/PBJ-Policy-Manual-Final-V25-11-19-2018.pdf>

<https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/Nursing-HomeQualityInits/Staffing-Data-submission-PBJ.html>

**APPENDIX**  
**4. BUSINESS PRACTICES (BP)**  
**TOOLS AND FORMS**



**Appendix BP 2.1 A**  
**RECORDS RETENTION CHECKLIST**

It is the policy of Company that all records, financial documentation, etc., are retained as outlined below.

**INSURANCE**

<b>Type of Record</b>	<b>Number of Years</b>
Policies	4
Accident Reports	6
Fire Inspection Reports	6
Group Disability Records	8
Safety Records	8
Claims (after settlement)	10

**PERSONNEL**

<b>Type of Record</b>	<b>Number of Years</b>
Contracts (expired)	6
Daily Time Reports	6
Disability & Sick Benefits Records	6
Personnel Files (terminated)	6
Withholding Tax Statements	6

**Appendix BP 2.1 B**  
**ELECTRONIC SIGNATURE FOR THE MINIMUM DATA SET (MDS)**  
**ACKNOWLEDGEMENT/CERTIFICATION FORM**

By signing below, I acknowledge and certify that:

- I am the only person authorized to use the unique qualifier (user ID and/or password) assigned to me.
- I will not release my user unique identifier to anyone, nor allow anyone to access or alter information using my unique identifier.
- My electronic signature or unique qualifier is as legally binding as my traditional handwritten signature.
- If I am responsible for my unique identifier being disclosed to another person, I will be subject to progressive discipline that may result in termination.
- I have been informed of The Company's policies and procedures on confidentiality of resident protected health information as described in the Confidentiality Policy and Acceptable Use Policy with regards to compliance with HIPAA Privacy and Security Rule, which are in accordance with state and federal law and are available for me to read at my request.

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Employee Printed Name

\_\_\_\_\_  
Administrator/Designee Signature

\_\_\_\_\_  
Date

**Appendix BP 2.1 C**  
**COMMON ABBREVIATIONS/ACRONYMS/INITIALISMS**

**ADLs:** Activities of Daily Living

**ADON:** Assistant Director of Nursing

**ALC:** Assisted Living Community

**ALF:** Assisted Living Facility

**BIMS:** Brief Interview for Mental Status

**BOM:** Business Office Manager

**CE:** Continuing Education measurement; designed to help professionals meet training requirements for maintaining a license (1 CEU = .1 CE)

**CM:** Case Management

**CMS:** Centers for Medicare & Medicaid Services

**CO:** Compliance Officer

**CNA:** Certified Nursing Assistant

**DHHS:** Department of Health and Human Services

**DNS:** Director of Nursing Services

**DOH:** Department of Health

**DON:** Director of Nursing

**DPH:** Department of Public Health

**DRG:** Diagnosis Related Group

**EHR:** Electronic Health Record

**EMR:** Electronic Medical Record

**FMLA:** Family and Medical Leave Act

**F-tag:** Federal regulations that govern long term care facilities

**FCA:** False Claims Act

**HIPAA:** Health Insurance Portability and Accountability Act

**HITECH:** Health Information Technology for Economic & Clinical Health Act

**IDT:** Inter-Disciplinary Team

**LNA:** Licensed Nursing Assistant

**LPN:** Licensed Practical Nurse

**LTC:** Long Term Care

**LTPAC:** Long-Term and Post-Acute Care

**LVN:** Licensed Vocational Nurse

**MAR:** Medication Administration Record (e-MAR: electronic MAR)

**MDS:** Minimum Data Set

**NA:** Nursing Assistant

**NAB:** National Association of Long Term Care Administrator Boards

**NP:** Nurse Practitioner

**OCR:** Office of Civil Rights

**OIG:** Office of the Inspector General

**OMIG:** Office of the Medicaid Inspector General

**OT:** Occupational Therapy (Therapist)

**OTA:** Occupational Therapy Assistant

**PA:** Physician Assistant

**PASARR:** Pre-Admission Screening and Annual Resident Review

**PDMP:** Patient Driven Payment Model

**PEPPER:** Program for Evaluating Payment Patterns Electronic Report

**PHI:** Protected Health Information

**PIP:** Performance Improvement Project

**POA:** Power of Attorney

**PT:** Physical Therapy (Therapist)

**PTA:** Physical Therapy Assistant

**QAA:** Quality Assessment & Assurance

**QAPI:** Quality Assurance and Performance Improvement (pronounced: Qwaupi or Q-A-P-I or Kopy)

**RCA:** Root Cause Analysis

**RM:** Risk Management

**RN:** Registered Nurse

**RNAC:** Registered Nurse Assessment Coordinator

**RUG:** Resource Utilization Group

**SDC:** Staff Development Coordinator

**SNF:** Skilled Nursing Facility (pronounced: SNIFF)

**STNA:** State Tested Nursing Assistant (used in Ohio)

**STR:** Short-Term Rehabilitation

**SW:** Social Worker

**TAR:** Treatment Administration Record (eTar- electronic TAR)

**TAR:** Treatment Authorization Request

**Med-Net Specific Terms:**

**CCM:** Compliance Committee Meeting

**CR:** Client Relations

**CR:** Call Report aka: Education Report

**CRC:** Client Relations Coordinator (internal Med-Net title)

**GTM:** GoToMeeting – our platform for webinars

**HCS:** Health Care Specialist (internal Med-Net title)

**MNA:** Med-Net Academy - our E-Learning program on [www.mednetcompliance.com](http://www.mednetcompliance.com)

**MTS:** Master Tracking Spreadsheet

**RR:** Rapid Response

**SIS:** Sign-in Sheets

## **5. PRIVACY PLAN (PP)**

## 5. PRIVACY PLAN (PP)

Policy Number	Policy
PP 1.0	<a href="#">PRIVACY PLAN</a> <a href="#">A. HIPAA PRIVACY PREFACE</a> <a href="#">B. OVERSIGHT AND RESPONSIBILITY</a> <a href="#">C. ROLE OF A PRIVACY OFFICER</a> <a href="#">D. PRIVACY POLICY REVIEW AND REVISION</a>
PP 1.1	<a href="#">PRIVACY OFFICER</a> <a href="#">A. ROLE RESPONSIBILITIES</a> <a href="#">B. QUALIFICATIONS</a>
PP 2.0	<a href="#">PRIVACY PLAN: POLICIES AND PROCEDURES</a> <a href="#">A. CONFIDENTIALITY OF PERSONAL HEALTH INFORMATION</a> <a href="#">B. SAFEGUARDING PROTECTED HEALTH INFORMATION</a> <a href="#">C. MINIMUM NECESSARY</a> <a href="#">D. USES AND DISCLOSURES TO CARRY OUT TREATMENT, PAYMENT, OR HEALTH CARE OPERATIONS</a> <a href="#">E. SECURING CONSENT/RESTRICTIONS/REQUESTS</a> <a href="#">F. USES AND DISCLOSURES REQUIRING <i>OPPORTUNITY TO AGREE OR OBJECT</i></a> <a href="#">G. USES AND DISCLOSURES FOR CARE AND NOTIFICATION PURPOSES</a> <a href="#">H. REQUESTS FOR AMENDMENT</a> <a href="#">I. REPORTING PRIVACY CONCERNS</a> <a href="#">J. RESPONDING TO PRIVACY CONCERNS</a> <a href="#">K. BREACH DISCOVERY AND NOTIFICATION</a> <a href="#">L. DISCIPLINARY STANDARDS FOR HIPAA PRIVACY VIOLATION</a> <a href="#">M. PRIVACY EDUCATION AND TRAINING</a> <a href="#">N. CONFIDENTIAL INFORMATION TRAINING</a>
PP 2.1	<a href="#">WORKFORCE PRIVACY PRACTICES</a> <a href="#">A. PRIVACY</a> <a href="#">B. NOTICE OF PRIVACY PRACTICES POLICY</a> <a href="#">C. RESPONDING TO GOVERNMENT INQUIRIES</a>



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**Policy Number:** PP 1.0  
**Policy Title:** Privacy Plan

**Policy Statement/Purpose:** The Company is committed to compliance with privacy standards contained in the regulations promulgated under the Health Insurance Portability and Accountability Act of 1996 (HIPAA).

## **Policy Interpretation and Implementation:**

### **A. HIPAA PRIVACY PREFACE**

HIPAA privacy regulations govern the use and disclosure of unsecured Protected Health Information (“PHI”). To ensure the security of PHI, The Company must adhere to the requirements of the HIPAA privacy regulations:

1. Ensure the confidentiality, integrity, and availability of all PHI that The Company creates, receives, maintains, or transmits.
2. Protect against any reasonably anticipated threats or hazards to the security or integrity of such information.
3. Protect against any reasonably anticipated uses or disclosures of such information that are not permitted by or required under HIPAA.
4. Ensure compliance by its workforce.

The Company may use PHI for purposes of treatment, payment, and health care operations. For any other purpose, The Company must have the individual’s authorization to disclose PHI.

In using or disclosing PHI, The Company must restrict the use or disclosure to the minimum amount necessary to accomplish the purpose of the use or disclosure. To do so, employees will be granted access only to information that they need to perform their job duties.

Pursuant to HIPAA, The Company must:

1. Designate a [Privacy Officer](#) and Security Manager. (*Reference Section C, below*)
2. Develop a committee to assist in oversight; (*Reference Section B, below*)
3. Develop and implement policies and procedures to appropriately safeguard PHI. (Reference PP 2.0 [Privacy Policies and Procedures](#))
4. Train employees as to HIPAA requirements appropriate to each employee’s job. (Reference PP 2.0 Privacy Policies and Procedures, *Section M, [Privacy Education and Training](#)*)
5. Have an appropriate reporting system. (Reference PP 2.0 Privacy Policies and Procedures, *Section I, [Reporting Privacy Concerns](#)*)
6. Respond to report breaches, as appropriate. (Reference PP 2.0 Privacy Policies and Procedures, *Section K, [Breach Discovery and Notification](#)*)
7. Document efforts to achieve compliance.

## **B. OVERSIGHT AND RESPONSIBILITY**

- 1). *Overview:* The Company has a designated a Privacy Committee, which has overall responsibility for oversight of privacy issues. The [Privacy Committee](#) can be a component of The Company QAPI/QAA Committee only if the Privacy Committee meeting minutes, attendance, and related activities are documented separately.

The Committee will meet as needed to review reports on The Company's privacy concerns and alleged breaches.

The Privacy Committee has specific responsibilities:

- a. Analyze The Company's environment, the legal requirements with which it must comply, current governmental enforcement initiatives and specific risk areas.
- b. Assess and modify existing policies and procedures that address these areas for possible incorporation into the Privacy Program.
- c. Work with management to develop, review and approve policies and procedures to promote compliance with the Privacy Program.
- d. Recommend and monitor, in conjunction with relevant departments, the development of internal systems and controls to carry out The Company's standards, policies, and procedures as part of its daily operations.
- e. Determine the appropriate strategy/approach to promote compliance with the program, and detection of any potential breach through hotlines and other inappropriate privacy disclosure reporting mechanisms.
- f. Develop a system to solicit, evaluate and respond to complaints and problems.
- g. The Privacy Officer will provide an internal activity report to the Privacy Committee at its request. A new plan of action will be collectively decided upon by the entire Committee, to address any concerns or issues raised.

## **C. [ROLE OF A PRIVACY OFFICER](#)**

The Privacy Officer, [appointed by the Governing Body](#), is responsible for enacting preventative measures, including education and policy, to ensure that PHI is kept secure and is limited to the minimum amount necessary to accomplish the purpose of the use or disclosure. In addition, working in collaboration with the Compliance and Ethics attorney and The Company's Privacy Committee, the Privacy Officer is directly involved with investigations of potential PHI breaches and reporting any confirmed breaches. The Privacy Officer ensures the planning, coordination, implementation, evaluation, analysis, and reporting of activities, policies, procedures, and standards pertaining to The Company Privacy Plan.

The Privacy Officer role may be subsumed in a discipline/department specific title and job description and be accountable to a direct supervisor, but, in collaboration with the Compliance Officer, is accountable to the [Governing Body](#) for all compliance and ethics management activities.

## **D. PRIVACY POLICY REVIEW AND REVISION** (CHANGES TO PRIVACY POLICY, PROCEDURE,

*FORMS, LOGS, AND AGREEMENTS)*

- 1). *Overview:* The Privacy Committee shall review the Privacy Plan at least annually to reflect changes to Company business practices as well as changes to applicable laws, rules, and regulations. The review and revision include *changes to privacy, policy, procedure, forms, logs, and agreements* and the Privacy Committee shall document any such changes. Revised policies and procedures shall become effective upon approval by the Privacy Officer and Privacy Committee.
- 2). *Procedure:*
  - a. The Privacy Officer is responsible for developing and maintaining all appropriate privacy policy and procedures.
  - b. All policies and procedures must be in written form.
  - c. The Privacy Officer, Compliance Officer, Legal Counsel, and Compliance Committee must approve all policies and procedures for privacy and security.
  - d. If there are material changes in policies and procedures, the affected workforce must be trained.

**Policy Number:** PP 1.1

**Policy Title:** [Privacy Officer](#)

**Policy Statement/Purpose:** To oversee the implementation of The Company Privacy Program and make recommendations to The Company regarding changes that must be made to enhance compliance and update the Program, as necessary, to reflect updates in expectations enumerated in applicable laws, rules, and regulations.

**Policy Interpretation and Implementation:** Privacy concerns the protecting and control of individually identifiable health information. The Company recognizes the increased complexity of protecting patient privacy while managing access to, and release of, information about residents. The Health Insurance Portability and Accountability Act of 1996 (“HIPAA”), and rules promulgated under the Act require a Privacy Officer. In addition, there are other federal and state laws and applicable regulatory and accreditation standards that have an impact on privacy.

The Privacy Officer establishes and maintains accountability for privacy in The Company by ensuring the planning, coordination, implementation, evaluation, analysis, and reporting of activities, policies, procedures, and standards pertaining to The Company Privacy Plan.

**Authority:** The Privacy Plan is a component of The Company Compliance and Ethics Program. The Privacy Officer is [appointed by the Governing Body](#). The Privacy Officer role may be subsumed in a discipline/department specific title and job description and be accountable to a direct supervisor, but the Privacy Officer, in collaboration with the appointed Compliance Officer, is accountable to the Governing Body for all compliance and ethics management activities.

**The Privacy Officer, or his or her designee, is responsible for:**

- a. Approving all disclosures that do not require a consent or authorization from the patient. Refer to Appendix PP 2.0.2, Section I, Resident Privacy, [Authorization for Release of Health Information](#).
- b. Receiving and processing complaints from employees and others internal to The Company and from residents and others external to The Company. Refer to Policy PP 2.1 Section D. [Privacy Complaints](#).
- c. Providing further information about matters covered by the [Notice of Privacy Practices](#). Refer to Policy PP 2.1 Workforce Privacy Practices, Section B.
- d. Mitigating the effects of all disclosures that are contrary to The Company’s Privacy Policy and Procedures or otherwise fail to comply with the law.
- e. Receiving and processing restrictions on consents and revocation of consents. Refer to Policy PP 2.0 Policies and Procedures, Section E - [Securing Consent/Restrictions/Requests](#).
- f. Receiving and processing revocation of authorizations. Refer to Policy PP 2.0 Policies and Procedures, Section E - [Securing Consent/Restrictions/Requests](#).
- g. Conducting, at least annually, a review of the implementation of the minimum necessary provision. Refer to PP 2.0 Policies and Procedures, Section C, [Minimum Necessary](#).
- h. Conducting, at least annually, a review of access control logs.

## A. ROLE RESPONSIBILITIES OF THE APPOINTED PRIVACY OFFICER

The [Privacy Officer](#) oversees the implementation of The Company Privacy Program, makes recommendations to The Company regarding changes that must be made to enhance compliance and update the Program, as necessary, to reflect updates in expectations enumerated in applicable laws, rules, and regulations. Specific responsibilities include:

1. Maintain an accurate inventory of:
  - a. all individuals who have access to The Company's confidential information, including PHI; and
  - b. all uses and disclosures of The Company's confidential information by any person or entity.
2. Work with personnel in the appropriate departments to protect The Company's confidential information from unauthorized use or disclosure
3. Develop specific policies and procedures mandated by state and federal laws
4. Develop additional relevant policies, such as policies governing the inclusion of confidential data in emails, and access to confidential data by telecommuters.
5. Draft and disseminate the privacy notice required by the Privacy Rule
6. Determine when The Company might need consent or authorization for use or disclosure of PHI, and draft forms as necessary
7. Ensure that any research efforts conducted or supported by The Company comply with appropriate privacy laws and policies and adequately protect the privacy of the data subjects
8. Review all contracts under which access to confidential data is given to outside entities, bring those contracts into compliance with the Privacy Rule, and ensure that The Company's confidential data is adequately protected when such access is granted
9. Ensure that all policies, procedures, and notices are flexible enough to respond to new technologies and legal requirements, or, if they are not, amend as necessary
10. Ensure that future Company initiatives are structured in such a way to ensure patient privacy
11. Conduct periodic privacy audits and take remedial actions as necessary
12. Oversee privacy training for all members of the workforce who come in contact with protected health information
13. Guard against retaliation against individuals who seek to enforce their own privacy rights or those of others
14. Remain up-to-date and advise on new technologies to protect data privacy
15. Remain up-to-date on laws, rules, and regulations regarding data privacy, and update The Company's policies and procedures as necessary
16. Track pending legislation regarding data privacy and, if appropriate, seek to influence that legislation
17. Anticipate residents' concerns and questions about The Company's use of their confidential information and develop policies and procedures to respond to those concerns and questions
18. Evaluate privacy implications of any future on-line, web-based applications
19. Monitor any data collected by, or posted on The Company's web sites for privacy concerns
20. Serve as liaison to government agencies, industry groups, and other interest groups in matters relating to The Company's privacy practices



## **B. QUALIFICATIONS FOR A PRIVACY OFFICER**

1. Familiarity with all federal, state, and local statutes and regulations concerning privacy
2. Familiarity with The Company's systems and operations
3. Ability to work with complex statutory schemes
4. Ability to work with complex information systems
5. Ability to manage large projects
6. Ability to write concisely, to express thoughts clearly, and to develop ideas in a logical sequence
7. Ability to make presentations to large groups
8. Ability to influence decision makers
9. Ability to compromise and think creatively when faced with difficult situations
10. Ability to supervise, motivate, and coordinate the efforts of subordinates and colleagues
11. Strong organizational and problem-solving skills
12. Strong leadership skills
13. Strong interpersonal skills
14. Ability to effectively communicate both technical and legal information to non-technical and non-legal staff

**Policy Number:** PP 2.0

**Policy Title:** Privacy Policy and Procedures

**Policy Statement/Purpose:** The Company written policies and procedures that describe relevant regulations and how they should be implemented.

**Policy Interpretation and Implementation:** The Privacy Officer is responsible for developing and maintaining all privacy-related policies and procedures. Written policies and procedures are reviewed and revised periodically to reflect changes to Company business practices as well as changes to applicable laws, rules, and regulations. Revised policies and procedures shall become effective upon approval by the Privacy Officer and Privacy Committee.

### **A. CONFIDENTIALITY OF PERSONAL HEALTH INFORMATION**

- 1). *Overview:* The Company protects personal health information to ensure that residents are not afraid to seek health care or to disclose sensitive information to The Company. Personal health information is protected during its collection, use, disclosure, storage, and destruction within The Company in accordance with the provisions of state and federal regulations.
- 2). *Definitions:*
  - a. **Personal Health Information (PHI)** – All information, recorded or exchanged verbally about an identifiable patient:
    1. That can identify an individual including, but not limited to, name, birthdate, social security number, diagnosis, or medical record number. The patient’s health and health care history, including genetic information about the patient or the patient’s family.
    2. What The Company has learned or observed, including conduct or behavior that may be a result of illness or the effect of treatment.
    3. The provision of health care to the patient.
    4. Payment for health care provided to the patient, and includes:
      - The Personal Health Identification Number and any other number, symbol, or identifier assigned to a patient
      - Any identifying information about the patient that is collected during, and is incidental to, the provision of health care or payment for health care
    5. The patient’s personal information, including financial position, home conditions, domestic difficulties, or any other private matters relating to the patient which have been disclosed to staff or persons associated with The Company.
  - b. **Privacy Officer** – The employee, designated by The Company, whose responsibilities include dealing with requests from residents who wish to examine and copy, or to collect, personal health information collected and maintained by The Company.
  - c. **Persons Associated with The Company** – Includes all contracted individuals, volunteers, students, researchers, Company Medical Staff, members of the Board of Directors of The Company, information managers, employees of The Company, Business Associates, or agents of any of the above.

- d. **Information Manager** – The individual, corporate organization, business, or association who processes, stores, or destroys personal health information for The Company, or provides information management or information technology for The Company.

3). *Confidentiality of Personal Health Information:*

- a. All Company employees and Persons Associated with The Company are responsible for protecting the security of all personal health information (oral or recorded in any form) that is obtained, handled, learned, heard, or viewed during his or her work or association with The Company.
- b. Personal health information shall be protected during its collection, use, storage, and destruction within The Company.
- c. Use or disclosure of personal health information is acceptable only in the discharge of one’s responsibilities and duties (including reporting duties imposed by legislation) and based on the need to know. Discussion regarding personal health information shall not take place in the presence of persons not entitled to such information or in public places (elevators, lobbies, cafeterias, off premises, etc.) or on social media sites.
- d. The execution of a Personal Health Information Privacy Plan Acknowledgment (PP Appendix 2.0.1 C [Acknowledgement of The Company Privacy Plan](#)) is required as a condition of employment with The Company and signed:
  - 1. At the commencement of their relationship with The Company
  - 2. Each time there is a substantial change in an individual’s position, as determined by the department, program, or division responsible for the individual
  - 3. For reasons, and at intervals as deemed appropriate by the department, program, or division
- e. Unauthorized use or disclosure of confidential information shall result in a [disciplinary response](#) up to and including termination of employment. A person convicted of an offense under the Health Insurance Portability and Accountability Act may be required to pay a fine. A confirmed breach of confidentiality may be reported to the individual’s professional regulatory body.
- f. All individuals who become aware of a possible breach of the security or confidentiality of personal health information shall follow the procedures outlined in the “Procedure if a Breach is Alleged” section below.

4). *Privacy Plan Acknowledgement Procedure:*

- a. All Company employees, as a condition of employment, shall sign a [Privacy Plan Acknowledgment](#). Administration of this pledge is handled by the employee’s department, program, or division and the original forwarded to the employee’s Human Resources file. The Privacy Officer shall retain a copy.
- b. All contractors engaged in providing a service for The Company, where the service provided would expose them to confidential information shall sign a [Privacy Plan Acknowledgment](#). The administration of this pledge is handled by the individual in charge of contracts and the original retained by that individual. The Privacy Officer shall retain a copy.
- c. All Company Board Members shall sign a [Privacy Plan Acknowledgment](#). The administration of this pledge is handled by the Corporate Secretary who shall retain the original. The Privacy Officer shall retain a copy.

- d. All Company agents who are regularly associated with The Company shall sign a [Privacy Plan Acknowledgment](#). The administration of this pledge is handled by Human Resources and the original retained by Human Resources. The Privacy Officer shall retain a copy.
- e. All employees of other agencies (such as nurses from temporary agencies, or employees in physicians' billing offices) who regularly associate with The Company shall sign a [Privacy Plan Acknowledgment](#). The administration of this pledge is handled by the Department with which the agency has an association and the original retained in that Department. The Privacy Officer shall retain a copy.

## **B. SAFEGUARDING PROTECTED HEALTH INFORMATION**

- 1). *Overview:* The Company is committed to compliance with privacy laws, rules, and regulations. As such, The Company provides guidelines for safeguarding Protected Health Information (“PHI”) and to limit unauthorized disclosures of PHI. The Company shall have in place appropriate administrative, physical, and technical safeguards to protect the privacy of PHI and to reasonably attempt to prevent any intentional or unintentional use or disclosure of PHI.

The Company shall ensure, to the extent possible, that PHI is not intentionally or unintentionally used or disclosed in a manner that would violate the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”) or any other federal or state regulation governing confidentiality and privacy of health information.

- 2). *Procedure:*

- a. The Company shall implement reasonable and appropriate policies and procedures to comply with the standards, implementation specifications, or other requirements, considering:
  1. The size, complexity, and capabilities of The Company
  2. The Company’s technical infrastructure, hardware, and software security capabilities
  3. The costs of security measures
  4. The probability and criticality of potential risks to Electronic Protected Health Information (“e-PHI”)
- b. The Company may change its policies and procedures at any time, provided that the changes are documented and are implemented in accordance with applicable laws, rules, and regulations.
- c. The Company shall maintain the policies and procedures in written (which may be electronic) form and, if an action, activity, or assessment is required to be documented, it shall be maintained in written (which may be electronic) form.
- d. The Company shall retain all documentation for six (6) years from the date of its creation or the date when it last was in effect, whichever is later. This includes policies and procedures as well as records relating to implementation, such as log-in audit information, logs of security incidents, and documentation of training.
- e. The Company shall make documentation available to those persons responsible for implementing the procedures to which the documentation pertains.
- f. The Company shall review documentation periodically, and update as needed, in response to environmental or operational changes affecting the security of the e-PHI.
- g. Conduct an accurate and thorough assessment of the potential risks and vulnerabilities to the confidentiality, integrity, and availability of electronic protected health information it holds.

- h. Implement security measures sufficient to reduce risks and vulnerabilities to a reasonable and appropriate level.
  - i. Identify an employee as a Privacy Officer/Security Manager who is responsible for the development and implementation of these policies and procedures.
  - j. Apply appropriate sanctions against workforce members who fail to comply with The Company's security policies and procedures.
  - k. Implement procedures to regularly review records of information system activity, such as audit logs, access reports, and security incident tracking reports.
- 3). *Oral Disclosures:* Reasonable measures shall be taken to assure that unauthorized persons do not overhear conversations involving PHI.
- 4). *Written Disclosures:* All documents containing PHI shall be stored appropriately to reduce the potential for incidental use or disclosure. Documents shall not be easily accessible to any unauthorized staff or visitors.
- 5). *Computer Access:*
- a. Only staff members who need to use computers to accomplish work-related tasks shall have access to computer workstations or terminals.
  - b. All users of computer equipment must have unique login and [passwords](#).
  - c. It is recommended that passwords be changed every ninety (90) days.
  - d. Posting, sharing, and any other disclosure of passwords and/or access codes is **strongly discouraged**.
  - e. Access to computer-based PHI shall be limited to staff members who need the information for treatment, payment, or health care operations.
  - f. Staff members shall log off their workstation when leaving the work area.
  - g. Computer monitors shall be positioned so that unauthorized persons cannot easily view information on the screen.
  - h. Employee access privileges will be removed promptly following their departure from employment.
  - i. Employees will immediately report any violations of this Policy to their supervisor or Privacy Officer/Security Manager.
- 6). *Printers, Copiers, and Fax Machines:*
- a. Printers and fax machines will be in areas not easily accessible to unauthorized persons.
  - b. If equipment cannot be relocated to a secure location, a sign will be posted near the equipment indicating that unauthorized persons are prohibited from viewing documents from the equipment. Sample language: "Only authorized staff may view documents generated by this (indicate printer, copier, fax, etc.). Access to such documents by unauthorized persons is prohibited by federal law."
  - c. Documents containing PHI will be promptly removed from the printer, copier, or fax machine and placed in an appropriate and secure location.
  - d. Documents containing PHI that must be disposed of due to error in printing will be destroyed by shredding or by placing the document in a secure recycling or shredding bin until destroyed.

7). *Destruction:*

Written: Documentation shall be destroyed promptly when it is no longer needed by shredding or placing the information in a secure recycling or shredding bin until the time that it is destroyed.

Electronic: Prior to the disposal of any computer equipment, including donation, sale, or destruction, The Company must determine if PHI has been stored in this equipment and will delete all PHI prior to the disposal of the equipment.

- 8). *Monitoring Compliance:* Compliance with The Company’s privacy policies and procedures shall be monitored on an ongoing basis to ensure compliance. In the event The Company identifies noncompliance through report or audit, the Privacy Officer shall immediately investigate and correct the noncompliance as well as put into place necessary corrective action, such as review and modification of policies and procedures as well as training for appropriate individuals.

### C. MINIMUM NECESSARY

- 1). *Overview:* The HIPAA Privacy Rule requires The Company to make reasonable efforts not to use or disclose more than the minimum amount of Protected Health Information (“PHI”) necessary to accomplish the intended purpose of the use, disclosure, or request, taking into consideration practical and technological limitations. When using or disclosing PHI, or when requesting PHI from another covered entity or business associate, The Company must make reasonable efforts to limit PHI to the minimum necessary to accomplish the intended purpose of the use, disclosure, or request.

The Company has processes in place to implement policies and procedures that comply with the Minimum Necessary provision of the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”). Minimum necessary provisions do not apply to treatment. Health care cannot stop while decisions are being made. Health care often requires easy access to information, especially in urgent or emergent situations.

- 2). *Procedure:* All new workflow and information systems are designed/acquired to meet the minimum necessary provisions of HIPAA. The Company removes identifiers and removes data fields that are not necessary to fit the purpose of the use or disclosure.
- a. Diagnoses do not generally have to be exposed to administrators dealing with billing amounts.
  - b. The De-Identification and Establishing Access Control policies and procedures are the principal policies and procedures through which the minimum necessary provisions are implemented.
  - c. The Privacy Officer will review the compliance with the Minimum Necessary provisions annually and recommend actions to senior management.
  - d. When using or disclosing PHI, The Company must identify those persons or classes of persons, as appropriate, in its workforce who need access to PHI to carry out their duties and, for each such person or class of persons, the category or categories of PHI to which access is needed and any conditions appropriate to such access.
    1. The Company shall limit access to PHI to that which is appropriate for the person or class of persons to carry out their duties.

2. The Company shall review requests for disclosure on an individual basis to ensure that the PHI disclosed is limited to the amount reasonably necessary to achieve the purpose of the disclosure.
3. The Company shall limit any request for protected health information to that which is reasonably necessary to accomplish the purpose for which the request is made, when requesting such information from other covered entities.
  - The Company shall not use, disclose, or request an entire medical record, except when the entire medical record is specifically justified as the amount that is reasonably necessary to accomplish the purpose of the use, disclosure, or request.
- e. The Company may rely, if such reliance is reasonable under the circumstances, on a requested disclosure as the minimum necessary for the stated purpose when:
  1. Making disclosures to public officials, so long as (1) the disclosure is otherwise permitted under The Company policies and procedures as well as applicable laws, rules, and regulations and (2) the public official represents to The Company in writing that the information requested is the minimum necessary for the stated purpose
  2. The information is requested by another covered entity
  3. The information is requested by a professional who is a member of The Company's workforce or is a business associate of The Company for the purpose of providing professional services to The Company, so long as the professional represents that the information requested is the minimum necessary for the stated purpose
- f. Exceptions to the Minimum Necessary Requirement:
  1. Disclosures to, or requests by, a health care provider for treatment
  2. Uses or disclosures made to the individual
  3. Uses or disclosures made pursuant to a valid authorization
  4. Disclosures made to the Secretary HHS
  5. Uses or disclosures that are required by law
  6. Other uses and disclosures that are required for compliance with HIPAA requirements

Employees who use or access PHI for reasons not related to their job duties, or who disclose PHI to any party for any reason not related to their job duties shall be subject to discipline, up to and including termination.

## D. USES AND DISCLOSURES TO CARRY OUT TREATMENT, PAYMENT, OR HEALTH CARE OPERATIONS

- 1). *Overview:* The Company may use or disclose PHI for treatment, payment, or health care operations, unless the use/disclosure requires authorization or is prohibited by law, rule, or regulation. The Company provides guidance for uses and disclosures of Protected Health Information (“PHI”) that do not request consent.

Designated types of medical records are considered more sensitive and, therefore, are not governed by this policy: communicable disease information (including HIV/AIDS information), mental health records, genetic testing information, and drug and alcohol abuse records.

- 2). *Procedure:*

- a. Before disclosing PHI for treatment, payment, or health care operations, The Company must verify the identity and authority of the recipient, in accordance with The Company’s policy.
- b. The Company shall disclose the minimum necessary amount of PHI, in accordance with The Company’s policy.
- c. The Company may, but need not, obtain consent of the individual to use or disclose PHI to carry out treatment, payment, or health care operations.
  1. Consent is not effective to permit the use or disclosure where [authorization](#) is required.

- 3). *Definitions:*

**Treatment** - Provision, coordination, or management of health care and related services by one or more health care providers, including the coordination or management of health care by a health care provider with a third party; consultation between health care providers relating to a patient; or the referral of a patient for health care from one health care provider to another.

**Payment** - Activities undertaken by a health plan to obtain premiums or to determine or fulfill its responsibility for coverage and provision of benefits under the health plan; or activities by a health care provider or health plan to obtain or provide reimbursement for the provision of health care, including but not limited to determining eligibility or coverage; coordination of benefits; adjudication or subrogation of health benefit claims; risk adjusting amounts due based on enrollee health status and demographic characteristics; billing, claims management, collection activities, obtaining payment under a contract for reinsurance (including stop-loss insurance and excess of loss insurance), and related health care data processing; review of health care services with respect to medical necessity, coverage under a health plan, appropriateness of care, or justification of charges; utilization review activities, including precertification and preauthorization of services, concurrent and retrospective review of services; and disclosure of certain information to consumer reporting agencies.

**Health Care Operations** - Any of the following activities undertaken by The Company:

- a. Conducting quality assessment and improvement activities, including outcomes evaluation and development of clinical guidelines, except where the primary purpose is research.
- b. Reviewing the competence or qualifications of health care professionals; evaluating practitioner and provider performance, and health plan performance; conducting training programs in which students, trainees, or practitioners in areas of health care learn under supervision to



- practice or improve their skills as health care providers; training of non-health care professionals; and accreditation, certification, licensing, or credentialing activities.
- c. Underwriting, enrollment, premium rating, and other activities related to the creation, renewal, or replacement of a contract of health insurance or health benefits, and ceding, securing, or placing a contract for reinsurance of risk relating to claims for health care (including stop-loss insurance and excess of loss insurance).
  - d. Conducting or arranging for medical review, legal services, and auditing functions, including fraud and abuse detection and compliance programs.
  - e. Business planning and development, such as conducting cost-management and planning-related analyses related to managing and operating the entity, including formulary development and administration, development or improvement of methods of payment or coverage policies.
  - f. Business management and general administrative activities of the entity including, but not limited to:
    1. Management activities relating to implementation of, and compliance, with the requirements of this subchapter
    2. Customer service, including the provision of data analyses for policy holders, plan sponsors, or other customers, provided that protected health information is not disclosed to such policy holder, plan sponsor, or customer
    3. Resolution of internal grievances
    4. The sale, transfer, merger, or consolidation of all or part of the covered entity with another covered entity, or an entity that, following such activity, will become a covered entity and due diligence related to such activity
    5. Creating de-identified health information or a limited data set
    6. Fundraising for the benefit of The Company

## E. SECURING CONSENT/RESTRICTIONS/REQUESTS

- 1). *Overview:* The Company may request that residents sign an acknowledgment form, explaining that The Company may use or disclose protected health information to carry out treatment, payment, or healthcare operations prior to the use or disclosure. The form shall also refer to the Notice of Privacy Practices (Refer Appendix PP 2.0.1, Section C, [Privacy Plan Acknowledgment Form](#)).

The Company communicates Protected Health Information (“PHI”) through various means to ensure confidentiality.

- 2). *Procedure:* The law currently does not require that The Company obtain a signed consent for treatment, payment, or healthcare operation purposes. However, obtaining the resident’s signature on an acknowledgment form ensures that the resident is aware of the provider’s option to use or disclose health information for treatment, payment, or healthcare operation purposes. Additionally, it informs the resident of his/her right to request that the use or disclosure of his/her health information be restricted in some way.

Residents have the right to request that The Company communicate with them about PHI by alternative means or at alternative locations, for the communications to remain confidential. The Company shall accommodate all requests.

- a. The Company must permit individuals to request and must accommodate reasonable requests by individuals to receive communications of PHI from The Company by alternative means or at alternative locations.
  - b. All requests for confidential communications must be in writing.
  - c. The Company shall not require an explanation from the individual as to the basis for the request as a condition of providing communications on a confidential basis.
  - d. The Company may condition the provision of a reasonable accommodation on:
    1. when appropriate information as to how payment, if any, will be handled; and
    2. whether resident has an alternative address or other acceptable method of contact.
- 3). *Requests for Restriction of Use and Disclosure*: Residents may ask to restrict the way in which their health information is used or disclosed. The request must be in writing and signed and dated by the same person that signed the consent unless he or she is incapacitated. The Privacy Officer, or his or her designee, must receive the written request and determine whether it will be approved. If approved, The Company must implement the restriction. Otherwise the person asking to restrict the use of information must be sent a denial letter. If The Company does agree to a restriction that you request, such restriction will be binding.

In any case, the Privacy Officer, or his or her designee, will retain the original and a copy of the denial letter if this should be necessary.

- 4). *Termination of a Restriction of Use and Disclosure*: The Company may terminate its agreement to a restriction if:
- a. The resident agrees to or requests the termination in writing
  - b. The resident orally agrees to the termination and the oral agreement is documented
  - c. The Company informs the resident that it is terminating its agreement to a restriction, except that such termination is only effective with respect to protected health information created or received after the resident has been so informed

If the above criteria are met, the consent will be amended to remove the restriction.

- 5). *Revocation of Consent*: Residents have the right to revoke a previously signed consent. The request must be in writing and signed by the same person who signed the consent unless he or she is incapacitated. The Privacy Officer, or his or her designee, must receive the written request and determine whether it is complete. If approved, the Privacy Officer, or his or her designee, will cancel the consent; otherwise, the person asking to restrict the use of information will be sent a denial letter. In any case, the Privacy Officer will retain the original and a copy of the denial letter should one be necessary.

## **F. USES AND DISCLOSURES REQUIRING *OPPORTUNITY TO AGREE OR OBJECT***

- 1). *Overview*: The Company may use or disclose Protected Health Information (“PHI”), provided that the individual is informed in advance of the use or disclosure and can agree, prohibit or restrict the use or disclosure, in accordance with applicable laws, rules, and regulations.

The Company may orally inform the individual of and obtain the individual's oral agreement or objection to an otherwise permitted use or disclosure.

- 2). *Procedure*: To ensure the security of PHI, The Company must:
  - a. ensure the confidentiality, integrity, and availability of all PHI that The Company creates, receives, maintains, or transmits;
  - b. protect against any reasonably anticipated threats or hazards to the security of such information;
  - c. protect against any reasonably anticipated uses or disclosures of such information that are not permitted by or required under HIPAA; and
  - d. ensure compliance by its workforce.

### **G. USES AND DISCLOSURES FOR CARE AND NOTIFICATION PURPOSES**

- 1). *Overview*: The Company may use or disclose Protected Health Information ("PHI"), provided that the individual is informed in advance of the use or disclosure and can agree, prohibit or restrict the use or disclosure, in accordance with applicable laws, rules, and regulations.

The Company may orally inform the individual of and obtain the individual's oral agreement or objection to an otherwise permitted use or disclosure.

- 2). *Permitted Uses and Disclosures*:
  - a. The Company may disclose to a family member, other relative, close personal friend of the individual, or any other person identified by the individual, the PHI directly relevant to such person's involvement with the individual's health care or payment related to the individual's health care.
  - b. The Company may use or disclose PHI to notify or assist in the notification of (including identifying or locating), a family member, personal representative of the individual, or another person responsible for the care of the individual, of the individual's location, general condition, or death, consistent with this policy.
    1. *Uses and Disclosures for Disaster Relief Purposes*: The Company may use or disclose PHI to a public or private entity authorized by law or by its charter to assist in disaster relief efforts, for coordinating with such entities the use of disclosure for the abovementioned purposes.
      - If the individual is present, The Company shall comply with the requirements set forth below.
      - If the individual is not present, The Company may, in the exercise of professional judgment, determine whether the disclosure is in the best interest of the individual and, if so, disclose only the PHI that is directly relevant to the person's involvement with the individual's care or payment related to the individual's health care or needed for notification purposes.

- 3). *Uses and Disclosures with Individual Present:*
  - a. If the individual is present for, or otherwise available prior to, a use or disclosure permitted by this policy, and has the capacity to make health care decisions, The Company may use or disclose the PHI if it:
    1. obtains the individual's agreement;
    2. provides the individual with the opportunity to object to the disclosure, and the individual does not express an objection; or
    3. reasonably infers from the circumstances, based on the exercise of professional judgment, that the individual does not object to the disclosure.
- 4). *Limited Uses and Disclosures when the Individual is Not Present:* If the individual is not present, or the opportunity to agree or object to the use or disclosure cannot practicably be provided because of the individual's incapacity or an emergency circumstance, The Company may, in the exercise of professional judgment, determine whether the disclosure is in the best interest of the individual and, if so, disclose only the PHI that is directly relevant to the person's involvement with the individual's care or payment related to the individual's health care or needed for notification purposes.
- 5). *Uses and Disclosures when the Individual is Deceased:* If the individual is deceased, The Company may disclose to a family member, other relative, close personal friend of the individual, or any other person identified by the individual, who was involved in the individual's care or payment for health care prior to the individual's death, PHI of the individual that is relevant to such person's involvement, unless doing so is inconsistent with any prior expressed preference of the individual that is known by The Company.

The HIPAA Privacy Rule allows disclosure of deceased residents' PHI to health care providers for the purposes of treatment. If the PHI about the deceased resident is relevant to the treatment of a family member, the family member's health care provider may obtain that information.

PHI about a deceased resident must be protected in the same manner and to the same extent as required for the PHI of living residents.

Executors, administrators, or other persons who have authority to act on behalf of a deceased resident must be treated as a personal representative with respects to PHI. In other words, The Company must treat the personal representative of a resident as the resident.

The Company may use professional judgment and its experience with common practice to make reasonable inferences of the individual's best interest in allowing a person to act on behalf of the individual to pick up filled prescriptions, medical supplies, x-rays, or other similar forms of PHI.

## **H. REQUESTS FOR AMENDMENTS**

- 1). *Overview:* A patient has the right to have The Company amend PHI or a record about the resident in a designated record set for as long as the PHI is maintained in the designated record set. The Company will support a resident's right to request an amendment of Protected Health Information ("PHI").

2). Request for Amendments:

- a. All requests for amendment shall be in writing to the Privacy Officer.
- b. The Company may require residents to provide a reason to support a requested amendment, if it informs residents in advance of such a requirement.
- c. Timely action by the covered entity:
  1. The Company must act on the resident's request for an amendment no later than sixty (60) days after receipt of such a request, as follows:
    - If The Company grants the requested amendment, in whole or in part, it must make the amendment and notify the resident that the amendment has been accepted
      - The Company shall obtain the resident's identification of an agreement to have the covered entity notify the relevant persons with which the amendment needs to be shared
    - If The Company denies the requested amendment, in whole or in part, it must provide the resident with a written denial, as outlined below
    - If The Company is unable to act on the amendment within thirty (30) days, The Company may extend the time for such action by no more than thirty (30) days provided that:
      - The Company provides the resident with a written statement of the reasons for the delay and the date by which The Company will complete its action on the request; and
      - The Company shall have only one such extension.

3). Denial of Amendment: The Company may deny a resident's request for amendment, if it determines that the PHI or record that is the subject of the request:

- a. was not created by The Company, unless the resident provides a reasonable basis to believe that the originator of the PHI is no longer available to act on the requested amendment;
- b. is not part of the designated record set;
- c. would not be available for inspection (i.e., is a psychotherapy record or information compiled in reasonable anticipation of, or for use in, a civil, criminal, or administrative action or proceeding); or
- d. is already accurate and complete.

If The Company denies the requested amendment, in whole or in part, The Company must provide the resident with a timely, written denial. The denial must use plain language and contain:

- a. the basis for the denial;
- b. information regarding the resident's right to submit a written statement disagreeing with the denial and how the resident may file such a statement;
- c. a statement that, if the resident does not submit a statement of disagreement, the resident may request that The Company provide the resident's request for amendment and the denial with any future disclosures of the PHI that is the subject of the amendment; and
- d. a description of how the resident may complain to The Company or to the Secretary of HHS. The description must include the name, or title, and telephone number of the Privacy Officer.

The Company shall permit the resident to submit to the covered entity a written statement disagreeing with the denial of all or part of a requested amendment and the basis of such disagreement.

- a. The Company may reasonably limit the length of a statement of disagreement.

The Company may prepare a written rebuttal to the resident's statement of disagreement. Whenever such a rebuttal is prepared, The Company shall provide a copy to the resident who submitted the statement of disagreement.

- 4). *Recordkeeping*: The Company must, as appropriate, identify the record or PHI in the designated record set that is the subject of the disputed amendment and append, or otherwise link, the resident's request for an amendment, The Company's denial of the request, the resident's statement of disagreement, if any, and The Company's rebuttal, if any, to the designated record set.

5). *Future Disclosures*:

- a. If a statement of disagreement has been submitted by the resident, The Company shall identify the record or PHI in the designated record set that is the subject of the disputed amendment and append, or otherwise link, the resident's request for an amendment, The Company's denial of the request, the resident's statement of disagreement, if any, and The Company's rebuttal, if any, to the designated record set.
  1. Alternatively, at the election of The Company, an accurate summary of any such information, with any subsequent disclosure of the PHI to which the disagreement relates.
- b. If the resident has not submitted a written statement of disagreement, The Company shall include the resident's request for amendment and its denial, or an accurate summary of such information, with any subsequent disclosure of the PHI only if the resident has requested such action.

- 6). *Actions on Notices of Amendment from Other Covered Entities*: Where The Company is informed by another covered entity of an amendment to a resident's PHI, The Company must amend the PHI in designated record sets in accordance with the amendment.

The Company shall document the titles of the persons or offices responsible for receiving and processing requests for amendments by residents and retain the documentation.

## I. REPORTING PRIVACY CONCERNS

- 1.) *Overview:* The Company Privacy Program rests on the ability of staff to openly and freely communicate issues of concern to their supervisors, the Privacy Officer, and the Privacy Committee. The Company is committed to developing and supporting all lines of communication to support our efforts to detect, address, and prevent privacy breaches, including a method of anonymous reporting.
- 2.) *Implementation:* The Company has established reporting procedures, readily accessible to all employees, vendors, executives, governing body members, and residents. Reports of privacy concerns and breaches are taken seriously and investigated accordingly.

The Company's Privacy Officer is contacted with questions about applicable laws, rules, or regulations, or to report potential breaches or any concerns regarding privacy. To the extent possible, all communications to the Privacy Officer will remain confidential.

Should any individual feel uncomfortable making a report to the Privacy Officer, he/she has the option of making a report to The Company Compliance Hotline (800-557-1066), which allows for anonymous reporting of issues without fear of retribution. Signs with information for contacting the Hotline are visible throughout The Company.

All reports must be made in good faith. There will be no adverse action or retaliation against any staff member who makes a good faith report of a privacy concern. (Reference CP 2.0, [Section B, Compliance Reporting System](#)).

## J. RESPONDING TO PRIVACY CONCERNS

- 1.) *Overview:* The Company takes reasonable steps to respond appropriately to a privacy offense and prevent future similar offenses. The Company has established a system for responding to privacy issues as they arise, including investigating, retaining legal consultation, updating policies and procedures, implementing corrective action plans, notifying affected individuals, and, when appropriate, reporting misconduct to local media as well as appropriate authorities. It is the responsibility of all associated with The Company to assist in resolving issues by participating in good faith in The Company's response to potential breaches, including cooperating when The Company is conducting investigations and abiding by corrective action.
- 2.) *Responding:* Reports received through either a reporting mechanism or through some other mechanism shall be documented and assessed initially by the Privacy Officer. If the initial assessment indicates that there is a basis for believing that the conduct reported constitutes a breach, the matter shall be reported to the Privacy Committee for review.

All alleged breaches shall be evaluated carefully to determine whether the allegation appears to be well-founded. The Privacy Officer shall promptly begin an investigation in accordance with the following procedure:

- a. Privacy Officer shall commence an investigation as soon as reasonably possible, but in no event more than thirty (30) days following reasonable suspicion of an alleged breach

- b. The investigation shall include a risk assessment to determine whether a breach took place

Every effort to investigate an alleged breach shall be documented and kept with the original report.

If there was a breach, Privacy Officer shall determine, depending on the number of individuals affected:

- a. Appropriate notification to affected individuals
  - b. Reporting to appropriate officials
  - c. Reporting to local media, if appropriate
- 3). *Corrective Action:* Corrective action shall be imposed to assist Company employees, vendors, or business associates to understand specific issues and reduce the likelihood of future breaches. Corrective action, however, shall be sufficient to effectively address the instance of breach, and should reflect the severity of the breach and/or the past adherence to standards.

The corrective action plan should identify the nature of the breach and immediate correction of any harm resulting from the breach as well as the resolution of specific problems identified. The plan may include:

- a. A recommendation to revise applicable policies and procedures to clarify proper protocols and/or development of new systems to safeguard against future breaches of a similar nature
- b. Additional mandatory training for employees, contractors, vendors, and/or business associates
- c. Focused review of records made by employees, contractors, vendors, or business associates for a defined period following discovery of breach
- d. A recommendation to report to appropriate authorities
- e. Enforcement of disciplinary standards
- f. Other reasonable corrective measures calculated to ensure adherence to applicable federal and state laws, rules, regulations, and The Company Program

For a defined period following the implementation of a corrective action plan, the Privacy Officer shall follow up and audit the corrective action to determine whether it is being followed as well as its effectiveness in preventing the recurrence of similar breaches.

If an alleged breach is not substantiated, the Privacy Officer shall keep a clear record of the investigation's conclusion as well as what factors were considered in making that determination. (Reference CP 2.0, *Section H, [Compliance Response and Prevention](#)*).

## **K. BREACH DISCOVERY AND NOTIFICATION**

- 1). *Overview:* The Company shall notify appropriate individuals and entities, following the discovery of a breach of unsecured Protected Health Information ("PHI").
- 2). *Procedure:*
- a. An allegation of a breach of confidentiality of personal health information (PHI) may be made to any Company staff member/health care professional. Any individual receiving an allegation



of a breach of confidentiality or having knowledge or a reasonable belief that a breach of confidentiality of PHI may have occurred, shall immediately notify his/her supervisor, or where this is not possible, shall notify The Company's Privacy Officer or designee. The person so notified shall in turn, notify the supervisor of the alleged violator of this policy and The Company's Privacy Officer or designee.

- b. The supervisor and/or Human Resources, in consultation with the Privacy Officer, or designee, shall decide whether to proceed with an investigation. It may be decided that a complaint does not require investigation if, after consultation, the consultees believe:
  1. the subject matter of the complaint is trivial, or the complaint is not made in good faith or is frivolous; or
  2. the circumstances of the complaint do not require investigation.
- c. If the decision is made to proceed with an investigation, it shall be the responsibility of the supervisor, in consultation with the Privacy Officer, or designee, to investigate the allegation (this process will include obtaining the alleged violator's version of events), consult with the appropriate resources, document findings, and make a determination as to whether there has been a breach of confidentiality of PHI.
- d. If it is determined that a breach of confidentiality of PHI has occurred, disciplinary action, up to and including termination, shall be taken. Such action may include termination of employment/contract/association/appointment with The Company. The supervisor shall consult with the designated representative in Human Resources and the Privacy Officer or designee, to establish the appropriate level of disciplinary action to be applied.
- e. The Company's Privacy Officer shall be informed in writing of all allegations that have been made and their outcome and shall maintain a database of this information. (Reference CP 2.0 Section, I. [Compliance Investigation](#))

### 3). *Determining Discovery of a Breach:*

- a. A breach is discovered as of the first day on which the breach is known to The Company, or, by exercising reasonable diligence, would have been known to The Company.
- b. A breach is discovered if the breach is known, or, by exercising reasonable diligence, would have been known to any person, other than the person committing the breach, who is a work-force member or agent of The Company.

### 4). *Breach Notification:* For a breach of unsecured PHI involving fewer than five hundred (500) individuals in a state or jurisdiction, The Company shall:

- a. Notify the affected individual(s) within sixty (60) days
- b. Breach notification shall be made through written notice, in plain language, and shall include the following, to the extent possible:
  1. A brief description of what happened, including the date of the breach and the date of the discovery of the breach, if known
  2. A description of the types of unsecured PHI that were involved in the breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code, or other types of information were involved)
  3. Any steps individuals should take to protect themselves from potential harm resulting from the breach
  4. A brief description of what the covered entity involved is doing to investigate the breach, to mitigate harm to individuals, and to protect against any further breaches

5. Contact procedures for individuals to ask questions or learn additional information, which shall include a toll-free telephone number, an email address, website, or postal address
- c. Notice shall be sent by first-class mail to the individual's last known address, or if the individual agrees to electronic notice (and such agreement has not been withdrawn), by electronic mail
- d. Insufficient or Out-of-Date Contact Information: If insufficient or out-of-date information precludes written notification, substitute notification (e.g., by telephone) may be made in a form reasonably calculated to reach the individual
  1. If there is insufficient or out-of-date contact information for ten (10) or more individuals, substitute notice shall:
    - be in the form of either a conspicuous posting for a period of ninety (90) days on the home page of The Company's website, or a conspicuous notice in major print or broadcast media in geographic areas where the individuals affected by the breach likely reside; and
    - include a toll-free phone number that remains active for at least ninety (90) days, where an individual can learn whether the individual's unsecured PHI may be included in the breach.
  2. Incapacitated Individuals. Written notice shall be made to the individual's personal representative
  3. Deceased Individuals: If The Company knows the individual is deceased and has the address of the next of kin or personal representative, written notice by first class mail may be made to either the next of kin or personal representative of the individual. Such notification may be made in one (1) or more mailings, as information becomes available. If the next of kin or personal representative's information is insufficient or out-of-date, precluding written notice, substitute notice need not be made
    - Urgent Notification Required. Where The Company deems notice urgent because of possible imminent misuse of unsecured PHI, The Company may provide information to affected individuals by telephone or other means, as appropriate, in addition to written notice
    - Maintain a log or other documentation of such breaches and, no later than sixty (60) days after the end of each calendar year, shall provide notification to the Secretary of HHS of all breaches discovered during the preceding calendar year, by going to <http://ocrnotifications.hhs.gov/> and filling out the form, as fully as possible
- e. For a breach of unsecured PHI involving more than five hundred (500) residents of a state or jurisdiction, The Company shall:
  1. Notify the affected individual(s) within sixty (60) days
- f. Breach notification shall be made through written notice, in plain language, and shall include the following, to the extent possible:
  1. A brief description of what happened, including the date of the breach and the date of the discovery of the breach, if known
  2. A description of the types of unsecured PHI that were involved in the breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code, or other types of information were involved)
  3. Any steps individuals should take to protect themselves from potential harm resulting from the breach

4. A brief description of what the covered entity involved is doing to investigate the breach, to mitigate harm to individuals, and to protect against any further breaches
5. Contact procedures for individuals to ask questions or learn additional information, which shall include a toll-free telephone number, an email address, website, or postal address
- g. Notice shall be sent by first-class mail to the individual's last known address. or if the individual agrees to electronic notice (and such agreement has not been withdrawn), by electronic mail
  1. Insufficient or Out-of-Date Contact Information: If insufficient or out-of-date information precludes written notification, substitute notification (e.g., by telephone) may be made in a form reasonably calculated to reach the individual.
    - If there is insufficient or out-of-date contact information for ten (10) or more individuals, substitute notice shall:
      - be in the form of either a conspicuous posting for a period of ninety (90) days on the home page of The Company's website or a conspicuous notice in major print or broadcast media in geographic areas where the individuals affected by the breach likely reside; and
      - include a toll-free phone number that remains active for at least ninety (90) days where an individual can learn whether the individual's unsecured PHI may be included in the breach.
    - Incapacitated Individuals. Written notice shall be made to the individual's personal representative
    - Deceased Individuals: If The Company knows the individual is deceased and has the address of the next of kin or personal representative, written notice by first class mail may be made to either the next of kin or personal representative of the individual. Such notification may be made in one (1) or more mailings, as information becomes available. If the next of kin or personal representative's information is insufficient or out-of-date, precluding written notice, substitute notice need not be made
- h. Urgent Notification Required. Where The Company deems notice urgent because of possible imminent misuse of unsecured PHI, The Company may provide information to affected individuals by telephone or other means, as appropriate, in addition to written notice
  1. Notify prominent local media outlets serving the state or jurisdiction without unreasonable delay and in no case later than sixty (60) calendar days after discovery or a breach
- i. Notification to the media shall include the following, to the extent possible:
  1. A brief description of what happened, including the date of the breach and the date of the discovery of the breach, if known
  2. A description of the types of unsecured PHI that were involved in the breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code, or other types of information were involved)
  3. Any steps individuals should take to protect themselves from potential harm resulting from the breach
  4. A brief description of what the covered entity involved is doing to investigate the breach, to mitigate harm to individuals, and to protect against any further breaches
  5. Contact procedures for individuals to ask questions or learn additional information, which shall include a toll-free telephone number, an email address, website, or postal address

- Notify the Secretary of the Department of Health and Human Services (HHS) contemporaneously with notice to the affected individuals, by going to <http://ocrnotifications.hhs.gov/> and filling out the form, as fully as possible
- 5). *Delay of Notification for Law Enforcement:* If a law enforcement official tells The Company that a required notification, notice, or posting would impede a criminal investigation or cause damage to national security, The Company shall:
- a. if the statement is in writing and specifies the time for which a delay is required, delay such notification, notice, or posting for the time period specified by the official; or
  - b. if the statement is made orally, document the statement, including the identity of the official making the statement, and delay the notification, notice, or posting temporarily, but no longer than thirty (30) days from the date of the oral statement, unless a written statement is submitted by law enforcement during that time.

## **L. DISCIPLINARY STANDARDS FOR HIPAA PRIVACY VIOLATION**

- 1). *Overview:* The Company has established a disciplinary policy and corresponding procedures for when the Health Insurance Portability and Accountability Act (“HIPAA”) Privacy Program policies and procedures are suspected of being violated. Adherence to applicable laws, rules, and regulations as well as The Company’s Privacy Program is mandatory. Failing to report suspected noncompliance, participating in noncompliant behavior, or encouraging, directing, facilitating, or permitting, either actively or passively, noncompliant behavior may result in disciplinary action, up to and including termination. Also, if The Company learns that an individual knowingly fabricated, distorted, exaggerated, or minimized a report of misconduct, either to injure someone else or to protect himself or herself, the individual will be subject to disciplinary action, up to and including termination. (Link to WP 2.9 [Disciplinary Standards](#)).
- 2). *Implementation:* Anyone can file a complaint (refer to the Policies and Procedures for Privacy and Security Complaints). The Privacy Officer/Information Security Manager, or his or her designee, will process all privacy and security complaints.

If the Privacy Officer, or designee, determines per the Complaint process that there are violations of The Company policies and procedures, members of the workforce are to be disciplined. The discipline will be based on the severity and the number of times the same policy and procedure has been violated, consistent with The Company’s Human Resource policies. The [Disciplinary Standards Policy](#) identifies examples of infractions and their corresponding disciplinary actions that apply to The Company’s Privacy Program. The Company will impose the disciplinary actions identified beside the respective infractions. The disciplinary actions are listed as [guidelines](#) to be considered in determining the disciplinary action to be taken in response to infractions. The Company, in its sole discretion, may impose discipline less or more stringent than that called for by these guidelines, as set forth in the disciplinary protocol established under the Privacy Program

- 3). *Non-Intimidation and Non-Retaliation:* The Company has a policy of non-intimidation and non-retaliation for good faith participation in the Privacy Program, including but not limited to report-

ing potential issues, investigating issues, self-evaluations, audits and remedial actions, and reporting to appropriate officials. (Link to WM 2.9 *Disciplinary Standards, Section C, [Non-Retaliation and Non-Retribution](#)*)

Reference Appendix PP 2.1 D- [Discipline for HIPAA Privacy Violation Log](#).

## M. PRIVACY EDUCATION AND TRAINING

- 1.) *Overview:* All Company employees are responsible for ensuring that protected health information is used and disclosed appropriately. Company employees means employees, volunteers, trainees, and other persons whose conduct, in the performance of work for The Company, is under the direct control of The Company, whether or not they are paid by The Company. The Company ensures that employees are effectively trained about The Company's Privacy Program, specific regulatory compliance issues, and their responsibilities.
- 2.) *Implementation:* The Company maintains an ongoing privacy training program, which includes:
  - a. Our Privacy Program - For existing members of the workforce:
    1. Training must be completed as expeditiously as possible
    2. Training must be completed within sixty (60) days if their functions are affected by a material change in the policies and procedures
  - b. Checklist Orientation, including Privacy-specific education - During new hire orientation, all new hires, regardless of position and seniority, are trained on the Privacy Program and specific requirements and expectations under the program. For a new member of the workforce, training must be completed within thirty (30) days after the person joins the workforce
  - c. Regular Privacy Training

The Company's training and education program is designed to communicate The Company's Privacy Program standards and procedures to employees in a meaningful and effective manner, and to ensure consistent application of the Program's policies. The Company training program is geared to the level of responsibility and job function.

Training sessions utilize classroom, lecture, recorded instruction, and/or other means of communication, as appropriate, to accommodate the skills, experience, and knowledge of the trainees. Other forms of education are employed, including the use of posters, bulletin boards, paycheck stuffers, etc., to inform employees of new privacy issues or to reinforce aspects of past training. No matter how the information is presented, the training is documented, including the date, attendees, and agenda.

It is the Privacy Officer's responsibility to establish and coordinate training activities, and to maintain a library of privacy-related information and training materials. Human Resources administers the training program.

[All privacy trainings are mandatory.](#)

## N. CONFIDENTIAL INFORMATION TRAINING

- 1). *Overview:* All employees and volunteers are required to participate in The Company's confidentiality training program. All employees and volunteers are required to sign a [Confidential Information Agreement](#).
- 2). *Procedure:* Confidentiality training will be provided to new hires during orientation. Employees and volunteers are required to attend review sessions annually. Topics to be covered in training include:
  1. The responsibility of employees to maintain privacy of residents
  2. Company's policies regarding the release of private information
  3. Consequences for breach of privacy/confidentiality

Additional training may be provided to employees who deal directly with the distribution of private information.

1. A [Confidential Information Agreement](#) must be signed by all employees and volunteers following their initial training session
2. Agreements will be stored in employee's personnel files
3. Employees may be re-trained following changes to the above policy and/or procedures

**Policy Number:** PP 2.1

**Policy Title:** Workforce Privacy Practices

**Policy Statement/Purpose:** The Company must have workforce privacy practices in place to be compliant with Privacy laws promulgated by the federal and state governments.

**Policy Interpretation and Implementation:** Workplace privacy practices are components of The Company's Compliance and Ethics Program.

## A. PRIVACY

- 1). *Overview:* In companies of all sizes, employees and managers are likely to engage in communication and other activities that are not directly related to their jobs. For instance, a worker might check his personal email at work, or talk to a friend or family member on his work phone during his lunch hour. Workplace privacy describes the extent to which employers monitor and collect information on the activities, communications, and private lives of workers.
- 2). *Procedure:* The Company may monitor employee activities in a variety of ways, many of which are related to the use of computers. Methods of employee monitoring may include tracking Internet usage, archiving computer files, storing employee emails and instant messages, logging keystrokes, recording phone conversations, testing for drugs, and maintaining video surveillance. The Company may track the use of key cards of satellite technology that keeps track of the use of Company property such as cars and phones.
  - a. Communication - The purpose of workplace policies governing communication is to establish acceptable employee behavior online, on the phone, or through other communication channels. Policies may establish that employers reserve the right to monitor communication to determine whether it is used appropriately. Employers not actively monitoring communication may still record and store emails, text messages, and other Company property in the event of future disputes or litigation. The Company policy may also guide content exchanged between employees during business hours; for example, off-color jokes, racial slurs, pornography, trade secrets, or chain mail may be explicitly prohibited. Policies regarding acceptable use of social networking media may help employees navigate the difference between professional and personal use of such sites.
  - b. Substance Use - Company policies regarding the use of alcohol, some prescription drugs, and illegal drugs help maintain a safe environment for employees, coworkers, and customers. While they may reinforce existent government laws prohibiting the use of illegal drugs, workplace policies may outline additional stipulations regarding employee use. Insurance carriers may require substance policies as a condition of coverage. Businesses outline consequences of substance use on the job to standardize procedures, so they are protected when penalizing employees for operating machinery, interacting with customers, or representing The Company while under the influence of substances. Formalizing punitive procedures through workplace policies helps to protect The Company from employee claims, resulting in dismissals related to substance use.
  - c. Relations Policy - Workplace policies concerning employee relations function as a guide for people developing personal or romantic relationships with coworkers, whether they are individuals in an equal, superior, or subordinate position. Critics of employee relations policies argue

that they inappropriately encroach upon the private lives of workers, forcing people to sneak around.

- 3). *Process Policy*: Some policies standardize business functions by outlining specific processes for things such as dealing with disgruntled employees, managing routine employee evaluations, or submitting budget requests. These workplace policies reduce the volume of questions concerning expectations for specific tasks. Formally specifying expectations gives employees a resource for finding answers to commonly asked questions.

## **B. NOTICE OF PRIVACY PRACTICES POLICY**

- 1). *Overview*: Pursuant to laws promulgated by the federal and state governments, The Company will provide Appendix PP 2.0.1 A, [\*Notice of Privacy Practices\*](#) to our residents and/or their personal representatives. The *Notice* serves to ensure that residents are informed about what Protected Health Information (“PHI”) is collected, and to have some control over how the information is used.
- 2). *Policy*: The Company has the responsibility to:
  - a. maintain the privacy of residents’ PHI;
  - b. provide residents with a written notice as to The Company’s legal duties and privacy practices with respect to collecting and maintaining information about residents;
  - c. abide by the terms of this notice;
  - d. notify residents if The Company is unable to agree to a requested restriction; and
  - e. accommodate reasonable requests that residents may have to communicate PHI by alternative means, or at alternative locations.
- 3). *Notice of Privacy Practices*: Upon admission, The Company will provide a notice to each resident and make a good faith effort to obtain a signed acknowledgement of the receipt of Appendix PP 2.0.1 A, [\*Notice of Privacy Practices\*](#) from the resident. The notice shall include all elements and statements that are required by law. The notice shall inform the residents of:
  - a. Uses and disclosures of PHI that may be made by The Company
  - b. The resident’s rights with respect to his/her PHI
  - c. The Company’s legal duties with respect to such PHI

The Company will not use or disclose a resident’s PHI without his/her consent or authorization, except as described in the notice.

- 4). *Procedure*: The notice and acknowledgement forms will be given to the resident at the time of admission. **Note**: In the case of an emergency treatment situation, The Company will provide the notice to the resident as soon as reasonably practicable after the emergency treatment situation has ended.
  - a. The Company will provide a copy of the written notice to residents.
  - b. The Company will provide a copy of the written notice when additional consent is sought from a resident.
  - c. The Admissions Staff will make a good faith effort to obtain the resident’s signature on the acknowledgement at the time the notice is provided. The notice and signed acknowledgement



- will be kept in the resident's Business Office File.
- d. If the resident refuses or is otherwise unable to sign the acknowledgement, the Admissions Staff will document, on the acknowledgement form, what actions were taken to obtain the president's signature and the reason(s) why a signed acknowledgement was not obtained. This document will then be placed in the resident's Business Office File.
  - e. To avoid interfering with a resident's access to quality health care or the efficient payment for such health care, The Company may use or disclose PHI, with certain limits and protections, for treatment, payment, and health care operations activities.
    1. Any use or disclosure of PHI for reasons other than treatment, payment, health care operations, and disclosure of PHI to a third party specified by the resident will require authorization
    2. Any use of PHI for marketing purposes, as well as disclosures that constitute a sale of PHI, by The Company will require the resident's express, written authorization
    3. The resident may revoke his/her given authorization, as provided by applicable regulations
  - f. The Company may use a resident's demographic information and the dates that the resident received treatment, as necessary, in order to contact the resident as part of a fundraising effort.
    1. **Note:** Residents have a right to opt-out of receiving PHI in such communications
    2. The Company will include in any fundraising materials sent to a resident, a description of how the resident may opt-out of receiving any further fundraising communications
    3. The Company will make reasonable efforts to ensure that residents who decide to opt-out of receiving future fundraising communications are not sent such communications
  - g. Uses and disclosures of psychotherapy notes by The Company will require advance, written authorization by the resident.
    1. Exception: Authorization is not required to carry out the following treatment, payment, or health care operations:
      - Use by the originator of the psychotherapy notes for treatment
      - Use or disclosure by The Company for its own training programs in which students, trainees, or practitioners in mental health learn under supervision to practice or improve their skills in group, joint, family, or individual counseling
      - Use or disclosure by The Company to defend itself in a legal action or other proceeding brought by the resident
    2. Exception: A use or disclosure that is required by or permitted by the applicable regulations with respect to the oversight of the originator of the psychotherapy notes
  - h. Residents have a right to restrict certain disclosures of PHI to a health plan where the resident pays out of pocket, in full for the healthcare item or service.
  - i. Residents will be notified following a breach of unsecured PHI.
  - j. The Company shall post a copy of the notice in a clear and prominent location such as the entrance lobby or similar location.
  - k. A current version of the notice will be maintained on The Company's website, if any.
  - l. Whenever the notice is revised, The Company's Privacy Officer shall assure that:
    1. The revised notice is made available upon request on or after the effective date of the revision
    2. The revised notice is posted in a clear and prominent location
    3. The revised notice is posted on The Company's website, if any
  - m. Material changes shall not be implemented prior to the effective date of the revised notice.
  - n. A copy of each notice issued by The Company will be maintained for at least six (6) years

from the date it was last in effect.

- o. Any member of the workforce who has knowledge of a violation, or potential violation, of this Policy must make an immediate report directly to the Privacy Officer.

### C. RESPONDING TO GOVERNMENT INQUIRIES

- 1). *Overview:* The Company has procedures for protecting protected health information while dealing with legal documents.
- 2). *Policy:* The Company is subject to government reviews and/or litigation, thus, may periodically receive legal documents (e.g.; subpoenas and court orders) demanding the production of medical or personnel records. The Privacy Officer must receive and respond to legal documents immediately because the documents may contain deadlines that The Company is legally responsible to meet.
- 3). *Procedures:*
  - a. Subpoenas and Court Orders for Medical and Personnel Records - If you are served with a routine subpoena or court order for medical or personnel records, respond as indicated below. If an issue of privacy is raised which requires assistance, notify Legal Counsel immediately. If the subpoena or court order is non-routine, it is very important that you do not turn over documents called for in a subpoena, do not discuss the case with the individual who served you with the subpoena, and do not discuss the subpoena with anyone other than Legal Counsel.
  - b. Procedures for Assuring Compliance with all Complaints, Subpoenas, Summonses, and Court Orders - The Privacy Officer will maintain a record of every subpoena and court order served on The Company with respect to medical or personnel records. The Privacy Officer will be responsible for coordinating with Legal Counsel as needed. The Privacy Officer, with assistance from the Legal Counsel, will be primarily responsible for a timely and appropriate response to the served documents.
  - c. Subpoenas - If a law firm representing a current or former resident submits a subpoena for medical records for that resident, the following steps should be taken:
    1. Inspect the subpoena to determine if it contains a HIPAA compliant authorization
    2. If not, contact the law firm and request a HIPAA compliant authorization
    3. Do not provide a copy of medical or personnel records without such an authorization
    4. If the authorization is complete, provide only that which is required in the subpoena; no more and no less
  - d. Court Orders - If you receive a court order for the release of medical or personnel records, the following steps should be taken:
    1. Inspect the court order to ensure that it is authentic and signed by a judge
    2. Adhere to the terms and conditions of the court order
    3. Provide only that which is required in the court order; no more and no less
- 4). *Guidelines for responding to all types of government inquiries:* The Company is to cooperate fully with all government inquiries and ensures appropriate and consistent responses to contact by government auditors and investigators. The Company Compliance and Ethics policy incorporates the following response elements for all types of inquiries:

- a. All Company employees should be respectful and courteous to government investigators.
- b. As soon as the investigators arrive, immediately notify the Administrator and/or Compliance Officer and/or Legal Counsel. If unavailable, then contact the most senior management person in your area. If a senior manager is not on the premises, the investigators should be asked to wait momentarily in an unused office or an area where no Company business is being conducted. Wait with the investigators, but do not discuss anything related to business with the investigators while waiting for a senior manager to arrive.
- c. The senior manager should request identification from all investigators, including business cards for each investigator. Enforcement agents should be asked to show their badges.
- d. The senior manager should ask the investigators the purpose of their visit and what information they are seeking.
- e. Upon receiving this information, the senior manager should immediately contact the Compliance Officer and Legal Counsel.
- f. If the visit occurs outside of normal business hours, the Administrator and Director of Nursing should be called.

5). *Guidelines for specific types of inquiries:*

- a. Routine periodic surveys should be handled in the normal course of business. However, the administrator and/or Legal Counsel should be contacted in the event there is an unscheduled visit by the state survey team, or agents other than the usual state surveyors are in attendance (including, but not limited to, OIG, FBI, and the State Medicaid Fraud Control Unit).
- b. If the inspectors are conducting an OIG Audit:
  1. Notify the Administrator and/or Legal Counsel
  2. The Administrator and/or Legal Counsel should be designated to receive all requests for information or documentation. The investigators should be requested to make all requests for information through this designated individual. A list should be made of all information and documents requested
  3. Original documents should not be given to the investigators. Two copies of all documents taken by the investigators should be made: one copy for the investigator, one for the Administrator and/or Legal Counsel
- c. If the investigators arrive with a search warrant:
  1. The senior manager on site should request a copy of the warrant and any accompanying exhibits or attachments. The affidavit in support of the warrant should be specifically requested and then immediately contact Administrator and/or Legal Counsel and forward a copy of the warrant
  2. The investigators will have the authority to seize original documents – the senior manager should politely request permission to make copies of important documents before they are seized. If permission is not granted, a careful list of documents seized, by category and location, should be made to the extent possible
  3. All employees should be directed to not interfere with investigators conducting a seizure pursuant to a search warrant. Employees perceived by the investigators to be interfering with the investigation may risk criminal sanctions, including but not limited to obstruction of justice

6) *Employee Rights and Obligations:*

- a. Employees should be advised that they may be contacted individually, at home or at work, by investigators. Individuals should be made aware of the following rights in the event they are contacted by government agents.
  1. Employees have the right to refuse to talk to investigators or to refuse to be interviewed unless they have an attorney to represent them. It is not an indication of guilt to request an attorney, but a common-sense decision to have the assistance of someone who understands the context of government investigators and how to protect individual rights. The Company will provide counsel to represent the employee in appropriate circumstances
  2. Employees have the right to refuse to speak to the investigators. Employees must be advised that making a false statement to a government investigator may subject the employee to criminal sanctions. Once employees become aware of an ongoing government investigation, no documents in any way related to the investigation should be destroyed or discarded; this may subject the employee to criminal sanctions
  3. After an investigation has begun, employees should be instructed:
    - not to speculate about the nature of the investigations; and
    - not to create memoranda, letters, emails, or other electronic or paper documents related to the investigation.
  4. If contacted by government investigators, employees should notify The Company's Administrator and/or Legal Counsel. Employees may not offer to provide access to The Company's documents. All requests for information and documents by government investigators should be processed through the Administrator and/or Legal Counsel

Reference PP Appendix 2.1 A, [Authorization for Compliance with Subpoena](#)

#### D. PRIVACY COMPLAINTS

- 1). *Overview:* The Health Insurance Portability and Accountability Act of 1996 ("HIPAA") Privacy Rule affirms the right of a patient to submit a privacy complaint. The Company must provide a process for residents to make complaints concerning Company policies and procedures required by the Privacy Rule.
- 2). *Procedure:* The procedure for receiving privacy complaints and taking appropriate actions includes:
  - a. All Privacy Complaints must be submitted in writing either on paper or electronically.
  - b. All Privacy Complaints must be submitted to the Privacy Officer, or his or her designee.
  - c. The Privacy Complaint must describe the acts or omissions believed to be in violation of the applicable requirements and be dated. A Privacy Complaint must be filed within 180 days of when the complainant knew, or should have known, that the act or omission complained of occurred, unless the Privacy Officer waives this time limit.
  - d. The Privacy Officer will determine the protected health information ("PHI") affected by the complaint, including PHI provided to other covered entities and business associates. A log will be kept as to what Privacy Complaints were received and the appropriate status.
  - e. If the PHI was created and maintained by a business associate, the Privacy Officer will pass the Privacy Complaint to the business associate. The [Business Associate Agreement](#) provides for this policy. The log will be updated accordingly.

- f. It is the responsibility of the Privacy Officer to determine whether there has been a breach of privacy policies and procedures and whether (1) execution needs to be improved, (2) privacy policies and procedure need to be changed, or (3) additional privacy policies and procedures need to be established. The Privacy Officer is responsible for taking actions necessary and appropriate. A log will be kept of these activities.
- g. If appropriate discipline must be taken against the workforce, refer to *WM 2.9 Disciplinary Standards for HIPAA Privacy Violation*.
- h. The Privacy Officer must close out the complaint noting the actions taken and the dates.
- i. Privacy Complaints may also be filed with the Department of Health and Human Services, Office for Civil Rights

<https://www.hhs.gov/sites/default/files/ocr/privacy/hipaa/complaints/hipcomplaintform.pdf>

**Policy Number:** PP 2.2

**Policy Title:** Maintaining Resident Privacy

**Policy Statement/Purpose:** The Company must have Resident privacy practices in place to be compliant with Privacy Laws promulgated by the federal and state governments.

**Policy Interpretation and Implementation:** Resident Privacy practices are components of The Company Compliance and Ethics Plan.

#### **A. REQUESTS FOR INSPECTION AND COPYING**

- 1). *Overview:* A resident has the right to inspect and copy Protected Health Information (“PHI”) or a record about the resident in a designated record set for as long as the PHI is maintained in the designated record set. The Company has a process for the resident to inspect and copy PHI.
- 2). *Procedure:* Individuals have the right to access, to inspect, and obtain a copy of the PHI in a designated record set.
  - a. Requests for access to inspect or obtain a copy of individual’s PHI must be made in writing to the Privacy Officer.
  - b. The Company must act on a request for access no later than thirty (30) days after receipt of the request as follows:
    1. If The Company grants the request, in whole or in part, it must inform the individual of the acceptance of the request and provide the access requested
    2. If The Company denies the request, in whole or in part, it must provide the individual with a written denial
    3. If The Company is unable to act within the time requested, The Company may extend the time for such action by no more than thirty (30) days, provided that:
      - The Company provides the individual with a written statement of the reasons for the delay and the date by which The Company will complete its action on the request; and
      - The Company may have only one such extension of time for action on a request for access.
- 3). *Access:* If The Company provides an individual with access, in whole or in part, to PHI, The Company must comply with the following requirements:
  - a. The Company must provide the access requested by individuals, including inspection or obtaining a copy, or both, of the PHI about them in designated record sets
    1. If the same PHI that is the subject of a request for access is maintained in more than one designated record set, or at more than one location, The Company need only produce PHI once in response to a request for access
  - b. Form of Access Requested
    1. The Company must provide the individual with access to PHI in the form and format requested by the individual, if it is readily producible in such form and format; or, if not, in a readable hard copy form or such other form and format as agreed to by The Company and the individual

2. If the PHI that is the subject of the request for access is maintained in one or more designated record sets electronically and if the individual requests an electronic copy of such information, The Company must provide the individual with access to the PHI in the electronic form and format requested by the individual, if it is readily producible in such form and format; or, if not, in a readable electronic form and format as agreed to by The Company and the individual
  3. The Company may provide the individual with a summary of the PHI requested in lieu of providing access to the PHI, or may provide an explanation of the PHI to which access has been provided, if:
    - the individual agrees in advance to such a summary or explanation; and
    - the individual agrees in advance to the fees imposed, if any, by The Company for such summary or explanation.
  - c. Time and Manner of Access
    1. The Company must provide the access as requested by the individual in a timely manner (30 days), including arranging with the individual for a convenient time and place to inspect or obtain a copy of the PHI or mailing the copy of the PHI at the individual's request
      - The Company may discuss the scope, format, and other aspects of the request for access with the individual as necessary to facilitate the timely provision of access
    2. If an individual's request for access directs The Company to transmit the copy of PHI directly to another person designated by the individual, The Company must provide the copy to the person designated by the individual
      - The individual's request must be in writing, signed by the individual, and clearly identify the designated person and where to send the copy of PHI
  - d. The Company must document and retain copies of the designated record sets that are subject to access by individuals
- 4). *Fees*: If the individual requests a copy of the PHI, or agrees to a summary or explanation of such information, The Company may impose a reasonable, cost-based fee, provided that the fee includes only the cost of:
- a. labor for copying the PHI requested by the individual, whether in paper or electronic form;
  - b. supplies for creating the paper copy or electronic media if the individual requests that the electronic copy be provided on portable media;
  - c. postage, when the individual has requested the copy, or the summary or explanation, be mailed; and
  - d. preparing an explanation or summary of the PHI, if agreed to by the individual.
- 5). *Denial of Access*: The Company may deny an individual access, provided that the individual is given a right to have such denials reviewed, in the following circumstances:
- a. A licensed health care professional has determined, in the exercise of a professional judgment, that the access requested is reasonably likely to endanger the life or physical safety of the individual or another person.
  - b. The PHI refers to another person (unless such other person is a health care provider) and a licensed health care professional has determined, in the exercise of professional judgment, that the access requested is reasonably likely to cause substantial harm to such other person.
  - c. The request for access is made by the individual's personal representative and a licensed health care professional has determined, in the exercise of professional judgment, that the provision

- of access to such personal representative is reasonably likely to cause substantial harm to the individual or another person.
- d. If The Company denies access, in whole or in part, to PHI, The Company must comply with the following requirements:
    1. The Company must, to the extent possible, give the individual access to any other PHI requested, after excluding the PHI to which The Company has a ground to deny access
    2. The Company must provide a timely, written denial to the individual, in plain language, containing:
      - The basis for the denial
      - If applicable, a statement of the individual's review rights, including a description of how the individual may exercise such review rights
      - A description of how the individual may complain to The Company. The description must include the name, or title, and telephone number of the Privacy Officer.
  - e. If The Company does not maintain the PHI that is the subject of the individual's request for access, and The Company knows where the requested information is maintained, The Company must inform the individual where to direct the request for access.
- 6). *Review of denial requested:* If the individual has requested a review of a denial, The Company must designate a licensed health care professional, who was not directly involved in the denial to review the decision to deny access.
- a. The Company must promptly refer a request for review to such designated reviewing official.
  - b. The designated reviewing official must determine, within a reasonable period of time, whether or not to deny the access requested.
  - c. The Company must promptly provide written notice to the individual of the determination of the designated reviewing official and take action to carry out the designated reviewing official's determination.
- 7). *Denial without Review:* The Company may deny an individual access without providing the individual an opportunity for review in the following circumstances:
- a. The PHI is excepted from the right of access because it is psychotherapy notes or information compiled in reasonable anticipation of, or for use in, a civil, criminal, or administrative action or proceeding.
  - b. The PHI is contained in records that are subject to the Privacy Act, if the denial of access would meet the requirements of the Privacy Act.
  - c. The PHI was obtained from someone other than a health provider under a promise of confidentiality and the access requested would be reasonably likely to reveal the source of the information.

## **B. USES AND DISCLOSURES FOR RESIDENT DIRECTORIES**



- 1). *Overview:* The Company may use or disclose Protected Health Information (“PHI”), provided that the individual is informed in advance of the use or disclosure and can agree or to prohibit or restrict the use or disclosure, in accordance with applicable laws, rules, and regulations. The Company may orally inform the individual of and obtain the individual’s oral agreement or objection to an otherwise permitted use or disclosure.
- 2). *Procedure:* General Rule: The Company may maintain a directory of individuals in its company, including:
  - a. The individual’s name
  - b. The individual’s location in The Company
  - c. The individual’s condition, described in general terms that do not communicate specific medical information about the individual
  - d. The individual’s religious affiliation

Use or disclosure of such information for directory purposes may be provided to members of the clergy or, *except for religious affiliation*, other persons who ask for the individual by name.

- 3). *Individual’s Opportunity to Object:* The Company must inform an individual of the PHI that it may include in a directory and the persons to whom it may disclose such information and provide the individual with the opportunity to restrict or prohibit some or all the uses or disclosures listed above.
- 4). *Emergency Circumstances:* If the opportunity to object to uses or disclosures cannot practicably be provided because of the individual’s incapacity or an emergency treatment circumstance, The Company may use or disclose some or all the PHI listed above for The Company’s directory, if such disclosure is:
  - a. consistent with a prior expressed preference of the individual, if any, that is known to The Company; and
  - b. in the individual’s best interest, as determined by The Company, in the exercise of professional judgment.

The Company shall inform the individual and provide an opportunity to object to uses or disclosures for directory purposes when it becomes practicable to do so.

### C. WHITE BOARDS

- 1). *Overview:* In many areas of The Company, there are white boards listing residents by name and other clinical information that may be related to condition. If people other than the workforce have access to the white boards, it is regarded as a disclosure. The Company has procedures in place to prevent disclosures to people other than the workforce in connection with white boards. White boards containing Protected Health Information (“PHI”) should not be placed in open areas.
- 2). *Procedure:* Accidental disclosures may happen. It is the responsibility of the workforce to mitigate the impact of accidental disclosures. White boards must be covered from view when not being utilized by workforce having access to PHI needed on white boards (e.g. admissions department).

## D. EMAIL PRIVACY

- 1). *Overview:* The Company shall protect the confidentiality, integrity, and availability of Electronic Protected Health Information (e-PHI) it creates, receives, maintains, or transmits. The information released will be limited to the minimum necessary to meet the requestor's needs. Whenever possible, de-identified information will be used. The Company has procedures in place to ensure appropriate use of the email system when transmitting PHI.
- 2). *Procedure:*
  - a. Email users will be set up with a unique identifier complete with unique [password](#) and file [access controls](#).
  - b. Email users may not intercept, disclose, or assist in intercepting or disclosing email communications.
  - c. Users shall verify the accuracy of the email address before sending any PHI.
  - d. Every effort shall be made to secure the confidentiality and privacy of PHI. Sample security measures include password protecting the document(s) being sent and/or encrypting the message.
    - The content of email messages shall be limited to the minimum necessary to meet the needs of the recipient
  - e. All email containing PHI shall contain a confidentiality statement. Suggested language:
    - This email and any documents, files, or previous email messages attached to it are intended only for the use of the person or office to whom it is addressed and contains privileged or confidential information protected by law. If the reader of this message is not the intended recipient, you are hereby notified that any viewing, disclosing, dissemination, distribution, or copying of this communication is strictly prohibited. If you have received this email in error, please immediately notify the sender by reply email and erase the email from your system. Thank you.
  - f. Users should exercise extreme caution when forwarding messages to ensure that sensitive information is not forwarded to any unauthorized user.
  - g. Users should periodically purge email messages that are no longer needed for business purposes, per The Company's record retention policy.
  - h. Employee email privileges shall be promptly removed following his/her departure from The Company.
  - i. Employees shall immediately report any violations to their supervisor, the Privacy Officer, or the Administrator.
  - j. Resident related [Email Instructions and Consents](#) are referenced at PP Appendix 2.2 Section C.

## E. MAILING TO RESIDENTS

- 1). *Overview:* Mailing to residents may, in effect, disclose Protected Health Information (“PHI”) to others in the household. For example, an explanation of benefit (“EOB”) or invoice sent to the insured about a spouse, an emancipated child, or another adult could disclose PHI. The Company has established a privacy policy for mailings to the insured, if other than the resident.
- 2). *Procedure:* If the resident is not the insured, The Company must ask the resident if he or she objects to sending information to the insured. If there is an objection, then a separate mailing to the resident will be made.

Resident will be asked to consent to mailing of PHI to insured when signing the initial consent form. If the resident objects, the resident will be asked to notify The Company and to complete Appendix PP 2.0.2H [Request for Restriction of Use and Disclosure of Protected Health Information](#).

## F. PHOTOGRAPHING, FILMING, AND RECORDING OF RESIDENTS (PROHIBITION OF PHOTOGRAPHS AND AUDIO/VIDEO RECORDINGS)

- 1). *Overview:* It is the policy of The Company to ensure each resident’s right to privacy and confidentiality for all aspects of care and services. The Skilled Nursing Company Conditions of Participation state: “The resident has the right to be free from verbal, sexual, physical, and mental abuse, corporal punishment, and involuntary seclusion.” Mental abuse includes, but is not limited to, humiliation, harassment, threats of punishment, or deprivation.

To ensure the provision of each resident’s rights to personal privacy, not only of his/her own physical body, but also of his/her personal space, including accommodations and personal care. This policy defines “staff” to include employees, consultants, contractors, volunteers, and other caregivers who provide care and services to residents of The Company.

- 2). *Procedure:*
  - a. Taking unauthorized photographs or recordings of a resident in any state of dress or undress using any type of equipment (e.g., cameras, smart phones, and other electronic devices) is a violation of the resident’s right to privacy and confidentiality.
  - b. Photographs and recordings of a resident that contain nudity, sexual and intimate relations, bathing, showering, toileting, providing perineal care such as after an incontinence episode, agitating a resident to solicit a response, derogatory statements directed to a resident, showing a body part without the resident’s face whether it is the chest, limbs, or back, labeling resident’s pictures and/or providing comments in a demeaning manner, directing a resident to use inappropriate language, provision of incontinence care exposing perineal areas, fecal material on body parts or bedding/furnishings, and showing the resident in any compromised position are strictly prohibited.
    1. Performing any of these actions has the effect of humiliation and embarrassment and does not promote an environment where the resident’s self-worth is being upheld.

- c. If a photograph or recording of a resident, or the manner that it is used, demeans or humiliates a resident(s), regardless of whether the resident provided consent and regardless of the resident's cognitive status, a full investigation will occur with application of the disciplinary process to the person taking the photograph or making the recording, up to and including termination and reporting to appropriate authorities.
- d. In situations where a resident is unable to express him/herself due to a medical condition and/or cognitive impairment (e.g., stroke, coma, Alzheimer's disease), the lack of response by the resident does not mean that mental abuse did not occur. Residents who are cognitively impaired can still suffer public humiliation and dehumanization.
- e. Depending on what was photographed or recorded, physical and/or sexual abuse may also have occurred.
- f. Upon identification of any allegation of posting an unauthorized photograph or recording of a resident on any form of social media, the alleged violation must be reported to the Administrator and other officials, with initiation of an immediate investigation and actions to prevent further potential abuse.
  - 1. Actions may include, but not be limited to, staffing changes, increased supervision, protection from retaliation, follow-up counseling for the resident(s), and corrective actions to prevent recurrence
- g. Training will be provided initially, annually, in new employee orientation, and periodically as deemed necessary on abuse policies for all staff who provide care and services to residents.
  - 1. Training will include information describing the prohibition of staff from using any type of equipment to take, keep, or distribute photographs and recordings of residents on social media, or by any other means, that are demeaning or humiliating
  - 2. Training will include staff reporting responsibilities, including how to identify possible abuse and how to report allegations of abuse
- h. The nursing home administration will establish a method of ongoing oversight and supervision of staff under the guidance of the QAA Committee or other designated individual(s) to ensure that these policies are communicated and implemented as written.

Reference PP Appendix 2.2 E [Consent to Photograph/Publish](#)

## **G. RESIDENT PERSONAL RECORDING DEVICES**

- 1). *Overview:* The Company will protect the privacy of residents and staff from unauthorized use of personal recording devices in resident rooms and public areas within the facility by requiring residents and family members to obtain permission from The Company in accordance with federal and state law, prior to use or installation of personal recording devices in resident rooms or public areas in the facility, and by defining the parameters in which personal cell phones with camera or video capability and other personal image recording devices (Alexa etc.) may be used by residents and/or their personal representatives/family members.

2). *Definitions:*

- a. **Personnel** – includes all personnel who would appear to the public as an employee or agent of The Company. Personnel includes but is not limited to: employees, physicians and allied health professionals, volunteers, contractors, vendors, temporary labor, agency personnel, and contract employees.
- b. **Personal Recording Device (“PRD”)** – A personal recording device is any device that:
  1. Is not the property of CompanyName
  2. Can capture an image, live action or still, of a resident or staff member
  3. Such devices include, but are not limited to: video cameras, cell phones with cameras, cell phones with videotaping capability, digital cameras, and voice activated devices (such as Alexa)
- c. **Personal Representative** – The person who is authorized to make decisions on behalf of a resident.

3). *Implementation:*

- a. Any resident, personal representative, or family member who wishes to install or use a Personal Recording Device in a resident room or public area within the facility must request and receive permission from the Administrator of the facility, in accordance with federal and state laws, prior to using or installing such Personal Recording Device.
- b. If the Administrator grants the request, the resident, personal representative, and/or family member is required to:
  1. obtain consent from the resident’s roommate(s) or personal representative(s) for the video recording device to be installed in the resident’s room; and
  2. place the video recording device in plain view with some form of notice posted outside the resident’s room in order to provide notice to staff.
- c. Residents, personal representative(s), and/or family members are responsible for all costs associated with purchase and installation of the device.
- d. CompanyName is prohibited from retaliating against those who use a personal recording device after receiving permission from the Administrator.
- e. Residents, personal representative(s), and/or family members are expressly prohibited from photographing, recording, or videoing other residents, personal representative(s), or family members without receiving written permission from the Administrator of the facility and in accordance with both, CompanyName’s policies regarding the photographing, recording, or video taking of residents and HIPAA.
- f. Any exceptions to this Policy must be approved by either the Administrator or the Compliance Officer.
- g. Noncompliance with this Policy that results in violations of Company HIPAA Privacy and Security Policies and Procedures will subject the violator to either removal for visitors and resident family members, and/or discharge for resident in accordance with federal and state laws and regulations.

I acknowledge that my signature on this Policy signifies I have read, understand, and am committed to its principles.

Resident

Personal Representative

Family Member

\_\_\_\_\_  
Print Name of Individual

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
Signature of Individual

\_\_\_\_\_  
Date

**Policy Number:** PP 2.3

**Policy Title:** Social Media and Networking

**Policy Statement/Purpose:** The Company has policies that specify the obligations of employees authorized to represent The Company in authorized external social media communications consistent with applicable law, regulations, and standards of practice.

**Policy Interpretation and Implementation:** Managing social media communications is a component of The Company Compliance and Ethics Program.

#### A. SOCIAL MEDIA/NETWORKING AND INTERNET COMMUNICATIONS

- 1). *Overview:* The Company formally participates in external Social Media communities through authorized corporate channels. This Policy specifies the obligations of those employees authorized to represent The Company in the Social Media environment. This Policy applies to all types of social media/networking activity (a) using Company computers, mobile devices, or other information technology (“IT”), and (b) using non-Company technology.

The Administrator shall designate an individual to monitor Social Media using Google alert or other Company approved alert system. Once an account is activated with Google, if The Company is mentioned on the Internet, an alert will be generated for review. If any negative reviews are posted, the Administrator and Legal Counsel should be notified immediately

- 2). *Definitions:*

**Company-Sponsored Social Media** – An external Social Media site owned or controlled by The Company, including content that is housed on an outside-party Social Media site at The Company’s direction.

**Social Media** – As used in this Policy, “social media” is user-generated web/online content created by individuals using highly accessible and scalable publishing technologies, including but not limited to blogs, chat rooms, wikis, photo-sharing networks, online virtual communities, podcasts, user-generated videos, message boards, and other technologies. For the purpose of this Policy, email communication is not included in this definition of Social Media.

**Social Networking** – As used in this Policy, “social networking” means communicating with others over the Internet for social purposes. Typically, this interaction occurs on sites like Facebook, Twitter, LinkedIn, YouTube, and MySpace, but can also occur on “media sites” that are offered by television networks, newspapers, and magazines and permit readers to post comments.

**Web Log (Blog)** – A Web log, or “blog”, is a public Web page that is written and updated frequently by one or more authors, much like a personal journal or newsletter. Blogs generally consist of commentary on a defined subject and frequently include links to other sites pertaining to the same subject.

- 3). *Procedure:* Recognizing that employees may participate in various forms of Social Media on their personal time and using their personal communications resources, this policy provides expectations and requirements for responsible use of external Social Media by those employees as such use relates to The Company.

- a. While social networking can be useful, if improperly used, it can result in a variety of adverse consequences such as disclosure of sensitive or confidential information; defamation, harassment, discrimination, privacy and copyright issues being created; and potential damage to The Company's reputation.
- b. This Policy applies to all employees as well as agents and contractors of The Company.
- c. All employees, agents, and contractors of The Company shall immediately report known, suspected, or potential violations of this Policy to the Privacy Officer. Violations of this Policy may result in disciplinary action.

4). *Company-Sponsored Social Media Sites:*

- a. Company-Sponsored Social Media presence must be approved by the Administrator.
- b. All employees and/or departments that have a business purpose for developing and maintaining a Company-Sponsored Social Media site/presence must:
  1. Justify the business need
  2. Identify the Site Owner or the individual who is responsible for the content and monitoring of The Company-Sponsored Social Media site or presence
  3. Agree to maintain the requested site
  4. Agree to notify the Administrator if such site is ever abandoned or closed
  5. Comply with any security requirements specified by the Information Technology Department
  6. Submit all the above information to the Administrator for final approval
- c. Communications and other interactions by The Company personnel acting on behalf of The Company on Company-Sponsored Social Media sites **must follow** the following provisions:
  1. Users are personally responsible for all content they post
  2. Employees must adhere to The Company's Code of Conduct and policies governing restrictions on disclosure of confidential or other proprietary information, policies prohibiting discrimination, harassment, retaliation or threats, and policies mandating adherence to intellectual property and financial disclosure laws
  3. Do not discuss or disclose any resident protected health information as described in the Confidentiality Policy and Acceptable Use Policy
  4. Identify yourself and your role at The Company when you discuss Company business
  5. Refrain from posting any content that could be characterized as defamation, plagiarism, harassment, advertising, a copyright violation, or claims of special expertise
  6. Identify all copyrighted or borrowed material with citations and links and obtain permissions when necessary
  7. Do not knowingly provide false or misleading information, and use due diligence to assure that the information you do provide is accurate
  8. Obey the law. Do not post any information or conduct any online activity that may violate applicable local, state, or federal laws or regulations
  9. Information provided must be limited to that which may be spoken in any other public forum
  10. Ensure that your posting is accurate, truthful, respectful, and is spelled correctly with appropriate grammar, language, and tone
  11. All responses to reader postings should be composed in a thoughtful, careful manner



12. Obtain approval from the Administrator before responding to an inaccurate, accusatory, or negative comment about The Company, its employees, or its residents; inquiries from journalists on issues related to The Company, its employees, or its residents; or an inquiry about any other legal matter
  13. Do not post anything that would potentially embarrass you or The Company, or call into question The Company's reputation, including photographs or other images
  14. Employees shall not post unauthorized images, videos, or recordings of The Company's facilities
  15. Employees shall not offer any referral, endorsement, or recommendation for or about others on behalf of The Company without the prior approval from the Administrator
  16. Retain online content that is classified as an official record
  17. If approached by external media, industry analysts, shareholders, or any company or organization for which there are assigned Company contacts, refer them to the authorized individual or department
- d. Disclaimer for Company-approved blog sites. The following should be posted on the "About" page:
1. The author grants permission to readers to link to this site so long as this site is not misrepresented. The author will remove any link to any site from this site upon request of the linked entity. This site is not sponsored or associated with any other site unless so identified.
- e. Privacy Statement for Company-approved blog sites. The following should be posted on the "Privacy Statement" page, which should be linked to the "Home" or "Main" or "About" page:
1. **PRIVACY STATEMENT:** The author of this site and The Company value the privacy of their blog viewers. This site does not currently collect personal identifying information (PID), except: (1) to the extent that your browser provides PID, such as your email address or the site you linked from, to this site's server; (2) to the extent that you provide PID to this site in an email; and (3) to the extent that you provide PID to this site in a CGI form (for example, when you complete a search request on this site's "Search this Site" search feature). Your PID will be used only for the specific purpose of which you submitted the PID, except that it may be used in an aggregate form to gauge the popularity of this site.
  2. "Cookies" are pieces of information that some Web sites transfer to the computer that is browsing that Web site and are used for record-keeping purposes. Use of Cookies performs certain functions such as saving your passwords, lists of potential purchases, and your personal preferences regarding your use of the particular Web site. This site does not currently use Cookies; however, the author of this site and The Company may decide to use them in the future in order to make your use of this site more efficient. Your browser is probably set to accept Cookies. However, if you would prefer not to receive Cookies, you can alter the configuration of your browser to refuse Cookies. If you choose to have your browser refuse Cookies, it is possible that, should this site employ Cookies in the future, some areas of the site will not function properly when you view them.
  3. This site may contain links to other sites. The author and The Company do not share your personal information with those sites and are not responsible for their privacy policies. We encourage you to learn about the privacy policies of those entities.
  4. Children under 13 years old are not the target audience of this site. To protect their privacy, the author and The Company prohibit the solicitation of personal information from these children.

5. The author and The Company reserve the right to change this privacy policy at any time by posting a new privacy policy at this location. You can email any further questions to the Privacy Officer.

5). *Participation on Social Media Sites as The Company Representative:*

- a. Only employees designated by the Administrator have the authority to speak on behalf of The Company within Social Media.
- b. Employees who participate on Social Media sites on The Company's IT systems for work-related reasons, for example on LinkedIn, must have prior approval from the Administrator.
- c. Upon approval to participate on Social Media sites, access should be limited and not interfere with or impact normal business operations of The Company.
- d. Anyone participating in Social Media for any reason is responsible for reading, understanding, and complying with the site's terms of use. Any concerns about the terms of use for a site should be reported to the Privacy Officer.
- e. Many networking sites permit users to search for or import contact information from the user's contact list. Due to confidentiality and privacy concerns, users are prohibited from importing or uploading any contacts to any networking sites.
- f. Communications and other interactions by The Company personnel acting on behalf of The Company on outside-party Social Media sites **must follow** the following provisions:
  1. Users are personally responsible for all content they post on Social Media sites. Remember that it is difficult to delete content once posted to a site, so be cautious when writing any posting
  2. Employees must adhere to The Company's Code of Conduct and policies governing restrictions on disclosure of confidential or other proprietary information, policies prohibiting discrimination, harassment, retaliation or threats, and policies mandating adherence to intellectual property and financial disclosure laws
  3. Do not discuss or disclose any resident protected health information as described in the Confidentiality Policy and Acceptable Use Policy
  4. Do not compromise the security or reputation of The Company
  5. Openly identify yourself as a representative of The Company
  6. Refrain from posting any content that could be characterized as defamation, plagiarism, harassment, advertising, a copyright violation, or claims of special expertise
  7. Identify all copyrighted or borrowed material with citations and links, and obtain permissions when necessary
  8. Do not knowingly provide false or misleading information, and use due diligence to assure that the information you do provide is accurate
  9. Obey the law. Do not post any information or conduct any online activity that may violate applicable local, state, or federal laws or regulations
  10. Information provided must be limited to that which may be spoken in any other public forum. Only individuals authorized to speak to the media on behalf of The Company may write in the name of The Company in any chat room or post in the name of The Company on any third-party blog
  11. Ensure that your posting is accurate, truthful, respectful, and is spelled correctly with appropriate grammar, language, and tone
  12. All responses to reader postings should be composed in a thoughtful, careful manner

13. Obtain approval from the Administrator before responding to an inaccurate, accusatory, or negative comment about The Company, its employees, or its residents; inquiries from journalists on issues related to The Company, its employees, or its residents; or an inquiry about any other legal matter
14. Do not post anything that would potentially embarrass you or The Company, or call into question The Company's reputation, including photographs or other images
15. Employees shall not post unauthorized images, videos or recordings of The Company's facilities
16. Employees shall not offer any referral, endorsement, or recommendation for or about others on behalf of The Company without the prior approval from the Administrator
17. If approached by external media, industry analysts, shareholders, or any company or organization for which there are assigned Company contacts, refer them to the authorized individual or department

6). *Employee's Personal Participation in Social Networking:*

- a. The Company recognizes that some employees may wish to participate in their individual capacities in various forms of Social Media on their personal time and using their personal communications resources. Following are the expectations and requirements on responsible use of Social Media when employees participate in Social Media and such participation relates to The Company or their employment with The Company.
- b. Employees should never attribute postings to The Company or imply that they are endorsed or written by The Company. If work affiliation is listed, or if employees publish content that has anything to do with The Company, the work they perform for The Company, or subjects associated with The Company, the posting should include a disclaimer such as the following to avoid any misinterpretation of their role:
  1. "The postings on this site are my own comments and opinions. I do not represent my employer in my postings on this site and the postings may not represent the views of my employer."
- c. Unless previously authorized by The Company, do not use The Company's logo.
- d. Nothing in this Policy is intended to restrict an employee's rights under any federal, state, or local labor or employment law or regulation, to discuss his or her salary, wages, hours and other terms and conditions of employment with nonemployees or with other employees.
- e. Communications and other interactions by The Company personnel on Social Media sites must follow the following provisions:
  1. Users are personally responsible for all content they post on Social Media sites. Remember that it is difficult to delete content once posted to a site, so be cautious when writing any posting
  2. Employees must adhere to The Company's Code of Conduct and policies governing restrictions on disclosure of confidential or other proprietary information, policies prohibiting discrimination, harassment, retaliation or threats, and policies mandating adherence to intellectual property and financial disclosure laws
  3. Do not discuss or disclose any resident protected health information as described in the Confidentiality Policy and Acceptable Use Policy
  4. Refrain from posting any content that could be characterized as defamation, plagiarism, harassment, advertising, a copyright violation, or claims of special expertise

5. Obey the law. Do not post any information or conduct any online activity that may violate applicable local, state, or federal laws or regulations
6. Employees shall not post unauthorized images, videos or recordings of The Company's facilities
7. Employees shall not offer any referral, endorsement, or recommendation for or about others on behalf of The Company

## **B. COMPUTER AND INTERNET USAGE**

- 1). *Overview:* Company computers and Internet are to be used for business purposes only. All Company policies relating to privacy, harassment, data security, and confidentiality apply to conduct on the Internet.
- 2). *Procedure:*
  - a. The Company reserves the right to inspect all files stored on The Company network.
  - b. Internet usage must abide by all state and federal laws.
  - c. Company computers are not to be used to view, store, or distribute any sexually explicit material. Employees who find themselves on a website containing such material, must disconnect immediately.
  - d. Company computers are not to be used for entertainment or games, or to download videos or images not related to business.
  - e. Any files or software installed or downloaded onto a Company computer become the property of The Company.
    1. Any files or software installed or downloaded onto a Company computer must be used in accordance with their licenses
    2. All downloaded files must be scanned for viruses before use
  - f. Employees are not to download, possess, or distribute pirated software or data.
  - g. Employees are not to use Company computers to interfere with the facility computer system or compromise the security of other users. Employees are not to attempt to disable or otherwise compromise computer security systems.
  - h. Only employees who are authorized to do so may use Company internet to communicate with others in forms other than Company email (chatroom, etc.).
    1. Such employees are to accurately identify themselves when using Company internet to communicate with (chatroom, etc.)
    2. Communication must be related to business
    3. Employees communicating through such mediums are speaking as individuals
    4. Any material communicated by an employee may be copyrighted by Company
    5. Employees are not to disclose any confidential information that may compromise security or privacy of The Company, its employees, or its residents
  - i. The Administrator must approve the use of any portable storage devices before use. Use without prior authorization may constitute a HIPAA violation.
  - j. Each employee will receive an individual user ID and password for computer and internet use that must be kept confidential. Employees are not to share their user ID or password with anyone.
  - k. Files containing sensitive or confidential information must be encrypted before they can be transferred electronically.

- l. Any emails received from unknown sources must be left unopened and promptly deleted.
- m. All employees must sign the [Acknowledgement of Computer & Internet Usage Form](#). The signed form is to be kept in the employee's personnel file.

### C. VIDEO SURVEILLANCE POLICY

- 1). *Overview:* The Company may find it necessary to monitor work areas with video surveillance systems when there is a specific security, employment, or business-related reason. The primary purpose of the video surveillance system is to allow the after-the-fact investigation of crimes committed against The Company or on Company's premises.

Company's use of video surveillance shall be in compliance with all state and federal laws.

- 2). *Implementation:*

- a. Location

Video surveillance cameras are primarily used to record access at building entrances, in public offices, and public spaces, including ceilings and/or Company computers. The main purpose of the video surveillance is to monitor and safeguard against theft of Company's currency, inventory, and property. However, The Company reserves the right to use surveillance in the investigation and deterrence of any unlawful behavior.

- b. Employees should not expect privacy in work-related areas

Employee privacy in non-work areas will be respected to the extent possible. However, The Company reserves the right to use video surveillance in a non-work area where there is a reasonable suspicion of onsite drug use, physical abuse, theft, or similar circumstances. The Company will seek legal advice prior to installing video surveillance in a non-work area.

- c. Management of Video Surveillance Systems

The Company's Security Consultant/Department is responsible for the management of all video surveillance systems used at The Company. No other department shall install video surveillance equipment without the knowledge and approval of the Security Consultant/Department. Company will seek legal advice prior to installing covert cameras or video surveillance cameras in non-work areas.

- d. Video Surveillance Monitoring and Recording

The Company's video surveillance systems are capable of being monitored by the Security Consultant/Department and Management. Video surveillance is generally reviewed on a periodic basis or in response to a specific incident.

The Company's video surveillance systems are capable of being recorded. Recorded video is used exclusively for the investigation of security and safety incidents and not for other purposes.

- e. Access to Video Recordings

The Company will not make recorded video available to employees or to the general public, even upon request. If it is determined that a security incident occurred in an area where video surveillance is available, Management and/or the Security Consultant/Department will review the recorded video to determine whether it is relevant to the incident. If it is determined that the video is relevant, the video will be used to investigate and resolve the incident.

The Company will seek legal advice prior to responding to a request by a law enforcement agency or other legal entity to view or use The Company's video recordings. Any release of The Company's video recordings will be in compliance with state and federal law.

f. Storage of Video Recordings

Recorded video is generally stored for a period of thirty (30) days unless instructed otherwise by The Company's lawyers, a law enforcement agency, or a court of law. Video recordings which could become evidence in a civil or criminal proceeding are kept indefinitely until directed otherwise by The Company's lawyers, a law enforcement agency, or a court of law.

**Policy Number:** PP 2.4

**Policy Title:** Identity Theft

**Policy Statement/Purpose:** The Company has policies and procedures in place to safeguard the confidentiality of resident Protected Health Information (PHI) to comply with laws, rules, regulations, and standards of practice.

**Policy Interpretation and Implementation:** Identity theft protection is a component of The Company Compliance and Ethics program.

### A. IDENTITY THEFT PREVENTION PLAN

1). *Overview:* The Company recognizes that it has a duty to safeguard the confidentiality of resident Protected Health Information (“PHI”); therefore, whether the red flag rules are mandated for The Company or not, The Company chooses to comply.

2). *Definition:*

- a. Identity theft is fraud committed or attempted by using identifying information of another person (individual or entity) without authority.
- b. Medical identity theft is a growing problem with potentially fatal results.
- c. Data taken by identity thieves can include social security numbers (“SSN”), account numbers, and other personal information.
- d. Consumers are victimized by identity thieves because they must spend time and incur out of pocket expenses to correct their personal information and repair their credit.
- e. Businesses are victimized by identity thieves because they cannot collect amounts owed for their goods and services.

3). *Identity Theft Prevention Program:*

**Step One: Identify Covered Accounts:** The Red Flag Rules require each creditor (who is subject to FTC enforcement) to determine periodically whether it offers or maintains covered accounts under the Red Flag Rules. A healthcare provider may consider the following as possible covered accounts under the Red Flag Rules: patient/resident accounts and billing records that include patient/resident identifying information.

**Step Two: Identify Relevant Red Flags:** See PP 2.4-D- [Red Flags for Identity Theft](#). In the following circumstances, staff should be alert for the possibility of identity theft:

- a. The resident submits a driver’s license, insurance card, or other identifying information that appears to be altered or forged.
- b. The photograph on the driver’s license or other photo ID submitted by the resident does not resemble the resident.
- c. The physical description on the driver’s license or other photo ID submitted by the resident does not match the resident’s appearance.
- d. The resident’s signature on the driver’s license or other document does not match the resident’s signature; or the resident’s signature does not match the signature on file in The Company’s records.

- e. Information on one form of identification submitted by the resident is inconsistent with information on another form of identification, or with information already in The Company's records.
- f. The Social Security Number ("SSN") furnished by the resident has not been issued, is listed on the Social Security Administration's Death Master File or is otherwise invalid. The following numbers are always invalid:
  - 1. The first three digits are in the 800, 900, or 000 range, are in the 700 range above 772, or are 666
  - 2. The fourth and fifth digits are 00
  - 3. The last four digits are 0000
- g. The address given by the resident does not exist, is a post office box, or does not match existing records.
- h. The phone number given by the resident is invalid or is associated with a pager or an answering service.
- i. The resident fails to provide, or refuses to give, identifying information or documents.
- j. Personal identifying information given by the resident is not consistent with personal identifying information in The Company's records.
- k. The SSN or other identifying information furnished by the patient is the same as identifying information in The Company's records furnished by other individuals.
- l. Suspicious activity includes:
  - 1. Requests for new/additional/replacement accounts shortly following change of address
  - 2. Mail repeatedly returned as undeliverable
  - 3. Notification that mail is not being received by intended recipient
  - 4. Notice of unauthorized charges

#### **USE OF CREDIT REPORTS**

If the Company uses a credit report:

- a. When the Company requests a consumer report, and the address provided in the request differs from the address the consumer reporting agency has on file for the consumer, the agency is required to send The Company a notice of address discrepancy.
- b. If the Company receives a notice of address discrepancy, The Company should notify the consumer reporting agency of the address reported by the individual.
- c. The Company will compare information from the consumer reporting agency with information in The Company files or obtained from the resident.

**Step Three: Detect Red Flags:** See PP 2.4-C - [Verifying Personal Identity](#).

**Step Four: Respond to Red Flags:** Responding to Red Flags requires preventing and mitigating identity theft through appropriate responses such as:

- a. Monitoring covered accounts for evidence of identity theft.
- b. Contacting the resident, if necessary.
- c. Changing passwords and security codes.
- d. Reopening, as appropriate, a covered account with a new account number, declining to open a new account, or closing an existing account.
- e. Not attempting to collect on an account or selling it to a debt collector.
- f. Notifying law enforcement.



- g. A possible appropriate response may include, all things considered, no action is necessary.

To respond appropriately, it is necessary to assess whether the Red Flag that was detected evidences a risk of identity theft. It may be appropriate in some cases to deny services or tell a resident that he or she cannot be treated until more documentation is provided.

If an individual claims to be a victim of identity theft, The Company will investigate the claim. The following guidelines apply:

- a. The individual must have filed a police report for identity theft.
- b. The individual must complete one of the following documents:
  1. The ID Theft Affidavit developed by the FTC, including supporting documentation
  2. An ID theft affidavit recognized under state law
  3. A statement including the following information:
    - A statement that the individual is a victim of identity theft
    - A copy of the individual's driver's license or identification card
    - Any other identification document that supports the statement of identity theft
    - Specific facts supporting the claim of identity theft, if available
    - Any other explanation that the individual did not incur the debt
    - Any available correspondence disputing the debt
    - Documents of the residence of the individual at the date of service, including copies of utility bills, tax statements, or other statements from businesses sent to the individual at his or her residence
    - A telephone number for contacting the individual
    - Any information that the individual may have concerning the person who registered in his or her name
    - A statement that the individual did not authorize the use of his or her name or personal information for obtaining services
    - A statement certifying that the representations are true, correct, and contain no material omissions of fact to the best knowledge and belief of the person submitting the certification
- c. The individual must cooperate with comparing his or her personal information with information in The Company's records.
- d. If following investigation, it appears that the individual has been a victim of identity theft, The Company will take the following actions:
  1. The Company will cease collection on open accounts that resulted from identity theft. If the accounts had been referred to collection agencies or attorneys, the collection agencies/attorneys will be instructed to cease collection activity
  2. The Company will cooperate with any law enforcement investigation relating to the identity theft
  3. If an insurance company, government program, or other payor has made payment on the account, the provider will notify the payor and refund the amount paid
  4. If an adverse report had been made to a consumer reporting agency, The Company will notify the agency that the account was not the responsibility of the individual

5. If following investigation, it does not appear that the individual has been a victim of identity theft, The Company or the collection agency will give written notice to the individual that he or she is responsible for payment of the bill. The notice will state the basis for determining that the person claiming to be a victim of identity theft was in fact the resident
6. If it is confirmed that a resident record was created as the result of identity theft, a notation concerning the identity theft will be placed in the record. All demographic information will be removed from the record
7. Medical records staff will determine whether any other records are linked to the record found to be created through identity theft
8. In some cases, identity theft may involve an identity thief receiving care under the name of another person, who has been a resident. In such a case, other files relating to the resident will be reviewed and any information relating to the identity theft will be removed and segregated

If a resident makes a claim of identity theft, see PP 2.4 E [\*Investigation of Suspected Identity Theft\*](#).

If identity theft has been confirmed, see PP 2.4 F [\*Disposition of Medical Record when Identity Theft is Confirmed\*](#).

**Step Five: Oversee the Program:** The Privacy Officer with oversight by the Compliance Committee will oversee, develop, implement, and administer the Identity Theft Prevention Program.

**Step Six: Train Employees:** Appropriate workforce training must occur on an annual basis. General training will be given to all employees to sensitize them to the issues surrounding identity theft. Staff involved with resident registration and with resident accounts will be trained on the requirements of the Identity Theft Prevention Program.

**Step Seven: Oversee Service Provider Arrangements:** For any third party granted access to the covered accounts in providing services, The Company will ensure that the activity is carried out in compliance with its Identity Theft Prevention Program. This is accomplished through a business associate agreement – see the following documents:

VC 2.1- [\*Business Associates\*](#)

VC Appendix 2.1 B - [\*Business Associate Agreement\*](#)

**Step Eight: Approve the Identity Theft Prevention Program:** The Red Flag Rules require that the Identity Theft Prevention Program be approved by the Board of Directors, an appropriate committee of the board, or highest executive authority (e.g., the president, owner). See PP 2.4-B [\*Identity Theft Prevention Program Board Resolution\*](#).

**Step Nine: Provide Reports and Periodic Updates to the Identity Theft Prevention Program:** The Privacy Officer will review the program periodically and make appropriate changes based on The Company's experience in encountering identity theft.

At least on an annual basis, the Privacy Officer should provide a written report to the Board of Directors and Compliance Committee. This report should address material matters concerning the Identity Theft Prevention Program, such as:

- a. Effectiveness of policies and procedures in addressing the risk of identity theft in opening new accounts.
- b. Service provider arrangements.
- c. Significant incidents involving identity theft and management's response.
- d. Recommendations for material changes to the Identity Theft Prevention Program.

## **B. IDENTITY THEFT PREVENTION PROGRAM BOARD RESOLUTION**

### **C. VERIFYING PERSONAL IDENTITY**

- 1). *Overview:* The Company has a policy and procedure for verifying or checking a resident's identity including the resident's residence address and insurance coverage to comply with The Company's Identity Theft Prevention Program. Verifying personal identities and authenticating a personal identifier are the same thing. It is important to ensure unauthorized persons cannot have access to protected health information and that several residents' health information could not be consolidated under only one person which could lead to The Company's health care workers to make decisions on incomplete or wrong information.
- 2). *Procedure:* To ensure health care workers verify and authenticate the identity of a person or personal representative at intake and admission, all resident identification will be verified. The resident should provide the following:
  - a. Photo Identification – Driver's license, passport, student ID, or employment ID.
    1. View the photo and confirm identity
    2. Review the physical description
    3. Verify the name and note any middle initial
    4. Verify the residence address. If not shown, see Proof of Residence Address below
  - b. Proof of Residence Address – If the photo ID does not show the resident's current address, utility bills or other correspondence mailed to the resident may be used to show current residence
  - c. Current Insurance Card

If the resident is a minor, the resident's representative (parent or guardian) should provide the information listed above.

The requirement to provide resident identification may be waived for residents who have been treated within the last six (6) months. If the resident has not completed the registration form within the last six (6) months, a new registration form must be completed and verified. In all cases the method of verification is to be noted in the record.

- 3). *Personal Representative:* The Company is to treat a personal representative, with respect to disclosing protected health information, the same as a resident. The procedure for verifying the identity of a representative is the same as for a resident; however, the authority of the representative must be verified with the resident as follows:

- a. When an adult claims to represent an adult resident, it must be confirmed with the resident before protected health information can be disclosed. The representative identity can be confirmed by asking the resident in person, by phone, fax, email, or by letter.
- b. When an adult claims to represent or assumes the role of representing an unemancipated minor resident, the fact that a parent or guardian is with the child is usually sufficient evidence that the parent or guardian has the authority, but it is important to verify the relationship of the adult to the minor to rule out potential trafficking or abduction. (Note: be mindful of human trafficking, abduction, etc. Don't assume; it is best to verify their identity/relationship to the child).

In all cases, the name of the representative and the method of verification of the representative are to be noted in the record.

When The Company is informed of an abusive situation, this information should be communicated to the people handling requests for access, i.e., intake or admissions. Intake or admissions should note it in the record for representatives. In abuse, neglect, or endangerment situations, The Company can exercise professional judgment and may decide that it is not in the best interest of the resident to treat the person as the resident's personal representative. This, too, should be noted in the record. State authorities are to be contacted immediately.

#### **D. RED FLAGS FOR IDENTITY THEFT**

- 1). *Overview:* The Company's staff will be alert for discrepancies in documents and resident information that suggest risk of identity theft or fraud. The Company established a policy and procedure for detecting identity theft or fraud.
- 2). *Procedure:* In the following circumstances, staff should be alert for the possibility of identity theft:
  - a. The resident submits a driver's license, insurance card, or other identifying information that appears to be altered or forged.
  - b. The photograph on the driver's license or other photo ID submitted by the resident does not resemble the resident.
  - c. The physical description on the driver's license or other photo ID submitted by the resident does not match the resident's appearance.
  - d. The resident's signature on the driver's license or other document does not match the resident's signature; or the resident's signature does not match the signature on file in The Company's records.
  - e. Information on one form of identification submitted by the resident is inconsistent with information on another form of identification, or with information already in The Company's records.
  - f. The Social Security Number ("SSN") furnished by the resident has not been issued, is listed on the Social Security Administration's Death Master File or is otherwise invalid. The following numbers are always invalid:
    1. The first three digits are in the 800, 900, or 000 range, are in the 700 range above 772, or are 666
    2. The fourth and fifth digits are 00
    3. The last four digits are 0000
  - g. The address given by the resident does not exist, is a post office box, or does not match existing records.

- h. The phone number given by the resident is invalid or is associated with a pager or an answering service.
  - i. The resident fails to provide or refuses to give identifying information or documents.
  - j. Personal identifying information given by the resident is not consistent with personal identifying information in The Company's records.
  - k. The SSN or other identifying information furnished by the resident is the same as identifying information in The Company's records furnished by other individuals.
  - l. Suspicious activity includes:
    - 1. Requests for new/additional/replacement accounts shortly following change of address
    - 2. Mail repeatedly returned as undeliverable
    - 3. Notification that mail is not being received by intended recipient
    - 4. Notice of unauthorized charges
- 3). *Use of Credit Reports:* If The Company uses a credit report:
- a. When The Company requests a consumer report, and the address provided in the request differs from the address the consumer reporting agency has on file for the consumer, the agency is required to send The Company a notice of address discrepancy.
  - b. If The Company receives a notice of address discrepancy, The Company should notify the consumer reporting agency of the address reported by the individual.
  - c. The Company will compare information from the consumer reporting agency with information in The Company files or obtained from the resident.

## **E. INVESTIGATION OF SUSPECTED IDENTITY THEFT**

- 1). *Overview:* The Company will investigate situations in which an individual claims to be a victim of identity theft. Sometimes an individual may claim identity theft to avoid payment of the bill. The Company establishes a policy and procedure for investigating potential identity theft or fraud.
- 2). *Procedure:* If an individual claims to be a victim of identity theft, The Company will investigate the claim. The following guidelines apply:
- a. The individual must have filed a police report for identity theft.
  - b. The individual must complete one of the following documents:
    - 1. The ID Theft Affidavit developed by the Federal Trade Commission ("FTC"), including supporting documentation
    - 2. An ID theft affidavit recognized under state law
    - 3. A statement including the following information:
      - A statement that the individual is a victim of identity theft
      - A copy of the individual's driver's license or identification card
      - Any other identification document that supports the statement of identity theft
      - Specific facts supporting the claim of identity theft, if available
      - Any other explanation that the individual did not incur the debt
      - Any available correspondence disputing the debt
      - Documents of the residence of the individual at the date of service, including copies of utility bills, tax statements, or other statements from businesses sent to the individual at his or her residence

- A telephone number for contacting the individual
  - Any information that the individual may have concerning the person who registered in his or her name
  - A statement that the individual did not authorize the use of his or her name or personal information for obtaining services
  - A statement certifying that the representations are true, correct, and contain no material omissions of fact to the best knowledge and belief of the person submitting the certification
- c. The individual must cooperate with comparing his or her personal information with information in The Company's records.

If following investigation, it appears that the individual has been a victim of identity theft, The Company will take the following actions:

- a. The Company will cease collection on open accounts that resulted from identity theft. If the accounts had been referred to collection agencies or attorneys, the collection agencies/attorneys will be instructed to cease collection activity.
- b. The Company will cooperate with any law enforcement investigation relating to the identity theft.
- c. If an insurance company, government program, or other payor has made payment on the account, the provider will notify the payor and refund the amount paid.
- d. If an adverse report had been made to a consumer reporting agency, The Company will notify the agency that the account was not the responsibility of the individual.

If following investigation, it does not appear that the individual has been a victim of identity theft, The Company or the collection agency will give written notice to the individual that he or she is responsible for payment of the bill. The notice will state the basis for determining that the person claiming to be a victim of identity theft was in fact the patient.

#### **F. DISPOSITION OF MEDICAL RECORDS WHEN IDENTITY THEFT IS CONFIRMED**

- 1). *Overview:* Inaccuracies in medical records resulting from identity theft will be isolated and corrected. The Company has established a policy and procedure for correcting errors in medical records resulting from identity theft.
- 2). *Procedure:*
  - a. If it is confirmed that a resident record was created as the result of identity theft, a notation concerning the identity theft will be placed in the record. All demographic information will be removed from the record.
  - b. Medical records staff will determine whether any other records are linked to the record found to be created through identity theft.
  - c. In some cases, identity theft may involve an identity thief receiving care under the name of another person, who has been a resident. In such a case, other files relating to the resident will be reviewed and any information relating to the identity theft will be removed and segregated.

**APPENDIX**

**5. PRIVACY PLAN (PP)**

**TOOLS AND FORMS**

**Appendix PP 1.1**  
**APPOINTMENT OF A PRIVACY OFFICER**

WHEREAS, the Board of Directors of The Company, having acknowledged its legal responsibility to comply with the Health Insurance Portability and Accountability Act of 1996 and the regulations promulgated thereto, and to develop and implement an effective Privacy Compliance Program; and

WHEREAS, the Privacy Compliance Program requires the appointment of a Privacy Officer; and

WHEREAS, the Board, having great confidence in the integrity, experience and judgment of

\_\_\_\_\_;

NOW, THEREFORE, BE IT RESOLVED, that the Board does hereby appoint

\_\_\_\_\_ to be the Privacy Officer of The Company, beginning on

\_\_\_\_\_; and

BE IT FURTHER RESOLVED, that the Board authorizes the Administrator to name an interim Privacy Officer should the Board-appointed Privacy Officer resign, become disabled, or otherwise be unable to perform the duties. The Administrator will, if reasonably able to do so, consult with the Board prior to the appointment of a replacement. Said interim appointment will be until the next regularly scheduled Board meeting unless otherwise directed by a vote of the Board; and

BE IT FURTHER RESOLVED, that the Privacy Officer will vigorously carry out the duties as set forth in The Company's Privacy Compliance Program and that all employees of The Company will be informed of the importance of adherence to the Privacy Compliance Program and the importance of their cooperation with the Privacy Officer.

\_\_\_\_\_  
Date Adopted

\_\_\_\_\_  
Signature



**Appendix PP 2.0.1 A**  
**NOTICE OF PRIVACY PRACTICES AND ACKNOWLEDGEMENTS**

THIS NOTICE DESCRIBES HOW YOUR MEDICAL INFORMATION MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY.

If you have any questions about this Notice, please contact our Privacy Officer, \_\_\_\_\_ at \_\_\_\_\_.

Protected Health Information (“PHI”) is information about you, including demographic, financial, and health information that may identify you and relates to your past, present, or future physical or mental health or condition and related health care services.

The Privacy Rule, a Federal law, gives you rights over your PHI and sets rules and limits as to who can look at and/or receive your PHI. The Privacy Rule applies to all forms of individuals’ PHI, whether electronic, written, or oral. The Security Rule is a Federal law that requires security for PHI in electronic form. This Notice of Privacy Practices describes how we may use or disclose your PHI to carry out treatment, payment, or health care operations, as well as other purposes permitted or required by law.

The Company (“our Company/Company”) is required by law to maintain the privacy of your PHI and provide you with this Notice of Privacy Practices, so that you understand our legal duties and privacy practices with respect to PHI. We are required to abide by the terms of the current Notice of Privacy Practices.

We reserve the right to change the terms of this Notice of Privacy Practices, at which time, the provisions of the newer Notice of Privacy Practices will be effective for all PHI that we maintain. If this Notice of Privacy Practices is revised at any time, we will provide all individuals with a revised copy, in accordance with the Privacy Rule.

**UNDERSTANDING YOUR HEALTH RECORD AND INFORMATION**

Each time we provide care to you, a record is made containing health and financial information. Typically, this record contains information about your condition, the treatment we provide, and payment for the treatment. We may use and/or disclose this information:

- To plan your care and treatment
- To communicate with other health professionals involved in your care
- To document the care you receive
- To educate health professionals
- To provide information for medical research
- To provide information to public health officials
- To evaluate and improve the care we provide
- To obtain payment for the care we provide
- For administrative purposes

Understanding what is in your record and how your PHI is used helps you to:

- ensure it is accurate;
- better understand who may access your PHI; and
- make more informed decisions when authorizing disclosure to others.

## USES AND DISCLOSURES OF YOUR PHI THAT MAY BE MADE WITHOUT YOUR AUTHORIZATION OR OPPORTUNITY TO AGREE OR OBJECT

The following are examples of ways that we may use and/or disclose PHI. These examples are not meant to be exhaustive, but instead describe different types of permissible uses and disclosures that may be made by us.

- For Treatment. We may use or disclose PHI about you to provide you with medical treatment. We may disclose PHI about you to doctors, nurses, therapists, or other Company personnel and/or vendors who are involved in taking care of you at our Company. We may also use or disclose PHI about you in order to coordinate your care and provide you medication, lab work, and x-rays. We may also disclose PHI about you to people outside our Company who may be involved in providing medical care to you. For example, we would disclose your PHI, as necessary, to a home health agency that provides care for you in your home.
- For Payment. We may use and disclose PHI about you so that the treatment and services you receive may be billed to you, an insurance company, or a third party. For example, in order to be paid, we may need to share information with your health plan about services provided to you. We may also tell your health plan about a treatment you are going to receive to obtain prior approval or to determine whether your plan will cover the treatment.
- For Health Care Operations. We may use and disclose PHI about you for our day-to-day health care operations. This is necessary to ensure that you receive quality care. For example, we may use PHI for quality assessment and improvement activities and for developing and evaluating clinical protocols. We may also combine PHI about many residents to help determine what additional services we should offer, what services should be discontinued, and whether certain new treatments are effective. PHI about you may be used for business development and planning, cost management analyses, insurance claims management, risk management activities, and in developing and testing information systems and programs. We may also use and disclose information for professional review, performance evaluation, and for training programs. Other aspects of health care operations that may require use and disclosure of your PHI include accreditation, certification, licensing and credentialing activities, review and auditing, including compliance reviews, medical reviews, legal services, and compliance programs. Your PHI may be used and disclosed for the business management and general activities of our Company including resolution of internal grievances, customer service, and due diligence in connection with a sale or transfer of our Company. In limited circumstances, we may disclose your PHI to another health care provider subject to HIPAA for its own health care operations. We may remove information that identifies you so that the PHI may be used to study health care and health care delivery without learning your identity.

- Business Associates. There are some services that we provide through contracts with business associates. Examples include, but are not limited to, attorneys, accountants, pharmacy consultants, and a copy service we use when making copies of your record. When these services are contracted, we may disclose your PHI so that they can perform the job we have asked them to do and bill you or your third-party payer for services rendered. To protect your PHI, federal law requires that business associates appropriately safeguard your information.
- Providers. Many services provided to you, as part of your care at The Company, are offered by participants in one of our organized healthcare arrangements. These participants may include a variety of providers such as physicians, therapists, portable radiology units, clinical labs, hospice caregivers, pharmacies, psychologists, social workers, and suppliers.
- As Required by Law. We will disclose PHI about you when required to do so by federal, state, or local law. The use or disclosure will be made in compliance with the law and will be limited to the relevant requirements of the law. You will be notified, if required by law, of any such uses or disclosures.
- Public Health. We may use and disclose PHI about you to prevent a serious threat to your health and safety or the health and safety of the public or another person. We may disclose your PHI for public health activities, to a public health authority that is permitted by law to collect or receive the information. For example, a disclosure may be made for preventing or controlling disease, injury, or disability.
- Risk of Contracting a Communicable Disease. We may use or disclose PHI about you if you may have been exposed to a communicable disease, or may otherwise be at risk of contracting or spreading a disease or condition, so long as we are authorized by law to notify you as necessary in the conduct of a public health intervention or investigation.
- Organ and Tissue Donation. If you are an organ donor, we may disclose PHI to organizations that handle organ procurement to facilitate donation and transplantation.
- Military and Veterans. If you are a member of the armed forces, we may disclose PHI (1) for activities deemed necessary by appropriate military command authorities; (2) for the purpose of a determination by the Department of Veterans Affairs of your eligibility for benefits; and/or (3) to foreign military authorities if you are a member of that foreign military service.
- Research. Under certain circumstances, we may use and disclose PHI about you for research purposes. For example, a research project may involve comparing the health and recovery of all residents who received one medication to those who received another, for the same condition. All research projects, however, are subject to a special approval process. This process evaluates a proposed research project and its use of PHI, trying to balance the research needs with residents' need for privacy of their PHI. Before we use or disclose PHI for research, the project will have been approved through this research approval process. We may, however, disclose PHI about you to people preparing to conduct a research project so long as the PHI they review does not leave our Company.

- Workers' Compensation. We may disclose PHI about you for workers' compensation or similar programs. These programs provide benefits for work-related injuries or illness.
- Health Oversight Activities. We may disclose PHI to a health oversight agency for activities authorized by law. These oversight activities may include audits, investigations, inspections, and licensure. These activities are necessary for the government to monitor the health care system, government programs, and compliance with civil rights laws.
- Reporting Abuse, Neglect, or Domestic Violence. We may disclose your PHI to an appropriate government agency if we believe you may have been the victim of abuse, neglect, or domestic violence. We will only make this disclosure if you agree, or when required or authorized by law.
- Criminal Activity. We may disclose your PHI if we believe that the use or disclosure is necessary to prevent or lessen a serious and imminent threat to health or safety of you, another person, or the public. We may also disclose PHI if it is necessary for law enforcement officials to identify or apprehend an individual.
- Legal Proceedings. If you are involved in a lawsuit or a dispute, we may disclose PHI about you in response to a court or administrative order. We may also disclose PHI about you in response to a subpoena, discovery request, or other lawful process by someone else involved in the dispute, but only if efforts have been made to tell you about the request or to obtain an order protecting the information requested.
- Law Enforcement. We may disclose PHI when requested by a law enforcement official:
  - in response to a court order, subpoena, warrant, summons or similar process, or otherwise as required by law;
  - to identify or locate a suspect, fugitive, material witness, or missing person;
  - about you, the victim of a crime if, under certain limited circumstances, we are unable to obtain your agreement;
  - about a death we believe may be the result of criminal conduct;
  - about criminal conduct at our Company;
  - in emergency circumstances to report a crime; the location of the crime or victims; and/or the identity, description or location of the person who committed the crime; and
  - when there is a medical emergency (not on our Company's premises) and it is likely that a crime has occurred.
- Coroners, Medical Examiners, and Funeral Directors. We may disclose PHI to a coroner or medical examiner for identification purposes, determining cause of death, or for the coroner or medical examiner to perform other duties authorized by law. We may also disclose medical information to funeral directors as necessary to carry out their duties, as authorized by law.
- National Security and Intelligence Activities. We may disclose PHI about you to authorized federal officials for intelligence, counterintelligence, and other national security activities as authorized by law.

- Food and Drug Administration. We may disclose PHI to a person or company required by the Food and Drug Administration (“FDA”) for the purpose of quality, safety, or effectiveness of FDA-regulated products or activities including, without limitation, to report adverse events, product defects or problems, or biologic product deviations; to track products; to enable product recalls; to make repairs or replacement; or to conduct post marketing surveillance, as required.

## USES AND DISCLOSURES THAT REQUIRE PROVIDING YOU THE OPPORTUNITY TO AGREE OR OBJECT

- Treatment Alternatives. We may use and disclose PHI to tell you about possible treatment options or alternatives that may be of interest to you. You may contact our Privacy Officer to request that these materials not be sent to you.
- Health-Related Benefits and Services and Reminders. We may contact you to provide appointment reminders. You may contact our Privacy Officer to request that these communications not be made.
- Fundraising Activities. We may use your demographic information and the dates that you received treatment, as necessary, in order to contact you as part of a fundraising effort. You may contact our Privacy Officer to request that these materials not be sent to you.
- Company Directory. We may include information about you in The Company directory while you are a resident. This information may include your name, location in The Company, your general condition, and your religion. The directory information, except for your religion, may be disclosed to people who ask for you by name. Your religion may be given to a member of the clergy, such as a priest or rabbi, even if they don’t ask for you by name. This enables your family, friends, and clergy to visit you in The Company and generally know how you are doing.
- Individuals Involved in Your Care or Payment for Your Care. Unless you object, we may disclose PHI about you to a friend or family member who is involved in your care. We may also give information to someone who helps pay for your care. In addition, we may disclose PHI about you to an entity assisting in a disaster relief effort so that your family can be notified about your condition, status, and location.

## USES AND DISCLOSURES OF PHI BASED UPON YOUR WRITTEN AUTHORIZATION

Other uses and disclosures of PHI not covered by this Notice or the laws that apply to us will be made only with your written authorization, unless otherwise permitted or required by law. You may revoke your written authorization, in writing, at any time. If you revoke your authorization, we will no longer use or disclose your PHI for the reasons covered by your written authorization. Please understand that we are unable to take back any disclosures we have already made with your authorization.

- Uses and Disclosures of Psychotherapy Notes. Psychotherapy notes are notes (in any medium) by a health care provider who is a mental health professional documenting or analyzing the contents of a conversation during a private counseling session or a group, joint, or family counseling session. Psychotherapy notes excludes medication prescription and monitoring, counseling session

start and stop times, the modalities and frequencies of treatment furnished, results of clinical tests, and a summary of the following: diagnosis, functional status, treatment plan, symptoms, prognosis, and progress to date. Psychotherapy notes will not be used or disclosed without a valid, written authorization, except in the following circumstances:

- To carry out the following Treatment, Payment, or Health Care Operations
  - Use by the originator of the psychotherapy notes for treatment
  - Use or disclosure by The Company for its own training programs in which students, trainees, or practitioners in mental health learn, under supervision, to practice or improve their skills in group, joint, family, or individual counseling
  - Use or disclosure by The Company to defend itself in a legal action or other proceeding brought by the resident
  - A use or disclosure that is required by or permitted by the applicable regulations with respect to the oversight of the originator of the psychotherapy notes
- Marketing. If we use PHI to make a communication about a product or service, with the purpose of encouraging recipients of the communication to purchase or use the product or service, we must first obtain valid, written authorization. Marketing does not include communications in the form of face-to-face communications between us and you, or a promotional gift of nominal value provided by us. Such authorization will state that the disclosure will result in remuneration to us, if applicable.
- Disclosures that Constitute a Sale of PHI. We must receive your valid, written authorization for any disclosure of your PHI that constitutes a sale. Such authorization will state that the disclosure will result in remuneration to us.
- Other Uses and Disclosures not covered in this Notice of Privacy Practices, which are not otherwise permitted by the Privacy Rule.

## YOUR RIGHTS REGARDING YOUR PHI

Although your health record is property of The Company, the information belongs to you. You have the following rights regarding your PHI:

- Right to Inspect and Copy. With some exceptions, you have the right to review and copy your PHI.

*You must submit your request in writing to our Privacy Officer. We may charge a fee for the costs of copying, mailing, etc. associated with your request.*

You may not be permitted to inspect or copy the following: psychotherapy notes; information compiled in reasonable anticipation of, or use in, a civil, criminal or administrative action or proceeding; or laboratory results that are subject to law that prohibits access to PHI.

Depending on the circumstances, a decision to deny access to these records may be reviewed. Please contact our Privacy Officer if you have questions about access to your medical records.

- **Right to Amend.** If you feel that PHI in your record is incorrect or incomplete, you may ask us to amend the information. You have this right for as long as the information is kept by or for The Company.

*You must submit your request in writing, along with a reason for your request, to our Privacy Officer.*

We may deny your request for an amendment if it is not in writing or does not include a reason to support the request. In addition, we may deny your request if you ask us to amend information that:

- was not created by us, unless the person or entity that created the information is no longer available to make the amendment;
- is not part of the PHI kept by or for The Company; or
- is accurate and complete.

If we deny your request for amendment, you have the right to file a statement of disagreement with us and we may prepare a rebuttal to your statement and will provide you with a copy of any such rebuttal.

- **Right to an Accounting of Disclosures.** You have the right to request an "accounting of disclosures". This is a list of certain disclosures we made of your PHI, other than those made for purposes of treatment, payment, or health care operations.

*You must submit your request in writing to our Privacy Officer. Your request must state a time which may not be longer than six (6) years from the date the request is submitted and may not include dates before April 14, 2003. Your request should indicate in what form you would like the list (for example, on paper or electronically). The first list you request within a twelve (12) month period will be free. For additional lists, we may charge you for the costs of providing the list. We will notify you of the cost involved and you may choose to withdraw or modify your request at that time before any costs are incurred.*

- **Right to Request Restrictions.** You have the right to request a restriction or limitation on the PHI we use or disclose about you, including information used or disclosed for the purposes of treatment, payment, or health care operations. You may also request that your PHI not be disclosed to family members or friends who may be involved in your care.

*You must submit your request in writing to our Privacy Officer. In your request, you must tell us (1) what information you want to limit; (2) whether you want to limit our use, disclosure, or both; and (3) to whom you want the limits to apply*

We are not required to agree to your request, unless the disclosure is for the purpose of carrying out payment or health care operations and is not otherwise required by law and the PHI pertains solely to a health care item or service for which you, or a person other than the health plan on behalf of the individual, has paid the covered entity in full.

If we do agree, we will comply with your request unless the information is needed to provide you emergency treatment.

- Right to Request Confidential and/or Alternate Communications. You have the right to request that we communicate with you about medical matters in a confidential manner or at a specific location. For example, you may ask that we only contact you via mail to a post office box. We will not request an explanation from you as to the basis for the request.

*You must submit your request in writing to our Privacy Officer. We will not ask you the reason for your request. Your request must specify how or where you wish to be contacted. We will accommodate all reasonable requests.*

- Right to a Paper Copy of This Notice. You have the right to a paper copy of this Notice of Privacy Practices even if you have agreed to receive the Notice electronically. You may ask us to give you a copy of this Notice at any time. Additionally, you have the right to receive a copy of this Notice when The Company seeks additional consent.

*To obtain a paper copy of this Notice, please contact our Privacy Officer.*

- Right to a Revised Copy of this Notice. You have the right to receive a copy of this Notice upon request when it is revised on or after the effective date of its revision. Additionally, the revised Notice will be posted in a clear and prominent location.
- Right to be Notified Following a Breach of Unsecured PHI. If there is a breach to your PHI, you will be notified within a reasonable amount of time, as required by law.

## CHANGES TO THIS NOTICE

We reserve the right to change this Notice. We reserve the right to make the revised or changed Notice effective for PHI we already have about you as well as any information we receive in the future. We will post a copy of the current Notice in our Company and on our website, if any. The Notice will specify the effective date on the first page, in the top right-hand corner. In addition, if material changes are made to this Notice, the Notice will contain an effective date for the revisions and copies can be obtained by contacting our Privacy Officer.

## COMPLAINTS

If you believe your privacy rights have been violated, you may file a complaint with The Company or with the Secretary of the Department of Health and Human Services. To file a complaint with The Company, contact our Privacy Officer. All complaints must be submitted in writing. You will not be retaliated against for filing a complaint.

You may contact our Privacy Officer, \_\_\_\_\_ at \_\_\_\_\_, for further information about the complaint process.

Reference Appendix PP 2.0.1 A-1 [Acknowledgement of Receipt of Notice of Privacy Practices Form](#)



**Appendix PP 2.0.1 A-1**  
**ACKNOWLEDGEMENT OF**  
**RECEIPT OF NOTICE OF PRIVACY PRACTICES**

Resident Name: \_\_\_\_\_ Medical Record Number: \_\_\_\_\_

Address: \_\_\_\_\_

Company: \_\_\_\_\_

I have been given a copy of The Company's *Notice of Privacy Practices* ("Notice"), which describes how my PHI is used and shared. I understand that The Company has the right to change this *Notice* at any time. I may obtain a current copy by contacting The Company's Privacy Officer, or by visiting their website, if any.

My signature below acknowledges that I have been provided with a copy of the *Notice of Privacy Practices*:

\_\_\_\_\_  
Signature of Resident or Personal Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Personal Representative's Title (e.g., Guardian, Executor of Estate, Health Care Power of Attorney)

---

For Company Use Only: Complete this section if you are unable to obtain a signature.  
If the resident or personal representative is unable or unwilling to sign this *Acknowledgement*, or the *Acknowledgement* is not signed for any other reason, state the reason:

\_\_\_\_\_

Describe the steps taken to obtain the resident's or personal representative's signature on the *Acknowledgement*:

\_\_\_\_\_

Completed by:

\_\_\_\_\_  
Signature of The Company Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

**File original in resident's Business Office Record**

**Appendix PP 2.0.1 B**  
**NOTICE OF PRIVACY PRACTICES POSTER**

UNDERSTANDING YOUR HEALTH RECORD AND INFORMATION

Each time we provide care to you, a record is made containing your Protected Health Information ('PHI') and financial information. Typically, this record contains information about your condition, the treatment we provide, and payment for the treatment.

This information may be used and/or disclosed for the following reasons:

- \* To plan your care and treatment
- \* To communicate with other health professionals involved in your care
- \* To document the care you receive
- \* To educate health professionals
- \* To provide information for medical research
- \* To provide information to public health officials
- \* To evaluate and improve the care we provide
- \* To obtain payment for the care we provide
- \* For administrative purposes

Disclosing your record for any reason other than those listed above, requires prior authorization from you or your legal representative.

WHEN YOUR AUTHORIZATION IS REQUIRED

Any use or disclosure of PHI for reasons other than treatment, payment, health care operations, and disclosure of PHI to a third party specified by you will require authorization. Any use of PHI for marketing purposes, as well as disclosures that constitute a sale of PHI will require your express, written authorization. You may revoke your given authorization, as provided by applicable regulations.

YOU HAVE A RIGHT TO ACCESS YOUR PHI

You have the right to review and copy your PHI, except for psychotherapy notes. *You must submit your request in writing to our Privacy Officer. We may charge a fee for the costs of copying, mailing, etc. associated with your request.* If you feel that PHI in your record is incorrect or incomplete, you may ask us to amend the information.

If you have any questions about this notice, please contact our Privacy Officer, \_\_\_\_\_

**Appendix PP 2.0.1 C**  
**ACKNOWLEDGEMENT OF THE COMPANY PRIVACY PLAN**

I have been informed of The Company’s policies and procedures on confidentiality of resident protected health information as described in PP 2.0 Privacy Policy and Procedures, Section A [Confidentiality of Personal Health Information](#) and DI 2.3 Workforce Data Management, Section A. [Acceptable Use](#) with regards to compliance with the HIPAA Privacy and Security Rule, which are in accordance with state and federal law and are available for me to read at my request.

I agree that I will not at any time, during my employment or association with The Company or after my employment or association ends, access or use resident protected health information, or reveal or disclose, orally or in writing, to any persons within or outside The Company, any protected health information except as may be required in the course of my duties and responsibilities and in accordance with applicable laws, regulations, and local and departmental polices governing proper release of information. This applies to oral, written, and electronic health information of our residents.

I understand that the passwords assigned to me to access Company computer-based information systems are confidential, and not to be shared with anyone under any circumstances.

My signature of The Company Privacy Plan signifies that I have read, understand, and am committed to its principles.

I understand that this signed and dated document will become part of my permanent personnel record.

Employee    Independent Contractor    Business Associate    Vendor    Volunteer

\_\_\_\_\_  
Print Name of Individual Making Pledge

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
Signature of Individual Making Pledge

\_\_\_\_\_  
Date

I have reviewed The Company Privacy Plan document and the consequences of a breach with the above named.

\_\_\_\_\_  
Signature of Individual Administering Pledge

\_\_\_\_\_  
Department

**Appendix PP 2.0.1 D**  
**CONFIDENTIAL INFORMATION AGREEMENT**

I understand and agree that in connection with the performance of my duties as an employee of The Company, I shall have access to personal and confidential information relating to The Company and its residents. I agree to protect highly valuable and confidential health care and business information. I agree to only use or disclose confidential information for purposes of carrying out my normal duties as an employee, as directed or authorized by Company management, and for the exclusive benefit of The Company.

Confidential information is information not generally made available to the public including, but not limited to, the:

- Company’s business strategies including business plans and marketing plans.
- Company’s operational, clinical, and management tools and procedures.
- Company’s contractual agreements, legal discussions, or privileged information.
- Company’s financial information, pricing information, purchases, acquisitions, or sales.
- Company’s corporate data or competitive intelligence.
- Company’s lists of employees, including employee demographics or salary information.
- Company’s lists of residents, including demographical or medical information about residents.

I agree to keep secret, and not to disclose to others nor make any personal use whatsoever of any said confidential information, and to hold any such documents and/or information, regardless of nature, in strictest confidence. In addition, I agree to comply with all federal, state, and local laws, rules, and regulations regarding confidential information with regard to medical condition, treatment, and records for The Company’s residents. I understand that any violation of this confidentiality statement will subject me to disciplinary action, up to and including termination of employment. I further understand that my duty to maintain the information in confidence imposed hereunder will survive my termination of employment, for whatever reason, from The Company.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Sign Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Title

**Appendix PP 2.0.1 E**  
**ACKNOWLEDGMENT OF COMPUTER & INTERNET USAGE**

By signing below, I acknowledge and certify that I have read and understand The Company's *Policy* PP 2.3 Social Media and Networking, Section B [Computer and Internet Usage](#).

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Employee Name (Printed)

\_\_\_\_\_  
Position

**Appendix PP 2.0.1 F**  
**AUTHORIZATION FOR THE USE OF PERSONAL HEALTH INFORMATION**

- 1). *Overview:* In the past, “consent” and “authorization” have been used somewhat interchangeably about written legal permission to disclose health information. As a standard of practice, health care providers obtained an individual’s permission to disclose health information to entities outside the organization, but as a rule did not obtain the individual’s permission to use or disclose health information for treatment, healthcare operations, or disclosures otherwise mandated or authorized by law.

However, the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”) Privacy Rule and subsequent laws and regulations established federal standards for privacy of individually identifiable health information which necessitate changes in both the vocabulary and practices related to consent and authorization for information use and disclosure. The Privacy Rule defines “consent” to use or disclosure of protected health information to carry out treatment, payment, and healthcare operations and written “authorization” for specific disclosures not otherwise authorized by law. The Company secures Authorization from residents when needed.

- 2). *Procedure:* Under various circumstances (e.g., other than for treatment, payment, or healthcare operation purposes, as well as when required by law), the standards for privacy of individually identifiable health information require that, in general, The Company may not use or disclose protected health information without a valid authorization from the resident. We may not condition treatment on the provision of such authorization; however, The Company must obtain a resident’s authorization, in writing, that is signed and dated, prior to using or disclosing protected health information identified in the policy on disclosure of protected health information.

For example, an authorization is required prior to The Company disclosing protected health information to a drug company for drug marketing or drug research purposes. Additional examples requiring authorizations include, but are not limited to, patient case presentations, in-services to insurance companies, provider open houses, or the use of patient photographs.

- a. The Company will obtain express authorization for the use or disclosure of the following PHI:
1. Psychotherapy notes, except to carry out the following treatment, payment, or health care operations:
    - Use by the originator of the psychotherapy notes for treatment
    - Use of disclosure by The Company for its own training programs in which students, trainees, or practitioners in mental health learn under supervision to practice or improve their skills
    - Use or disclosure by The Company to defend itself in legal action or other proceeding brought by the individual
  2. Marketing, except if the communication is in the form of:
    - A face-to-face communication made by The Company to the individual
    - A promotional gift of nominal value provided by The Company
      - Note: If the marketing involves financial remuneration to The Company from a third party, the authorization must state that such remuneration is involved

3. Sale of PHI. Such authorization must state that the disclosure will result in remuneration to The Company.
- b. For the authorization to be valid, it must contain the following elements:
1. A description of the information to be used or disclosed, that identifies the information in a specific and meaningful fashion
  2. The name or other specific identification of the person(s), or class of persons, authorized to make the requested use or disclosure (e.g., The Company)
  3. The name or other specific identification of the person(s), or class of persons, to whom The Company is making the requested use or disclosure
  4. A description of each purpose of the requested use or disclosure
    - The statement “at the request of the individual” is a sufficient description of the purpose when an individual initiates the authorization and does not, or elects not to, provide a statement of the purpose
  5. An expiration date or an expiration event that relates to the individual or the purpose of the use or disclosure
  6. Signature of the individual and date
    - If the authorization is signed by a personal representative of the individual, a description of such representative's authority to act for the individual must also be provided
  7. The following required statements:
    - The individual's right to revoke the authorization in writing, and either:
      - the exceptions to the right to revoke and a description of how the individual may revoke the authorization; or
      - a reference to The Company’s Notice of Privacy Practices for details on the right to revoke the authorization.
    - The inability to condition treatment on whether the authorization is signed
      - Note that The Company may condition treatment on the signing of an authorization in the following circumstances:
        - The individual is participating in research and the authorization is sought in connection with that research
        - The individual has requested that The Company conduct an examination or provide other treatment, to disclose that information to a third party
    - Should The Company condition treatment on the signing of an authorization, as described above, the authorization form must clearly state the consequences to the individual for refusing to sign the authorization
    - The potential for information disclosed pursuant to the authorization to be subject to redisclosure by the recipient and no longer be protected by this subpart
- c. An authorization is not valid if it has any of the following defects:
1. The expiration date has passed, or the expiration event is known by The Company to have occurred
  2. The authorization does not include all required elements
  3. The authorization is known by The Company to have been revoked.
  4. The authorization is an impermissible compound authorization, or impermissibly conditions the provision of treatment or payment on the provision of an authorization
  5. Any material information in the authorization is known by The Company to be false

- d. An authorization for use or disclosure of PHI cannot be combined with any other document to create a compound authorization, except:
  - 1. An authorization for the use or disclosure of PHI for a research study may be combined with any other type of written permission for the same or another research study
  - 2. An authorization for a use or disclosure of psychotherapy notes may be combined with another authorization for a use or disclosure of psychotherapy notes
- e. An individual may revoke an authorization, in writing, at any time, except to the extent that The Company has already acted in reliance thereon
  - 1. Upon revocation of authorization, The Company shall immediately stop using or disclosing the individual's PHI for the purposes covered by the authorization
- f. The Company must document and retain any signed authorizations
- g. If The Company seeks an authorization from an individual for the use or disclosure of PHI, The Company must provide the individual with a copy of the signed authorization

Reference: PP Appendix 2.0.1 Section F-1, [Authorization \(and/or Revocation\) for Use of Personal Health Information \(Form\)](#)



**Appendix PP 2.0.1 F-1**  
**AUTHORIZATION (AND/OR REVOCATION) FOR THE USE OF PERSONAL HEALTH INFORMATION**

I authorize the use/disclosure of health information about me as described below.

1. Person(s) or class of persons authorized to use/disclose the information:

---

---

2. Person(s) or class of persons authorized to receive the information:

---

---

3. Description of information that may be used/disclosed:

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---

4. The information will be used/disclosed for the following purposes: **(Note: “at the request of the individual” is sufficient, when an individual initiates authorization and does not, or elects not to, provide a statement of purpose.)**

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5. I understand that if the person or entity that receives the information is not a health care provider or health plan covered by federal privacy regulations, the information described above may be redisclosed and no longer protected by those regulations.

6. *[If applicable]* I understand that \_\_\_\_\_ will receive compensation for its use/disclosure of the information. **(Note: this item is not required if the disclosure is requested by the resident.)**

7. I understand that I may refuse to sign this authorization and that my refusal to sign will not affect my ability to obtain treatment or payment or my eligibility for benefits. I may inspect or copy any information used/disclosed under this authorization.

8. I understand that I may revoke this authorization in writing at any time by signing the Revocation of Authorization except to the extent that action has been taken in reliance on this authorization. This authorization expires \_\_\_\_\_ [*insert applicable date or event*].

\_\_\_\_\_  
Resident's Name

\_\_\_\_\_  
Signature of Resident or Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Personal Representative (if applicable)

\_\_\_\_\_  
Relationship to Resident

If signed by a Personal Representative, provide a description of the personal representative's authority to act for the individual. Attach supporting documentation, if applicable.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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**REVOCATION OF AUTHORIZATION TO RELEASE PHI (FORM)**

I hereby revoke the above authorization.

\_\_\_\_\_  
Signature of Resident or Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Personal Representative (if applicable)

\_\_\_\_\_  
Relationship to Resident

**Appendix PP 2.0.1 G**  
**AUTHORIZATION FOR USE AND DISCLOSURE OF**  
**PROTECTED HEALTH INFORMATION**

My Name: \_\_\_\_\_

Name of Member: \_\_\_\_\_

Relationship: Self: \_\_\_\_\_ Dependent: \_\_\_\_\_

\_\_\_\_\_  
(referred to as the "Company")  
Insert Name of TPA, Insurer, or HMO

\_\_\_\_\_  
(referred to as the "Employer Representative")  
Insert Name or Title of Person(s) to Whom Disclosure May be Made

By signing this authorization, I authorize The Company and its employees and agents to disclose information from the medical records, medical payment records and health benefit records of the Member named above to the Employer Representative for the purpose of assisting me in resolving questions concerning health care benefits.

This authorization is limited to the following information: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

This authorization does **NOT** apply to records containing information or references to **drug and/or alcohol abuse, psychiatric care, sexually transmitted diseases, Hepatitis B or C testing, or treatment or HIV/AIDS testing or treatment**, unless your signature appears on the line below:

\_\_\_\_\_

If you want this authorization to apply to records containing information or references to some but not all of these conditions, treatments or tests, please specify in the space below:

\_\_\_\_\_  
\_\_\_\_\_

Except to the extent that action has already been taken in reliance on this authorization, at any time I can revoke this authorization by submitting a notice in writing to The Company's Privacy Officer at the address specified below.

[INSERT ADDRESSES FOR PRIVACY OFFICIAL OF EACH TPA, INSURER, OR HMO]

\_\_\_\_\_

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I understand that information disclosed pursuant to this authorization may be redisclosed by the recipient and may no longer be protected by the Health Insurance Portability and Accountability Act of 1996. I hereby release The Company, its employees, and officers, from any legal responsibility for disclosure of the above information to the extent indicated and authorized herein.

I understand that I have the right to resolve my claim for benefits directly, that I do not have to sign this authorization in order to pursue a claim or to be eligible for treatment or payment for services.

This authorization expires: \_\_\_\_\_

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Sign Name

\_\_\_\_\_  
Authority to Sign, if not the Member

\_\_\_\_\_  
Date

**Appendix PP 2.0.1 H**  
**DENY RELEASE OF PROTECTED HEALTH INFORMATION**

\_\_\_\_\_  
Name of Health Care Provider

\_\_\_\_\_  
Address

\_\_\_\_\_  
Dear Health Care Provider:

The Company is denying your request for protected health information for:

\_\_\_\_\_  
Name of Resident

\_\_\_\_\_  
Resident Address

\_\_\_\_\_  
Protected health information requested: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

The information being requested does not appear to be for either treatment or payment purposes. Therefore, the Health Insurance Portability and Accountability Act (HIPAA) precludes our disclosing the requested information. If you would like to discuss this further, please feel free to contact me.

Sincerely,

\_\_\_\_\_  
Privacy Officer

**Appendix PP 2.0.2 A**  
**INSPECTION OF PROTECTED HEALTH INFORMATION LETTER (SAMPLE)**

\_\_\_\_\_  
Name of Resident

\_\_\_\_\_  
Address  
  
\_\_\_\_\_

Dear Resident:

We have received your request to inspect and/or copy your Protected Health Information (“PHI”) in the designated record set.

The information you requested to be inspected and/or copied was: \_\_\_\_\_  
  
\_\_\_\_\_  
  
\_\_\_\_\_

This request has been denied for the following reason:

- Access is reasonably likely to endanger the life or physical safety of the Resident or another person.
- The PHI is compiled in reasonable anticipation of, or for use in, a civil, criminal, or administrative action or proceeding.
- CompanyName obtained the requested PHI from someone other than a health care provider under a promise of confidentiality and such access would be reasonably likely to reveal the source of the information.

You have the right to submit a complaint to the Secretary of United States Department of Health and Human Services. To obtain a complaint form, call the Privacy Officer listed below or go online at <http://www.hhs.gov/ocr/hipaa>.

Sincerely,

\_\_\_\_\_  
Privacy Officer

**Appendix PP 2.0.2 B**  
**DISCLOSURE LOG**  
**SEE [APPENDIX DI 2.2 A](#)**

## Appendix PP 2.0.2 C ACCESS CONTROL LOG

Position:				Date Last Audited:			
Does access need to be restricted by location? <input type="checkbox"/> Yes <input type="checkbox"/> No				Department:			
Computer Location: _____							
Log On Day From _____ To _____ (Example: Monday to Friday)				Log On Hours From _____ To _____			
	<b>Create</b>	<b>Edit</b>	<b>Use</b>	<b>Disclose</b>	<b>View</b>	<b>Transport</b>	<b>Destroy</b>
Demographic							
Insurance							
Financial							
Codified							
Clinical							
Complete Legal Record							
All							
<p>P = Primary – Required (routine) to do the job.  S = Secondary – Required for the job, but mostly by exception.  I = Incidental – Not required for job, but access may occur.</p>							
<p><b>Type of access:</b>  Create: Primary source documentation (dictated reports, nurses’ notes, notations on the MAR).  Edit: Changing incorrect data (according to policy).  Use: Read and view the information to make decisions appropriate for your position.  Disclose: Conveyance of the information to persons or entities outside OMC (UR calls, L&amp;I reports, CPS referral).  View: Employee may view certain information but is expected not to make decisions based on what they know.  Transport: Moving information from one place to another (should not view).  Destroy: Final legal disposition of our business records.</p>							
<p><b>What information:</b>  Demographic: Information to identify a person (name, address, race, marital status, religion, etc.).  Insurance: Information used to identify payors and insured.  Financial: Payment rates, account balances, payor analysis, etc.  Codified: Clinical information that is in (alpha) numeric format (ICD-9CM, CPT, Rev. Codes).  Clinical: Information that describes a patient’s health status.  Complete Legal Record: That set of printed information maintained as the legal record.  All: All of the above.</p>							

\_\_\_\_\_  
Privacy Officer/Information Security Manager

\_\_\_\_\_  
Date



**Appendix PP 2.0.2 D**  
**RESIDENT PRIVACY AMENDMENT REQUEST FORM**

Residents have the right to request amendments to their Protected Health Information (“PHI”). PHI includes medical records, physician’s notes, images, laboratory results, etc.

\_\_\_\_\_  
Resident’s Name

\_\_\_\_\_  
Birth Date

\_\_\_\_\_  
Resident Identifier

\_\_\_\_\_  
Resident’s Address

Describe information to be amended (e.g., medical record, lab results):

\_\_\_\_\_

Dates of the information to be amended (date of office visit, date of procedure, other services):

\_\_\_\_\_

What is the reason for requesting amendments (e.g., outdated, incomplete, or incorrect)?

\_\_\_\_\_

How should the records be stated, i.e., what are the requested amendments?

\_\_\_\_\_

Do you know of anyone who may have received or relied on the information in question (such as a doctor, health plan, or other healthcare provider)? Yes  No

If yes, who?

\_\_\_\_\_

\_\_\_\_\_  
Signature of Resident or Legal Representative

\_\_\_\_\_  
Date

**Appendix PP 2.0.2 E**  
**RESIDENT PRIVACY AMENDMENT REQUEST LOG**

\_\_\_\_\_  
Resident's Name

\_\_\_\_\_  
Date Amendment Request Received

\_\_\_\_\_  
Received By

- Accepted
- Denied

Reason for denial sent to Resident on date: \_\_\_\_\_

- PHI was not created by this organization
- PHI was not part of the Resident's designated record set
- Federal law forbids making the PHI in question available to the Resident for inspection
- PHI is accurate and complete

Portions of the designated record affected:

\_\_\_\_\_  
\_\_\_\_\_

Action Plan (Status of the portions of the designated record set that are to be amended - organization, date, request for amendment, or amendment completed):

- Business Associate affected                      Date Business Associate Notified: \_\_\_\_\_
- Other Covered Entity affected                      Date Covered Entity Notified: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

- Report to Resident                      Date Resident Notified: \_\_\_\_\_
- Closed Out

\_\_\_\_\_  
Date of Resolution

\_\_\_\_\_  
Signature of Privacy Officer

**Appendix PP 2.0.2 F**  
**AMENDMENT DENIAL LETTER SAMPLE**

\_\_\_\_\_  
Name of Resident

\_\_\_\_\_  
Address  
\_\_\_\_\_

Dear Resident:

We have reviewed your request to amend Protected Health Information (“PHI”) in your designated record set.

The information you requested to be amended was: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

This request has been denied for the follow reason:

- PHI was not created by this organization (or its business associates)
- PHI was not part of the Resident’s designated record set
- Federal law forbids making the PHI in question available to the Resident for inspection
- PHI is accurate or complete

You have the right to submit a complaint to the Secretary of United States Department of Health and Human Services. To obtain a complaint form, call the Privacy Officer listed below or go online at <http://www.hhs.gov/ocr/hipaa>.

Sincerely,

\_\_\_\_\_  
Privacy Officer

**Appendix PP 2.0.2 G**  
**REVOCAION OF AUTHORIZATION DENIAL LETTER SAMPLE**

\_\_\_\_\_  
Name of Resident

\_\_\_\_\_  
Address  
\_\_\_\_\_

Dear Resident:

We have received your request to revoke your Authorization for use/disclosure of protected health information dated \_\_\_\_\_.

Your request has been denied for the following reason:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

You have the right to submit a complaint to the Secretary of the United States Department of Health and Human Services. To obtain a complaint form, call the Privacy Officer listed below or go online at <http://www.hhs.gov/ocr/hipaa>.

Sincerely,

\_\_\_\_\_  
Privacy Officer

**Appendix PP 2.0.2 H**  
**REQUEST FOR RESTRICTION OF USE AND DISCLOSURE**  
**OF PROTECTED HEALTH INFORMATION FORM**

\_\_\_\_\_  
Resident's Name

\_\_\_\_\_  
Date of Request

\_\_\_\_\_  
Resident's Street Address

\_\_\_\_\_  
City, State, Zip

\_\_\_\_\_  
Birth Date

Describe the health information that you want to restrict the use and disclosure of:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Signature of Resident or Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Personal Representative (if applicable)

\_\_\_\_\_  
Relationship to Resident

Restriction Accepted     Restriction Denied

\_\_\_\_\_  
Signature of Privacy Officer

\_\_\_\_\_  
Date of Acceptance/Denial

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---

**TERMINATION OF RESTRICTION OF USE AND DISCLOSURE**

I hereby terminate the above request for restriction of use and disclosure of health information.

\_\_\_\_\_  
Signature of Resident or Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Personal Representative (if applicable)

\_\_\_\_\_  
Relationship to Resident

**Appendix PP 2.0.2 I**  
**AUTHORIZATION FOR *RELEASE* OF HEALTH INFORMATION**

\_\_\_\_\_  
Resident Name

\_\_\_\_\_  
Date of Birth

\_\_\_\_\_  
Resident Identifier

\_\_\_\_\_  
Phone

\_\_\_\_\_  
Resident Address

1. **REQUEST:** I hereby request that \_\_\_\_\_,  
(hereafter “Health Care Provider”) located at \_\_\_\_\_  
provide The Company with photocopies of my health information, as requested below:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. **INFORMATION TO BE RELEASED:** *(include discharge date(s), date(s) of service, etc.)*

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. **DESCRIPTION OF INFORMATION TO BE RELEASED:** *(Check ALL that apply)*

- Medical records
- Billing records
- Enrollment records
- Payment records and claims adjudication
- Case and/or medical management
- Other record sets used to make decisions about resident
- Other (specify)

4. **SPECIFIC CONFIDENTIAL INFORMATION AUTHORIZED FOR THIS RELEASE:**  
By signing my initials next to the specific category of highly confidential information, I am authorizing Health Care Provider to release the specific type of information described next to my initials that is, or may be, included under the treatment date(s) listed above.

\_\_\_\_\_ HIV/AIDS Related Information  
\_\_\_\_\_ Psychotherapy Notes  
\_\_\_\_\_ Drug and Alcohol Information  
\_\_\_\_\_ Sexually Transmitted Disease Information  
\_\_\_\_\_ Genetic Information  
\_\_\_\_\_ Tuberculosis Information

5. **RELEASE INFORMATION TO:**

- Myself (the resident or authorized representative)  
 To Organization/individual below:

\_\_\_\_\_  
Individual Name

\_\_\_\_\_  
The Company

\_\_\_\_\_  
Address

\_\_\_\_\_  
City, State Zip

\_\_\_\_\_  
Phone

- Please mail  
 Please prepare for pick up

6. **PURPOSE OF RELEASE:** I authorize Health Care Provider to release my health information for the following specific purpose:

\_\_\_\_\_  
\_\_\_\_\_

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7. **TERM/EXPIRATION:** This signed Authorization will expire in six (6) months unless an earlier date is indicated by you below. Please list a date or event when this Authorization will no longer be valid. (This date cannot be more than six (6) months in accordance with The Company policy.)

This Authorization will no longer be valid after: \_\_\_\_\_

8. **FEES:** *(apply to photocopies provided to residents or their authorized representatives only; other fees may apply to other requestors.)* I understand that Health Care Provider has determined its actual costs to be equal to or greater than the following, but the fees may not exceed those specified in state law:

\$\_\_\_\_\_ .00 per page (for the first \_\_\_\_\_ pages) and

\$0\_\_\_\_\_ per page thereafter up to a maximum of \$\_\_\_\_\_

\$\_\_\_\_\_ .00 per record

I understand that any information provided to me pursuant to this request will not include information compiled in reasonable anticipation of, or of use in, a civil, criminal, or administrative proceeding, or as may otherwise be limited or restricted by applicable law.

I understand that Health Care Provider may deny this request under limited circumstances as provided for under federal and state law protecting the privacy of health information. I further understand that, except as otherwise permitted under applicable law, I have the right to have any denial of my request reviewed by a licensed health care practitioner selected by Health Care Provider who did not participate in Health Care Provider's decision to deny my request.

I understand that Health Care Provider will notify me of its decision to approve or deny my request to access or obtain a copy of the Requested Information within thirty (30) days of receiving this request.

I understand that the information to be disclosed from my record is confidential and is protected by federal and state laws. I understand that once Health Care Provider releases my health information to the recipient listed on this Authorization, Health Care Provider cannot guarantee that the recipient will not redisclose my health information to a third party. The third party may not be required to abide by this Authorization or applicable federal and state law governing the use and disclosure of my health information.

I understand that this Authorization will remain in effect until the terms of this Authorization expires or I provide a written revocation to Health Care Provider at the address listed above. The revocation will be effective immediately upon Health Care Provider's receipt of my written notice, except that



the revocation will not have any effect on any action taken by Health Care Provider in reliance on this Authorization before it received my written notice of revocation.

**I have read and understand the terms of this Authorization and I have had the opportunity to ask questions about my rights to access my health information and any Protected Health Information that Health Care Provider uses to make decisions about me. I also understand that if I have further questions or concerns regarding my Protected Health Information, I may contact Health Care Provider by mail or by telephone.**

**I hereby authorize Health Care Provider to release/disclose the health information listed above for the purposes described in this Authorization.**

\_\_\_\_\_  
Print Resident Name

\_\_\_\_\_  
Resident Signature

\_\_\_\_\_  
Date

If the resident is a minor, or otherwise unable to sign this Authorization, then obtain the signature of the legally authorized representative/individual below.

Description of Authority: \_\_\_\_\_  
(Parent, Guardian, Other)

\_\_\_\_\_  
Print Representative Name

\_\_\_\_\_  
Representative Signature

\_\_\_\_\_  
Date

**---NOTICE TO THE COMPANY---**

If the resident or their legally authorized representative authorized release of “Alcohol and Drug Abuse” information, as indicated by their initials under part 4 of this form, the following Notice applies to the information you have received pursuant to this authorization.

This information has been disclosed to you from records protected by Federal confidentiality rules 42 CFR Part 2. The Federal rules prohibit you from making any further disclosure of this information unless further disclosure is expressly permitted by the written consent from the person to whom it pertains or as otherwise permitted by 42 CFR Part 2. A general authorization for release of medical or other information is not sufficient for this purpose. The Federal rules restrict any use of the information to criminally investigate or prosecute any alcohol or drug abuse resident.

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**I-1 REVOCATION OF RELEASE AUTHORIZATION**

I hereby revoke the above authorization.

\_\_\_\_\_  
Signature of Resident or Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Personal Representative (if applicable)

\_\_\_\_\_  
Relationship to Resident

**Appendix PP 2.0.2 J**  
**AUTHORIZATION TO *DISCUSS* HEALTH BENEFIT HEALTH CLAIM**

If you want assistance in resolving questions about your health benefits, you must read all three sections of this form, and sign your name at the end of Section 1 and Section 2.

If you want to authorize the HMO, insurance company, or third-party administrator that administers your health benefits to discuss information about your medical conditions, treatment, or payments with an employee of The Company, you must complete and sign the attached form of Authorization for Use and Disclosure of Protected Health Information.

**SECTION 1**    Request for Assistance with Your Health Benefits.

You have asked \_\_\_\_\_ (the “Employee”) for assistance in resolving particular questions about your health benefits. We want you to be aware that in the course of providing such assistance, the Employee may learn things about you or your family members’ medical conditions, treatment, or payments that you might otherwise want to keep private. Knowing this, please consider whether you would prefer to discuss your questions about your health benefits directly with the representative of the insurance company or third-party administrator who administers your health benefits. If you still wish for assistance from the Employee, print and sign your name on the line below:

*I have read the paragraph above and want assistance from the Employee in resolving questions about my health benefits.*

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Sign Name

\_\_\_\_\_  
Department, if applicable

\_\_\_\_\_  
Date

**SECTION 2**    Disclosure of Your Health Information.

While we try to be discreet with your information, in the course of providing assistance in resolving your health benefits questions, the Employee may discuss you or your family members' medical conditions, treatment, or payments with one or more of the following people: (1) representatives of the HMO, insurance company, or third party administrator that administers your health benefits; (2) representatives of \_\_\_\_\_, The Company that administers the health benefits plan; and (3) other members of the staff of your employer's employee benefits department. If you would prefer that the Employee not discuss you or your family members' medical conditions with any other people, or if you wish to specify that the Employee only discuss your information with certain other people, please specify this in the space below.

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*I have read the paragraph above and have indicated in the space above any preference I have for limitations on disclosures of information about me or my family members' medical conditions, treatment, or payments.*

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Sign Name

\_\_\_\_\_  
Department, if applicable

\_\_\_\_\_  
Date

This authorization expires: \_\_\_\_\_

**SECTION 3**    Form Authorizing Access to Additional Health Information.

The attached form may be required by the HMO, insurance company, or third-party administrator that administers your health benefits before they will discuss information about you or your family members' medical conditions, treatment, or payment with the Employee. Please complete and sign the form.

**Appendix 2.1**  
**WORKFORCE PRIVACY PRACTICES**

**Appendix 2.1 A**  
**AUTHORIZATION FOR COMPLIANCE WITH SUBPOENA**

\_\_\_\_\_  
Resident Name

\_\_\_\_\_  
Date of Birth

\_\_\_\_\_  
Phone \_\_\_\_\_

\_\_\_\_\_  
Resident Address

1. **REQUEST:** I hereby request that The Company provide \_\_\_\_\_, (hereafter “Attorney”) with photocopies of my health information, as requested below:

\_\_\_\_\_  
\_\_\_\_\_

2. **INFORMATION TO BE RELEASED:** *(include discharge date(s), date(s) of service, etc.)*

\_\_\_\_\_  
\_\_\_\_\_

3. **DESCRIPTION OF INFORMATION TO BE RELEASED:** *(Check ALL that apply)*

- Medical records
- Billing records
- Enrollment records
- Payment records and claims adjudication
- Case and/or medical management
- Other record sets used to make decision about Resident
- Other (specify)

4. **SPECIFIC CONFIDENTIAL INFORMATION AUTHORIZED FOR THIS RELEASE:**  
By signing my initials next to the specific category of highly confidential information, I am authorizing The Company to release the specific type of information described next to my initials that is, or may be, included under the treatment date(s) listed above.

\_\_\_\_\_ HIV/AIDS Related Information  
\_\_\_\_\_ Psychotherapy Notes  
\_\_\_\_\_ Drug and Alcohol Information  
\_\_\_\_\_ Sexually Transmitted Disease Information  
\_\_\_\_\_ Genetic Information  
\_\_\_\_\_ Tuberculosis Information

5. **RELEASE INFORMATION TO:**

- Myself (the Resident or authorized representative)
- To Organization/Individual below:

\_\_\_\_\_  
Individual Name

\_\_\_\_\_  
Company

\_\_\_\_\_  
Address

\_\_\_\_\_  
City, State, Zip

\_\_\_\_\_  
Phone

- Please mail
- Please prepare for pick up

6. **PURPOSE OF RELEASE:** I authorize The Company to release my health information for the following specific purpose:

\_\_\_\_\_  
\_\_\_\_\_

7. **TERM/EXPIRATION:** This signed Authorization will expire in six (6) months unless an earlier date is indicated by you below. Please list a date or event when this Authorization will no longer be valid. (This date cannot be more than six (6) months in accordance with The Company policy.)

This Authorization will no longer be valid after: \_\_\_\_\_

8. **FEES:** (*apply to photocopies provided to Residents or their authorized representatives only; other fees may apply to another requestor.*) I understand that The Company has determined its actual costs to be equal to or greater than the following, but that the fees may not exceed those specified in state law:

\$\_\_\_\_\_.00 per page (for the first \_\_\_\_\_ pages) and  
\$0\_\_\_\_\_ per page thereafter up to a maximum of \$\_\_\_\_\_  
\$\_\_\_\_\_.00 per record

I understand that any information provided to me pursuant to this request will not include information compiled in reasonable anticipation of, or of use in, a civil, criminal, or administrative proceeding, or as may otherwise be limited or restricted by applicable law.

I understand that The Company may deny this request under limited circumstances as provided for under federal and state law protecting the privacy of health information. I further understand that, except as otherwise permitted under applicable law, I have the right to have any denial of my request reviewed by a licensed health care practitioner selected by The Company who did not participate in The Company's decision to deny my request.

I understand that The Company will notify me of its decision to approve or deny my request to access or obtain a copy of the Requested Information within thirty (30) days of receiving this request.

I understand that the information to be disclosed from my record is confidential and is protected by federal and state laws. I understand that once The Company releases my health information to the recipient listed on this Authorization, The Company cannot guarantee that the recipient will not re-disclose my health information to a third party. The third party may not be required to abide by this Authorization or applicable federal and state law governing the use and disclosure of my health information.

I understand that this Authorization will remain in effect until the terms of this Authorization expires or I provide a written revocation to The Company at the address listed above. The revocation will be effective immediately upon The Company's receipt of my written notice, except that the revocation will not have any effect on any action taken by The Company in reliance on this Authorization before it received my written notice of revocation.

**I have read and understand the terms of this Authorization and I have had the opportunity to ask questions about my rights to access my health information and any Protected Health Information that The Company uses to make decisions about me. I also understand that if I have further questions or concerns regarding my Protected Health Information, I may contact The Company by mail or by telephone.**

**I hereby authorize The Company to release/disclose the health information listed above for the purposes described in this Authorization.**

\_\_\_\_\_  
Print Resident Name

\_\_\_\_\_  
Resident Signature

\_\_\_\_\_  
Date

If the Resident is a minor or otherwise unable to sign this Authorization, then obtain the signature of the legally authorized representative/individual below.

Description of Authority: \_\_\_\_\_  
(Parent, Guardian, Other)

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Sign Name

\_\_\_\_\_  
Date

**---NOTICE TO ATTORNEY---**

If the Resident or their legally authorized representative authorized release of “Alcohol and Drug Abuse” information, as indicated by their initials under part 4 of this form, the following Notice applies to the information you have received pursuant to this authorization.

This information has been disclosed to you from records protected by Federal confidentiality rules 42 CFR Part 2. The Federal rules prohibit you from making any further disclosure of this information unless further disclosure is expressly permitted by the written consent from the person to whom it pertains or as otherwise permitted by 42 CFR Part 2. A general authorization for release of medical or other information is not sufficient for this purpose. The Federal rules restrict any use of the information to criminally investigate or prosecute any alcohol or drug abuse by the Resident.



## REVOCATION OF AUTHORIZATION

I hereby revoke the above authorization.

\_\_\_\_\_  
Signature of Resident or Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Personal Representative (if applicable)

\_\_\_\_\_  
Relationship to Resident

**Appendix 2.1 B**  
**RESIDENT PRIVACY COMPLAINT FORM**

Residents have the right to submit privacy complaints.

\_\_\_\_\_  
Resident's Name

\_\_\_\_\_  
The Company

\_\_\_\_\_  
Birth Date

\_\_\_\_\_  
Resident's Address

Describe the acts or omissions believed to be in violation of the privacy rule:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Dates on which the acts or omissions are believed to have occurred:

\_\_\_\_\_

Describe the protected health information affected:

\_\_\_\_\_  
\_\_\_\_\_

Do you know of anyone who may have received protected health information? Yes  No

If yes, who? \_\_\_\_\_

\_\_\_\_\_  
Signature of Resident or Legal Representative

\_\_\_\_\_  
Date

**Appendix PP 2.1 C**  
**RESIDENT PRIVACY COMPLAINT LOG**

\_\_\_\_\_  
Resident's Name

Accepted \_\_\_\_\_  
Date Complaint Received Received By

Subject of Complaint:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Action Plan:

- The Company existing policies and procedures have been violated
- Disciplinary action is required
- Additional training on existing policies and procedures needed
- Modifications to existing policies and procedures needed
- Development of new policies and procedures needed
- Business Associate affected                      Date Business Associate Notified: \_\_\_\_\_
- Other Covered Entity affected                      Date Covered Entity Notified: \_\_\_\_\_
- Schedule In-service                                      Date of In-service: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- Report to Resident                      Date Resident Notified: \_\_\_\_\_
- Closed Out

\_\_\_\_\_  
Date of Resolution

\_\_\_\_\_  
Signature of Privacy Officer

**Appendix PP 2.1 D  
DISCIPLINE FOR HIPAA PRIVACY VIOLATION LOG**

Date of Violation: \_\_\_\_\_

Description of Violation: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
Signature

**Appendix PP 2.2**  
**MAINTAINING RESIDENT PRIVACY**

**Appendix PP 2.2 A**  
**RESIDENT INSPECTION AND COPYING REQUEST FORM**

Residents have the right to inspect and copy their Protected Health Information (“PHI”). PHI includes medical records, physician’s notes, images, laboratory results, etc.

\_\_\_\_\_  
Resident’s Name

\_\_\_\_\_  
Birth Date

\_\_\_\_\_  
Resident’s Address

Describe information to be inspected or copied (e.g., medical record, lab results, etc.):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Signature of Resident or Legal Representative

\_\_\_\_\_  
Date

**Appendix PP 2.2 B**  
**RESIDENT INSPECTION AND COPYING LOG**

\_\_\_\_\_  
Resident's Name

\_\_\_\_\_  
Date Inspection/Copy Request Received

\_\_\_\_\_  
Received By

- Accepted
- Denied

\_\_\_\_\_  
Reason for Denial

Portions of designated record affected:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Action Plan (Status of the portions of the designated record set that are to be copied – organization, date request is made for inspection and copying, and date inspection and copying completed):

- Business Associate affected      Date Business Associate Notified: \_\_\_\_\_
- Other Covered Entity affected      Date Covered Entity Notified: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- Report to Resident      Date Resident Notified: \_\_\_\_\_
- Closed Out

\_\_\_\_\_  
Date of Resolution

\_\_\_\_\_  
Signature of Privacy Officer

**Appendix PP 2.2 C**  
**EMAIL CONSENT INSTRUCTIONS FOR RESIDENTS**

1. *Overview:* The Company offers residents the opportunity to communicate by email. Transmitting resident information by email, however, has several risks that residents should consider before using email.
2. *Risk of Using Email:*
  - a. Email can be circulated, forwarded, and stored in numerous paper and electronic files
  - b. Email can be immediately broadcast worldwide and be received by many intended and unintended recipients
  - c. Email senders can easily misaddress an email
  - d. Email is easier to falsify than handwritten or signed documents
  - e. Backup copies of email may exist even after the sender or the recipient has deleted his or her copy
  - f. Employers and on-line services have a right to archive and inspect emails transmitted through their systems
  - g. Email can be intercepted, altered, forwarded, or used without authorization or detection
  - h. Email can be used to introduce viruses into computer systems
  - i. Email can be used as evidence in court
3. *Conditions for the Use of Email:* The Company will use reasonable means to protect the security and confidentiality of email information sent and received. However, because of the risks outlined above, The Company cannot guarantee the security and confidentiality of email communication and will not be liable for improper disclosure of confidential information that is not caused by The Company's intentional misconduct. Thus, residents must consent to the use of email for resident information. [Consent to use of email includes agreement with the following conditions:](#)
  - a. All emails to or from the resident concerning diagnosis or treatment will be printed out and made part of the resident's medical record. Because they are a part of the medical record, other individuals authorized to access the medical record, such as staff and billing personnel, will have access to those emails.
  - b. The Company may forward emails internally to The Company's staff and agents as necessary for diagnosis, treatment, reimbursement, and other handling. The Company will not, however, forward emails to independent third parties without the resident's prior written consent, except as authorized or required by law.
  - c. Although The Company will endeavor to read and respond promptly to an email from the resident, The Company cannot guarantee that any particular email will be read and responded to within any particular period of time. Thus, the resident shall not use email for medical emergencies or other time-sensitive matters.
  - d. If the resident's email requires or invites a response from The Company, and the resident has not received a response within a reasonable time period, it is the resident's responsibility to follow up to determine whether the intended recipient received the email and when the recipient will respond.
  - e. The resident should not use email for communication regarding sensitive medical information, such as information regarding sexually transmitted diseases, AIDS/HIV, mental health, developmental disability, or substance abuse.

- f. The resident is responsible for informing The Company of any types of information the resident does not want to be sent by email, in addition to those set out in 2(e) above.
  - g. The resident is responsible for protecting his/her password or other means of access to email. The Company is not liable for breaches of confidentiality caused by the resident or any third party.
  - h. The Company shall not engage in email communication that is unlawful, such as unlawfully practicing medicine across state lines.
  - i. It is the resident's responsibility to follow up and/or schedule an appointment if warranted.
4. *Instructions:* To communicate by email, the resident shall:
- a. Limit or avoid use of his/her employer's computer
  - b. Inform The Company of changes in his/her email address
  - c. Put the resident's name in the body of the email
  - d. Include the category of the communication in the email's subject line for routing purposes (e.g., billing question)
  - e. Review the email to make sure it is clear and that all relevant information is provided before sending to The Company
  - f. Inform The Company that the resident received an email from The Company
  - g. Take precautions to preserve the confidentiality of emails, such as using screen savers and safeguarding his/her computer password
  - h. Withdraw consent only by email or written communication to The Company



**Appendix PP 2.2 D**  
**RESIDENT EMAIL ACKNOWLEDGMENT AND AGREEMENT**

I acknowledge that I have read and fully understand this consent form. I understand the risks associated with the communication of email between The Company and me, and consent to the conditions outlined herein. In addition, I agree to the instructions outlined herein, as well as other instructions that The Company may impose to communicate with residents by email. Any questions I may have had were answered.

\_\_\_\_\_  
Resident Name

\_\_\_\_\_  
Resident Email Address

\_\_\_\_\_  
Resident Address

\_\_\_\_\_  
Signature of Resident

\_\_\_\_\_  
Date

Email restrictions have been identified on The Company's Appendix PP 2.0.2-H- [Request for the Restriction of Use and Disclosure of Protected Health Information Form.](#)

## Appendix PP 2.2 E CONSENT TO PHOTOGRAPH/PUBLISH

1). *Overview:* The Company will protect resident information by placing safeguards on the photographing, recording, and filming of residents, and to define the parameters in which personal cell phones with camera or video capability and other personal image recording devices may be used at The Company. The Company has a policy to protect the privacy of resident information in accordance with the Health Insurance Portability and Accountability Act (“HIPAA”).

2). *Definitions:*

- a. **Company Personnel** – Company Personnel includes all personnel who would appear to the general public as an employee or agent of The Company. Company Personnel includes but is not limited to: employees, physicians and allied health professionals, volunteers, contractors, vendors, temporary labor, agency personnel, and contract employees.
- b. **Personal Recording Device (“PRD”)** – A personal recording device is any device that:
  - 1. is not the property of The Company;
  - 2. is capable of capturing an image, live action or still, of a resident; and
  - 3. is capable of transmitting an image electronically.

Such devices include, but are not limited to: video cameras, cell phones with cameras, cell phones with videotaping capability, and digital cameras.

- c. **Personal Representative** – The person who is authorized to make decisions on behalf of a resident.

3). *Procedure:* Company personnel will provide residents the opportunity to consent to being photographed, recorded, or filmed in accordance with The Company HIPAA Privacy Policies and Procedures, except for clearly and narrowly defined situations that are addressed in specific, departmental policies, including but not limited to, legitimate operational or treatment purposes. In such cases where photographing, filming, and/or recording of residents is permitted, only Company recording devices, and not PRDs, may be used. All photographs, film, and recordings of residents must be transferred from the device and maintained in a secure location in accordance with The Company HIPAA Privacy and Data Security Policies and Procedures.

- a. Except as permitted by department-specific policies and consistent with this Policy, The Company Personnel will always photograph, film, and/or record residents only in accordance with the permissions of the HIPAA Privacy Consent **or** attempt to obtain a signed consent to photograph from the resident or the resident’s personal representative.
- b. If consent to photograph, film, and/or record cannot be obtained from the resident or the resident’s personal representative **and** the legitimate operational or treatment purpose for the recording or film has passed or subsided, then the recording or film will either be destroyed, or the identifying information or any information that would reasonably result in the recognition of the nonconsenting resident will be removed from the recording or film.
- c. A resident or the resident’s personal representative has the right to request cessation of recording or filming and the resident or the resident’s personal representative may request the right to rescind consent for use up until a reasonable time before the recording or film is used.

- d. Photographs, films, and recordings of residents must be transferred from the The Company-owned recording device, stored in a secure location, and deleted from the recording device itself. The Company recording devices may only be used for photographing, filming, and/or recording residents.
- e. Residents, visitors, and resident family members may use PRDs if such use is permitted by The Company management as long as such use will not compromise the privacy or security of other residents. **Under no circumstances shall PRDs be used by Company Personnel for photographing, filming, and/or recording of residents.**
- f. The Company recognizes three scenarios warranting the use of photographs, films, and recordings of residents in accordance with this Policy:
  1. Photographing, filming, and recording for treatment and The Company internal operations
  2. Photographing, filming, and recording for purposes other than treatment and The Company internal operations
  3. Photographing, filming, and recording by or for residents, visitors, and resident family members
- g. Any exceptions to this Policy must be approved by either the Administrator or the Compliance Officer.
- h. The Compliance Officer and Compliance Attorney will be responsible for monitoring compliance with this Policy by establishing an audit protocol with affected departments.
- i. Noncompliance with this Policy that results in violations of The Company HIPAA Privacy and Security Policies and Procedures will subject the violator to either removal for visitors and resident family members, or disciplinary action up to, and including, termination for Company Personnel.

I acknowledge that my signature on this Policy signifies I have read, understand, and am committed to its principles.

I understand that this signed and dated document will become part of my permanent personnel record.

Employee    Independent Contractor    Business Associate    Vendor    Volunteer

\_\_\_\_\_  
Print Name of Individual

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
Signature of Individual

\_\_\_\_\_  
Date

Resident Name: \_\_\_\_\_

I hereby indicate my consent, as expressed by my initials, to permit The Company to:

\_\_\_\_\_ Use my name in connection with any publication (including, but not limited to, newspapers, displays, television, radio, books, reports, web-sites, and brochures) for marketing and/or other company purpose.

\_\_\_\_\_ Use photographs and video of me in any publication (including, but not limited to newspapers, displays, television, radio, books, reports, web-sites, and brochures) for marketing and/or other company purposes.

\_\_\_\_\_ Use any quotations and comments made verbally by me and/or concerning me (including, but not limited to, newspapers, displays, television, radio, books, reports, web-sites, and brochures) for marketing and/or other company purposes.

\_\_\_\_\_ Use full name as identification throughout the Company including, but not limited to, entrance of room.

\_\_\_\_\_  
Signature of Resident or Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Personal Representative (if applicable)

\_\_\_\_\_  
Relationship to Resident

Appendix PP 2.2 F  
PERSONAL RECORDING DEVICES POSTER

# **ATTENTION**

**RESIDENTS, STAFF, VISITORS,  
FAMILY MEMBERS, AND FRIENDS:**

**TO PROTECT RESIDENT AND PATIENT CONFIDENTIALITY,**

**USE OF PERSONAL RECORDING  
DEVICES (PRDs) ARE STRICTLY  
PROHIBITED.**

**PLEASE CONTACT ADMINISTRATION  
IF YOU HAVE ANY QUESTIONS.**

**Personal Recording Devices include, but are not limited to cell phones, cameras, video cameras, tape recorders, or any other device capable of recording and/or taking photographs and/or videos.**

**THANK YOU FOR YOUR COOPERATION.**

### **Appendix PP 2.3**

#### **IDENTITY THEFT PREVENTION PROGRAM BOARD RESOLUTION**

**WHEREAS:**

1. Identity theft is a serious problem for businesses, consumers, and law enforcement in the United States, causing consumers to lose time and money and businesses to incur millions of dollars in losses.
2. In response to the risks posed by identity theft to consumers and to the financial soundness of businesses, the United States Congress enacted the Fair and Accurate Credit Transactions Act of 2003 (“FACT Act”).
3. The Federal Trade Commission (“FTC”), along with federal bank regulators, adopted regulations implementing the FACT Act (the “Red Flag Rules”) that require creditors to adopt a written Identity Theft Prevention Program.
4. The Company is a creditor subject to the FTC’s Red Flag Rules.
5. The Company has developed an Identity Theft Prevention Program that identifies certain irregularities in information and documents submitted by residents as red flags; delineates procedures for detection of red flags; and specifies actions to be taken for investigation of potential identity theft and response to findings of such investigations.

**WHEREFORE, BE IT RESOLVED ON THIS DATE:**

1. This Board of Directors approves the Identity Theft Prevention Program submitted by the Compliance Committee.
2. The Privacy Officer is delegated responsibility for oversight, ongoing development, implementation, and administration of the Identity Theft Prevention Program and shall have the responsibility to develop periodic updates to the program to reflect changes in risk to residents and to the safety and soundness of the organization.

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Date Adopted

## **6. DATA INTEGRITY (DI)**

## 6. DATA INTEGRITY (DI)

Policy Number	Policy
DI 1.0	<a href="#"><u>INFORMATION SECURITY MANAGEMENT PLAN</u></a>
	<a href="#"><u>A. INFORMATION SECURITY MANAGEMENT</u></a> <a href="#"><u>B. APPOINTMENT OF AN INFORMATION SECURITY MANAGER</u></a> <a href="#"><u>C. CREATING IDENTIFIERS</u></a> <a href="#"><u>D. SECURITY CONFIGURATION DOCUMENTATION</u></a> <a href="#"><u>E. HARDWARE AND SOFTWARE INSTALLATION</u></a> <a href="#"><u>F. INTERNAL SECURITY AUDITING</u></a> <a href="#"><u>G. RANSOMWARE</u></a>
DI 2.0	<a href="#"><u>ACCESS CONTROLS</u></a>
	<a href="#"><u>A. PHYSICAL ACCESS CONTROLS</u></a> <a href="#"><u>B. EMERGENCY ACCESS</u></a> <a href="#"><u>C. REMOTE ACCESS</u></a>
DI 2.1	<a href="#"><u>MEDIA CONTROLS</u></a>
	<a href="#"><u>A. RECORD PROCESSING AND MEDIA CONTROLS</u></a> <a href="#"><u>B. LOGIN MONITORING</u></a> <a href="#"><u>C. ORAL DISCLOSURES</u></a>
DI 2.2	<a href="#"><u>DATA DISPOSITION</u></a>
	<a href="#"><u>A. RELEASE OF PROTECTED HEALTH INFORMATION</u></a> <a href="#"><u>B. DE-IDENTIFICATION OF PROTECTED HEALTH INFORMATION</u></a> <a href="#"><u>C. ACCEPTABLE METHODS TO RENDER UNSECURED PROTECTED HEALTH INFORMATION UNUSABLE, UNREADABLE, OR INDECIPHERABLE TO UNAUTHORIZED INDIVIDUALS</u></a> <a href="#"><u>D. ACCOUNTING OF DISCLOSURES OF PROTECTED HEALTH INFORMATION</u></a>
DI 2.3	<a href="#"><u>WORKFORCE DATA MANAGEMENT</u></a>
	<a href="#"><u>A. ACCEPTABLE USE</u></a> <a href="#"><u>B. PASSWORD STANDARDS</u></a> <a href="#"><u>C. WORKSTATION USE</u></a> <a href="#"><u>D. WORKSTATION SECURITY</u></a>



	<a href="#"><u>E. SERVER SECURITY</u></a>
DI 2.4	<a href="#"><u>WIRELESS COMMUNICATION</u></a>
	<a href="#"><u>A. VIRTUAL PRIVATE NETWORK (VPN)</u></a>
DI 3.0	<a href="#"><u>PRIVACY AND INFORMATION SECURITY COMPLIANCE EVALUATION</u></a>
<b>Appendix</b>	<b>PRIVACY AND INFORMATION SECURITY COMPLIANCE EVALUATION APPENDIX</b> <b>Appendices, Tools, and Forms</b>
Appendix DI 1 A	<a href="#"><u>APPOINTMENT OF AN INFORMATION SECURITY MANAGER</u></a>
Appendix DI 1 B	<a href="#"><u>IDENTITY THEFT PREVENTION PROGRAM BOARD RESOLUTION</u></a>
Appendix DI 2.2 A	<a href="#"><u>DISCLOSURE LOG</u></a>
Appendix DI 2.2 B	<a href="#"><u>DISPOSAL OF BACKUP TAPE LOG</u></a>
Appendix DI 2.2 C	<a href="#"><u>DISPOSAL OF COMPUTER SYSTEMS LOG</u></a>
Appendix DI 2.3 A	<a href="#"><u>ACKNOWLEDGMENT OF ACCEPTABLE USE</u></a>

**Policy Number:** DI 1.0

**Policy Title:** Information Security Management Plan

**Policy Statement/Purpose:** The Company has a systematic information security management plan to ensure compliance with laws, regulations, and standards.

**Policy Interpretation and Implementation:** The information security plan consists of a data security (information) manager, unique identifiers, security configuration, and hardware/software installation that are consistent with The Company Compliance and Ethics program.

### **A. INFORMATION SECURITY MANAGEMENT**

- 1). *Overview:* Security is the means by which information is protected. Security focuses on accessibility and integrity of data through such mechanisms as firewalls, access controls, and encrypting data when the information is transmitted or stored. Security is about denying access to protected health information according to The Company's established privacy policies and procedures.

Security Management has to do with creation, administration, and oversight of policies to ensure the prevention, detection, containment, and correction of security breaches involving risk analysis and risk management.

It is the [responsibility of the Information Security Manager](#) to develop, implement, and monitor the security system for The Company. The Information Security Manager will monitor breaches and quality of the security system.

The Information Security Manager will develop and implement policies and procedures and keep them current.

- 2). *Annual Review:* A risk assessment will be conducted at least yearly. Specific implementations will be technology specific. A risk assessment is an examination of a network from both the outside and inside to identify where security measures are lacking. This should be performed prior to designing a secure network/security infrastructure and at any time to ensure that an organization is not vulnerable to the latest network, operation system, or application exploits.

### **B. APPOINTMENT OF AN INFORMATION SECURITY MANAGER**

- 1). *Overview:* The Health Insurance Portability and Accountability Act of 1996 and rules promulgated under the Act ("HIPAA") require an Information Security Manager. In addition, there are other federal and state laws and applicable regulatory and accreditation standards that have an impact on data (information) security.

The Company is committed to ensuring the privacy and security of protected health information. To manage the facilitation and implementation of activities related to the privacy and security of protected health information, The Company will appoint and maintain an internal Information Security Manager [who is accountable through a Board appointed officer position](#)

- 2). *Responsibilities*-The Information Security Manager will serve as the focal point for information security compliance-related activities and responsibilities. The final responsibility for the implementation and maintenance of the Information Security Program must rest with one individual. In general, the Information Security Manager is charged with developing, maintaining, and implementing organizational policies and procedures, conducting educational programs, reviewing conduct of those assigned security responsibilities, and administering reviews relating to The Company's Information Security Program.

All workforce members will be made aware of the Information Security Manager's role and responsibilities. Any Information Security Manager changes will be promptly communicated.

The Information Security Manager will:

- a. Lead in the development and enforcement of information security policies and procedures, measures and mechanisms to ensure the prevention, detection, containment, and correction of security incidents. Ensure that security standards comply with statutory and regulatory requirements regarding health information.
- b. Maintain security policies that include:
  1. **Administrative Security** – Formal mechanisms for risk analysis and management, information [access controls](#), and appropriate sanctions for failure to comply
  2. **Personnel Security** – Formal mechanisms for ensuring personnel only have access to sensitive information for which they have the appropriate authority and clearance
  3. **Physical Safeguards** – Ensure assigned security responsibilities, control access to media (e.g., diskettes, tapes, CDs, backups, disposal, or data), protect against hazards and unauthorized access to computer systems, and secure workstation locations and use
  4. **Technical Security** – Establish [access controls](#), emergency procedures, authorization controls, and data/entity access and authentication
  5. **Transmission Security** – Access controls, system alarms, audit trails, encryption, event reporting, and integrity controls
- c. Maintain security procedures that include:
  1. Evaluation of compliance with security measures
  2. Contingency plans for emergencies and disaster recovery
  3. Security incident response process and protocols
  4. Testing of security procedures, measures and mechanisms, and continuous improvement
  5. Security incident reporting mechanisms and sanction policy
- d. Maintain appropriate security measures and mechanisms to guard against unauthorized access to electronically stored and/or transmitted patient data and protect against reasonably anticipated threats and hazards, for example:
  1. Integrity controls
  2. Authentication controls
  3. Access controls
  4. Encryption
  5. Abnormal condition alarms, audit trails, entity authentication, and event reporting
- e. Oversee and/or perform ongoing security monitoring of organization information systems.
  1. Perform periodic information security risk assessments

2. Conduct functionality and gap analyses to determine the extent to which key business areas and infrastructure comply with statutory and regulatory requirements
  3. Evaluate and recommend new information security technologies and counter-measures against threats to information or privacy
- f. Ensure compliance through adequate training programs and periodic security audits.
  - g. The Information Security Manager serves as a resource regarding matters of informational security, and on a periodic basis, reports the status of information security activities to the Compliance Committee.
- 3). *Information Security Manager Eligibility:* The Information Security Manager must demonstrate familiarity with the legal requirements relating to privacy and health care operations, as well as the ability to communicate effectively with and coordinate the efforts of technology and non-technology personnel. Information security covers legal issues, hardware and software security, as well as physical information security.

It is desirable that the Information Security Manager have a background to include the following:

- a. Bachelor's degree or higher from an accredited university in Management Information Systems, Computer Science, Business Administration, or similar discipline
- b. Security certification (e.g., Certified Information Systems Security Professional (CISSP))
- c. Minimum of three years in information security experience

### **C. CREATING IDENTIFIERS**

- 1). *Overview:* An individual may have multiple personal identifiers including: Social security number, universal identification number, driver's license number, passport number, member ID, picture, credit card, smart card, and employee number. The Company assigns a unique personal identifier to each person who may need to access protected health information.
- 2). *Implementation:* All residents will be assigned one unique identifier. Creating a resident identifier should follow the procedure below:
  - a. Attempt to verify at the time of creating the identifier who this person is. Check the picture on the driver's license. Perhaps capture the driver's license number.
  - b. Assign a temporary unique personal identifier.
  - c. Ask if the person has ever registered under a different name or ID.
  - d. Mail the personal identifier to the person's address much like a credit company does. This will also indicate that the billing address is valid.

After performing these checks, The Company makes the temporary personal identifier his or her permanent unique personal identifier.

For residents who already have one or more identifiers assigned, attempt to weed out multiple personal identifiers by performing the above checks and selecting one as the primary personal identifier.

Personal identifiers should not be significant, i.e., none of the characters that comprise the identifier should mean something by itself.

## **D. SECURITY CONFIGURATION DOCUMENTATION**

- 1). *Overview:* There needs to be assurance that routine changes to system hardware and/or software do not contribute to or create security weaknesses. This requirement applies to documentation of hardware and software installation, maintenance and testing, inventory procedures, and virus checking.

All application and infrastructure security features will be documented in advance of testing. Operating system and communications software security features may need to be tested and documented.

- 2). *Implementation:* Software quality assurance will test all security features that correspond to the documented security features before the software is approved for production. The software is not to be released for production if there are any faults/bugs/incidents present.

When software configurations related to security are changed on mainframes, workstations, or servers, all changes must be logged for that device.

## **E. HARDWARE AND SOFTWARE INSTALLATION**

- 1). *Overview:* The Company provides formal, documented procedures for connecting and loading new equipment and programs on its production network.

The Information Security Manager must approve and oversee the installation of all new hardware and software.

- 2). *Implementation:* When new hardware is installed, the Information Security Manager will ensure that the new system has the appropriate security patches and configuration. If the new system is not secure, it will compromise the network.

The Information Security Manager will check with various organizations that track known vulnerabilities to various versions of hardware and software. These databases will be searched for known exploits and known fixes prior to installation of new hardware or software.

## F. INTERNAL SECURITY AUDITING

- 1). *Overview:* The Company ensures that it has the technical capabilities to record and examine systems that contain or use electronic protected health information (PHI). The Company has the ability to assess and access the damage should there be a break-in or in the event of accidental access to PHI data.

The Company implements and utilizes the necessary hardware, systems, applications, and procedural measures to record and examine system activity, including access and transaction activity, in all systems that receive, store, transmit, or otherwise access electronic protected health information. The Company examines and reviews the recorded activity on a periodic basis and maintains and stores such recorded activity for a reasonable period of time.

It is the responsibility of the Information Security Manager to analyze the logs to determine unauthorized access.

- 2). *Implementation:*

- a. The Information Technology Department will provide an audit trail for applications and networks.
- b. The [Information Security Manager](#) will:
  1. Be educated about the audit control features and functionality of the systems, applications, and devices that receive, store, transmit, or otherwise access electronic protected health information that are in use by The Company
  2. Educate the appropriate workforce members in charge of systems, applications, or devices that receive, store, transmit, or otherwise access electronic protected health information about the audit control features and functionality of their systems
  3. Ensure that the appropriate audit control features are turned "on" and utilized in all systems, applications, and devices that receive, store, transmit, or otherwise access electronic protected health information
    - If systems, applications, or devices that receive, store, transmit, or otherwise access electronic protected health information do not have adequate audit control features and functionality, the Information Security Manager will contact the vendors of those products to request such features be upgraded, and to determine when the features will be available and shall document the vendor's response. Such systems shall be thoroughly considered in the risk assessment
  4. Consider audit control features and functionality in purchase decisions for systems, applications, and devices that receive, store, transmit, or otherwise access electronic protected health information
  5. Ensure that adequate systems storage is available for the storage of audit control information
  6. Determine:
    - What information needs to be captured by audit control features and functionality within each system, application, and device
    - Which audit control reports must be generated from each system, application, and device
    - How often audit control reports should be generated and in what manner

- Who will receive and review the audit control information
- Procedures for documenting and reporting audit control discrepancies
- The length of time and manner in which to store the generated audit control information

## **G. RANSOMWARE**

**1). *Overview:*** Company policy is to implement and maintain as tight of security as possible and maintain backups. Company leadership will dictate whether to pay a ransom, which is determined on a case by case basis.

**Policy Number:** DI 2.0

**Policy Title:** Access Controls

**Policy Statement/Purpose:** The Company has systems in place to control access privileges to entities to ensure the establishment and protection of privacy in accordance with laws, regulations, and standards.

**Policy Interpretation and Implementation:** Physical, emergency, and remote access controls are components of The Company Compliance and Ethics policy.

### A. PHYSICAL ACCESS CONTROLS

1). *Overview:* An important part of the overall Privacy Program is physical security. When routine, non-routine, or contingent events occur, physical security must be maintained. The Company values the establishment and protection of privacy. This means *restricting access to protected health information* for only those entities that have access privileges.

The Company often requires easy access to information, especially in urgent or emergent situations. At the same time, for other than treatment, only the minimum necessary information is to be used or disclosed. This policy and procedure *limits physical access* to The Company's *electronic information systems* while ensuring that properly authorized access is allowed.

This document establishes physical access policy and procedures to *address disaster recovery, an emergency mode operation*, equipment control, a company security plan, procedures for verifying access authorizations, maintenance records, need-to-know procedures for workforce members' access, procedures to sign in visitors and provide escorts, and testing and revision.

Physical access will be the responsibility of The Company's Information Technology Department. The Information Technology Department will maintain a current list of privileges for each workforce member.

Workforce members who see an unauthorized user in a restricted area (e.g., data center, peripheral equipment locations, and IT staff offices) must either ask the unauthorized user for identification or notify the Information Security Manager.

Equipment removal requires a property pass issued by IT Department or Information Security Manager prior to removing personal computers, software, backup media, or any other computer equipment from The Company.

#### a. Definitions

1. **Authorized internal user** - Any member of the workforce who has been authorized to access, create, read, update, and delete information created or held by The Company
2. **Authorized external user** - Organizational entities and third-party intermediaries distinct from The Company with contractual permissions for information exchange with The Company



b. Implementation

1. The [Privacy Manager and Information Security Manager](#) are responsible for establishing the policy and procedures for assigning access privileges to entities that need access to protected health information
2. The Information Technology Department will be responsible for assigning protected health information access privileges to entities as well as be responsible for assigning physical access privileges to internal staff and authorized external users
3. Authorized external users are required to enforce the “chain-of-trust” provision of their contract. The chain-of-trust provision should implement the similar restrictions on access as authorized internal users
4. All internal staff and authorized external users will need to sign on to the network before signing on to specific applications or desktops. For each entity identifier, the Information Technology Department will maintain records as to which privileges are assigned to the entity identifier
5. Some users may need badges (or some other identification) with specific privileges to certain rooms
6. Emergency access relating to treatment, payment, or health care operations is to be provided. The Information Technology Department will provide the procedures
7. The Privacy Officer and Information Security Manager will establish the guidelines for access privileges. The guidelines will be used by the IT Department to assign privileges. The Privacy and Information Security Managers must approve all exceptions in writing
8. The Privacy Officer and Information Security Manager, with the aid of the Information Technology Department, will audit this policy and procedure once a year using, for example, sampling techniques or actual access logs for specific systems. The results of the audit are to be documented

## **B. EMERGENCY ACCESS**

- 1). *Overview:* During an emergency, knowledge of an individual’s health information may be critical to ensure the well-being of the resident. In these situations, access to PHI may be granted by the Information Security Manager.

Emergency Access is defined as access to PHI that may be granted to an individual when this information is critical to the well-being of the resident.

Access to this PHI must be limited to the individual resident who is affected by the emergency. Access that has been granted during the emergency to unauthorized personnel must be revoked immediately following the incident.

The Company will always have a workforce member available (on call or in person) who has access to all PHI and can grant the necessary access in an emergency.

- 2). *Implementation:*

- a. When an event occurs, and a workforce member determines that the well-being of the resident depends on his/her knowledge of particular information, he/she is to contact the designated

manager who will grant the necessary access in conjunction with the information security manager.

- b. When the manager receives the request for PHI access, he/she will provide access to the appropriate PHI in one of several ways:
  1. Modify the requesting user's access rights to allow access to the necessary PHI
  2. Provide the requestor with a separate user ID that has the appropriate level of access
  3. Record access level modification in the Access Control Log
- c. The manager must notify the Information Security Manager to inform him that the access list has been modified.
- d. Once the emergency is over and access to the PHI is no longer necessary, the manager who granted the additional access is responsible for revoking these rights by:
  1. Modifying the requesting user's account to revoke the additional access rights
  2. Changing the authorization credentials for the account that was used to give the requesting user access to the appropriate PHI
- e. The Information Security Manager is responsible for verifying that the additional rights have been revoked.

### C. REMOTE ACCESS

- 1). *Overview:* The Company defines standards for connecting to The Company's network from any host. These standards are designed to minimize the potential exposure to The Company from damages which may result from unauthorized use of Company resources. Damages include the loss of sensitive or Company confidential data, intellectual property, damage to public image, and damage to critical Company internal systems.
- 2). *Implementation:*
  - a. It is the responsibility of The Company workforce members with remote access privileges to The Company's corporate network to ensure that their remote access connection is given the same consideration as the user's on-site connection to The Company.
  - b. General access to the Internet for recreational use by immediate household members through the Company Network on personal computers is not permitted. Company workforce members are responsible to ensure the family member does not violate any Company policies, does not perform illegal activities, and does not use the access for outside business interests. Refer to *Requirements*, below. Company workforce members bear responsibility for the consequences should the access be misused.
  - c. Additional information regarding The Company's remote access connection options, including how to order or disconnect service, cost comparisons, troubleshooting, etc., can be obtained from the Information Security Manager.
- 3). *Requirements:*
  - a. Secure remote access must be strictly controlled.
  - b. At no time should any Company workforce member provide their login or email password to anyone, not even family members.

- c. The Company workforce members and contractors with remote access privileges must ensure that their Company-owned or personal computer or workstation, which is remotely connected to The Company's corporate network, is not connected to any other network at the same time, with the exception of personal networks that are under the complete control of the user.
- d. The Company workforce members with remote access privileges to The Company's corporate network must not use non-Company email accounts or other external resources to conduct Company business, thereby ensuring that official business is never confused with personal business.
- e. Non-standard hardware configurations and security configurations for access to hardware must be approved by the Information Security Manager.
- f. All hosts that are connected to Company internal networks via remote access technologies must use the most up-to-date anti-virus software (this includes personal computers).
- g. Personal equipment that is used to connect to The Company's networks must meet the requirements of Company-owned equipment for remote access.
- h. Workforce members who wish to implement non-standard Remote Access solutions to The Company production network must obtain prior approval from the Information Security Manager.

**Policy Number:** DI 2.1

**Policy Title:** Media Controls

**Policy Statement/Purpose:** The Company designates responsibility for securely backing up data related to protected health information, providing a backup copy off-site, acquiring all new media, and properly disposing of all previously used media in accordance with laws, rules, regulations, and standards.

The Information Technology Department or its designee is to account for all media that is acquired.

**Policy Interpretation and Implementation:** Media controls are considered formal, documented policies and procedures that govern the receipt and removal of hardware/software (such as diskettes, tapes, and CDs) into and out of The Company, including access control, accountability (the property that ensures that the actions of an entity can be traced uniquely to that entity), data backup (a retrievable, exact copy of information), data storage (the retention of health care information pertaining to an individual in an electronic format), and disposal (final disposition of electronic data, and/or the hardware on which electronic data is stored).

1. Backups are to be retained for a period of ten years.
2. Backups are to be under strict access control. This means that few people are to be given access to backups. It is expected that most people having access will be hardware/software administrators.

The Information Technology Department or its designee is to erase all protected health information before disposing of media and to account for all media that is disposed.

#### **A. RECORD PROCESSING AND MEDIA CONTROLS**

- 1). *Overview:* The Company establishes an administrative procedure that specifies how The Company will deal with PHI from its inception to its disposal and all points in between.

The Information Technology Department or its designee will be responsible for securely backing up data related to protected health information (PHI) and providing a copy off-site; as well as properly disposing of all previously used media.

The Company has a formal mechanism for processing records by documenting policies and procedures for the routine and non-routine receipt, manipulation, data storage (the retention of PHI pertaining to an individual in an electronic format), dissemination, transmission, and/or disposal (final disposition of electronic data, and/or the hardware on which electronic data is stored) of PHI.

- 2). *Implementation:*
  - a. Receipt - New PHI information will only be received and entered into the appropriate applications by workforce members with the necessary authorizations. The proper authorization will be enforced by The Company's access control system.
  - b. Manipulation - The Company's IT access control system will enforce who has authorization to manipulate PHI information stored with the IT systems.

- c. Storage - All applications that store PHI will be protected by an appropriate access control solution which will only allow authorized workforce members to view or modify this information.
  - 1. All PHI archived to backup media must have a session password or another form of protection. Other forms of protection may include encryption or restore restrictions to/from a particular system
- d. Dissemination - All workforce members must adhere to The Company's guidelines when disclosing any information to non-Company workforce members.
- e. Transmission - Any PHI transmitted beyond The Company's private network must be encrypted.
- f. Backups - Backups are to be retained for a period of ten years.
  - 1. Backups are to be under strict access control. This means that few people are to be given access to backups. It is expected that most workforce members having access will be hardware/software administrators
  - 2. All logs are to be retained by IT Department and/or the Information Security Manager for a period of ten (10) years
  - 3. The IT Department will create a retrievable exact copy of PHI when needed before movement of equipment
- g. Disposal - All expired backup media will be disposed of by shredding. A log of disposal must be maintained for legal audit trails.
  - 1. The Information Technology Department or its designee is to erase all protected health information before disposing of media and to account for all media that is disposed
  - 2. Prior to disposal, all data on hard drives and/or any other storage media is to be erased and overwritten using an approved utility program to prevent access to any information. Furthermore, holes are to be drilled through the platters of hard drives to prevent the possibility of the use of any electronic means to retrieve the data
- h. Media Reuse - The IT Department will implement and oversee procedures for removal of PHI from electronic media before the media are made available for re-use.
- i. Accountability - The IT Department will maintain a record of the movements of hardware and electronic media and any person responsible for such media.

## B. LOGIN MONITORING

- 1). *Overview:* The Company ensures that it complies with applicable laws and regulations regarding the security of electronic protected health information through login monitoring. The Company monitors login attempts to detect and report login discrepancies, such as unauthorized and/or failed login attempts and dual login attempts.
- 2). *Implementation:* [The Information Security Manager will:](#)
  - a. Monitor and review login activity.
  - b. Ensure that The Company's systems have login monitoring and reporting functionality properly configured based on the risk rating of the system, in accordance with the risk assessment.
  - c. Ensure that sufficient products and/or services are dedicated to the monitoring and reviewing of systems-generated login reports, based on the risk rating of the system, in accordance with the risk assessment.

- d. Establish a review process whereby systems login logs, reports, or other mechanisms that document login activity are reviewed by the Information Security Manager at intervals commensurate with their risk level, but not less than once per \_\_\_\_\_ [RECOMMENDATION: month].
- e. Implement a process whereby system-generated login logs, reports, and other documentation are maintained and archived for no less than six (6) years.
- f. Alerted by workforce members and The Company's systems to login attempts deemed reasonably "suspect" by the workforce members or the system within a reasonable period of time.
- g. Determine and set a reasonable time of inactivity that will terminate a workforce member's workstation by automatic logoff.
- h. Consider a system's login monitoring and reporting functionality as a factor in The Company's systems purchase decisions for those systems that require it.
- i. Contact the vendors of The Company's systems that lack the functionality to monitor and report logins to request that the functionality be added to the systems and shall document the vendor's response. Such system shall be thoroughly considered in the risk assessment.
- j. Ensure that workforce members receive training and reminders about login monitoring and reporting of discrepancies.

### **C. ORAL DISCLOSURES**

1). *Overview:* There are many circumstances when oral disclosures of health information are made, particularly to the resident. This policy and procedure is about precautions associated with such disclosures

2). *Procedure:*

When members of the workforce talk to residents or their representative in an open area, best efforts should be made so that only the resident or their representative hears the conversation. In practice, this means pulling curtains and/or shutting the door, talking in a low voice, and facing the person to whom you are addressing.

Relative to phone conversations with residents, including appointments, phone conversations should be held in such a manner as to minimize being overheard by other residents.

Accidental disclosures may happen. It is the responsibility of the workforce to mitigate the impact of accidental disclosures.

**Policy Number:** DI 2.2

**Policy Title:** Data Disposition

**Policy Statement/Purpose:** The Company has policies and procedures for the release, disposition, and disposal of data that is compliant with requirements, laws, regulations, and standards of practice.

**Policy Interpretation and Implementation:** Data disposition is a component of The Company Compliance and Ethics Program.

### A. RELEASE OF PROTECTED HEALTH INFORMATION

- 1). *Overview:* The Company receives many requests for PHI. There are letters from attorneys, court orders, requests from health plans, subpoenas, etc., that request a resident's protected health information. The Company has established a policy and procedure for releasing Protected Health Information ("PHI").
- 2). *Implementation:* The release of PHI to anyone but the resident and the health care team (for the purpose of treatment, payment, and healthcare operations) will occur only after executing the following seven-step process:

**Step 1** - *Verify that the person requesting PHI is the person who he/she claims to be.*

**Step 2** - *Verify that the person has the authority to be requesting protected health information. Refer to PP 2.4 C - [Verifying Personal Identity](#) for determining whether a personal representative has the authority.*

**Step 3** - *Verify that the person is requesting the minimum necessary information for the purpose described.*

**Step 4** - *Did the resident sign PP Appendix 2.0.2 H - [Request for Restriction of Use and Disclosure of Protected Health Information Form](#)? Refer to PP 2.0 E - [Securing Consent/Restrictions/Requests](#).*

**Step 5** - *Is a [consent, authorization, or opportunity to agree or object required for the release](#)? The following uses and disclosures may not require consent, authorization, or the opportunity to agree or object:*

- a. Uses and Disclosures Required by Law
- b. Uses and Disclosures for Public Health Activities
- c. Disclosures about victims of abuse, neglect, or domestic violence
- d. Uses and Disclosures for health oversight activities
- e. Disclosures for judicial and administrative proceedings
- f. Disclosures for law enforcement purposes
- g. Uses and Disclosures about decedents
- h. Uses and Disclosures for cadaveric organ, eye, or tissue donation purposes
- i. Uses and Disclosures for research purposes
- j. Uses and Disclosures to avert serious imminent threat to health or safety
- k. Uses and Disclosures for specialized government functions

The Company is not required to obtain an authorization when it uses or discloses protected health information to make a marketing communication to a resident that:

- a. occurs in a face-to-face encounter with the resident;
- b. concerns products or services of nominal value; or
- c. concerns the health-related products and services of The Company or of a third party and the communication meets certain standards (see [Privacy Officer](#)).

If the marketing communication is written, an opt-out provision must be provided.

The Company may use or disclose to a business associate or to an institutionally related foundation, the following protected health information for the purpose of raising funds for its own benefit, without an authorization but must provide an opt-out provision:

- a. Demographic information relating to a resident
- b. Dates of health care provided to a resident

The Privacy Officer, or his or her designee, must sign the use or disclosure if it pertains to the above categories. In addition, The Company may disclose to a family member, other relative, close personal friend of the resident, or any other person identified by the resident, the protected health information directly relevant to such a person’s involvement with the resident’s care or payment related the resident’s care. The Company may use or disclose protected information to notify, or assist in the notification of, a family member, personal representative of the resident, or another person responsible for the care of the resident or resident’s location, general condition, or death.

PHI associated with HIV, pregnancy, sexually transmitted diseases, alcohol and drug abuse, and other chemical dependencies requires an authorization. Refer to PP Appendix 2.0.1 G - [Authorization](#).

PHI for the purpose of treatment, payment, and healthcare operations does not require consent. Refer to PP 2.0 E- [Securing Consent/Restrictions/Requests](#).

**Step 6** - Verify that de-identification is not required.

**Step 7** - Document all nonroutine disclosures, i.e., disclosures that are not related to business associates or requests from other covered entities for the purpose of treatment or for which residents have signed an authorization, with type of disclosure.

## **B. DE-IDENTIFICATION OF PROTECTED HEALTH INFORMATION**

1). *Overview:* The Company may use Protected Health Information (“PHI”) to create information that is not individually identifiable health information or disclose PHI only to a business associate for such purpose, whether or not the de-identified information is to be used by The Company. Use of de-identified information is generally encouraged. De-identified information can be used for marketing purposes, research, and public health studies. The Company has established requirements for de-identified information when PHI needs to be used for other than treatment, payment, or healthcare operation purposes. Uses and disclosure of de-identified information is permitted.

2). *Implementation:* Under the HIPAA Privacy Rule there are two acceptable methods of de-identifying information:

- a. Safe-harbor method



b. Statistical method

Health information that does not identify an individual and with respect to which there is no reasonable basis to believe that the information can be used to identify an individual is not individually identifiable health information and, therefore, is not subject to the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”) protections.

The only accepted method of de-identifying information is the safe-harbor method unless the Privacy Officer approves an exception. Proposed exceptions must show how the specific statistical method will result in de-identified information that has a very small probability of being re-identified.

All disclosures of de-identified protected health information will be logged in the [Disclosure Log](#).

- 3). *De-identification Procedure*: A covered entity may determine that health information is not individually identifiable health information by utilizing either of the following methods:
- a. A person with appropriate knowledge of, and experience with, generally accepted statistical and scientific principles and methods for rendering information not individually identifiable:
    1. Applying such principles and methods determines that the risk is very small that the information could be used, alone or in combination with other reasonably available information, by an anticipated recipient to identify an individual who is a subject of the information
    2. Documents the methods and results of the analysis that justify such determination
  - b. The following identifiers of the individual or of relatives, employers, or household members of the individual, are removed:
    1. Names
    2. All geographic subdivisions smaller than a state, including street address, city, county, precinct, zip code, and their equivalent geocodes (note that the first three (3) digits may be used if it represents more than 20,000 people)
    3. All elements of dates (except year) for dates directly related to an individual, including birth date, admission date, discharge date, date of death, and all ages over 89 and all elements of dates (including year) indicative of such age, except that such ages and elements may be aggregated into a single category of age 90 or older
    4. Telephone numbers
    5. Fax numbers
    6. Electronic mail addresses
    7. Social security numbers
    8. Medical record numbers
    9. Health plan beneficiary numbers
    10. Account numbers
    11. Certificate/license numbers
    12. Vehicle identifiers and serial numbers, including license plate numbers
    13. Device identifiers and serial numbers
    14. Web Universal Resource Locators (URLs)
    15. Internet Protocol (IP) address numbers
    16. Biometric identifiers, including finger and voice prints
    17. Full face photographic images and any comparable images

18. Any other unique identifying number, characteristic, or code
- c. The covered entity does not have actual knowledge that the information could be used alone or in combination with other information to identify an individual who is a subject of the information.

- 4). *Re-identification Procedure:* The Company may assign a code or other means of record identification to allow information de-identified under this section to be re-identified, provided that:
  - a. the code or other means of record identification is not derived from or related to information about the individual and is not otherwise capable of being translated so as to identify the individual; and
  - b. The Company does not use or disclose the code or other means of record identification for any other purpose and does not disclose the mechanism for re-identification.

### **C. ACCEPTABLE METHODS TO RENDER UNSECURED PROTECTED HEALTH INFORMATION UNUSABLE, UNREADABLE, OR INDECIPHERABLE TO UNAUTHORIZED INDIVIDUALS**

- 1). *Overview:* The Information Security Manager in conjunction with the Information Technology Department, will determine lawful compliance acceptable methods to render protected health information unusable, unreadable, or indecipherable to unauthorized individuals. Such methods will involve either protected health information encryption, or destruction of the media on which the protected health information is stored or recorded.
- 2). *Implementation:* Protected health information (PHI) is rendered unusable, unreadable, or indecipherable to unauthorized individuals if one or more of the following applies:
  - a. Electronic PHI has been encrypted as specified in the HIPAA Privacy Program by “the use of an algorithmic process to transform data into a form in which there is a low probability of assigning meaning without use of a confidential process or key and such confidential process or key that might enable decryption has not been breached”. To avoid a breach of the confidential process or key, these decryption tools should be stored on a device or at a location separate from the data they are used to encrypt or decrypt. The encryption processes identified below have been tested by the National Institute of Standards and Technology (NIST) and judged to meet this standard.
    1. Valid encryption processes for data at rest are consistent with NIST Special Publication 800-111, [Guide to Storage Encryption Technologies for End User Devices](#)
    2. Valid encryption processes for data in motion are those which comply, as appropriate, with NIST Special Publications 800-52, [Guidelines for the Selection and Use of Transport Layer Security \(TLS\) Implementations](#); 800-77, [Guide to IPsec VPNs](#); or 800-113, [Guide to SSL VPNs](#), or others which are Federal Information Processing Standards (FIPS) 140-2 validated
  - b. The media on which the PHI is stored or recorded has been destroyed in one of the following ways:
    1. Paper, film, or other hard copy media have been shredded or destroyed such that the PHI cannot be read or otherwise cannot be reconstructed. Redaction is specifically excluded as a means of data destruction

2. Electronic media have been cleared, purged, or destroyed consistent with NIST Special Publication 800-88, [Guidelines for Media Sanitization](#) such that the PHI cannot be retrieved

#### **D. ACCOUNTING OF DISCLOSURES OF PROTECTED HEALTH INFORMATION**

- 1). *Overview:* Residents have the right to receive an accounting of disclosures of their PHI made by The Company in the six (6) years prior to the date on which the accounting is requested. The Company has established policy and procedure for tracking Protected Health Information (“PHI”) disclosures.
- 2). *Implementation:* The Company does not have to track and account for the following disclosures:
  - a. Disclosures to carry out treatment, payment, or healthcare operations
  - b. Disclosures to the resident about him/herself
  - c. Disclosures to the resident’s personal representative
  - d. Disclosures to individuals involved in the resident’s treatment or care
  - e. Disclosures made pursuant to a valid authorization
  - f. Use in The Company’s directory
  - g. Disclosures for national security or intelligence purposes
  - h. Disclosures to correctional institutions or law enforcement
  - i. Use as part of a limited data set
  - j. Other incidental uses or disclosures permitted or required by applicable laws, rules, and regulations

Residents have the right to receive an accounting of disclosures of their PHI made by The Company in the six (6) years prior to the date on which the accounting is requested.

**Policy Number:** DI 2.3

**Policy Title:** [Workforce Data Management](#)

**Policy Statement/Purpose:** The Company adheres to rules, regulations, and standards to protect the employee and The Company from data exposure risks, virus attacks, compromise of network systems and services, and legal issues.

**Policy Interpretation and Implementation:** Workforce data management policies apply to employees, contractors, consultants, temporaries, and other workers at The Company, including all personnel affiliated with third parties. This policy applies to all equipment that is owned or leased by The Company.

#### A. ACCEPTABLE USE

- 1). *Overview:* The Company's intentions for publishing an Acceptable Use Policy are not to impose restrictions that are contrary to The Company's established culture of openness, trust, and integrity. The Company is committed to protecting its workforce members and The Company from illegal or damaging actions by individuals, either knowingly or unknowingly.

Internet/Intranet/Extranet-related systems, including but not limited to computer equipment, software, operating systems, storage media, network accounts providing electronic mail, and World Wide Web browsing are the property of The Company. These systems are to be used for business purposes in serving the interests of The Company and our residents during normal operations. Please review Human Resources policies for further details, including [WM 2.5 Employment Conduct and Behavior](#).

Effective privacy and security is a team effort involving the participation and support of every workforce member who deals with information and/or information systems. It is the responsibility of every computer user to know these guidelines and to conduct their activities accordingly.

The purpose of this policy is to outline the acceptable use of computer equipment at The Company. These rules are in place to protect the workforce member, resident, and The Company. Inappropriate use exposes The Company to risks including virus attacks, compromise of network systems and services, and legal issues.

- 2). *Computer Security Training Procedures:* Everyone who plans, designs, and implements networks or applications is required to be trained in computer security procedures. For the existing members of the workforce, training must be conducted on an annual basis. For a new member of the workforce, training must be completed thirty (30) days after the person joins the workforce. For existing members of the workforce whose functions have changed, training must be completed within thirty (30) days of the function changes. Establishment of security training will be the responsibility of the Information Security Manager. Reference WM 2.4 [Orientation and Training](#) and WM 2.4 Section G, [Security Awareness Training](#)

- 3). *General Use and Ownership:* While The Company desires to provide a reasonable level of privacy, users should be aware that the data they create on the corporate systems remains the property of The Company.
- 4). *Security and Proprietary Information:* Encryption of information will be determined and directed by The Company.

## **B. PASSWORD STANDARDS**

- 1). *Overview:* The Company policy is to establish a standard for creation of strong passwords, the use and ownership of those passwords, the protection of those passwords, and the frequency that those passwords must be changed.

Passwords are an important component of computer security, and oftentimes they serve as the only way to authenticate a user. Lax password procedures can compromise The Company's entire information systems environment.

To the extent possible, The Company will only deploy systems, applications, devices, and equipment that store passwords in an encrypted format and support strong passwords.

It is important to remember that all passwords are the property of The Company and must be given to the Information Security Manager upon request.

- 2). *Key Points:*
  - a. Authorized Users are required to use strong passwords to reduce the likelihood of a password being cracked by hackers or unauthorized users. There will be consequences for violators of this policy.
  - b. **KEEP ALL PASSWORDS CONFIDENTIAL.** Authorized users are responsible for the security of their passwords and accounts.
  - c. **DO NOT** reveal your password to anyone. Shared accounts are **NOT** allowed or authorized. If anyone does not have an account, they are **NOT AUTHORIZED** to use The Company network or any of its resources.
  - d. **DO** change your password immediately should you suspect that your password security has been compromised and **NOTIFY** The Company's Information Security Manager **IMMEDIATELY**.
  - e. System level passwords should be changed in accordance with The Company's policy.
- 3). *Scope:* This policy applies to all workforce members who have or are responsible for a systems account (or any form of access that supports or requires a password) on any system, application, device, or other equipment that:
  - a. Resides at any company
  - b. Is hosted by an application service provider
  - c. Has access to The Company network
  - d. Stores any nonpublic Company information

- 4). *Implementation:* It is required to use strong passwords to reduce the likelihood that your password can be broken. There are several ways hackers can crack network passwords.
- a. Brute Force Attack: A brute force attack attempts to crack the passwords by trying every possible combination of characters against the password until a match is found.
  - b. Dictionary Attack: Instead of trying every possible combination of characters, a dictionary attack uses entries in a dictionary or word list. This dramatically reduces the computing time required to crack a password. A dictionary attack can reduce the number of character combinations from trillions to thousands.
    1. An English dictionary contains approximately 200,000 words
    2. Publicly available word lists include 250,000 to 2.6 million words
    3. If your password resides on one of these lists, a dictionary attack can find a match within *seconds*
- 5). *Password Guidelines:* All system-level passwords (e.g., root, enable, admin, application administration accounts, etc.) must be changed \_\_\_\_\_ [RECOMMENDATION: monthly]. Whenever the system or the application supports it, this change must be prompted by the system or application itself, on an automated basis.
- a. All user-level passwords (e.g., email, web, desktop computer, etc.) must be changed \_\_\_\_\_ [RECOMMENDATION: quarterly].
  - b. Re-use of passwords will not be allowed. Users must not use the same password for gaining access to informational Web sites as they do for gaining access to Company systems or applications.
  - c. Passwords must not be inserted into email messages or other forms of electronic communication.
  - d. All system-level and user-level passwords must conform to the guidelines described below.
  - e. Default administration-level passwords that come with systems, applications, or devices must be changed immediately.
  - f. Passwords must never be written down or stored online.
  - g. Passwords must not be revealed to anyone, including family members and coworkers.
  - h. DO create a password with a minimum length of 8 characters.
  - i. DO use a password that contains alphanumeric characters and punctuation.
  - j. Illegal punctuation characters include:
    1. Comma (,)
    2. Colon (:)
    3. Semi-colon (;)
    4. Forward Slash (/)
    5. Back Slash (\)
    6. Question Mark (?)
    7. Asterisk (\*)
    8. Tilde (~)
  - k. DO use a password that can be typed quickly, without having to look at the keyboard. This makes it harder for someone to steal your password by looking at your keyboard (also known as “shoulder surfing”).

1. Counting keystrokes as you type in your password can save a hacker a lot of time when running particular password cracking attacks
- l. DO NOT use a network login ID in any form (reversed, capitalized, etc.) as a password.
- m. DO NOT use your first, middle, or last name in any form. Do not use your initials or any nicknames you may have.
- n. DO NOT use a word contained in English or foreign dictionaries, spelling lists, or other word lists.
  1. Passwords contained in these lists can be cracked in several seconds, regardless of their length.
- o. DO NOT use reverse words.
- p. DO NOT use other information easily obtained about you. This includes pet names, friends' or relatives' names, license plate numbers, telephone numbers, identification numbers, the brand of your automobile, the name of the street you live on, employee information, dates, and so on. Such passwords are very easily guessed by someone who knows the user.
- q. DO NOT use a password of all numbers, or a password composed of all alphabetic characters. DO mix numbers, letters, and punctuation.
  1. For example, choose two real words of five characters or more and tie them together (concatenate them) with a punctuation mark between the words, such as:
    - house#cherry
    - feeder&animal
    - jester%engine
    - comedy\$penny
    - whistle?airport
- r. Choose a line from a poem or song. Compose a password from the first letter of each word in the line.
  1. "I'm dreaming of a white Christmas" becomes "idoawc"
  2. "Raindrops keep falling on my head" becomes "rdkfomh"
- s. Alternate between one consonant and one or two vowels, up to eight characters, to create non-sense words that are easily remembered because they are pronounceable, such as:
  1. booptaal
  2. vatguud
  3. meekrix
- t. DO NOT write a password on sticky notes, desk blotters, calendars, or store it online where it can be accessed by others.
- u. DO NOT reveal a password to anyone. A large percentage of network attacks originate from within the organization.
- v. DO NOT use shared accounts. Accountability for group access is extremely difficult.
- w. DO NOT use a keyboard pattern such as qwertyui or oeuidhtn (look at a Dvorak keyboard).
- x. DO NOT repeat any character more than once in a row like zzzzzzzz.
- y. Do not use all punctuation, all digit, or all alphabetic.
- z. If someone demands access to a password, you must refer him or her to the Information Security Manager.

If you feel that an account or password has been compromised, report the incident to the Information Security Manager and change all passwords.

Workforce members' adherence to this policy will be monitored, and periodic random testing of passwords may be performed by the Information Security Manager or his or her delegates. If a password is guessed or cracked during one of these tests, the user will be required to change it and the disciplinary policy may apply.

- 6). *Application Development Standards:* With respect to applications developed for The Company, it must be assured that such applications and related programs contain the following security features:
- a. Authenticates individual users, not groups
  - b. Stores passwords in an encrypted form
  - c. Supports role management, such that one user can take over the functions of another without having to know the other's password

**Figure 1 Possible Passwords**

Password Length	Letters Only (non-case sensitive) (26)	Letters and Numbers (36)	Letters, Numbers, & Punctuation** (60)
1	26	36	60
2	650	1,260	3,540
3	15,600	42,840	205,320
4	358,800	1,413,720	11,703,240
5	7,893,600	45,239,040	655,381,440
6	165,765,600	1,402,410,240	36,045,979,200
7	3,315,312,000	42,072,307,200	1,946,482,876,800
8	62,990,928,000	1,220,096,908,800	103,163,592,470,400
9	1,133,836,704,000	34,162,713,446,400	5,364,506,808,460,800
10	19,275,223,968,000	922,393,263,052,800	273,589,847,231,501,000
11	308,403,583,488,000	23,982,224,839,372,800	13,679,492,361,575,000,000
12	4,626,053,752,320,000	599,555,620,984,320,000	670,295,125,717,177,000,000

**Figure 2 Time Required to Check All Possible Passwords\***

Password Length	Letters Only (non-case sensitive) (26)	Letters and Numbers (36)	Letters, Numbers, & Punctuation** (60)
1	Under 1 second	Under 1 second	Under 1 second
2	Under 1 second	Under 1 second	Under 1 second
3	Under 1 second	Under 1 second	Under 1 second
4	Under 1 second	1 second	12 seconds
5	8 seconds	45 seconds	11 minutes
6	3 minutes	23 minutes	10 Hours
7	55 minutes	12 hours	23 days
8	17.5 hours	14 Days	3.25 years
9	13 days	395 days	170 years
10	214 days	29 years	8,675 years
11	10 years	760 years	433,733 years
12	147 years	19,000 years	21,250,000 years



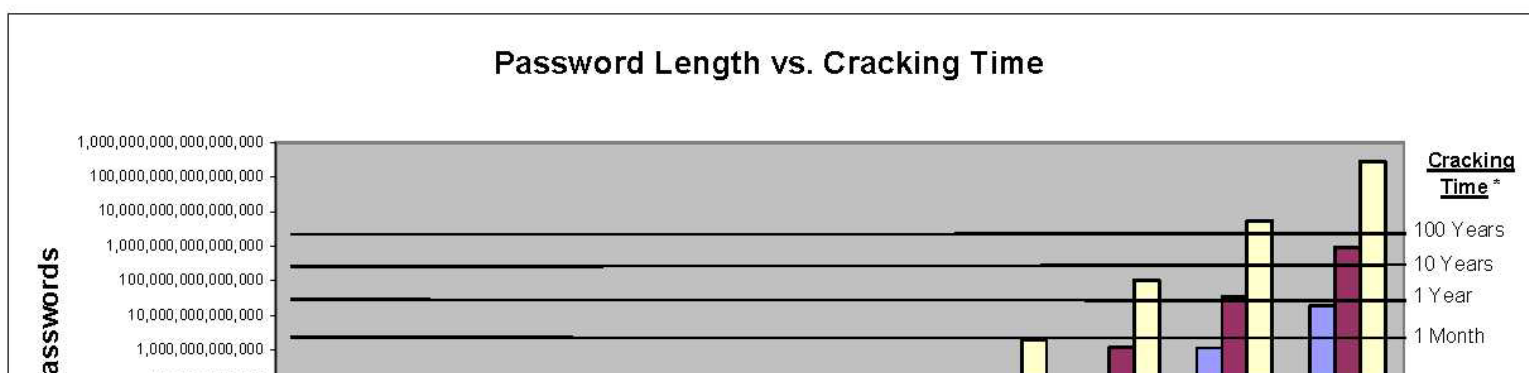
\*Assuming ~1,000,000 attempts per second (conservative estimate for a 1GHz PC). This table represents passwords which are not contained in a dictionary or word list (all possible passwords in a word list can be checked in under 2 seconds).

\*\* Punctuation excludes characters listed under Password Guidelines #3. Total characters in this classification is 60.

**Figure 3 Password Examples**

Password	Time to Break P/W	Reason
Sally	Less than 1 second	This password is contained in word lists. Names are also easily guessed by someone who knows the person.
yatguud	About 1 hour	This is a 7-character password which is not contained in a word list.
booptaal	About 17 hours	This is an 8-character password which is not contained in a word list.
Telephone	Less than 1 second	This word is contained in a dictionary.
rdkfomyh	About 17 hours	This is an 8-character password which is not contained in a word list.
Gracias	Less than 1 second	This word is contained in a foreign language dictionary.
qwertyui	1 second	This common sequence is based on the keyboard layout and is contained in word lists. It is also easy to break by watching the user type.
house#cherry whistle\$airport comedy\$penny	Thousands of years	These are long passwords that contain punctuation. They are not included in word lists.
SaltLakeCity	1 second	This password is included in a word list.
elbat	1 second	Reverse words can be broken as quickly as regular words.

**Figure 4 Password Length vs. Cracking Time**



## C. WORKSTATION USE

- 1). *Overview:* It is the policy of The Company to implement acceptable workstation use procedures that ensure the security of electronic protected health information. To ensure that The Company minimizes the risk of unauthorized access to or disclosure of electronic protected health information, and to prevent the compromise of The Company's desktop, workstation, and notebook computers that are used to create, store, access, receive, or transmit electronic protected health information.

Since most workstations have access to protected health information, there are policies and procedures that must be followed by all workstation users. For security purposes it is important that there be documented instructions on the proper use of the workstation.

The Information Security Manager will administer the Workstation Use Policy.

Workstations, in this context, include desktop, workstation, and notebook computers.

- 2). *Acceptable workstation use:*
  - a. Everyone using a workstation must be able to show evidence that they are a member of the workforce. Non-workforce members are not normally permitted to use The Company's workstations. There may be exceptions to this policy which will require approval by the Information Security Manager.
  - b. Under no circumstances should workstations be shared with nonemployees.
  - c. All workstations must be placed so that nonemployees cannot view the screen content.
  - d. All Authorized Users must log in with their own unique account identification and it is prohibited to share account identification. Each Authorized User is responsible for the security of their account information.
  - e. Passwords must never be written down or stored online.
  - f. Prior authorization from The Company for moving workstations is needed to maintain physical security of the workstations.
- 3). *Notebook and Tablet Computer Security:*
  - a. DO NOT permanently store protected health information on a notebook or tablet computer's hard drive.
  - b. Limit the use of notebook and tablet computers to business uses.
  - c. DO NOT let any unauthorized person use the notebook or tablet computer.
  - d. DO NOT leave the notebook or tablet computer unattended unless secured.
  - e. Safeguard notebook and tablet computers at all times, especially while off-site.
  - f. DO NOT leave notebook or tablet computers in cars for extended periods of time.
  - g. DO NOT log into any service or website unless authorized to do so.
  - h. DO NOT download any unauthorized software onto notebook or tablet computers.
  - i. Employees using handheld notebook or tablet computers should return the computers at the end of their shift.
  - j. Immediately report all security breaches to the Information Security Manager.

- 4). *Unacceptable workstation use*: The following activities are, in general, prohibited. Employees may be exempted from these restrictions during the course of their legitimate job responsibilities (e.g., The Company staff may have a need to disable the network access of a host if that host is disrupting production services). The lists below are not exhaustive but attempt to provide a framework for activities which fall into the category of unacceptable use.
- a. System and Network Activities - The following activities are strictly prohibited, with no exceptions:
    1. Violations of the rights of any person or company protected by copyright, trade secret, patent or other intellectual property, or similar laws or regulations, including, but not limited to, the installation or distribution of “pirated” or other software products that are not appropriately licensed for use by The Company
    2. Unauthorized copying of copyrighted material including, but not limited to, digitization and distribution of photographs from magazines, books or other copyrighted sources, copyrighted music, and the installation of any copyrighted software for which The Company or the end user does not have an active license is strictly prohibited
    3. Exporting software, technical information, encryption software, or technology, in violation of international or regional export control laws is illegal. The appropriate management should be consulted prior to export of any material that is in question
    4. Introduction of malicious programs into the network or server (e.g., viruses, worms, Trojan horses, email bombs, etc.)
    5. Revealing your account password to others or allowing use of your account by others, including family and other household members when work is done at home
    6. Using a Company computing asset to actively engage in procuring or transmitting material that is in violation of sexual harassment or hostile workplace laws
    7. Making fraudulent offers of products, items, or services originating from any Company account
    8. Making statements about warranty, expressly or implied, unless it is a part of normal job duties
    9. Executing any form of network monitoring which will intercept data not intended for the employee’s host, unless this activity is a part of the employee’s normal job/duty
    10. Circumventing user authentication or security of any host, network, or account
    11. Providing information about, or lists of, The Company workforce members to parties outside The Company
  - b. Email and Communications Activities
    1. Sending unsolicited email messages, including the sending of “junk mail” or other advertising material to individuals who did not specifically request such material (email spam)
    2. Any form of harassment via email, telephone, or paging, whether through language, frequency, or size of messages
    3. Unauthorized use, or forging, of email header information
    4. Solicitation of email for any other email address, other than that of the poster’s account, with the intent to harass or to collect replies
    5. Creating or forwarding “chain letters”, “Ponzi”, or other “pyramid” schemes of any type
    6. Use of unsolicited email originating from within The Company’s networks of other Internet/Intranet/Extranet service providers on behalf of, or to advertise, any service hosted by The Company or connected via The Company’s network

In addition, workforce members must use extreme caution and proper judgment when opening email attachments received from unknown senders, which may contain viruses, email bombs, ransomware, or Trojan horse code.

- 5). *System precautions:*
  - a. All users will be automatically logged off the system if they leave the system for \_\_\_ minutes. The Information Security Manager will determine what time frame is reasonable for each system based upon a risk assessment and will notify workforce members.
  - b. Users must not load unauthorized software onto any of The Company's desktop, workstation, or notebook computers without express permission of the Information Security Manager.
  - c. Users will not store electronic protected health information on a local hard drive without the express permission of the Information Security Manager.
  - d. Users will store electronic protected health information on a network drive whenever one is available, or as directed by the Information Security Manager.
  - e. In the event the Information Security Manager permits electronic protected health information on a local hard drive, users will back up all electronic protected health information stored on their local hard drive in accordance with The Company's Data Backup Policy.
  - f. Users will use Company desktops, workstation, or notebook computers for business only to perform the user's job junction.
  - g. Users will not use The Company's desktop, workstation, or notebook computers for personal gain.
  - h. Users will not use The Company's desktop, workstation, or notebook computers to access electronic protected health information for which they are not authorized.
- 6). *Workstation Use Awareness Training:* Acceptable and unacceptable workstation use will be a key element in the awareness and training program for all new and existing users. Reference policy WM 2.4 [Orientation and Training](#).
- 7). *Enforcement:* Any workforce member found to have violated this policy may be subject to disciplinary action, up to and including termination of employment or workforce relationship. Reference WM 2.9 [Disciplinary Standards](#)

#### **D. WORKSTATION SECURITY**

- 1). *Overview:* The Company ensures the minimization of risk of unauthorized access to or disclosure of electronic protected health information, and to prevent the compromise in any way of The Company's desktop, workstation, and notebook computers that are used to create, store, access, receive, or transmit electronic protected health information.

The Company implements procedures that ensure the security of electronic protected health information by controlling access to desktop, workstation, and notebook computers; ensuring that desktop, workstation, and notebook operating systems allow for secure log-in; and allowing for a secure unattended mode (automatic logoff or secure screensaver). The Company ensures that desktop, workstation, and notebook computers are protected from threats (e.g., malware, flood damage, fire, power surges), are patched appropriately, and are configured to minimize the unauthorized disclosure of electronic protected health information and the installation of unauthorized software.

This policy applies regardless of the location of the desktop, workstation, and notebook computers (e.g.; on or off-site).

2). *The [Information Security Manager](#) will:*

- a. Administer the Workstation Security policy in accordance with The Company's risk assessment.
- b. Maintain an inventory that documents the location, status, responsible user, configuration, and other security attributes of each desktop, workstation, and notebook computer, including all changes made to bring the unit into compliance with this Policy.
- c. Assess the physical placement of all desktop, workstation, and notebook computers to ensure that:
  1. They are placed such that damage from flood, fire, and other hazards is minimized
  2. They are physically secured if they store electronic protected health information on their hard drives
  3. They are situated such that casual observance of electronic protected health information on their screens/monitors is minimized
  4. They are connected to an uninterruptible power supply (UPS)
- d. Assess the desktop, workstation, and notebook computers to ensure that they are running an operating system that allows for:
  1. Secure login
  2. Automatic logoff or secure screensaver
  3. Encryption where required by the risk assessment
  4. They have had all non-essential devices removed or disabled
  5. They have had all necessary operating system patches, updates, and service packs applied
  6. They are running appropriate anti-virus and anti-spyware software
  7. They are free from all forms of malware
  8. No unauthorized software is installed on them
  9. No electronic protected health information is stored on them if a network drive is available and the Information Security Manager has issues and exceptions
  10. Any electronic protected health information that is stored on them is backed up in accordance with The Company's Backup Policy
  11. Any electronic protected health information that is stored on them is encrypted in accordance with The Company's Encryption Policy
  12. Other measures as determined by the risk assessment
- e. Review desktop, workstation, and notebook computer system's activity logs and audit trails to ensure compliance with the Workstation Security Policy.

3). *Implementation:*

- a. In situations where electronic protected health information resides on local hard drives, those drives must be backed up in accordance with The Company's Backup Policy.
- b. Desktops, workstations, and notebooks that are not owned by The Company will not be used to create access, receive, store, or transmit electronic protected health information, and will not be placed on The Company's network for any purpose.
- c. Everyone using a computer workstation must be able to show evidence that they are a member of the workforce. No others are normally permitted to use The Company's workstations. There

may be exceptions to this policy which will require approval by the Information Security Manager.

- d. Except for intake or admissions, workstations are not to be shared with residents.
  - e. Except for intake and admissions where workstations may be shared with residents, workstations must be placed so that residents cannot view the screen.
  - f. All workstation software must be configured so that all users will be required to log onto and off of the network, desktops, and applications.
  - g. All users must log in with their own unique account identification, and it is prohibited to share account identification.
  - h. Only users with special privileges will be allowed to write information to a disk that can then be taken from the workstation. This does not include writing to fixed disks that cannot be easily taken from the workstation.
  - i. Members of the workforce are not to make any configuration changes to the workstation. This is the responsibility of the Information Technology Department. Exceptions to this policy require the approval of the Information Security Manager.
  - j. Disposal of the workstation is to be performed by the Information Technology Department.
  - k. An automatic logout will occur after no activity is detected coming from the station for a period of \_\_\_\_ minutes. Everyone is encouraged to logout instead of having the timeout log them off the system.
  - l. Notes recording passwords are not to be posted on the workstation or visible anywhere around the workstation.
  - m. Antivirus software will be used to minimize, if not eliminate, the likelihood of viruses infecting the workstation.
    1. Workstations, in this context, include PCs, terminals, image terminals, and what are usually considered workstations.
  - n. The Information Technology Department will provide a documented method for performing login/logoff procedures in a secure manner.
  - o. Prior authorization from IT Department for moving workstations is needed in order to maintain physical security of the workstations.
- 4) [Awareness training](#)- Proper workstation security will be a topic in the awareness and training program including but not limited to:
- a. Limiting the use of notebook computers to business uses.
  - b. Not letting any unauthorized person use the notebook computer.
  - c. Not leaving a notebook computer unattended unless secured.
  - d. Safeguarding notebook computers at all times, especially while off-site.
  - e. Not leaving notebook computers in cars for extended periods of time.
  - f. Not logging into any service or website unless authorized to do so.
  - g. Not downloading any unauthorized software onto notebook computers.
  - h. Returning handheld notebook computers at the end of a workforce member's shift.
  - i. Immediately reporting all security breaches to the Information Security Manager

## E. SERVER SECURITY

- 1). *Overview:* The Company establishes standards for the base configuration of internal server equipment that is owned and/or operated by The Company to minimize unauthorized access to proprietary information and technology.

This policy applies to server equipment owned and/or operated by The Company, and to servers registered under any Company-owned internal network domain.

This policy is specifically for equipment on the internal Company network. For secure configuration of equipment external to The Company network (DMZ or perimeter network) refer to the Information Security Manager.

The IT Department is responsible for all IT system administration. Approved server configuration guides must be established and maintained based on business needs and approved by the Information Security Manager. The IT Department should monitor configuration compliance and implement an exception policy, as well as establish a process for changing the configuration guides, which includes review and approval by the Information Security Manager.

2). *Implementation:*

- a. Servers must be registered and kept up to date within the IT Department. At a minimum, the following information is required to positively identify the point of contact:
  1. Server contact(s) and location, and a backup contact
  2. Hardware and Operating System/Version
  3. Main functions and applications, if applicable
- b. Configuration changes for production servers must follow appropriate change procedures.
- c. All security-related events on critical or sensitive systems must be logged and audit trails saved as follows:
  1. Security-related events will be reported to the Information Security Manager, who will review logs and report incidents to the Information Technology Department. Corrective measures will be prescribed as needed
  2. Audits will be performed on a regular basis by, or under the direction of, the IT Department and Information Security Manager.

**Policy Number:** DI 2.4

**Policy Title:** Wireless Communication

**Policy Statement/Purpose:** The Company prohibits access to Company networks via unsecured wireless communication mechanisms. Only wireless systems that meet the criteria of the Wireless Communication policy or have been granted an exclusive waiver by the Information Security Manager, are approved for connectivity to The Company's networks.

**Policy Interpretation and Implementation:** This policy covers all wireless data communication devices (e.g., personal computers, cellular phones, PDAs, smart technology, etc.) connected to any of The Company's internal networks. This includes any form of wireless communication device capable of transmitting packet data. Wireless devices and/or networks without any connectivity to The Company's networks do not fall under the purview of this policy.

To comply with this policy, wireless implementations must be approved by Information Security Manager and Information Technology Department.

#### **A. VIRTUAL PRIVATE NETWORK (VPN)**

- 1). *Overview:* The Company provides guidelines for Remote Access IPsec or L2TP Virtual Private Network (VPN) connections to The Company's corporate network.
- 2). *Scope:* This policy applies to all Company employees, contractors, consultants, temporaries, and other workers, including all personnel affiliated with third parties utilizing VPNs to access The Company's network. This policy applies to implementations of VPN that are directed through an IPsec Concentrator.
- 3). *Implementation:*
  - a. Approved Company employees and authorized third parties (customers, vendors, etc.) may utilize the benefits of VPNs, which are a "user managed" service. This means that the user is responsible for selecting an Internet Service Provider (ISP), coordinating installation, installing any required software, and paying associated fees.
  - b. It is the responsibility of employees with VPN privileges to ensure that unauthorized users are not allowed access to Company internal networks.
  - c. VPN use is to be controlled using either a one-time password authentication such as a token device, or a public/private key system with a strong passphrase.
  - d. When actively connected to the corporate network, VPNs will force all traffic to and from the PC over the VPN tunnel: all other traffic will be dropped.
  - e. Dual (split) tunneling is NOT permitted; only one network connection is allowed.
  - f. VPN gateways will be set up and managed by The Company network operational groups.
  - g. All computers connected to The Company's internal networks via VPN or any other technology must use the most up-to-date anti-virus software that is the corporate standard; this includes personal computers.



- h. VPN users will be automatically disconnected from The Company's network after thirty minutes of inactivity. The user must then logon again to reconnect to the network. Pings or other artificial network processes are not to be used to keep the connection open.
  - i. The VPN concentrator is limited to an absolute connection time of 24 hours.
  - j. Users of computers that are not Company-owned equipment must configure the equipment to comply with The Company's VPN and Network policies.
  - k. Only Information Security Manager-approved VPN clients may be used.
  - l. By using VPN technology with personal equipment, users must understand that their machines are a de facto extension of The Company's network, and as such are subject to the same rules and regulations that apply to Company-owned equipment, i.e., their machines must be configured to comply with The Company's Security Policies.
- 4). *Enforcement:* Any employee found to have violated this policy may be subject to [disciplinary action](#), up to and including termination of employment.

**Policy Number:** DI 3.0

**Policy Title:** Privacy and Information Security Compliance Evaluation

**Policy Statement/Purpose:** To ensure that The Company complies with applicable laws regarding compliance evaluation.

**Policy Interpretation and Implementation:** The Company will review all Health Insurance Portability and Accountability Act of 1996 (“HIPAA”) and Health Information Technology for Economic and Clinical Health Act (“HITECH”) policies and procedures for technical and non-technical viability, effectiveness, and compliance on an annual basis, or more frequently as per the Privacy and Security Managers. Additionally, The Company will evaluate its overall compliance plan on an annual basis.

**Procedure:**

1. The Privacy and Security Managers will schedule periodic reviews of The Company’s policies and procedures based upon:
  - a. Changes in the Privacy and Security regulations
  - b. New federal, state, or local laws and regulations affecting privacy and security
  - c. Changes in The Company’s information technology environment
  - d. Changes in The Company’s business processes with respect to information technology
  - e. A significant security incident occurs
2. Perform a formal audit on an annual basis.
3. Perform comprehensive reviews by interviewing, among others, workforce members to obtain feedback, comments, and other input regarding the policies and procedures.
4. Perform reviews taking into consideration the following:
  - a. The number of security incidents that have occurred at The Company
  - b. The number of workforce member sanctions applied
  - c. The number of security incidents that have occurred at business associates
  - d. The results of the annual audit
5. Develop and recommend changes to policies and procedures. The following steps must be followed as part of this process:
  - a. All recommended policy and procedure changes will be communicated to the facility Administrator for final approval.
  - b. Upon approval, all changes will be communicated to the workforce members via privacy and security reminders.
6. [Requests for amendments](#) - Upon approval, all changes will be reflected in the policies and procedures.

**APPENDIX**  
**6. DATA INTEGRITY (DI)**  
**TOOLS AND FORMS**

**Appendix DI 1 A**  
**APPOINTMENT OF AN INFORMATION SECURITY MANAGER**

WHEREAS, the Board of Directors of The Company, having acknowledged its legal responsibility to comply with the Health Insurance Portability and Accountability Act of 1996 and the regulations promulgated thereto, and to develop and implement an effective Security Compliance Program; and

WHEREAS, the Security Compliance Program requires the appointment of an Information Security Manager; and

WHEREAS, the Board, having great confidence in the integrity, experience, and judgment of \_\_\_\_\_;

NOW, THEREFORE, BE IT

RESOLVED, that the Board does hereby appoint \_\_\_\_\_ to be the Information Security Manager of The Company, beginning on \_\_\_\_\_; and

BE IT FURTHER RESOLVED, that the Board authorizes the Administrator to name an interim Information Security Manager should the Board-appointed Information Security Manager resign, become disabled, or otherwise be unable to perform the duties. The Administrator will, if reasonably able to do so, consult with the Board prior to the appointment of a replacement. Said interim appointment will be until the next regularly scheduled Board meeting unless otherwise directed by a vote of the Board; and

BE IT FURTHER RESOLVED, that the Information Security Manager will vigorously carry out the duties as set forth in The Company's Security Compliance Program and that all employees of The Company will be informed of the importance of adherence to the Security Compliance Program and the importance of their cooperation with the Information Security Manager.

Adopted: \_\_\_\_\_

\_\_\_\_\_  
Signature

**Appendix DI 1 B**

**IDENTITY THEFT PREVENTION PROGRAM BOARD RESOLUTION**

**Appendix DI 2.2 A**  
**DISCLOSURE LOG**

\_\_\_\_\_  
Resident's Name

\_\_\_\_\_  
Person Who Approved Disclosure

\_\_\_\_\_  
Date of Disclosure

Brief description of the type of information that is being disclosed:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Has the information been de-identified?  Yes  No

How has the PHI been de-identified? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Purpose for which the information is being disclosed:

- Attach copy of the resident's written authorization for this disclosure
- Attach copy of written request for a disclosure by the Department of Health and Human Services or other agency pursuant to its oversight activities
- Documentation that supports a disclosure permitted under the Privacy Rule for which prior consent of the individual is not required

\_\_\_\_\_  
\_\_\_\_\_

Who is receiving the disclosure?

\_\_\_\_\_  
Person

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization

\_\_\_\_\_  
Address

\_\_\_\_\_  
Comments:

\_\_\_\_\_

**Appendix DI 2.2 B  
DISPOSAL OF BACKUP TAPE LOG**

**LOG START DATE:** \_\_\_\_\_ **PAGE** \_\_\_\_\_

Name of Tape:	Destroyed By:	Date of Disposal:	Certificate of Destruction:
			<input type="checkbox"/> Attached Reference No: _____
			<input type="checkbox"/> Attached Reference No: _____
			<input type="checkbox"/> Attached Reference No: _____
			<input type="checkbox"/> Attached Reference No: _____
			<input type="checkbox"/> Attached Reference No: _____
			<input type="checkbox"/> Attached Reference No: _____
			<input type="checkbox"/> Attached Reference No: _____
			<input type="checkbox"/> Attached Reference No: _____
			<input type="checkbox"/> Attached Reference No: _____
			<input type="checkbox"/> Attached Reference No: _____
			<input type="checkbox"/> Attached Reference No: _____

**Appendix DI 2.2 C  
DISPOSAL OF COMPUTER SYSTEMS LOG**

**LOG START DATE:** \_\_\_\_\_ **PAGE** \_\_\_\_\_

<b>Description (System Serial Number)</b>	<b>Purged By:</b>	<b>Utility Used:</b>	<b>Date of Purging:</b>



**Appendix DI 2.3 A**  
**ACKNOWLEDGEMENT OF ACCEPTABLE USE POLICY**

I hereby acknowledge by my signature that I have received a copy of and have been trained on The Company's Acceptable Use Policy with regards to compliance with our HIPAA Privacy Program. I hereby agree to abide by its requirements and understand that adherence to this policy is a condition of employment or workforce relationship.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

## **7. RESIDENT RIGHTS AND ELDER JUSTICE (RR)**

**7. RESIDENT RIGHTS AND FREEDOM FROM ABUSE, NEGLECT AND EXPLOITATION (RR)**

<b>Policy Number</b>	<b>POLICY</b>
RR 1.0	<a href="#"><u>RESIDENTS' RIGHTS</u></a>
RR.1.1	<a href="#"><u>FREEDOM FROM ABUSE NEGLECT AND EXPLOITATION</u></a>
<b>APPENDIX</b>	<b>Appendices, Tools, and Forms</b>
Appendix RR 1.1 A	<a href="#"><u>RESIDENT'S RIGHTS POSTER</u></a>

**Policy Number:** RR 1.0

**Policy Title:** Resident Rights

**Policy Statement/Purpose:** It is the policy of The Company that all residents have the right to a dignified existence, self-determination, and communication with and access to people and services both inside and outside The Company consistent with applicable law, regulation (§483.10), policy, and procedure. All Company employees shall treat each resident with kindness, respect, and dignity. The policy is applicable to all Company employees, any and all directors, officers, medical staff, independent contractors, consultants, and others working for The Company.

**Policy Interpretation and Implementation:**

1). *Procedure:*

1. A copy of The Company’s statement of residents’ rights shall be given to each new employee when they are hired.
2. Copies of the statement of residents’ rights shall be posted within each Facility. (§483.10)
3. Company personnel shall make every effort to assist residents in exercising their rights.
4. All organizational policies and procedures concerning resident rights must be consistent with Law and Regulation. These policies and procedure shall be reviewed, at least, annually and updated as required by Law and Regulation.
5. All residents and staff will be oriented to resident rights according to the Requirements of Participation (§483.10).
6. All staff will be trained annually on organizational policies and procedures related to resident rights
7. An auditing and monitoring program will be designed, and results reported to the QAA/QAPI committee for action and follow up.

2). Residents’ Rights per (§483.10):

Tag #	SQC Tag? X = Yes	Tag Title	CFR	Regulatory Groupings
F550	X	Resident Rights/Exercise of Rights	483.10(a)(1)(2)(b)(1)(2)	483.10 Resident Rights
F551		Rights Exercised by Representative	483.10(b)(3)-(7)(i)-(iii)	483.10 Resident Rights
F552		Right to be Informed/Make Treatment Decisions	483.10(c)(1)(4)(5)	483.10 Resident Rights
F553		Right to Participate in Planning Care	483.10(c)(2)(3)	483.10 Resident Rights
F554		Resident Self-Admin Meds-Clinically Appropriate	483.10(c)(7)	483.10 Resident Rights
F555		Right to Choose/Be Informed of Attending Physician	483.10(d)(1)-(5)	483.10 Resident Rights
F557		Respect, Dignity/Right to have Personal Property	483.10(e)(2)	483.10 Resident Rights

Tag #	SQC Tag? X = Yes	Tag Title	CFR	Regulatory Groupings
F558	X	Reasonable Accommodations of Needs/Preferences	483.10(e)(3)	483.10 Resident Rights
F559	X	Choose/Be Notified of Room/Roommate Change	483.10(e)(4)-(6)	483.10 Resident Rights
F560		Right to Refuse Certain Transfers	483.10(e)(7)(i)-(iii)(8)	483.10 Resident Rights
F561	X	Self Determination	483.10(f)(1)-(3)(8)	483.10 Resident Rights
F562		Immediate Access to Resident	483.10(f)(4)(i)(A)-(G)	483.10 Resident Rights
F563		Right to Receive/Deny Visitors	483.10(f)(4)(ii)-(v)	483.10 Resident Rights
F564		Inform of Visitation Rights/Equal Visitation Privileges	483.10(f)(4)(vi)(A)-(D)	483.10 Resident Rights
F565	X	Resident/Family Group and Response	483.10(f)(5)(i)-(iv)(6)(7)	483.10 Resident Rights
F566		Right to Perform Facility Services or Refuse	483.10(f)(9)(i)-(iv)	483.10 Resident Rights
F567		Protection/Management of Personal Funds	483.10(f)(10)(i)(ii)	483.10 Resident Rights
F568		Accounting and Records of Personal Funds	483.10(f)(10)(iii)	483.10 Resident Rights
F569		Notice and Conveyance of Personal Funds	483.10(f)(10)(iv)(v)	483.10 Resident Rights
F570		Surety Bond - Security of Personal Funds	483.10(f)(10)(vi)	483.10 Resident Rights
F571		Limitations on Charges to Personal Funds	483.10(f)(11)(i)-(iii)	483.10 Resident Rights
F572		Notice of Rights and Rules	483.10(g)(1)(16)	483.10 Resident Rights
F573		Right to Access/Purchase Copies of Records	483.10(g)(2)(i)(ii)(3)	483.10 Resident Rights
F574		Required Notices and Contact Information	483.10(g)(4)(i)-(vi)	483.10 Resident Rights
F575		Required Postings	483.10(g)(5)(i)(ii)	483.10 Resident Rights
F576		Right to Forms of Communication with Privacy	483.10(g)(6)-(9)	483.10 Resident Rights
F577		Right to Survey Results/Advocate Agency Info	483.10(g)(10)(11)	483.10 Resident Rights
F578		Request/Refuse/Discontinue Treatment; Formulate Advanced Directives	483.10(c)(6)(8)(g)(12)(i)-(v)	483.10 Resident Rights

Tag #	SQC Tag? X = Yes	Tag Title	CFR	Regulatory Groupings
F579		Posting/Notice of Medicare/Medicaid on Admission	483.10(g)(13)	483.10 Resident Rights
F580		Notify of Changes (Injury/Decline/Room, Etc.)	483.10(g)(14)(i)-(iv)	483.10 Resident Rights
F582		Medicaid/Medicare Coverage/Liability Notice	483.10(g)(17)(18)(i)-(v)	483.10 Resident Rights
F583		Personal Privacy/Confidentiality of Records	483.10(h)(1)-(3)(i)(ii)	483.10 Resident Rights
F584	X	Safe/Clean/Comfortable/Homelike Environment	483.10(i)(1)-(7)	483.10 Resident Rights
F585		Grievances	483.10(j)(1)-(4)	483.10 Resident Rights
F586		Resident Contact with External Entities	483.10(k)	483.10 Resident Rights

3) The following section summarizes the Centers for Medicare & Medicaid (CMS) State Operations Manual Appendix PP content for Resident Rights, F550 through F586:

- a. F550 Resident Rights/Exercise of Rights
  1. Right to a dignified existence, self-determination, and communication with others inside and outside the facility
  2. Right to be treated with respect, dignity, and care to enhance quality of life and individuality
  3. Right to have equal access to quality care regardless of diagnosis, severity of condition, or payment source
  4. Exercise rights without interference, coercion, discrimination, or reprisal
- b. F551 Rights Exercised by Representative
  1. Right to designate a representative/surrogate, according to state law, who may exercise the resident's rights to the extent provided by state law
  2. The resident may retain the right to exercise any rights not delegated to a representative, including the right to revoke a delegation of rights
  3. When a resident is determined to be incompetent by a court, the rights of the resident are exercised by the representative appointed under state law to act on the resident's behalf
- c. F552 Planning and Implementing Care
  1. Right to be informed in a language he/she can understand, in advance, of the care to be furnished and the type of caregiver or professional that will furnish care
  2. Informed of risks and benefits of proposed care, of treatment and treatment alternatives or options, and to choose the alternative or option he or she prefers
- d. F553 Right to Participate in Planning Care – Person Centered Care
  1. Identify individuals to include in the planning process, request meetings and revisions
  2. Participate in establishing goals and outcomes of care, the type, amount, frequency, and duration of care, and any other factors related to the effectiveness of the plan of care
  3. Informed, in advance, of changes to the plan of care

4. Receive the services and/or items included in the plan of care, see it, and sign it
5. Incorporate personal and cultural preferences in developing goals of care
- e. F554 Resident Self-Administration of Medications-Clinically Appropriate
  1. Interdisciplinary team determines if the medications are appropriate and if self-administration is clinically appropriate by determining the following:
    - What is the resident's physical capacity to swallow without difficulty and to open medication bottles?
    - What is the resident's cognitive status, including their ability to correctly name their medications and know what conditions they are taken for?
    - What is the resident's capability to follow directions and tell time to know when medications need to be taken?
    - Can the resident comprehend instructions for the medications they are taking, including dose, timing, signs of side effects, and when to report to staff?
    - Does the resident understand what refusal of medication is, and appropriate steps staff must take to provide education when this occurs?
    - Can the resident ensure that medication is stored safely and securely?
- f. F555 Right to Choose/Be Informed of Attending Physician –
  1. The physician must be licensed to practice and willing/approved to serve in the facility
- g. F557 Respect, Dignity/Right to have Personal Property –
  1. Right to use personal possessions, including furnishings and clothing, as space permits, unless this would infringe upon the rights or health and safety of other residents
- h. F558 Reasonable Accommodations of Needs/Preferences –
  1. Right to reside and receive services in the facility with reasonable accommodation of resident needs and preferences except when to do so would endanger the health or safety of the resident or other residents
    - Accommodation of resident needs and preferences is essential to creating an individualized, home-like environment
- i. F559 Choose/Be Notified of Room/Roommate Change –
  1. Right to share a room with his/her spouse when married residents live in the facility and consent to live together
  2. Right to share a room with roommate of choice
  3. Right to receive written notice, with reason for a change, before room or roommate is changed
- j. F560 Right to Refuse Certain Transfers –
  1. To another room in the facility to relocate a resident of a SNF from the SNF distinct part to a part that is not a SNF, or relocate a resident of a NF from the distinct part that is a NF to a distinct part that is a SNF, or solely for the convenience of staff
    - Right to refuse transfer does not affect the resident's eligibility or entitlement to Medicare or Medicaid benefits
- k. F561 Self Determination –
  1. Right to choose activities, schedules (including sleeping and waking times), health care and providers consistent with his/her interests, assessments, and plan of care
  2. Right to make choices about aspects of his/her life in the facility that are significant to him/her

3. Right to interact with members of the community and participate in community activities both inside and outside the facility
4. Right to participate in social, religious, and community activities that do not interfere with the rights of others
- l. F562 Immediate Access to Resident –
  1. Right to immediate access to any resident by:
    - Any representative of HHS, the state, or Ombudsman
    - Resident’s individual physician
    - Representative of the protection and advocacy systems
    - Agency responsible for the protection and advocacy system for individuals with mental disorder
    - The resident’s representative
- m. F563 Right to Receive/Deny Visitors –
  1. Right to receive visitors of his/her choosing at the time of his/her choosing, deny visitation, and visit in a manner that does not impose on the rights of another resident, subject to reasonable clinical and safety restrictions
- n. F564 Inform of Visitation Rights/ Visitation Privileges
  1. Right to be informed of visitation rights and related policy/procedures, including clinical or safety restriction/limitation on such rights, reasons for the restriction/limitation, and to whom the restrictions apply
- o. F565 Resident/Family Group and Response
  1. Right to organize and participate in resident/family groups in the facility
- p. F566 Right to Perform Facility Services or Refuse
  1. Right to perform services for the facility, if he/ she chooses, when:
    - staff document the resident’s need or desire for work in the plan of care, which specifies the nature of services performed and whether they are voluntary or paid;
    - compensation for paid services is at or above prevailing rates; and
    - resident agrees to the work arrangement described in the plan of care.
- q. F567 Protection/Management of Personal Funds
  1. Right to manage his/her financial affairs, including the right to know, in advance, what charges a facility may impose against a resident's personal funds
- r. F568 Accounting and Records of Personal Funds –
  1. Right to receive a full, complete, separate accounting, according to generally accepted accounting principles, of personal funds entrusted to the facility with no commingling of resident funds with facility funds or funds of any other person
  2. Right to receive an individual financial record through quarterly statements and upon request
- s. F569 Notice and Conveyance of Personal Funds –
  1. If receiving Medicaid benefits, right to be notified when the resident’s account reaches \$200 less than the SSI resource limit for one person, and that if the amount in the account, in addition to the value of other nonexempt resources, reaches the SSI resource limit for one person, he/she may lose eligibility for Medicaid or SSI
  2. At discharge, eviction, or death, a resident with a personal fund deposited with the facility: the facility must convey the funds within thirty (30) days, and a final accounting of the



- funds, to the resident, or in the case of death, the individual or probate jurisdiction administering the resident's estate
- t. F570 Surety Bond - Security of Personal Funds –
    1. Right to have personal funds that are deposited with the facility protected by a Surety Bond
  - u. F571 Limitations on Charges to Personal Funds –
    1. Not have charges imposed against his/her personal funds for any item or service for which payment is made under Medicaid or Medicare (except for applicable deductible and coinsurance amounts)
  - v. F572 Information and Communication –
    1. Be informed of his/her rights and all rules/regulations governing resident conduct and responsibilities, and state-developed notice of Medicaid rights/obligations, if any
  - w. F573 Right to Access/Purchase Copies of Records –
    1. Right to access personal and medical records pertaining to him/herself upon an oral or written request, in the form and format requested, and with two (2) working days advance notice. The facility may impose a reasonable, cost-based fee
  - x. F574 Required Notices and Contact Information –
    1. Receive notices orally and in writing (including Braille) in a format and language he/she understands, including:
      - a written description of legal rights for protecting personal funds
      - names, addresses (mail and email), and telephone numbers of all pertinent state regulatory and informational agencies
      - right to file a complaint with the State Survey Agency
      - information regarding Medicare and Medicaid eligibility and coverage
      - contact information for the Medicaid Fraud Control Unit
      - information and contact information for filing grievances or complaints
  - y. F575 Required Postings –
    1. The facility must post, in a form and manner accessible and understandable to residents, resident representatives names, addresses (mailing and email), and telephone numbers of all pertinent state agencies/advocacy groups:
      - State Survey Agency
      - State licensure office
      - Adult protective services where there is jurisdiction in facilities
      - State Long-Term Care Ombudsman program
      - Protection and advocacy network
      - Home and community based service programs
      - Medicaid Fraud Control Unit
    2. The facility must post a statement that the resident may file a complaint with the State Survey Agency concerning any suspected violation of state or federal nursing facility regulation, including but not limited to:
      - Resident abuse, neglect, exploitation, or misappropriation of resident property in the facility
      - Noncompliance with Advanced Directives requirements
      - Requests for information on returning to the community
  - z. F576 Right to Forms of Communication with Privacy –

1. Reasonable access to use of a telephone, including TTY (teletypewriter) and TDD (telecommunications device for the deaf) services, and a place where calls can be made without being overheard
  2. Retain and use a cellular phone at the resident's own expense
  3. Internet access, to the extent available to the facility
  4. Stationery, postage, writing implements, and the ability to send mail
  5. Send and receive mail, and receive letters, packages, and other materials delivered to the facility through a means other than a postal service; privacy of such communications; and access to stationery, postage, and writing implements at the resident's own expense
- aa. F577 Right to Survey Results/Advocate Agency Info –
1. Right to examine results of the most recent survey conducted by federal or state surveyors and any plan of correction in effect with respect to the facility
  2. Right to receive information from agencies acting as client advocates, and be afforded the opportunity to contact these agencies
- bb. F578 Request/Refuse/Discontinue Treatment; Formulate Advance Directives –
1. Right to request, refuse, and/or discontinue treatment, to participate in or refuse to participate in experimental research, and to formulate an Advance Directive
- cc. F579 Posting/Notice of Medicare/Medicaid on Admission –
1. The facility must display written information, and provide to residents and applicants for admission, oral and written information about how to apply for and use Medicare and Medicaid benefits, and how to receive refunds for previous payments covered by such benefits
- dd. F580 Notify of Changes (Injury/Decline/Room, etc.) –
1. A facility must immediately inform the resident; consult with the resident's physician; and notify, consistent with his or her authority, the resident representative(s) when there is—
    - An accident involving the resident resulting in injury with potential for requiring physician intervention
    - A significant change in the resident's physical, mental, or psychosocial status (a deterioration in health, mental, or psychosocial status in either life-threatening conditions or clinical complications)
    - A need to alter treatment significantly, discontinue an existing form of treatment due to adverse consequences, or to commence a new form of treatment
    - A decision to transfer or discharge the resident from the facility
    - A change in room or roommate
- ee. F582 Medicaid/Medicare Coverage/Liability Notice –
1. The facility must inform each Medicaid-eligible resident, in writing, at the time of admission and when the resident becomes eligible for Medicaid of—
    - Items/services included in provided services for which the resident may not be charged
    - Other items/services the facility offers for which the resident may be charged, and the amount of those charges
    - Inform each Medicaid-eligible resident when changes are made to items and services
- ff. F583 Personal Privacy/Confidentiality of Records –
1. Personal privacy includes accommodations, medical treatment, written and telephone communications, personal care, visits, and meetings of family and resident groups

2. Personal privacy includes the right to privacy in oral, written, and electronic communications, including the right to send and promptly receive unopened mail and other letters, packages, and other materials delivered to the facility for the resident
  3. The resident has the right to refuse the release of personal and medical records; however, the Ombudsman may examine a resident's medical, social, and administrative records in accordance with state law
- gg. F584 Safe/Clean/Comfortable/Homelike Environment –
1. Right to a safe, clean, comfortable, and homelike environment, including but not limited to receiving treatment and supports for daily living safely
  2. Housekeeping and maintenance services that maintain a sanitary, orderly, and comfortable interior
  3. Clean bed and bath linens that are in good condition
  4. Private closet space in each resident room
  5. Adequate and comfortable lighting levels in all areas, comfortable and safe temperatures levels (71-81°F), and maintenance of comfortable sound levels
- hh. F585 Grievances –
1. Voice grievances to the facility or other agency/entity that hears grievances without discrimination or reprisal, including those with respect to care and treatment which has been furnished as well as that which has not been furnished, the behavior of staff, and of other residents, and other concerns regarding their LTC facility stay
  2. Facility must make prompt efforts to resolve grievances
  3. Facility must provide information on how to file a grievance or complaint
- ii. F586 Resident Contact with External Entities –
1. A facility must not prohibit or discourage a resident from communicating with federal, state, or local officials including, but not limited to, federal and state surveyors, other health department employees, representatives of the Office of the State Long-Term Care Ombudsman and any representative of the agency responsible for the protection and advocacy system for individuals with mental disorders

**Policy Number:** RR 1.1

**Policy Title:** Freedom from Abuse Neglect and Exploitation

**Policy Statement/Purpose:** It is the policy of The Company that all residents have the right to be free from abuse, neglect, and exploitation. It is Company policy to comply with the Centers for Medicare & Medicaid Services (CMS) requirements as presented in the State Operations Manual, Appendix PP, in §483.12 Freedom from Abuse, Neglect, and Exploitation. Abuse Sections §§1819 and 1919 of the Social Security Act provide that each resident has the right to be free from, among other things, physical or mental abuse and corporal punishment. The facility must provide a safe resident environment and protect residents from abuse, and not use verbal, mental, sexual, or physical abuse, corporal punishment, or involuntary seclusion. The Company is committed to detecting and preventing the abuse, neglect, and exploitation of our residents, and ensuring that each resident is free from abuse, neglect, and corporal punishment of any type by anyone.

**Policy Interpretation and Implementation:**

1). *Procedure:*

- a. Training on the Company’s policy and procedure for Freedom from Abuse, Neglect, and Exploitation shall be given to each new employee when they are hired.
- b. Company personnel shall make every effort to prevent residents from experiencing any type of abuse, neglect, or exploitation.
- c. All organizational policies and procedures concerning abuse, neglect, and exploitation must be consistent with Law and Regulation. These policies and procedure shall be reviewed, at least, annually and updated as required by Law and Regulation.
- d. The Company is charged with responsibility for current policies and procedures that comply with CMS requirements when developing, reviewing, and teaching about residents’ freedom from abuse, neglect, or exploitation.
- e. All residents and staff will be oriented to policies and procedures addressing abuse, neglect, and exploitation Requirements of Participation (§483.12).
- f. All staff will be trained annually on organizational policies and procedures related to resident freedom from abuse, neglect, or exploitation.
- g. An auditing and monitoring program will be designed, and results reported to the QAPI/QAA Committee for action and follow up.

2). Residents’ Rights per (§483.12)

Tag #	SQC Tag? X = Yes	Tag Title	CFR	Regulatory Groupings
F600	X	Free from Abuse and Neglect	483.12(a)(1)	483.12 Freedom from Abuse, Neglect, and Exploitation
F602	X	Free from Misappropriation/Exploitation	483.12	483.12 Freedom from Abuse, Neglect, and Exploitation
F603	X	Free from Involuntary Seclusion	483.12(a)(1)	483.12 Freedom from Abuse, Neglect, and Exploitation
F604	X	Right to be Free from Physical Restraints	483.10(e)(1) 483.12(a)(2)	483.10 Resident Rights 483.12 Freedom from Abuse, Neglect, and Exploitation

F605	X	Right to be Free from Chemical Restraints	483.10(e)(1) 483.12(a)(2)	483.10 Resident Rights 483.12 Freedom from Abuse, Neglect, and Exploitation
F606	X	Not Employ/Engage Staff with Adverse Actions	483.12(a)(3)(4)	483.12 Freedom from Abuse, Neglect, and Exploitation
F607	X	Develop/Implement Abuse/Neglect, etc. Policies	483.12(b)(1)-(4)	483.12 Freedom from Abuse, Neglect, and Exploitation
F608	X	Reporting of Reasonable Suspicion of a Crime	483.12(b)(5)(i)-(iii)	483.12 Freedom from Abuse, Neglect, and Exploitation
F609	X	Reporting of Alleged Violations	483.12(c)(1)(4)	483.12 Freedom from Abuse, Neglect, and Exploitation
F610	X	Investigate/Prevent/Correct Alleged Violation	483.12(c)(2)-(4)	483.12 Freedom from Abuse, Neglect, and Exploitation

3). Freedom from Abuse, Neglect, or Exploitation (§483.12) – The following section summarizes the Centers for Medicare & Medicaid (CMS) State Operations Manual Appendix PP content for Abuse, Neglect, and Exploitation F600 through F610. To obtain the full detail for each Abuse F-Tag, access Appendix PP at [https://www.cms.gov/Regulations-and-Guidance/Guidance/Manuals/downloads/som107ap\\_pp\\_guidelines\\_ltcf.pdf](https://www.cms.gov/Regulations-and-Guidance/Guidance/Manuals/downloads/som107ap_pp_guidelines_ltcf.pdf).

a. F600 Freedom from Abuse, Neglect –

1. The resident has the right to be free from abuse, neglect, misappropriation of resident property, and exploitation. This includes, but is not limited to, freedom from corporal punishment, involuntary seclusion, and any physical or chemical restraint not required to treat the resident’s medical symptoms.
2. The facility must not use verbal, mental, sexual, or physical abuse, corporal punishment, or involuntary seclusion.
3. Definitions:
  - **Abuse** is defined as the willful infliction of injury, unreasonable confinement, intimidation, or punishment with resulting physical harm, pain, or mental anguish. Abuse also includes the deprivation by an individual, including a caretaker, of goods or services that are necessary to attain or maintain physical, mental, and psychosocial well-being. Instances of abuse of all residents, irrespective of any mental or physical condition, cause physical harm, pain, or mental anguish, including abuse facilitated or enabled through the use of technology.
  - **Neglect** means the failure of the facility, its employees, or service providers to provide goods and services to a resident that are necessary to avoid physical harm, pain, mental anguish or emotional distress.
  - **Sexual abuse** is defined as nonconsensual sexual contact of any type with a resident. Residents have the right to engage in consensual sexual activity. However, anytime the facility has reason to suspect that a resident may not have the capacity to consent to sexual activity, the facility must ensure the resident is evaluated for capacity to consent. Residents without the capacity to consent to sexual activity may not engage in sexual activity.
  - **Willful** as used in the definition of abuse means the individual must have acted deliberately, not that the individual must have intended to inflict injury or harm.
  - **Physical Abuse** includes, but is not limited to, hitting, slapping, punching, biting, and kicking.

- **Mental Abuse** is the use of verbal or nonverbal conduct which causes or has the potential to cause the resident to experience humiliation, intimidation, fear, shame, agitation, or degradation.
  - **Verbal Abuse** includes the use of oral, written, or gestured communication or sounds to residents within hearing distance, regardless of age, ability to comprehend, or disability.
  - **Staff** includes employees, the medical director, consultants, contractors, volunteers, caregivers who provide care and services to residents on behalf of the facility, students in the facility's nurse aide training program, and students from affiliated academic institutions, including therapy, social, and activity programs.
- b. F602 Free from Misappropriation/Exploitation –
1. Each resident has the right to be free from misappropriation of property and exploitation.
  2. Definitions:
    - **Exploitation** means taking advantage of a resident for personal gain, through the use of manipulation, intimidation, threats, or coercion.
    - **Misappropriation of resident property** is the deliberate misplacement, exploitation, or wrongful, temporary or permanent use of a resident's belongings or money without the resident's consent.
      - i. Residents' property includes all residents' possessions, regardless of their apparent value to others. This includes jewelry, clothing, furniture, money, and electronic devices, the resident's personal information such as name and identifying information, credit cards, bank accounts, driver's licenses, and social security cards
      - ii. Examples of misappropriation of resident property include:
        - Identity theft
        - Theft of money from bank accounts
        - Unauthorized or coerced purchases on a resident's credit card
        - Unauthorized or coerced purchases from resident's funds
        - A resident who provides a gift to staff in order to receive ongoing care, based on staff's persuasion
        - A resident who provides monetary assistance to staff, after staff had made the resident believe that the staff member was in a financial crisis
        - Diversion of a resident's medication, including controlled substances, for staff use or personal gain
- c. F603 Free from Involuntary Seclusion –
1. The resident has the right to be free from abuse, neglect, misappropriation of resident property, and exploitation as defined in this subpart. This includes, but is not limited to, freedom from corporal punishment, involuntary seclusion, and any physical or chemical restraint not required to treat the resident's medical symptoms.
  2. Involuntary seclusion is defined as separation of a resident from other residents or from her/his room or confinement to her/his room (with or without roommates) against the resident's will, or the will of the resident representative.
- d. F604 Respect and Dignity: Free from Physical Restraints –
1. The resident has a right to be treated with respect and dignity, including the right to be free from any physical or chemical restraints imposed for purposes of discipline or convenience and not required to treat the resident's medical symptoms.
  2. When the use of restraints is indicated, the facility must use the least restrictive alternative for the least amount of time and document ongoing re-evaluation of the need for restraints.

3. Definitions:
  - **Convenience** is defined as the result of any action that has the effect of altering a resident's behavior such that the resident requires a lesser amount of effort or care, and is not in the resident's best interest.
  - **Discipline** is defined as any action taken by the facility for the purpose of punishing or penalizing residents.
  - **Freedom of movement** means any change in place or position for the body or any part of the body that the person is physically able to control.
  - **Manual method** means to hold or limit a resident's voluntary movement by using body contact as a method of physical restraint.
  - **Medical symptom** is defined as an indication or characteristic of a physical or psychological condition.
  - **Position change alarms** are alerting devices intended to monitor a resident's movement. The devices emit an audible signal when the resident moves in certain ways.
  - **Physical restraint** is defined as any manual method, physical or mechanical device, equipment, or material that meets all of the following criteria:
    - i. is attached or adjacent to the resident's body;
    - ii. cannot be removed easily by the resident; and
    - iii. restricts the resident's freedom of movement or normal access to his/her body.
- e. F605 Respect and Dignity: Free from Chemical Restraints –
  1. The facility must ensure that the resident is free from physical or chemical restraints imposed for purposes of discipline or convenience and that are not required to treat the resident's medical symptoms. When the use of restraints is indicated, the facility must use the least restrictive alternative for the least amount of time and document ongoing re-evaluation of the need for restraints.
  2. Definitions:
    - **Chemical restraint** is defined as any drug that is used for discipline or staff convenience and not required to treat medical symptoms.
    - **Convenience** is defined as the result of any action that has the effect of altering a resident's behavior such that the resident requires a lesser amount of effort or care, and is not in the resident's best interest.
    - **Discipline** is defined as any action taken by facility staff for the purpose of punishing or penalizing residents.
    - **Indication for use** is defined as the identified, documented clinical rationale for administering a medication that is based upon an assessment of the resident's condition and therapeutic goals and is consistent with manufacturer's recommendations and/or clinical practice guidelines, clinical standards of practice, medication references, clinical studies, or evidence-based review articles that are published in medical and/or pharmacy journals.
    - **Medical symptom** is defined as an indication or characteristic of a medical, physical, or psychological condition.
  3. Determination of Medical Symptoms - The clinical record must reflect whether the staff and practitioner have identified, to the extent possible, and addressed the underlying cause(s) of distressed behavior, either before or while treating a medical symptom. Potential underlying causes for expressions and/or indications of distress may include, but are not limited to:
    - Delirium

- Pain
  - The presence of an adverse consequence associated with the resident’s current medication regimen
  - Environmental factors, such as staffing levels, over stimulating noise or activities, under stimulating activities, lighting, hunger/thirst, alteration in the resident’s customary location or daily routine, physical aggression leading to altercations, temperature of the environment, and crowding
4. Determination of Indication for Medication Use - The clinical record must reflect the following:
- Whether there is an adequate indication for use for the medication (e.g., a psychotropic medication is not administered unless the medication is used to treat a specific condition)
  - Whether an excessive dose and/or duration of the medication was administered to the resident
  - Whether there is adequate monitoring for the effectiveness of the medication in treating the specific condition and for any adverse consequences resulting from the medication
  - Whether a resident who uses a psychotropic drug(s) is receiving gradual dose reduction and behavioral interventions, unless clinically contraindicated
  - Whether a resident who receives a psychotropic drug(s) pursuant to a PRN (pro re nata, or as needed) order is not administered the medication unless the medication is necessary to treat a diagnosed specific symptom, as documented in the clinical record
- f. F606 Not Employ/Engage Staff with Adverse Actions –
1. The facility must not employ or otherwise engage individuals who
    - have been found guilty of abuse, neglect, exploitation, misappropriation of property, or mistreatment by a court of law;
    - have had a finding entered into the state nurse aide registry concerning abuse, neglect, exploitation, mistreatment of residents or misappropriation of their property; or
    - have a disciplinary action in effect against his or her professional license by a state licensure body as a result of a finding of abuse, neglect, exploitation, mistreatment of residents or misappropriation of resident property.
  2. The facility must report to the state nurse aide registry or licensing authorities any knowledge it has of actions by a court of law against an employee, which would indicate unfitness for service as a nurse aide or other facility staff.
  3. Definitions
    - **Found guilty ... by a court of law** applies to situations where the defendant pleads guilty, is found guilty, or pleads no contest to charges of abuse, neglect, exploitation, misappropriation of property, or mistreatment.
    - **Finding** is defined as a determination made by the state that validates allegations of abuse, neglect, exploitation, mistreatment of residents, or misappropriation of their property.
    - **Mistreatment** means inappropriate treatment or exploitation of a resident.
- g. F607 Develop/Implement Abuse/Neglect/Exploitation/Misappropriation Policies –
1. The facility must develop and implement written policies and procedures that:



- Prohibit and prevent abuse, neglect, and exploitation of residents and misappropriation of resident property;
  - Establish policies and procedures to investigate any such allegations; and
  - Include training as required at paragraph §483.95;
  - Establish coordination with the QAPI program.
2. The facility must develop and implement policies and procedures that include the following seven components:
- **Screening:** The facility must have written procedures for screening potential employees for a history of abuse, neglect, exploitation, or misappropriation of resident property in order to prohibit abuse, neglect, and exploitation of resident property. This includes attempting to obtain information from previous and/or current employers, and checking with appropriate licensing boards and registries.
  - **Training:** The facility must have written policies and procedures that include training new and existing nursing home staff, and in-service training for nurse aides in the following topics:
    - i. Prohibiting and preventing all forms of abuse, neglect, misappropriation of resident property, and exploitation;
    - ii. Identifying what constitutes abuse, neglect, exploitation, and misappropriation of resident property;
    - iii. Recognizing signs of abuse, neglect, exploitation and misappropriation of resident property, such as physical or psychosocial indicators;
    - iv. Reporting abuse, neglect, exploitation, and misappropriation of resident property, including injuries of unknown sources, and to whom and when staff and others must report their knowledge without fear of reprisal; and
    - v. Understanding behavioral symptoms of residents that may increase the risk of abuse and neglect and how to respond, including:
      - Aggressive and/or catastrophic reactions of residents;
      - Wandering or elopement-type behaviors;
      - Resistance to care;
      - Outbursts or yelling out; and
      - Difficulty in adjusting to new routines or staff.
3. **Prevention:** The facility must have and implement written policies and procedures to prevent and prohibit all types of abuse, neglect, misappropriation of resident property, and exploitation that achieves (but is not limited to):
- Establishing a safe environment that supports, to the extent possible, a resident's consensual sexual relationship and by establishing policies and protocols for preventing sexual abuse, such as identifying when, how, and by whom determinations of capacity to consent to a sexual contact will be made and where this documentation will be recorded; and the resident's right to establish a relationship with another individual, which may include the development/presence of an ongoing sexually intimate relationship;
  - Identifying, correcting, and intervening in situations in which abuse, neglect, exploitation, and/or misappropriation of resident property is more likely to occur. This includes implementation of policies that address the deployment of trained and qualified, registered, licensed, and certified staff on each shift in sufficient numbers to meet the needs

- of the residents, and ensure that the staff assigned have knowledge of the individual residents' care needs and behavioral symptoms, if any;
- Ensuring that residents are free from neglect by having structures and processes to provide needed care and services to all residents, including provision of a facility assessment to determine what resources are necessary to care for its residents competently;
  - Identification, ongoing assessment, care planning for appropriate interventions, and monitoring of residents with needs and behaviors which might lead to conflict or neglect, such as:
    - i. Verbally aggressive behavior, such as screaming, cursing, bossing around/demanding, insulting to race or ethnic group, intimidating;
    - ii. Physically aggressive behavior, such as hitting, kicking, grabbing, scratching, pushing/shoving, biting, spitting, threatening gestures, throwing objects;
    - iii. Sexually aggressive behavior such as saying sexual things, inappropriate touching/grabbing;
    - iv. Taking, touching, or rummaging through other's property;
    - v. Wandering into other's rooms/space;
    - vi. Residents with a history of self-injurious behaviors;
    - vii. Residents with communication disorders or who speak a different language; and
    - viii. Residents that require extensive nursing care and/or are totally dependent on staff for the provision of care.
      - Ensuring the health and safety of each resident with regard to visitors such as family members or resident representatives, friends, or other individuals subject to the resident's right to deny or withdraw consent at any time and to reasonable clinical and safety restrictions;
      - Providing residents and representatives, information on how and to whom they may report concerns, incidents and grievances without the fear of retribution; and providing feedback regarding the concerns that have been expressed.
4. **Identification:** The facility must have written procedures to assist staff in identifying abuse, neglect, and exploitation of residents, and misappropriation of resident property. This would include identifying the different types of abuse- mental/verbal abuse, sexual abuse, physical abuse, and the deprivation by an individual of goods and services.
- Because some cases of abuse are not directly observed, understanding resident outcomes of abuse could assist in identifying whether abuse is occurring or has occurred. Possible indicators of abuse include, but are not limited to:
    - i. An injury that is suspicious because the source of the injury is not observed or the extent or location of the injury is unusual, or because of the number of injuries either at a single point in time or over time; and
    - ii. Sudden or unexplained changes in the following behaviors and/or activities such as fear of a person or place, or feelings of guilt or shame.
5. **Investigation:** The facility must have written procedures for investigating abuse, neglect, misappropriation, and exploitation that include:
- Investigating different types of alleged violations;
  - Identifying and interviewing all involved persons, including the alleged victim, alleged perpetrator, witnesses, and others who might have knowledge of the allegations;
  - Focusing the investigation on determining if abuse, neglect, exploitation, and/or mistreatment has occurred, the extent, and cause; and

- Providing complete and thorough documentation of the investigation.
6. **Protection:** The facility must have written procedures that ensure that all residents are protected from physical and psychosocial harm during and after the investigation, including:
    - Responding immediately to protect the alleged victim and integrity of the investigation;
    - Examining the alleged victim for any sign of injury, including a physical examination or psychosocial assessment if needed;
    - Increased supervision of the alleged victim and residents;
    - Room or staffing changes, if necessary, to protect the resident(s) from the alleged perpetrator;
    - Protection from retaliation; and
    - Providing emotional support and counseling to the resident during and after the investigation, as needed.
  7. **Reporting/Response:** The facility must have written procedures that must include:
    - Immediately reporting all alleged violations to the Administrator, State agency, adult protective services, and to all other required agencies (e.g., law enforcement when applicable) within specified timeframes;
    - Ensuring that reporters are free from retaliation or reprisal;
    - Reporting to the State nurse aide registry or licensing authorities any knowledge it has of any actions by a court of law which would indicate an employee is unfit for service;
    - Taking all necessary actions as a result of the investigation, including the following:
      - i. Analyzing the occurrence(s) to determine why abuse, neglect, misappropriation of resident property or exploitation occurred, and what changes are needed to prevent further occurrences;
      - ii. Defining how care provision will be changed and/or improved to protect residents receiving services;
      - iii. Training of staff on changes made and demonstration of staff competency after training is implemented;
      - iv. Identification of staff responsible for implementation of corrective actions;
        - v. The expected date for implementation; and
        - vi. Identification of staff responsible for monitoring the implementation of the plan.
- h. F608 Reporting of Reasonable Suspicion of a Crime –
1. The facility must develop and implement written policies and procedures that:
    - Ensure reporting of crimes occurring in federally-funded long-term care facilities.
    - The policies and procedures must include but are not limited to the following elements.
      - i. Annually notifying covered individuals of their obligation to comply with the following reporting requirements:
        - Each covered individual shall report to the State Agency and one or more law enforcement entities for the political subdivision (e.g., city, county, township, village) in which the facility is located any reasonable suspicion of a crime against any individual who is a resident of, or receiving care from, the facility.
        - Each covered individual shall report immediately, but **not later than 2 hours** after forming the suspicion, if the events that cause the suspicion result in serious bodily injury, or **not later than 24 hours** if the events that cause the suspicion do not result in serious bodily injury.

- ii. Posting a conspicuous notice of employee rights;
  - iii. Prohibiting and preventing retaliation.
2. Definitions:
- **Covered individual** is anyone who is an owner, operator, employee, manager, agent, or contractor of the facility.
  - **Crime** is defined by law of the applicable political subdivision where the facility is located, such as a city, county, township or village, or any local unit of government created by or pursuant to State law.
  - **Law enforcement** is the full range of potential responders to elder abuse, neglect, and exploitation including police, sheriffs, detectives, public safety officers; corrections personnel; prosecutors; medical examiners; investigators; and coroners.
  - **Serious bodily injury** means an injury involving extreme physical pain; involving substantial risk of death; involving protracted loss or impairment of the function of a bodily member, organ, or mental faculty; requiring medical intervention such as surgery, hospitalization, or physical rehabilitation; or an injury resulting from criminal sexual abuse.
  - **Criminal sexual abuse** – Serious bodily injury/harm shall be considered to have occurred if the conduct causing the injury is conduct described relating to aggravated sexual abuse or relating to sexual abuse of Title 18, United States Code, or any similar offense under State law. Serious bodily injury includes sexual intercourse with a resident by force or incapacitation or through threats of harm to the resident or others or any sexual act involving a child. Serious bodily injury also includes sexual intercourse with a resident who is incapable of declining to participate in the sexual act or lacks the ability to understand the nature of the sexual act.
  - **Retaliation** – In order to encourage reporting of the suspicion of a crime, facilities should develop and implement policies and procedures that promote a culture of safety and open communication in the work environment, prohibiting retaliation against an employee who reports a suspicion of a crime. Actions that constitute retaliation against staff include:
    - i. When a facility discharges, demotes, suspends, threatens, harasses, or denies a promotion or other employment-related benefit to an employee, or in any other manner discriminates against an employee in the terms and conditions of employment because of lawful acts done by the employee.
    - ii. When a facility files a complaint or a report against a nurse or other employee with the state professional licensing agency because of lawful acts done by the nurse or employee for reporting a reasonable suspicion of a crime to law enforcement.
- i. F609 Reporting of Abuse/Neglect
1. In response to allegations of abuse, neglect, exploitation, or mistreatment, the facility must:
    - Ensure that all alleged violations involving abuse, neglect, exploitation, or mistreatment, including injuries of unknown source and misappropriation of resident property, are reported to the administrator of the facility and to other officials (including to the State Survey Agency and adult protective services where state law provides for jurisdiction in long-term care facilities) in accordance with State law through established procedures:
      - i. immediately, but not later than 2 hours after the allegation is made, if the events that cause the allegation involve abuse or result in serious bodily injury,

- ii. or not later than 24 hours if the events that cause the allegation do not involve abuse and do not result in serious bodily injury.
  - Report the results of all investigations to the administrator or his or her designated representative and to other officials in accordance with State law, including to the State Survey Agency, within 5 working days of the incident, and if the alleged violation is verified appropriate corrective action must be taken.
  - **Abuse** is defined as the willful infliction of injury, unreasonable confinement, intimidation, or punishment with resulting physical harm, pain or mental anguish. Abuse also includes the deprivation by an individual, including a caretaker, of goods or services that are necessary to attain or maintain physical, mental, and psychosocial well-being. Instances of abuse of all residents, irrespective of any mental or physical condition, cause physical harm, pain or mental anguish. It includes verbal abuse, sexual abuse, physical abuse, and mental abuse, including abuse facilitated or enabled through the use of technology.
  - **Alleged violation** is a situation or occurrence that is observed or reported by staff, resident, relative, visitor, or others but has not yet been investigated and, if verified, could be noncompliance with the Federal requirements related to mistreatment, exploitation, neglect, or abuse, including injuries of unknown source, and misappropriation of resident property.
  - **Exploitation** means taking advantage of a resident for personal gain, through the use of manipulation, intimidation, threats, or coercion.
  - **Immediately** means as soon as possible, in the absence of a shorter State time frame requirement, but not later than 2 hours after the allegation is made, if the events that cause the allegation involve abuse or result in serious bodily injury, or not later than 24 hours if the events that cause the allegation do not involve abuse and do not result in serious bodily injury.
  - **Injuries of unknown source** occur when both of the following criteria are met:
    - i. The source of the injury was not observed by any person, or
    - ii. The source of the injury could not be explained by the resident, and the injury is suspicious because of the extent of the injury or the location of the injury (e.g., the injury is located in an area not generally vulnerable to trauma) or the number of injuries observed at one particular point in time or the incidence of injuries over time.
  - **Misappropriation of resident property** means the deliberate misplacement, exploitation, or wrongful, temporary, or permanent use of a resident's belongings or money without the resident's consent.
  - **Mistreatment** is inappropriate treatment or exploitation of a resident.
  - **Neglect** means the failure of the facility, its employees or service providers to provide goods and services to a resident that are necessary to avoid physical harm, pain, mental anguish, or emotional distress.
  - **Sexual abuse** is non-consensual sexual contact of any type with a resident.
- j. F610 Investigate/Prevent/Correct Alleged Violation
1. In response to allegations of abuse, neglect, exploitation, or mistreatment, the facility must:
    - Have evidence that all alleged violations are thoroughly investigated.

- Put measures in place to prevent further potential abuse, neglect, exploitation, or mistreatment while the investigation is in progress.
  - Report the results of all investigations to the administrator or his or her designated representative and to other officials in accordance with State law, including to the State Survey Agency, within 5 working days of the incident, and if the alleged violation is verified appropriate corrective action must be taken.
2. The facility must take the following actions in response to an alleged violation of abuse, neglect, exploitation or mistreatment:
- Thoroughly investigate the alleged violation;
  - Prevent further abuse, neglect, exploitation and mistreatment from occurring while the investigation is in progress; and
  - Take appropriate corrective action, as a result of investigation findings.

**APPENDIX**  
**7. RESIDENT RIGHTS AND FREEDOM FROM ABUSE,  
NEGLECT, AND EXPLOITATION (RR)**  
**TOOLS AND FORMS**

**Appendix RR 1.1 A  
RESIDENT'S RIGHTS POSTER**

**To our residents:**

Below is a summary of your Rights as a Nursing Home Resident under federal law. For more detailed information, see the federal regulation on Resident Rights at 42 CFR 483.10.

**Your Rights and Protections as a Nursing Home Resident**

As a nursing home resident, you have certain rights and protections under Federal and state law that help ensure you get the care and services you need. The nursing home must tell you about these rights and explain them in writing in a language or format (Braille) you understand. They must also explain in writing how you should act and what you are responsible for while you are in the nursing home. This must be done before or at the time you are admitted, as well as during your stay. You must acknowledge in writing that you got this information. At a minimum, Federal law specifies that nursing homes must protect and promote the following additional rights of each resident. You have the right to:

Participate in your Treatment and Care Planning	Be free from abuse, neglect, exploitation, and misappropriation of your personal property
Access your care plan and personal and medical records and received copies	Direct your own medical treatment, including formulating advance directives
Be treated with dignity and respect	Designate and/or revoke a representative
Exercise rights as a citizen/resident of the United States (e.g., vote, religious expression)	Have your physician/representative notified of changes in your health status or treatment
Be informed in advance of care or treatment options and changes to your care plan	Share a room with your spouse or roommate of your choice
Participate in and choose activities, schedules, and significant aspects of your life	Self-administer your medications if deemed appropriate
Be free from discrimination	Make complaints and file grievances
Be free from physical and chemical restraints	Personal privacy/Confidentiality of records
Choose your attending physician	File a complaint with the State survey agency
Reasonable accommodation of your needs and preferences	Access contact information for State agencies/advocacy groups, Medicaid Fraud Unit
Manage your finances, receive accounting	Examine the facility's State survey results
Be informed of Medicaid eligibility	Informed of visitation rights/privileges
Form or participate in resident groups	Leave the nursing home
A safe, clean, homelike environment	Spend time with visitors or deny visits
Have protection against unfair transfer or discharge	Have your family and friends involved
	Access stationary/postage at own expense, send/receive unopened mail
Choose to or refuse to perform services for the nursing home	Receive written notice before room or roommate are changed
Have a cell phone (at own expense)	Have access to telephone, TTY or TTD



## **8. WORKFORCE MANAGEMENT (WM)**

## 8. WORKFORCE MANAGEMENT (WM)

Policy Number	POLICY
WM 2.0	<a href="#"><u>BACKGROUND SCREENING, EVALUATION, AND INVESTIGATION</u></a> <a href="#"><u>A. INITIAL EMPLOYEE SCREENING AND BACKGROUND INVESTIGATION</u></a> <a href="#"><u>B. FOREIGN NATIONALS</u></a> <a href="#"><u>C. APPLICANT DRUG TESTING</u></a>
WM 2.1	<a href="#"><u>EMPLOYMENT IMMIGRATION LAW REQUIREMENTS (I-9)</u></a>
WM 2.2	<a href="#"><u>STAFF LICENSING AND CERTIFICATION</u></a> <a href="#"><u>A. VERIFICATION OF LICENSES AND CERTIFICATES</u></a> <a href="#"><u>B. CNA BACKGROUND VERIFICATION</u></a>
WM 2.3	<a href="#"><u>CREDENTIALING OF LICENSED INDEPENDENT PRACTITIONERS</u></a>
WM 2.4	<a href="#"><u>ORIENTATION AND TRAINING</u></a> <a href="#"><u>A. GENERAL AND ROLE SPECIFIC ORIENTATION</u></a> <a href="#"><u>B. ON-THE-JOB TRAINING</u></a> <a href="#"><u>C. COMPLIANCE AND ETHICS PROGRAM</u></a> <a href="#"><u>D. COMPLIANCE AND ETHICS PROGRAM TRAINING AND EDUCATION REQUIREMENTS</u></a> <a href="#"><u>E. CODE OF CONDUCT</u></a> <a href="#"><u>F. CONFLICTS OF INTEREST</u></a> <a href="#"><u>G. SECURITY AWARENESS TRAINING</u></a> <a href="#"><u>H. ACTIVE SHOOTER</u></a>
WM 2.5	<a href="#"><u>EMPLOYMENT CONDUCT AND BEHAVIOR</u></a> <a href="#"><u>A. USE OF HANDHELD DEVICES, CELL PHONES, AND BEEPERS</u></a> <a href="#"><u>B. DRUGS AND ALCOHOL</u></a>
WM 2.6	<a href="#"><u>FAMILY AND MEDICAL LEAVE ACT (FMLA)</u></a>

WM 2.7	<u><a href="#">NONDISCRIMINATION</a></u> <u><a href="#">A. DIVERSITY POLICY</a></u> <u><a href="#">B. INFORMATION COMMUNICATION</a></u> <u><a href="#">C. COMMUNICATION WITH PERSONS OF LIMITED ENGLISH PROFICIENCY</a></u> <u><a href="#">D. AUXILIARY AIDS AND COMMUNICATION WITH PERSONS WITH SENSORY IMPAIRMENTS</a></u> <u><a href="#">E. AGE RESTRICTION/REQUIREMENT</a></u> <u><a href="#">F. SECTION 504 NOTICE OF PROGRAM ACCESSIBILITY</a></u> <u><a href="#">G. SECTION 504 GRIEVANCE</a></u>
WM 2.8	<u><a href="#">WORKPLACE VIOLENCE</a></u> <u><a href="#">A. WORKPLACE VIOLENCE PREVENTION PLAN</a></u> <u><a href="#">B. POLICY AGAINST HARASSMENT</a></u>
WM 2.9	<u><a href="#">DISCIPLINARY STANDARDS</a></u> <u><a href="#">A. DISCIPLINE</a></u> <u><a href="#">B. DISCIPLINARY GUIDELINES</a></u> <u><a href="#">C. NON-RETALIATION AND NON-RETRIBUTION</a></u>
WM 2.10	<u><a href="#">CONTROLLED SUBSTANCES AND ABUSE</a></u>
WM 2.11	<u><a href="#">TERMINATION</a></u>
	<u><a href="#">APPENDIX</a></u>
Appendix WM 1.0	HUMAN RESOURCES CHECKLISTS <u><a href="#">A. POSITIVE BACKGROUND CHECK LIST</a></u> <u><a href="#">B. NEW HIRE CHECKLIST</a></u>
Appendix 2.0	CREDENTIALING OF LICENSED INDEPENDENT PRACTITIONERS <u><a href="#">A. LICENSED INDEPENDENT PRACTITIONER CREDENTIALING AND APPOINTMENT CHECKLIST</a></u>

	<p><a href="#"><u>B. MEDICAL STAFF CREDENTIALING AND PRIVILEGING CANDI- DATE APPLICATION CHECKLIST</u></a></p> <p><a href="#"><u>C. APPLICATION FOR APPOINTMENT TO THE MEDICAL STAFF</u></a></p> <p><a href="#"><u>D. APPLICATION FOR MEDICAL STAFF PRIVILEGES</u></a></p> <p><a href="#"><u>E. PRIVILEGE REQUEST FOR SUBACUTE PROGRAM</u></a></p> <p><a href="#"><u>F. CREDENTIALING COMMITTEE ACTION</u></a></p>
Appendix WM 3.0	<p>ORIENTATION AND EDUCATION DOCUMENTS</p> <p><a href="#"><u>A. GENERAL ORIENTATION CHECKLIST</u></a></p> <p><a href="#"><u>B. ANNUAL COMPLIANCE AND CONFLICTS OF INTEREST DIS- CLOSURE STATEMENT</u></a></p> <p><a href="#"><u>C. ACKNOWLEDGEMENT OF THE COMPANY COMPLIANCE AND ETHICS PLAN</u></a></p> <p><a href="#"><u>D. TRAINING LOG</u></a></p> <p><a href="#"><u>E. ACKNOWLEDGMENT OF POLICY AGAINST HARASSMENT</u></a></p> <p><a href="#"><u>F. CONFIDENTIAL INFORMATION AGREEMENT</u></a></p>
Appendix WM 4.0	<p>PERSONNEL MANAGEMENT</p> <p><a href="#"><u>A. COMPLIANCE AND ETHICS PLAN EMPLOYEE LETTER</u></a></p> <p><a href="#"><u>B. DRUG &amp; ALCOHOL REASONABLE SUSPICION CHECKLIST</u></a></p> <p><a href="#"><u>C. PERFORMANCE APPRAISAL: ANNUAL REVIEW FORM</u></a></p>

**Policy Number:** WM 2.0

**Policy Title:** Background Screening, Evaluation, and Investigation

**Policy Statement/Purpose:** To ensure that The Company maintains a background screening, evaluation, and investigation policy for new and current staff in accordance with state and federal laws.

**Policy Interpretation and Implementation:** Background screening, evaluation, and investigation are components of The Company's Compliance and Ethics Program.

The Company will perform background investigations on new hires and reassigned and promoted employees and Associates to prevent the employment of any individual who has been convicted of a criminal offense related to health care or who has been debarred, excluded, or held to be otherwise ineligible for participation in federal or state programs.

In addition, verification must be obtained that background records checks have been completed on all agency or contract staff. Background investigations of present staff may be made on a regular basis or at the time of transfer, promotion, reclassification, or changes in job duties.

**Many states and localities prohibit criminal background checks until after a conditional offer of employment has been made.** It is general policy that no criminal background inquiry be made of ANY *prospective* employee. Candidates must receive a provisional offer of employment prior to signing an authorization providing written consent for a criminal background check to be performed. (Reference state specific criminal background check requirements).

It is the ongoing and continuous obligation of all Company staff to alert the Human Resources Department of any conviction or finding that may disqualify them from providing services.

Accuracy of information - The Company relies on the accuracy of information contained in the employment application, as well as the accuracy of other data presented throughout the hiring process and employment. Any misrepresentations, falsifications, or material omissions of this information or data may result in The Company's exclusion of an employee or staff person from further consideration for employment or, if the person has been hired, termination of employment.

**Definitions:**

- a. **Background check/Initial screening-** Includes an initial screening/review and documentation of requisite eligibility to work requirements such as verification of professional licenses, certifications as required, driver's license if indicated, reference checks, eligibility to work in the US (I-9), etc. conducted prior to an offer of employment being made.
- b. **Criminal background check-** Includes state mandated inquiries into the background of a Conditional employee to ensure Company compliance to regulations and protections of staff and clients. Inquiries are documented and retained.
- c. **Staff-** Staff includes employees, Medical Director, consultants, contractors, volunteers, caregivers who provide care on behalf of The Company, and students or interns.

## A. INITIAL EMPLOYEE SCREENING AND BACKGROUND INVESTIGATION

- 1). *Overview:* The Company will conduct screening and background investigations in accordance with state and federal law and standards of practice as part of the pre-employment screening procedures for prospective employees. This policy and procedure applies to any and all directors, officers, staff who provide care on behalf of The Company, employees, independent contractors, Medical Director, consultants, contractors, volunteers, students or interns, and others working for The Company (“Associates”).

Federal, and some state, laws impose obligations on health care providers to investigate the background of potential employees and, in some cases, preclude providers from hiring individuals found to have committed certain offenses. It is Company policy to perform background checks of all employees to the fullest extent required and/or permitted by applicable state law and to retain on file applicable records of current employees regarding such investigations. In addition, verification must be obtained that background records checks have been completed on all agency or contract staff.

Background investigations of present staff may be made on a regular basis or at the time of transfer, promotion, reclassification, or changes in job duties.

### 2). *Procedure:*

- a. Positions Subject to Screening Requirements - The Compliance Officer, in consultation with Counsel, may identify other employment positions that may require pre-employment background checks, positions that may require pre-employment and/or periodic drug screening, and medical testing conditions. Employment contracts for such positions, if used, will set forth expressly the applicant’s acknowledgment and acceptance of these requirements. (Refer to Policy WM 2.0 Section A: [\*Initial Employment Screening and Background Investigation\*](#)). At a minimum, CompanyName will:
  1. Check with all State Nurse Assistant Registries CompanyName has reason to believe contain information on an individual prior to using the individual as a nurse assistant
  2. Check with all applicable State licensing and certification authorities to ensure that employees hold the requisite license and/or certification status to perform their job functions
  3. Require that all potential employees certify as part of the employment application process that they:
    - have not been convicted of an offense or otherwise been found under applicable local, state, or federal law to have committed an offense that would preclude employment in a nursing facility; and
    - have not been excluded from participation in any state or federal health care program, including Medicaid and Medicare.
  4. Check available public sources, including the OIG's LEIB and the GSA's EPLS, for potential employees whose activities would be recorded there and whose activities may preclude them from employment in The Company
- b. All prospective employees/staff must fill out a pre-employment application and respond to all applicable questions presented in accordance with applicable state and federal law, including whether they have:

1. Been listed by the government as debarred, excluded, or otherwise ineligible for federal program (i.e., Medicare and Medicaid) participation
2. Had any exclusive action taken against them and any criminal convictions, in accordance with state and federal laws

The Company will not employ any individual who has been convicted of a criminal offense related to health care or who is debarred, excluded, or otherwise determined ineligible for participation in federal health care programs. The Company will not hire any such individual without documentation that the prospective employee has been officially reinstated into the federal health care programs.

It is the ongoing and continuous obligation of all employees of The Company to alert the Human Resources Department of any conviction, exclusion from participation in a federal or state healthcare program, or other finding that would disqualify them from providing services.

- c. Personal Interview – The Company conducts a personal interview to determine the applicant’s qualifications for the position for which they have applied, and to inform the applicant of the position’s responsibilities.
- d. Working Papers – For all applicants who are under the age of 18 years, The Company must obtain appropriate working papers or permits before they can start work. A copy of these papers will be kept in the employee’s employment file.
- e. Licensure Verification – All personnel who are required to be licensed or certified to provide resident care shall show the Director of Human Resources their License or Certification before they can start work. This license will be verified/documented with the issuing state’s on-line verification system.
- f. The Company will refrain from making any verbal or written inquiries into a prospective employee’s past criminal background or history during the initial employment application process.
- g. The Company will perform background screening and investigations on new staff. In addition, verification is obtained that background records checks have been completed on all agency or contract staff.
- h. Offers of Employment - Candidates must receive a *Conditional Offer of Employment* prior to signing an authorization providing written consent for a criminal background check to be performed.
- i. All offers of employment and volunteer/intern positions are contingent upon the results of background checks to be performed by the Human Resources Department designee.
- j. Notice and Disclosures - The Human Resources designee must comply with notice and disclosure requirements under the [Fair Credit Reporting Act \(FCRA\)](#) prior to conducting any background checks.
  1. After receiving a *Conditional Offer of Employment*, the applicant must sign an *Authorization providing written consent for a criminal background check* to be performed
  2. Once the authorization form is signed, the Human Resources designee will provide the conditional employee with a copy of the [Summary of Your Rights under the FCRA](#), to be supplied by the credit reporting agency, and any corresponding state law
  3. If The Company decides to take an adverse employment action based on the criminal background report, based on the overall background of the conditional employee, including the seriousness of the offense, the length of time since the offense was committed, work history

and quality of the conditional employee's references, and not solely on a positive criminal background check result unless such result creates a danger/potential risk to a vulnerable population, The Company will:

- Provide the conditional employee with a copy of the criminal background check result in addition to another copy of the [\*Summary of Your Rights\*](#) prior to taking any adverse employment action
  - Provide the conditional employee with the contact information of the agency that prepared the report to contest the accuracy of the information contained in the report
  - Provide the conditional employee with five (5) days to respond to or contest the accuracy of the report and obtain a corrected report
  - After the five (5) days, The Company will notify the conditional employee with a final notice of *Adverse Employment action* if it intends to discontinue the hiring process based on the results of the criminal background report
- k. Prior convictions will not necessarily disqualify an applicant from employment. Serious consideration shall be given to the position sought, the seriousness of the offense, the length of time since the offense was committed, work history, and quality of the conditional employee's references.
- l. Retention of Applications - If the applicant is hired, the completed application shall be kept as part of the employment file. If the applicant is not hired, the completed application shall be kept on file for one (1) year.
- m. Confidentiality - All background investigation results will remain confidential.

## **B. FOREIGN NATIONALS**

- 1). *Overview:* The Company has procedures in place to document Foreign Nationals consistent with law and regulation.
- 2). *Procedure:*
- a. Verification of Status:
    - 1. If the Foreign National has worked in the United States for one (1) year or longer, a criminal history check covering time in the United States will be completed
    - 2. If the Foreign National's visa and/or authorization to work in the United States was issued before implementation of the Patriot Act on October 24, 2001, a criminal history check will be completed in the individual's prior countries of residence
    - 3. If the Foreign National's visa and/or authorization to work in the United States was issued or renewed under the provisions of the Patriot Act, no criminal history check will be required
  - b. The Human Resources Department must perform the following background investigations:
    - 1. Criminal background checks to determine the following:
      - Prior conviction of a criminal offense unrelated to health care
      - Prior conviction of a criminal offense related to health care; specifically:
        - Criminal offense related to the delivery of an item or service under Medicare or Medicaid
        - Criminal offense related to the neglect or abuse of residents in connection with the delivery of a health care item or service



- Felony related to fraud, theft, embezzlement, breach of fiduciary responsibility, or other financial misconduct in connection with the delivery of a healthcare item or service, if the conviction or guilty plea occurred after August 21, 1996
  - Felony related to the unlawful manufacture, distribution, prescription, or dispensing of a controlled substance, if the conviction or guilty plea occurred after August 21, 1996
2. Verification that any prospective employees (regular and/or temporary), contractors, or subcontractors who directly or indirectly will be furnishing, ordering, directing, managing, or prescribing items or services in whole or in part are not excluded, unlicensed, or uncertified by searching the following databases:
    - Federal Exclusions Database:
      - <http://oig.hhs.gov/fraud/exclusions.asp>
    - Excluded Parties List System
      - <http://www.epls.gov/>
    - The General Services Administration's System for Award Management (available at <http://www.sam.gov>)
    - [State Medicaid Exclusion List](#)  
Information on those who have been debarred is available at State specific websites
  3. Because the Affordable Care Act has proclaimed an individual excluded in one state as excluded in all states, The Company shall also verify that no current or prospective employees (regular and/or temporary), contractors, or subcontractors who directly or indirectly will be furnishing, ordering, directing, managing, or prescribing items or services in whole or in part are excluded, unlicensed, or uncertified by searching currently maintained state databases
- c. The Human Resources Department may perform at its discretion the following background investigations:
1. Credit History Check (Federal law prohibits discrimination against an applicant or employee because of bankruptcy.)
  2. Sex and Violent Offender Registry Check
  3. U.S. Department of Justice, Office of Diversion Control – <http://www.deadiversion.usdoj.gov/index.html>
  4. State specific databases and registries as noted in Chapter 13 of this manual.

### C. APPLICANT DRUG TESTING

1). *Overview:* It is Company policy that all Company applicants pass a drug test. Applicants will be informed of drug test requirement during their interview.

2). *Procedure:*

- a. A former employee returning to The Company is not required to take a drug test so long as they have passed a drug test administered by The Company in the past six months.
- b. Only qualified applicants who are provided with a *Conditional Offer of Employment* are to be drug tested.
- c. If an applicant refuses a drug test, their *Conditional Offer of Employment* will be revoked.
- d. Applicants are to complete Appendix WM 1 Item F, *Applicant Consent to Drug Testing* and provide a urine sample in a multi-drug screen cup on Company premises.
- e. A positive result or the tampering of any sample will result in the withdrawal of employment offer.
- f. The Company will inform applicant of their test results.
- g. If positive test results are disputed by the applicant within five (5) days of receipt, The Company will send applicant to be retested by a certified laboratory and pay for the cost or retesting. The Company will inform applicant of their results upon receipt.
- h. If positive test results from a laboratory are disputed by the applicant within five (5) days of receipt by The Company, applicant may arrange for a second retest at a certified laboratory. The Company will reimburse the applicant only if test results are negative.
- i. Drug test results and all related documentation are to be filed in a locked cabinet separate from personnel file.

**Policy Number:** WM 2.1

**Policy Title:** Employment Immigration Law Requirements (I-9)

**Policy Statement/Purpose:** To ensure proper completion of Form I-9 for everyone hired for employment in the United States. This includes citizens and noncitizens.

**Policy Interpretation and Implementation:** All U.S. employers must ensure proper completion of Form I-9 for everyone they hire for employment in the United States. This includes citizens and noncitizens. Both employees and employers (or authorized representatives of the employer) must complete the form. On the form, an employee must attest to his or her employment authorization. The employee must also present his or her employer with acceptable documents evidencing identity and employment authorization. The employer must examine the employment eligibility and identity document(s) an employee presents to determine whether the document(s) reasonably appear to be genuine and to relate to the employee and record the document information on the Form I-9. Employers must retain Form I-9 for a designated period and make it available for inspection by authorized government officers.

1). *Procedure:*

- a. For all new employees, The Company will visit <https://www.uscis.gov/i-9> to view and download the latest I-9 form and Instructions for Form I-9.
- b. Company is responsible for complying with the time frames and instructions set forth on the latest I-9 form, as discussed in letter a. above.
- c. Newly hired employees must complete and sign Section 1 of Form I-9 **no later than the first day of employment but not before the employee has accepted a job offer.**
- d. The employee completes section 1 of the form, attesting that he or she is a citizen or national of the United States, a lawful permanent resident alien, or an alien with work authorization. Only people in these three categories can lawfully work in the United States.
- e. To obtain the list, employees may present from the List of Acceptable Documents, found on the last page of Form I-9, to establish identity and employment authorization. Employers must present one selection from List A OR a combination of one selection from List B and one selection from List C.
- f. Employer must indicate on Form I-9 which documents have been examined. It is employer's responsibility to decide whether the employee's documents appear valid. The USCIS advises that employers must accept documents that reasonably appear to be genuine and to relate to the person presenting them. To do otherwise could be an unfair immigration-related employment practice and therefore illegal.
- g. Employers may, but are not required to, photocopy the document(s) presented. If photocopies are made, they should be made for ALL new hires or reverifications. Photocopies must be retained and presented with Form I-9 in case of an inspection by DHS or other federal government agency. Employers must always complete Section 2 even if they photocopy an employee's document(s). Making photocopies of an employee's document(s) cannot take the place of completing Form I-9. Employers are still responsible for completing and retaining Form I-9.
- h. I-9 forms, together with copies of identity documents, should be stored separately from personnel documents and maintained in a secure place.

- i. Employers must retain Form I-9 for as long as the employee is on payroll. Once an employee is terminated, employer should retain the form I-9 for either three (3) years after the date of hire, or one (1) year after the date employment ended, whichever is later.

**Policy Number:** WM 2.2

**Policy Title:** Staff Licensing and Certification

**Policy Statement/Purpose:** The Company has policies in place to ensure employee licensing and certification is consistent with applicable legal requirements and standards of practice.

**Policy Interpretation and Implementation:** Practicing professionals and paraprofessionals are regulated by state licensing boards and must meet Company employment standards as identified in the current job description. Employees are responsible for maintaining their current licensure and for providing appropriate proof to The Company. Employees who become aware of potential licensing and certification violations must immediately report those violations to their supervisor, Administrator, Compliance Officer, or through the Compliance Hotline. In instances where the violation could place any resident in substantial jeopardy, the employee must immediately report directly to his/her director supervisor, Administrator, or Compliance Officer.

#### A. VERIFICATION OF LICENSES AND CERTIFICATES

- 1). *Overview:* The Company will verify the license or certificate prior to hire of any employee required to hold such a license or certificate, and again periodically as determined by the license renewal cycle or as directed by the Administrator and/or Human Resources Director.
- 2). *Procedure:*
  - a. Prior to hire, the Human Resources designee will verify that a license or certificate is current and bears the applicant's signature.
  - b. Before an applicant begins work with The Company, a license or certificate must be verified with the appropriate agency:
    1. RNs and LPNs – State Board of Nursing
    2. CNAs and NAs – State Abuse Registry
  - c. To ensure that Company's employees are licensed and certified to properly care for Company residents, the following elements are incorporated into the Compliance and Ethics Program policies:
    1. Proof of Licensure/Certification - The hiring supervisor is responsible to verify that each newly hired employee possesses a valid license in good standing applicable to his or her position. The hiring supervisor is responsible to *check with the State Board Licensing database* to review the potential employee's licensing status prior to job placement in the licensing category
    2. The Human Resource Department is responsible for verifying that each newly hired employee has not been suspended or excluded by any government agency or court from participating in the Medicare, Medicaid, or any Federal or State health care program and verifying the National Practitioner Data bank (NPDB) for licensed individuals  
<https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&cad=rja&uact=8&ved=2ahUKEwj3zOysyqHdAhVMu1MKHUjICAEQFjAAegQIC-BAB&url=https%3A%2F%2Fwww.npdb.hrsa.gov%2Fresources%2FaboutLegsAndRegs.jsp&usg=AOvVaw2l676JDue7Crly6-0kEUDd>

3. The Human Resource Department is responsible for a periodic review of the Office of Inspector General (GIG) Exclusion Database and the Government Services Agency (GSA) databases
- d. Expired Credentials
  1. Employees who do not provide proof of renewal by the expiration date of their credentials, as evidenced by verification of the state board on-line data base, will be subject to immediate job reclassification, and their pay may be adjusted accordingly
  2. Employees who fail to provide proof of renewed credentials within ten (10) days of expiration will be terminated
- e. Loss of Licensure
  1. Employees must inform their supervisors immediately if they lose their licensure or are placed on probation for any reason
  2. Employees who lose their license will be subject to immediate job reclassification, with appropriate pay change, or termination
- f. Failed Licensure Exam
  1. Employees must notify their supervisor immediately of licensure test results (pass/fail)
  2. Employees who do not pass their licensure exam are subject to immediate job reclassification, with appropriate pay change, or termination
  3. Employees who fail either a National and/or State credentialing examination, as specified in the job description, two consecutive times (regardless of whether both failures occur under employ) will be terminated
- g. Distinguish licensure from optional certifications such as those from professional societies such as certified DON, or AANAC unless it is required by job description (Company policy)

## **B. CNA BACKGROUND VERIFICATION**

- 1). *Overview:* The Company will verify the status of a Certified Nursing Assistant (CNA) by checking the State Nurse Aide Registry.
- 2). *Procedure:*
  - a. The Human Resources Designee will verify the CNA's certification status on the state's CNA registry. Alternatively, the HR Designee will contact the Department of Health & Senior Services to determine any adverse background of any CNA prior to hire.
  - b. Any history of abuse or neglect towards the elderly will be grounds for denial of employment.
  - c. The CNA verification process will be repeated periodically as determined by the Human Resources Director and/or the Administrator, or as needed.

**Policy Number:** WM 2.3

**Policy Title:** [Credentialing of Licensed Independent Practitioners](#)

**Policy Statement/Purpose:** The Company has a defined process to credential individuals permitted by law and authorized by The Company to practice independently.

**Policy Interpretation and Implementation:** The credentialing process is a component of The Company Compliance and Ethics program.

The Company has applied credentialing criteria to licensed independent practitioners (i.e. Attending Physicians, on-call Physicians, Dentists, Podiatrists, Nurse Practitioners, Psychiatrists, Physiatrists, Radiologists, and Cardiologists) applying to provide resident care or treatment under The Company's auspices. If a consultant writes orders and provides treatment, the credentialing process will be initiated. If a cardiologist, radiologist, and pathologist only provide impressions to The Company and attending physician, the attending physician is ultimately responsible to make a final diagnosis based on his individual clinical assessment.

*Procedure:*

The credentialing criteria specify the requirements for authorizing an independent licensed practitioner to practice in The Company. This credentialing process establishes an applicant's background and current competence which ensures that Company residents receive safe, quality of care and that The Company is compliant with prevailing laws and regulations. The credentialing requirements include:

1. Credentialing Application
2. Current license
3. DEA Number
4. State Narcotic Certificate
5. Professional liability and malpractice insurance certificate
6. Written Resume of relevant education, training, and experience
7. Scope of Service letter - A statement that the individual is able to perform the services he/she is applying to provide (mentally and physically competent and sets privileges within the scope of The Company's Provider status).
8. Two current competencies verified in writing by individuals personally acquainted with the applicant's professional and clinical performance. These letters are to contain informed opinions on the individual's scope and level of performance.
9. National Practitioner Data Bank verification

This information may be obtained through the following resources:

1. The Company will perform primary source verification either by letter, documented phone call, or on-line licensure verification from the primary source licensing agency or State Board.
2. Alternatively, contract with a Credentialing Verification Organization (CVO) after assessing the services provided by the CVO.
3. Rely on the decision from a Joint Commission Accredited Hospital to perform the primary source verification and then provide evidence of that verification to The Company (copy of appointment letter, current staff list, practitioner's status).
4. Rely on the applicant Physician to provide an original copy of a recent appointment letter to its

- medical staff of a Joint Commission Accredited Hospital, with verification from the hospital.
5. For physicians not practicing at a Joint Commission accredited hospital, The Company must conduct the primary source verification and The Company medical director evaluates the candidate's credentials for privileging at the Company.
  6. References and/or interview with Administrator and Medical Director.

Once all the above documentation is obtained, it will be reviewed, verified, and signed by the Medical Director and approved by the [Credentialing Committee](#) (if applicable) or The Company Administrator. (Reference WM Appendix 2.0, Section B. [Medical Staff Credentialing and Appointment Checklist](#))

The decision of the Board or Administrator will be documented, and the independent practitioner will be notified in writing of the credentialing decision (and scope of practice) on an ongoing basis on re-licensing credentialing and thereafter.

All Physicians and Clinical Staff will be informed of the credentialed practitioner authorized scope of practice (privileges) to practice by official, retrievable memo.

All independent practitioners will be reviewed bi-annually for re-appointment (i.e. by verifying the licensed independent practitioner's current license).



**Policy Number:** WM 2.4

**Policy Title:** Orientation and Training

**Policy Statement/Purpose:** All new employees, and those re-hired after an absence of six (6) months or more, are required to complete The Company's orientation program.

**Policy Interpretation and Implementation:** Orientation and training are components of The Company Compliance and Ethics program.

#### **A. GENERAL AND ROLE SPECIFIC ORIENTATION**

- 1). *Overview:* General and Role specific training will be provided to new employees as necessary.
- 2). *Procedure:*
  - a. All new employees and those re-hired after an absence of six (6) months or more are required to participate in Company's orientation program on their first day of work.
  - b. The orientation program will cover all topics listed on WM Appendix 3.0, section A [General Orientation Checklist](#).
  - c. New employees are also required to complete State Mandated Orientation and In-Service topics relevant to their job position and/or department.
  - d. New employees will also participate in a Department Specific orientation, in which Department Heads will introduce employees to department specific policies and procedures.
  - e. New employees are required to initial next to each completed task on the [General Orientation Checklist](#). New employees are also required to sign the *General Orientation Checklist* where indicated following the completion of orientation.

#### **B. ON-THE-JOB TRAINING**

- 1). *Overview:* On-the-job training will be provided to new employees as necessary.
- 2). *Procedure:*
  - a. In order to provide new employees with the knowledge required to competently perform job duties, on-the-job training will be provided as necessary.
  - b. On-the-job training will run from the first day of employment until the Department Head is confident that the new employee can perform their job duties without supervision.
  - c. Department Heads are responsible for creating an on-the-job training program for their department to ensure consistency among all new employees to a position. On-the Job training topics include fire, safety, infection control, and other operational practices unique to the department that support role specific orientation.

### C. COMPLIANCE AND ETHICS PROGRAM

- 1). *Overview:* The Company ensures that all persons associated with The Company are effectively trained about the Compliance and Ethics Program, specific regulatory compliance issues, and their responsibilities. All persons associated with The Company are responsible for compliance including employees, Executives, Governing Body Members, Board Members, vendors and consultants. **All compliance training is mandatory.**
  
- 2). *Procedure:* The Company compliance and ethics training and education program is designed to communicate Company Program's standards and procedures to staff members in a meaningful and effective manner and to ensure consistent application of the Program's policies. The training program:
  - a. Is geared to the level of responsibility and job function.
  - b. Utilizes classroom, lecture, recorded instruction, and/or other means of communication, as appropriate to accommodate the skills, experience, and knowledge of the trainees.
  - c. Employs other forms of education, such as the use of posters, bulletin boards, paycheck stuffers, etc., to inform employees of new compliance issues or to reinforce various aspects of past training.
  - d. All training, regardless of information sharing method, must be thoroughly documented, including the date, attendees, and agenda.
  - e. During new hire orientation, all new hires, regardless of position and seniority, are trained on the Compliance and Ethics Program and specific requirements and expectations under the Program.
  - f. It is the Compliance Officer's responsibility to coordinate training activities and maintain a library of compliance-related information and training materials.
  
- 3). *The ongoing Compliance Training Program includes the following:*
  - a. The [Compliance and Ethics Plan](#) including the [Code of Conduct](#). (Reference CP 1.0 and CP 2.1)
  - b. New Hire Orientation, including [Compliance Expectations](#) (Reference Workforce Orientation)
  - c. Regular Compliance Training
  
- 4). *Managers and Supervisors:*
  - a. Must provide appropriate instruction to ensure that employees perform their duties as required and must exercise care to detect instances of noncompliance.
  - b. Are accountable for meeting this responsibility and may be subject to disciplinary action if they fail to do so.
  - c. Are in the best position to identify areas in which employees require additional training and are expected to advise the Compliance Officer regarding any such training needs.
  - d. May be expected to assist in compliance training relating to their respective areas of operation.
  
- 5). *Employee Acknowledgment:* Each employee will acknowledge in writing that he or she:
  - a. Completed training (verified by appropriate training personnel).
  - b. Has read those sections of the *Compliance and Ethics Program Manual* that are relevant to his or her duties.

- c. Pledges to adhere to the Compliance and Ethics Program.
- d. Understands that promotion of and adherence to the Compliance and Ethics Program is a condition of employment and a factor in The Company's evaluation of the employee's performance, and that failure to comply with the Compliance and Ethics Program may lead to disciplinary actions, up to and including immediate discharge. (Reference WM Appendix 3 Section B [\*Annual Compliance and Conflicts of Interest Disclosure Statement\*](#))

An employee's refusal to make such an acknowledgment will be noted on the employee's acknowledgment form and reported to the Compliance Officer.

**D. COMPLIANCE AND ETHICS PROGRAM  
TRAINING AND EDUCATION REQUIREMENTS**  
(Reference CP Section 2.0 L [\*Compliance and Ethics Training and Education\*](#))

*Overview:* The Company maintains an ongoing compliance education program which includes the following minimum requirements:

- 4. Trainees: Education and training on compliance issues is provided to:
  - a. All Company employees
  - b. Admitting physicians and licensed independent practitioners
  - c. Company corporate officers and Board members
  - d. Agents performing services on behalf of The Company
  - e. Volunteers, students, interns
- 5. Training Materials: All employees are given:
  - a. Employee Handbook
  - b. Code of Conduct
  - c. Sections of the compliance standards and policies relevant to their duties
- 6. Training Methods: Training sessions will utilize classroom, lecture, and/or video instruction, and/or other means of communication, as appropriate to accommodate the skills, experience, and knowledge of the trainees. A series of introductory compliance training sessions will be provided at times when employees on all shifts can attend. These training sessions will be mandatory. Other forms of education will be employed, such as the use of posters, bulletin boards, paycheck stuffers, etc., to inform employees of new compliance issues or to reinforce various aspects of past training.
- 7. General Training: All training sessions will communicate:
  - a. The purpose, scope, and importance of adherence to the Compliance and Ethics Program
  - b. The disciplinary consequences of failing to adhere to Program requirements
  - c. The standards and procedures relevant to the trainees' duties
  - d. Relevant fraud and abuse laws
  - e. Everyone's duty to report misconduct and to adhere to the Compliance and Ethics Program

8. Targeted Training: After the initial training is completed, there is a series of focused training sessions that targets employees in their departments. This training will further explain the compliance issues that most directly affect employees in each department.

Anyone whose activities may affect the accuracy of claims for reimbursement (e.g., individuals involved in billing, cost reporting, and marketing, or individuals who furnish medical services to The Company's residents) will receive targeted training regarding:

- a. Government and private payor reimbursement principles
- b. Claim development and submission processes
- c. Appropriate marketing practices, including the laws prohibiting attempts to influence referrals through free or discounted goods or services
- d. Additional topics relating to operations that could put The Company at risk of noncompliance with governmental health care program requirements

Additional compliance training sessions may be scheduled when new laws or regulations are enacted that change the Code of Conduct, or when an employee's conduct indicates the need for additional training in an area.

9. Training Requirements for Employees: No employee is authorized to act on The Company's behalf without first completing the employee screening and compliance training process, unless written authorization is given by the Compliance Officer.
10. Record of Training: A record of compliance training will be maintained in each employee's personnel file. The record should contain the date of the training, the content of the training, and the person(s) who provided the training. (Reference Training Log, below)

## **42 CFR 483.95 – Mandatory Training Requirements**

A company must develop, implement, and maintain an effective training program for all new and existing staff; individuals providing services under a contractual arrangement; and volunteers, consistent with their expected roles. A company must determine the amount and types of training necessary based on a company assessment as specified at § 483.70 (e). Training topics must include but are not limited to:

- (a) Communication. A company must include effective communications as mandatory training for direct care staff.
- (b) Resident's rights and company responsibilities. A company must ensure that staff members are educated on the rights of the resident and the responsibilities of a company to properly care for its residents as set forth at §483.10.
- (c) Abuse, neglect, and exploitation. In addition to the freedom from abuse, neglect, and exploitation requirements found at § 483.12. Facilities must also provide training to their staff that at a minimum educates staff on:
  - (1) Activities that constitute abuse, neglect, exploitation, and misappropriation of resident property

- (2) Procedures for reporting incidents of abuse, neglect, exploitation, or the misappropriation of resident property
  - (3) Dementia management and resident abuse prevention
- (d) Quality assurance and performance improvement. A company must include as part of its QAPI program mandatory training that outlines and informs staff of the elements and goals of The Company's QAPI program as set forth at §483.75.
- (e) Infection control. A company must include as part of its infection prevention and control program mandatory training that includes the written standards, policies, and procedures for the program as described at §483.80 (a)(2).
- (f) Compliance and ethics. The operating organization for each company must include as part of its compliance and ethics program as found at, §483.85.
- (1) An effective way to communicate that program's standards, policies, and procedures through a training program or in another practical manner which explains the requirements under the program
  - (2) Annual training if the operating organization operates five or more facilities
- (g) Required in-service training for nursing assistants. In-service training must:
- (1) Be sufficient to ensure the continuing competence of nursing assistants but must be no less than 12 hours per year
  - (2) Include dementia management training and resident abuse prevention training
  - (3) Address areas of weakness as determined in nursing assistants' performance reviews and company assessment at §483.70(e) and may address the special needs of residents as determined by The Company staff
  - (4) For nursing assistants providing services to individuals with cognitive impairments, address the care of the cognitively impaired
- (h) Required training of feeding assistants. A company must not use any individual working in The Company as a paid feeding assistant unless that individual has successfully completed a State-approved training program for feeding assistants, as specified in §483.160.
- (i) Behavioral health. A company must provide behavioral health training consistent with the requirements at § 483.40 and as determined by The Company assessment at §483.70(e). 82 FR 68870, October 4, 2016

**Guidelines:**

- A. Our company will extend the same training given to nurse aides to all staff but expanded to make it meaningful for all.
- B. CMS encourages The Company to consider the use of free training materials such as the CMS “Hand in Hand” curriculum.
- C. The regulations do not specify that a member of The Company has to conduct the training activities. The Company will consider working with training partners to meet the CMS mandated training requirement. Our company has the flexibility to work with outside entities to provide the training (e.g., Med-Net Compliance, LLC).

- D. The Company strives to leverage any resources available to assist with developing and implementing our training program.
- E. Staff providing direct care to residents are to be re-trained in dementia management at least annually. By direct care staff, CMS is referring to those individuals who, through interpersonal contact with residents or resident care management, provide care and services to allow residents to attain or maintain the highest practicable physical, mental, and psychosocial wellbeing.

#### **E. CODE OF CONDUCT**

(Reference [CP 2.1 Code of Conduct](#))

#### **F. CONFLICT OF INTEREST**

(Reference [CP 2.2 Conflict of Interest](#))

#### **G. SECURITY AWARENESS TRAINING**

- 1). *Overview:* To successfully implement a security program requires security training for those that plan and design network and applications. General security awareness training is also necessary for all employees.

The establishment of security training courses will be the responsibility of the Information Security Manager.

Human Resources will administer the training program.

- 2). *Procedure:*

- a. All workforce members who plan, design, and implement networks or applications are required to be trained in The Company's security policies and procedures.
- b. For the existing members of the workforce, training must be conducted on an annual basis. For existing members of the workforce whose functions have changed, training must be completed within thirty (30) days of the function changes.
- c. For a new member of the workforce, training must be completed thirty (30) days after the person joins the workforce.
- d. The Company will implement a security awareness and training program for all workforce members including but not limited to:
  - 1. Security reminders - Periodic security updates
  - 2. Protection from malicious software - Procedures for guarding against, detecting, and reporting malicious software
  - 3. Log-in monitoring - Procedures for monitoring log-in attempts and reporting discrepancies
  - 4. Password management - Procedures for creating, changing, and safeguarding passwords

#### **H. ACTIVE SHOOTER**

- 1). *Overview:* Emergency planning responsibilities are significant for healthcare facilities as they are faced with planning for emergencies of all kinds. Because many emergencies occur with little or no warning, it is critical to plan in advance and to practice response through drills. For that reason, our facility is committed to training that enables our staff to be knowledgeable about this type of

disaster. Early intervention can prevent the situation from escalating by identifying, assessing, and managing a threat. Recognizing pre-attack warning signs and indicators could prevent a potential tragic active shooter event.

*2) Definition:*

An active shooter is an individual who is actively engaged in killing or attempting to kill people in a confined and populated area. The individual is armed with at least one gun, and intends to kill people, not commit some other crime.

*3) Procedure:*

a. Each employee carries a three-fold responsibility regarding the potential for an active shooter event:

- **First:** Learn the signs of a potentially volatile situation and ways to prevent an incident
- **Second:** Learn steps to increase survival of self and others in an active shooter incident
- **Third:** Be prepared to work with law enforcement during the response

b. Recommended Areas of Preparation: Our facility follows recommendations of the National Preparedness Planning Initiative by addressing five areas of active shooter preparedness:

**1. Prevention** – action taken to keep a threatened or actual incident from occurring

- Employees, medical staff, volunteers, and contractors must display an authorized identification badge properly at all times
- All staff will be trained to practice a culture of vigilance and safety and report unusual, dangerous, or suspicious workplace violence activity immediately
- Leadership will take all reports seriously and act upon them – lives depend on this
- All levels of staff will work together to ensure locked doors remain closed and locked
- Codes on doors with keypad access will be changed at specified intervals and sharing of codes is not to occur, with the exception of staff who need to know
- Staff will ask individuals who seem lost or unfamiliar with the surroundings if they need assistance and report any concerns

**2. Protection** – action focused on protecting residents/residents, staff, visitors, and property from a threat or hazard

- Training will include what to expect and how to react.
- Drills will be planned and conducted with first responders
- A walk through with law enforcement will give them familiarity with the building
  - They can help identify shelter areas and alternate escape routes for staff to use in an emergency
- Involve staff in all aspects of the practice and drills

**3. Mitigation** – reducing the likelihood that threats and hazards will happen

Staff will be trained to watch others for the following warning signs and to report negative observations immediately:

- Pre-Attack Behaviors: Paranoid ideas, delusional statements, changes in personality or performance, disciplinary problems on site, depressed mood, suicidal ideation, non-specific threats of violence, increased isolation, odd or bizarre behavior, interest in or acquisition of weapons
- Behavioral warning signs of a potential active shooter that should be brought to the attention of law enforcement and facility stakeholders include:
  - Development of a personal grievance
  - Contextually inappropriate and recent acquisition of multiple weapons, escalation in target practice and weapons training, or interest in explosives
  - Intense interest in or fascination with previous shootings or mass attacks
  - Experience of a significant real or perceived personal loss in the prior weeks and/or months, such as a death, breakup, divorce, or loss of a job

A **Threat Assessment Team**, or TAT, consisting of administration, human resources, current employees, medical and mental health professionals, and law enforcement representatives will meet routinely to identify individuals who show risk factors for becoming active shooters if left unaddressed. TAT members will:

- review reports of troubling behavior of current or former residents/residents and family members, visitors, staff, and others that are brought to their attention by staff or others associated with the facility;
- consider the potentially threatening person's life – family, work, residential, social;
- identify any potential targets or victims; and
- determine whether law enforcement intervention, counseling, or other actions are needed.

**4. Response** – stabilizing an emergency once it has happened; restoring a safe and secure environment; saving lives and preventing destruction

Announce the Active Shooter:

- Staff will be trained to loudly state the following to alert all to the imminent danger if an incident occurs: ***“There is an active shooter on site, location,” ongoing status, followed by all clear when the event ends***
- Plain language is best – staff will be trained not to use coded language that not everyone will understand
- Staff will notify local emergency responders immediately. Everyone who can call 911 should do so – what if in the moment of panic, no one called?

Follow the **Run, Hide, Fight Model**:

**Run** – if you can do so safely

- ✓ Leave personal belongings behind
- ✓ Visualize possible escape routes, including for residents/residents, visitors, the disabled
- ✓ Avoid elevators
- ✓ Take others with you, but do not stay behind because they will not go

**Hide** – it may be the only option

- ✓ Barricade areas where residents, visitors, or staff are located



- ✓ Lock doors if locks are present
- ✓ Barricade doors with heavy furniture or a wedge
- ✓ Close and lock windows, close blinds, turn off lights
- ✓ Silence electronic devices and remain silent
- ✓ Look for ways to escape
- ✓ Identify things to use as weapons if the shooter enters the area
- ✓ Remain in place until the all clear is given

**Fight** – an option of last resort

- ✓ When confronted directly by a shooter, staff should consider trying to disrupt or incapacitate the shooter by using aggressive force and items in the environment, such as fire extinguishers, chairs, etc. They can spray the individual with the discharge from a fire extinguisher or use the extinguisher itself or a chair to hit the person forcefully over the head
- ✓ Confronting an active shooter will **never** be a requirement, but if faced with no other option, it may save lives

Staff will be educated on the following Active Shooter Incident response actions:

- When faced with the situation, forcefully communicate the danger and necessary action (Gun! Get out!! Run!!)
- Those closest to the public-address system or other communications system should announce the danger and necessary action
- Call 911 as soon as it can safely be done with information that is clear and accurate (it is acceptable to use a resident's phone in an emergency!)
- While personal safety is the primary consideration, helping others to safety increases survivability for all
- An individual might first need to hide, and then run when it is safe to do so, so Run, Hide, Fight may occur in a different sequence
- If the active shooter discards a weapon or is incapacitated and drops a weapon, **DO NOT PICK IT UP**
  - The weapon can be secured in a trash can or bag, but should never be carried in the hand of the person finding it – this could make the individual appear to be the shooter in the eyes of the responding officers
- During the event, the police may yell instructions and perform aggressively as they work within the situation – staff must follow their commands promptly, recognizing how serious the situation is

**5. Recovery** – restoring the treatment environment as soon as possible after the active shooter event. Administration will:

- Designate a facility spokesperson
- Ensure an accounting for all individuals, including residents, visitors, and staff
- Coordinate actions with first responders
- Determine the best method for notifying families in coordination with law enforcement
- Assess the behavioral health of those at the scene, and provide mental health resources for all

- Plan and activate an employee family unification plan in a safe place away from the press
- Determine when to resume full services
- Provide information to the community and plan on how the negative information will be delivered.
  - How, when, and by whom will families of residents and staff be notified of any injuries and deaths
  - Typically, law enforcement notifies family members of casualties that result from a crime
  - Facility response will be integrated with the procedures of law enforcement and the medical examiner

Administration will ensure the following Key Points for an Effective Plan are in place:

- Proactive steps, including training, will help employees identify individuals who may be on track to commit a violent act
- A preferred method for reporting active shooter incidents will be taught to all staff, including informing everyone in the facility or who maybe subsequently entering the building while an event is occurring in clear language that everyone will understand
  - Remember to make provision for the deaf, hard of hearing, and those for whom English is not the first language
- Establish a written evacuation policy and procedure – include:
  - Emergency escape procedures and route assignments (floor plans that show exit routes and safe areas as part of the “Run, Hide, Fight” plan)
  - Lockdown procedures individualized for the facility’s individual units, offices, buildings
- Integrate communication with the facility’s internal incident commander with the external incident commander
- Post a list of local area emergency response agencies and hospitals (name of agency, phone number, contacts) in numerous locations, such as nurses’ stations, all department manager offices, at every facility telephone, and provide a copy of the list to the facility’s external resources for incident commanders at the facility to use

Resource:

**Incorporating Active Shooter Incident Planning into Health Care Facility Emergency Operations Plans** <https://www.phe.gov/Preparedness/planning/Documents/active-shooter-planning-eop2014.pdf>

**Policy Number:** WM 2.5

**Policy Title:** Employment Conduct and Behavior

**Policy Statement/Purpose:** All Company employees shall accept certain responsibilities, adhere to acceptable practices in matters of conduct and behavior, and always exhibit a high degree of personal integrity. The Company's mission and expectations of achievement on behalf of its residents requires an exceptional level of consistent professional behavior on the part of all employees.

**Policy Interpretation and Implementation:** Employment Conduct and behavior are components of The Company Compliance and Ethics program.

#### **INAPPROPRIATE/UNACCEPTABLE CONDUCT AND BEHAVIOR**

The following examples of inappropriate or unacceptable conduct and behavior reinforce the importance of performing responsibilities in a professional, honest, and sensitive manner when working with one another, residents, and their families.

***Important Note:*** *The following list is illustrative only and not all inclusive.*

Examples of inappropriate or unacceptable conduct and behavior:

1. Resident abuse
2. Violating a resident's rights
3. Disobeying work directives or insubordinate behavior toward supervisors, department heads, or administrators
4. Stealing, willfully destroying or damaging Company, resident, or employee property
5. Disorderly or discourteous conduct
6. Discussing personal problems with residents, a resident's family, or visitors
7. Reports to work apparently under the influence of alcohol, illegal drugs or narcotics, or in a physical condition making it unsafe or unsatisfactory to continue employment (includes using substances while on duty)
8. "logging in" for another employee's time, or asking someone to "log in" on one's own time card
9. Logging in or out at times other than those authorized, or leaving duties during working hours without permission
10. Borrowing money or other possessions from residents
11. Disclosing anything of a personal nature concerning a resident, either inside or outside of The Company ***Exception:*** *Unless the employee's duties require giving of or exchanging information as defined in the employee's job description*
12. Sexual or other form of coworker harassment
13. Failure to exercise proper responsibility of office or center keys assigned to the employee's care
14. Unauthorized possession of firearms or other weapons on Company property
15. Refusal to comply with safety and fire regulations or sanitation rules and regulations
16. Excessive or unjustified absences or tardiness. If unable to work, failure to notify the supervisor or department head
17. Smoking in unauthorized areas
18. Violating solicitation, distribution, and access policies and procedures

19. Performing personal work on Company time without permission of the supervisor or department head
20. Using Company telephones/communication systems for personal matters except in emergencies
21. Taking more time than allowed for meals and rest breaks
22. Inefficiency and/or negligence in the performance of assigned duties
23. Altering, falsifying, or making a willful misstatement of fact on a resident record or chart, job or work record, employment application, or other record or report
24. Misrepresenting reason(s) for a leave of absence or other time off from work
25. Failure to report back to work from authorized leave or vacation
26. Failure to use personal safety equipment, such as a back-support belt, when required
27. Failure to report to and begin work on time
28. Failure to treat all residents, visitors, and coworkers with kindness, respect, and dignity
29. Bringing firearms, alcoholic beverages, and/or other drugs and narcotics on the premises
30. Gambling on Company property

### **CONFLICTS BETWEEN EMPLOYEES**

Conflicts between Company employees shall not be discussed in front of or with residents or visitors. Supervisors, Department Heads, and/or center Administrators shall assume responsibility in assisting employees to resolve conflicts. When conflicts cannot be settled, a grievance may be filed in accordance with policies and procedures.

### **DISCIPLINARY ACTION**

Should an employee's work performance, habits, or attitudes become unsatisfactory based on one or more of the above cited examples or other similar behavior, appropriate disciplinary action shall be taken. (Reference WM 2.9 [Disciplinary Standards](#))

#### **A. USE OF HANDHELD DEVICES, CELL PHONES, AND BEEPERS** (Reference Privacy Practices [PP 2.2](#) and [2.3](#))

- 1). *Overview:* Company employees shall exercise thoughtfulness and courtesy in responding to, and using personal communications such as cell phones, beepers, and other hand held devices, and any social media applications (apps) to which images and/or audio of residents, family, and staff could be uploaded.

The Company has a ZERO TOLERANCE policy regarding employee personal cell phones and other personal communication devices being present in resident areas. The Company is dedicated to the care of the elderly and disabled and to the protection of their privacy. The care of these residents cannot be adequately accomplished when the employees are interrupted by outside personal phone calls. Residents' right to privacy and confidentiality for all aspects of care and services cannot be ensured if personal communication devices are present in resident care

areas. The policy is to protect both the residents and employees from inappropriate, unlawful communications, including, but not limited to, recording and text communications using a personal cell phone/transmission device.

2). *Procedure:*

- a. Employees shall not use Company's telephones for personal use unless it is an emergency. If personal calls are received, a message shall be taken by the receptionist and forwarded to the employee.
- b. Employees are encouraged to inform friends, relatives, etc. not to call them while on duty.
- c. Employees shall not be paged to a telephone unless it is a bona-fide emergency.
- d. No Company employee shall possess or use a *personal* cellular telephone or beeper while at work, unless approved to do so by The Company Administrator. Guidelines for the use of cell phones include:
  1. Cell phones may be used for personal calls and text messaging ONLY when the employee is on authorized meal and break periods and in designated cell phone use areas
  2. Employees are expected to place their cell phones in their lockers or leave them in their vehicles when on The Company grounds
  3. Cell phones MAY be used while employees are in the break area or in their vehicles in the parking lot  
Cell phones MAY NOT be used on the grounds or parking lot other than in an employee's vehicle
  4. In the event there is an emergency situation that must be immediately tended to, inform the supervisor so communication arrangements can be approved in advance. Failure to comply with cell phone policies may result in disciplinary action
  5. Employees who have their personal cell phone in their possession in resident areas may be subject to disciplinary action, up to and including termination
  6. Exceptions to this policy may include physicians, physician extenders, and individuals who must carry a cell phone into resident areas due to the need to be reached immediately for patient/resident-related issues. This must be authorized in advance
  7. Texting or other transmission of resident protected health information (PHI) using employee personal cell phones is prohibited

## **B. DRUGS AND ALCOHOL**

1). *Overview:* The Company has a significant interest in ensuring the health and safety of its residents and employees. In furtherance of this interest, The Company has established a policy prohibiting the use, possession, purchase, sale, transfer, or distribution of non-medically prescribed controlled substances or alcohol while on The Company's premises or elsewhere, while on Company business. The Company encourages an enlightened viewpoint toward alcoholism and drug dependencies as behavioral-medical problems, which, within reason, can be treated. The Company encourages employees or members of their families to seek assistance if alcohol or drug abuse is a problem. For these reasons, The Company has established the following substance abuse policy.

- a. **On the job Use, Possession, Sale, Transfer, or Distribution:**
  1. The use, possession, sale, transfer, or distribution of non-medically prescribed controlled substances or of alcohol on The Company's premises or at any of The Company's work sites is prohibited. Any employee found in violation of the above-stated policy is subject

- to disciplinary action up to and including dismissal on the first offense. The term ‘work site’ includes: Company vehicles on and off The Company’s premises; or anywhere in The Company’s buildings or property
2. Depending on the circumstances, other action, including notification of appropriate law enforcement agencies, will be taken with respect to an employee violating this policy
  3. Employees are prohibited from possessing paraphernalia used in connection with non-medically prescribed controlled substances
- b. **Employee Impairment and Drug Use:**
1. Employees are prohibited from reporting to and being at work while under the influence of alcohol, illegal drugs, or any controlled substance. Any employee violating this policy may be subject to disciplinary action up to and including dismissal on the first offense
  2. An employee taking a drug or other medication, whether or not prescribed by a physician for a medical condition, which is known or publicized as possibly impairing judgment, coordination, or other senses important to the safe and productive performance of work, must notify his or her supervisor prior to starting work. This supervisor will decide whether the employee can continue to work or will impose any necessary work restrictions
- c. **Employee Drug/Alcohol Testing:**
1. When The Company has reasonable suspicion to believe that an employee’s behavior and/or performance is influenced by controlled substances and/or alcohol, The Company may require the employee to submit blood or urine samples for testing. Factors establishing reasonable cause include, but are not limited to:
    - Stumbling or difficulty walking
    - Slurred or incoherent speech
    - Apparent confusion and disorientation
    - Odor of alcohol and/or residual odor peculiar to some chemical or controlled substance
    - Dilated pupils/pinpoint pupils
    - Red eyes
    - Discovery or presence of illegal substances or alcohol in an employee’s possession or near the employee’s workplace
    - Nodding; appears more sleepy than awake (not regular tiredness/more sleepy than awake)
- d. The above factors and observations can be further substantiated by the following documentation or observations:
1. Excessive absenteeism or excessive tardiness
  2. Declining productivity or performance
  3. Violation of Company safety policies
  4. Involvement in any accident or near accident
  5. Conviction for violation of a criminal drug statute
- e. If a supervisor makes such observations, the supervisor will contact the Executive Director or HR delegate. The Executive Director or HR delegate will then request a reasonable explanation from the employee as soon as possible. If no acceptable explanation is forthcoming, the Executive Director or his or her designee may request that the employee be scheduled for a drug test immediately.

1. If the employee refuses to cooperate with the administration of the drug test, the employee will be advised that the failure to cooperate with the drug test will be considered as a positive result
  2. The employee will be removed from The Company and suspended without pay pending receipt of the test results
- f. If an employee is involved in an accident while furthering Company business that involves serious injury, which includes significant property damage and/or an injury for which medical treatment beyond simple first aid is required, the employee may be requested to submit to a drug test based on the factors and observations set forth in a. 1 and a.2 above. Generally speaking, only employees whose acts could have caused or contributed to the accident will be tested.
  - g. Any employee will be given the opportunity to have a positive test result verified at any qualified laboratory the employee chooses. The employee will pay for the cost of the independent testing. The verification will be conducted using a portion of the original sample to be provided by the custody procedure providing the same protection as the procedure described above. The employee will have five (5) business days from the date of notice by the original lab to have the second test conducted and must provide written verification of the test result to the Executive Director or the Executive Director's designee within one (1) week from the date of the test. Failure to provide this notice will be treated as a confirmation of the original lab result. The result of the verification test must be provided directly by the laboratory to the Executive Director or HR delegate for evaluation.
  - h. Employees having a positive test result are subject to appropriate disciplinary action up to and including dismissal subject to The Company's policy against employment discrimination on the basis of off-duty medicinal use of marijuana in compliance with state law.
  - i. Notification of Test Results: Test results will be treated in a confidential manner, and the employee's confidentiality shall be respected to the greatest possible extent. Test results shall not be disclosed to any individuals, inside or outside The Company, except those designated by the Executive Director or HR delegate as having a legitimate "need to know" to make decisions and enforce The Company's policies.

Corrective Action: As stated herein, any employee found in violation of this substance abuse policy may be subject to disciplinary action up to and including dismissal on the first offense.

Before The Company requests a test from an employee and terminates an employee's employment for violations of the substance abuse policy, the employee will be given one (1) opportunity to enter a treatment or counseling program in order to continue his or her employment. The employee must provide adequate proof to the Executive Director or HR delegate that he or she is involved in a treatment or counseling program and verify that he or she is abstaining from the use of controlled substances. This treatment or counseling program shall be at the sole cost of the employee, unless the cost of the program is covered by insurance.

**Policy Number:** WM 2.6

**Policy Title:** Family and Medical Leave Act (FMLA)

**Policy Statement/Purpose:** To ensure Family and Medical Leave is provided to eligible employees in accordance with state and federal law.

**Policy Interpretation and Implementation:** Employees may be eligible for family and medical leave under the Federal Family and Medical Leave Act (FMLA) and/or state family leave laws. Although the federal and state laws sometimes have different names, Company refers to these types of leaves collectively as “FMLA Leave”. Employees will be eligible for the most generous benefits available under applicable law.

*Procedure:*

## **I. FMLA Leave**

Eligible employees are entitled to up to twelve (12) work weeks of unpaid, job-protected leave a year, and requires group health benefits to be maintained during the leave as if employee continued to work instead of taking leave. Eligible employees are entitled to up to twenty-six (26) work weeks of unpaid, job-protected leave a year and maintenance of his/her group health benefits in order to care for a covered service member who is the spouse, child, parent, or next of kin of employee.

Company shall post a Notice to Employees of Rights under FMLA on the Employee Bulletin Board. The Notice can be found at the following website:

<https://www.dol.gov/whd/regs/compliance/posters/fmlaen.pdf>

## **II. Eligibility**

To be eligible for FMLA Leave benefits, employee must: 1) have worked for The Company for a total of at least twelve (12) months; 2) have worked at least 1,250 hours over the previous twelve (12) months as of the start of the leave; and 3) work at a location where at least 50 employees are employed by The Company within 75 miles, as of the date the leave is requested.

Once Company becomes aware that an employee’s need for leave is for a reason that may qualify under the FMLA, the employer must notify the employee if he or she is eligible for FMLA leave and, if eligible, must also provide a notice of rights and responsibilities under the FMLA. If the employee is not eligible, the employer must provide a reason for ineligibility.

See FMLA Notice of Eligibility and Rights & Responsibility form at the following website:

<https://www.dol.gov/whd/forms/WH-381.pdf>

## **III. Definitions**

**Serious Health Condition** is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care



provider for a condition that either prevents the employee from performing the functions of the employee's job, or prevents the qualified family member from participating in school or other daily activities. Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than three (3) consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

**Child**, *for purposes of Bonding Leave and Family Care Leave*, means a biological, adopted, or foster child, a stepchild, a legal ward, or a child of a person standing in loco parentis, who is either under age 18, or age 18 or older and incapable of self-care because of a mental or physical disability at the time that Family and Medical Leave is to commence.

**Child**, *for purposes of Military Emergency Leave and Military Caregiver Leave*, means a biological, adopted, or foster child, stepchild, legal ward, or a child for whom the person stood in loco parentis, and who is of any age.

**Parent**, for purposes of this policy, means a biological, adoptive, step or foster father or mother, or any other individual who stood in loco parentis to the person. This term does not include parents "in law." For Military Emergency leave taken to provide care to a parent of a military member, *the parent must be incapable of self-care, as defined by the FMLA.*

**Covered Active Duty** means 1) in the case of a member of a regular component of the Armed Forces, duty during the deployment of the member with the Armed Forces to a foreign country; and 2) in the case of a member of a reserve component of the Armed Forces, duty during the deployment of the member with the Armed Forces to a foreign country under a call or order to active duty (or notification of an impending call or order to active duty) in support of a contingency operation as defined by applicable law.

**Covered Service Member** means 1) a member of the Armed Forces, including a member of a reserve component of the Armed Forces, who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness incurred or aggravated in the line of duty while on active duty that may render the individual medically unfit to perform his or her military duties, or 2) a person who, during the five (5) years prior to the treatment necessitating the leave, served in the active military, Naval, or Air Service, and who was discharged or released therefrom under conditions other than dishonorable (a "veteran" as defined by the Department of Veteran Affairs), and who has a qualifying injury or illness incurred or aggravated in the line of duty while on active duty that manifested itself before or after the member became a veteran. For purposes of determining the five-year period for covered veteran status, the period between October 28, 2009 and March 8, 2013 is excluded.

**Qualifying exigency** includes:

1. Issues arising from a covered military member's short notice deployment (i.e., deployment on seven (7) or fewer days of notice) for a period of seven (7) days from the date of notification
2. Military events and related activities, such as official ceremonies, programs, or events sponsored by the military or family support or assistance programs and informational briefings sponsored

- or promoted by the military, military service organizations, or the American Red Cross that are related to the active duty or call to active duty status of a covered military member
3. Certain childcare and related activities arising from the active duty or call to active duty status of a covered military member, such as arranging for alternative childcare, providing childcare on a non-routine, urgent, immediate need basis, enrolling or transferring a child in a new school or day care facility, and attending certain meetings at a school or a day care facility if they are necessary due to circumstances arising from the active duty or call to active duty of the covered military member
  4. Making or updating financial and legal arrangements to address a covered military member's absence
  5. Attending counseling provided by someone other than a health care provider for oneself, the covered military member, or the child of the covered military member, the need for which arises from the active military member who is on short-term duty or call to active duty status of the covered military member
  6. Taking up to five (5) days of leave to spend time with a covered temporary, rest and recuperation leave during deployment
  7. Attending to certain post-deployment activities, including attending arrival ceremonies, reintegration briefings and events, and other official ceremonies or programs sponsored by the military for a period of ninety (90) days following the termination of the covered military member's active duty status, and addressing issues arising from the death of a covered military member
  8. Any other event that the employee and employer agree is a qualifying exigency

#### **IV. Reasons for Leave**

State and federal laws allow FMLA Leave for various reasons. Because an employee's rights and obligations may vary depending upon the reason for the FMLA Leave, it is important to identify the purpose or reason for the leave. FMLA Leave may be used for one of the following reasons, in addition to any reason covered by an applicable state family/medical leave law:

1. The birth, adoption, or foster care of an employee's child within twelve (12) months following birth or placement of the child ("Bonding Leave")
2. To care for an immediate family member (spouse, child, or parent with a serious health condition ("Family Care Leave"))
3. An employee's inability to work because of a serious health condition ("Serious Health Condition Leave")
4. A "qualifying exigency," as defined under the FMLA, arising from a spouse's, child's, or parent's "covered active duty" (as defined above) as a member of the military reserves, National Guard or Armed Forces ("Military Emergency Leave")
5. To care for a spouse, child, parent or next of kin (nearest blood relative) who is a "Covered Service Member," as defined above ("Military Caregiver Leave")

#### **V. Length of Leave**

The maximum amount of FMLA Leave will be twelve (12) workweeks in any 12-month period when the leave is taken for: 1) Bonding Leave; 2) Family Care Leave; 3) Serious Health Condition Leave; and/or 4) Military Emergency Leave. However, if both spouses work for The Company and are eligible for leave under this policy, the spouses will be limited to a total of twelve (12) workweeks off between

the two of them when the leave is for Bonding Leave or to care for a parent using Family Care Leave. A 12-month period begins on the date of your first use of FMLA Leave. Successive 12-month periods commence on the date of your first use of such leave after the preceding 12-month period has ended.

The maximum amount of FMLA Leave for an employee wishing to take Military Caregiver Leave will be a combined leave total of twenty-six (26) workweeks in a single 12-month period. A "single 12-month period" begins on the date of your first use of such leave and ends twelve (12) months after that date.

If both spouses work for The Company and are eligible for leave under this policy, the spouses will be limited to a total of twenty-six (26) workweeks off between the two when the leave is for Military Caregiver Leave only or is for a combination of Military Caregiver Leave, Military Emergency Leave, Bonding Leave, and/or Family Care Leave taken to care for a parent.

## VI. Intermittent Leave

In some instances, FMLA leave may be taken intermittently or on a reduced leave schedule due to a serious health condition or to care for an immediate family member with a serious health condition. **Upon the birth or placement of a child, intermittent leave or working a reduced number of hours is not permitted unless both the employee and The Company agree.** Leave taken intermittently may be taken in increments of no less than one (1) hour. If the need for medical leave is foreseeable, based on planned medical treatment, the employee must make reasonable efforts to schedule the treatment so it will not unduly disrupt The Company's operations. Further, if an employee requests intermittent or reduced leave and the need for leave is foreseeable, the employee may be temporarily transferred to another position with equivalent pay and benefits in order to better accommodate recurring periods of absence.

If an employee has a previously qualified intermittent FMLA leave, the employee must notify The Company when an absence is due to that FMLA-qualifying reason.

If intermittent leave is approved, Company may later require employee to obtain recertifications of the need for intermittent leave. Company may request recertification if it received information that casts doubt on employee's report that an absence qualifies for Family and Medical Leave.

## VII. Notice and Certification

### A. Notice

With the exception of military family leave, if the employee's need for family/medical/military leave is **foreseeable**, the employee shall give The Company minimally, a thirty (30) business day advance notice to their supervisor.

If the need for family/medical/military leave is **unforeseeable**, the employee shall notify his or her supervisor of the need for the leave as soon as practical, but no later than within one (1) or two (2) business days of the start of the leave unless such notice is impossible due to an emergency situation.

For military family leave, notice must be provided as soon as practicable.

## B. Certification

If the employee is requesting family/medical/military leave for their own or a covered relative's serious health condition or serious injury or illness for military family leave, the employee and the relevant health care provider must supply appropriate medical certification.

The following forms shall be used, according to the type of leave requested:

1. Certification of Health Care Provider for Employee's Serious Health Condition. Located at: <https://www.dol.gov/whd/forms/WH-380-E.pdf>
2. Certification of Health Care Provider for Family Member's Serious Health Condition. Located at <https://www.dol.gov/whd/forms/wh-380-f.pdf>
3. Certification of Qualifying Exigency for Military Family Leave. Located at <https://www.dol.gov/whd/forms/WH-384.pdf>
4. Certification For Serious Injury or Illness of Covered Service Member for Military Family Leave Act. Located at: <https://www.dol.gov/whd/forms/WH-385.pdf>

When the employee requests family/medical/military leave, Company shall notify the employee of the requirement for medical certification and that it is due within fifteen (15) calendar days after requesting leave.

If the certification is incomplete or insufficient to determine eligibility for family/medical/military leave, Company will notify the employee, in writing, what specific information is still needed. The employee will have seven (7) calendar days to cure the deficiencies.

Failure to provide the requested medical certification in a timely manner may result in denial of leave until it is provided.

Company may, at its expense, require a 2<sup>nd</sup> and 3<sup>rd</sup> examination by a Company designated healthcare provider, with the exception of military leave requests.

Company may require subsequent medical recertification every six (6) months. Failure to provide the requested certification within fifteen (15) business days, if such is practicable, may result in delay of further leave until it is provided.

Company may require proof of covered family relationship for family leave requests for caring for a family member with a serious health condition and military family leave requests.

Company may disallow or deny an employee's FMLA leave if the employee fails to follow The Company's procedures for requesting leave and calling in absent, except in unusual circumstances.

## **VIII. Reporting While on Leave**

Company requires periodic reporting, on the 1<sup>st</sup> and 3<sup>rd</sup> Tuesday every month unless employee and Company agree otherwise, regarding the status of employee's condition and intended return to work date.

## **IX. Recertification**

Once medical leave is certified, Company may later require medical recertification in connection with an absence that employee reports as qualifying for Family and Medical Leave. For example, Company may request recertification if 1) the employee requests an extension of leave; 2) the circumstances of the employee's condition as described by the previous certification change significantly (e.g., employee's absences deviate from the duration or frequency set forth in the previous certification; employee's condition becomes more severe than indicated in the original certification; employee encounters complications); or 3) Company receives information that casts doubt upon employee's stated reason for the absence. In addition, Company may request recertification in connection with an absence after six (6) months have passed since employee's original certification, regardless of the estimated duration of the serious health condition necessitating the need for leave. Any recertification requested by The Company shall be at the employee's expense.

## **X. Failure to Provide Certification and to Return from Leave**

Absent unusual circumstances, failure to comply with these notice and certification requirements may result in a delay or denial of the leave.

Company may disallow or deny an employee's FMLA leave if employee fails to follow The Company's procedures for requesting leave and calling absent, except in unusual circumstances.

If an employee's anticipated return to work date changes and it becomes necessary for the employee to take more or less leave than originally anticipated, the employee must provide The Company with reasonable notice (i.e., within two (2) business days that the employee becomes aware of the change) of the employee's changed circumstances and new return to work date. If employees give The Company unequivocal notice of their intent not to return to work, they will be considered to have voluntarily resigned and its obligation to maintain health benefits (subject to COBRA requirements) and to restore their positions will cease.

## **XI. Health Benefits During Leave**

During an approved family/medical/military leave, Company shall maintain the employee's health care benefits, as if they continued to be actively employed.

**However, the employee must continue to pay their portion of the premium.**

During any period in which paid leave is substituted for unpaid family/medical/military leave, Company shall deduct the employee's portion of the health care premium as a regular payroll deduction.

If the leave is unpaid, the employee must pay their portion of the premium by the first day of every month.

**Health care coverage shall cease if the employee's premium payment is more than thirty (30) days late.**

Company may recover premium paid to maintain health coverage if employee fails to return to work following FMLA leave except in certain, discretionary circumstances where the failure to return to work is due to circumstances beyond employee's control.

## **XII. Compensation During Leave**

Family/medical/military leave is unpaid unless the employee has paid time off available.

Employees may be eligible to receive benefits through state-sponsored or Company-sponsored wage-replacement benefit programs.

If the employee requests a leave because of their own or a covered relative's serious health condition, any accrued paid benefit time for unpaid leave time will not extend the length of FMLA leave.

In no case, can the substitution of paid leave time for unpaid leave time result in the employee receiving more than one hundred percent (100%) of their salary.

Family/medical/military leave runs concurrently with other types of leave (i.e., paid vacation or worker's compensation absence), with the exception of Military Caregiver Leave.

## **XIII. Returning from Leave**

Employee must be reinstated to the same position held at the time of the leave or to an equivalent position with equivalent pay, benefits, and other employment terms and conditions. However, employee has no greater right to reinstatement than if employee had been continuously employed rather than on leave.

An employee wishing to return from a Serious Health Condition Leave must submit an acceptable release from a health care provider that certifies the employee can perform the essential functions of the job as those essential functions relate to the employee's serious health condition. For an employee on intermittent FMLA leave, such a release may be required if reasonable safety concerns exist regarding the employee's ability to perform his or her duties, based on the serious health condition for which the employee took the intermittent leave.

Employees failing to provide Company with a Return to Work Certification/Release shall not be permitted to return to work until provided.

An employee who fraudulently obtains Family and Medical Leave from Company is not protected by FMLA's job restoration or maintenance of health benefits provisions. In addition, Company will take all available appropriate disciplinary action against such employee due to such fraud.

"Key employees," as defined by law, may be subject to reinstatement limitations in some circumstances. If employee is a "key employee," employee will be notified of the possible limitations on reinstatement at the time of leave request. See FMLA Notice of Eligibility and Rights & Responsibility form: <https://www.dol.gov/whd/forms/WH-381.pdf>

**Policy Number:** WM 2.7

**Policy Title:** [Nondiscrimination](#)

**Policy Statement/Purpose:** The Company has policies that enforce nondiscrimination consistent with applicable laws and regulations.

**Policy Interpretation and Implementation:** Nondiscrimination is a component of The Company Compliance and Ethics program.

## A. DIVERSITY POLICY

- 1). *Overview:* The Company is committed to fostering, cultivating, and preserving a culture of diversity and inclusion.
- 2). *Procedure:*
  - a. The Company embraces and encourages all differences in age, color, disability, ethnicity, family or marital status, gender identity or expression, language, national origin, physical and mental ability, political affiliation, race, religion, sexual orientation, socio-economic status, veteran status, and other characteristics that make our employees and residents unique.
  - b. The Company's diversity initiatives are applicable, but not limited, to Company practices and policies on admissions, employee recruitment, selection, compensation and benefits, professional development and training, promotions, transfers, social and recreational programs, layoffs, terminations, and the ongoing development of a residential and work environment built on the premise of gender and diversity equity that encourages and enforces:
    1. Respectful communication and cooperation between all employees and residents
    2. Representation of all groups and perspectives
    3. Contributions to the communities we serve to promote a greater understanding and respect for the diversity
  - c. All employees of The Company have a responsibility to treat others with dignity and respect at all times.
    1. All employees are expected to exhibit conduct that reflects inclusion during work, at work functions on or off the work site, and at all other Company-sponsored and participative events
    2. All employees are also required to attend and complete annual diversity awareness training to enhance their knowledge to fulfill this responsibility
  - d. Any employee found to have exhibited any inappropriate conduct or behavior against others may be subject to disciplinary action. Reference Policy [WM 2.9](#)
  - e. Employees who believe they have been subjected to any kind of discrimination that conflicts with The Company's diversity policy and initiatives should seek assistance from a supervisor or an HR representative.

Reference BP 1.0 Section F, [Nondiscrimination Policy](#) and WM 2.7, [Nondiscrimination](#)

## **B. INFORMATION COMMUNICATION**

- 1). *Overview:* The Company does not discriminate against any person based on age, gender, ethnic background, disability, race, color, or any other protected class.
- 2). *Procedure:*
  - a. Any brochures must contain a nondiscrimination statement.
  - b. Employee applications must contain a nondiscrimination statement.
  - c. A nondiscrimination statement must be posted in the facility for staff and public to see.
  - d. Company's publications must contain The Company nondiscrimination statement.  
*Should you have any questions, concerns, or complaints regarding this policy, please contact the Compliance Officer, at \_\_\_\_\_.*

## **C. COMMUNICATION WITH PERSONS OF LIMITED ENGLISH PROFICIENCY**

Reference BP 1.0 Section E, [Communication with Persons with Limited English Proficiency \(LEP\)](#)

## **D. AUXILIARY AIDS AND COMMUNICATION WITH PERSONS WITH SENSORY IMPAIRMENT**

Reference Policy BP 1.0, Section D, [Auxiliary Aids and Services for Persons with Disabilities](#)

## **E. AGE RESTRICTIONS REQUIREMENTS**

Reference Policy BP 1.0, Section C, [Age Restrictions](#)

## **F. SECTION 504 NOTICE OF PROGRAM ACCESSIBILITY**

Reference Policy BP 1.0, Section G, [Section 504 Notice of Program Accessibility](#)

## **G. SECTION 504 GRIEVANCE**

Reference Policy BP 1.0, Section G, *Section 504 Notice of Program Accessibility*, [Section 504 Grievance Procedure](#)



**Policy Number:** WM 2.8

**Policy Title:** Workplace Violence

**Policy Statement/Purpose:** The Company provides a work environment that is pleasant, healthful, comfortable, and free from intimidation, hostility, or other offenses that might interfere with work performance. Harassment of any sort - verbal, physical, electronic, and/or visual - will not be tolerated.

**Policy Interpretation and Implementation:** Workforce violence prevention is a component of The Company Compliance and Ethics Program and includes: a workplace violence prevention plan, a policy against harassment/sexual harassment, and equal employment and nondiscrimination.

#### **A. WORKPLACE VIOLENCE PREVENTION PLAN**

1). *Overview:* To ensure The Company remains consistent with applicable legal requirements and standards of practice, it is important that The Company identifies applicable state specific workplace violence prevention plan requirements. In the absence of state specific requirements and standards of practice, this plan can be adapted to Company specific policy and procedure.

The Workplace Violence Prevention Program will be accessible to all employees, and a copy will be provided upon request. The Company:

- a. is committed to employees' safety and health;
- b. will provide adequate authority and budgetary resources to responsible parties so that identified goals and assigned responsibilities can be met;
- c. includes and encourages employee participation in the design and implementation of its workplace violence prevention program;
- d. refuses to tolerate violence at the workplace and has developed and implemented a program to reduce incidents of violence;
- e. applies workplace violence policies consistently and fairly to all employees, including supervisors and managers;
- f. requires prompt and accurate reporting of violent incidents, whether physical injury has occurred; and
- g. will not retaliate against victims of workplace violence.

2) *Implementation of a Violence Prevention Plan:* The Company develops a detailed, written violence prevention plan that identifies and outlines violence prevention policies, procedures, and responsibilities. The plan shall, at a minimum, describe the following:

- a. The establishment of a violence prevention committee
- b. The Company's violence prevention policies
- c. The recordkeeping processes
- d. Incident reporting, investigation, and evaluation methods
- e. Available resources for follow-up medical and psychological care, which may include support groups, family crisis intervention, and professional referrals
- f. How employees shall access a post-incident response system

The plan shall:

- a. Require an annual comprehensive violence risk assessment
- b. Identify methods to reduce identified risks, including, at a minimum: Company modifications, changes to equipment, job design, staffing and security, and revision of violence prevention training content
- c. Be updated and submitted to The Company administration annually

3) *Violence Prevention Committee:* The Company shall establish a Violence Prevention Committee, which can be an integrated [component of The Company QAPI/QAA Committee](#) as long as it maintains distinct documentation and records as required by law.

The Violence Prevention Committee shall include a representative of management who shall serve as the Violence Prevention Officer and be responsible for overseeing all aspects of the Program. He/she shall also chair the committee.

- a. At least 50% of the committee members shall be health care workers who provide direct resident care or otherwise have direct contact with residents.
  1. If health care workers are represented by one or more collective bargaining agents, the management of The Company or system shall consult with the applicable collective bargaining agents regarding the selection of the health care worker committee members
  2. The remaining committee members shall have experience, expertise, or responsibility relevant to violence prevention
- b. If The Company owns or operates more than one covered health care company, the violence prevention program and the committee may be operated at the system or department level, provided that:
  1. Committee membership includes at least one health care worker from each company who provides direct care to residents
  2. The committee develops a violence prevention plan for each company
  3. Data related to violence prevention remain distinctly identifiable for each company
- c. The Violence Prevention Committee shall, at a minimum:
  1. Meet quarterly to review reports of violent incidents
  2. Complete review of the following records:
    - OSHA 300 logs for the last three years
    - Incident reports
    - Records of, or information compiled for recording of, assault incidents or near assault incidents
    - Medical records
    - Insurance records
    - Workers Compensation records
    - Police reports
    - Accident investigations
    - Training records
    - Grievances
    - Minutes of meetings
    - Other relevant records or information: \_\_\_\_\_
  3. From these record reviews identify issues that need to be addressed

4. The Violence Prevention Committee shall make any appropriate adjustments to the violence prevention plan
- 5). *Annual Violence Risk Assessment:* The Company shall conduct an annual comprehensive violence risk assessment that shall review OSHA's 2004 Guidelines for Preventing Workplace Violence for Health Care & Social Service Workers (OSHA 3148-2004);
  - a. The Company shall conduct a job task analysis in collaboration with and for each health care worker that shall be used by the violence prevention committee to identify improved security measures and controls based on potential risk factors including, but not limited to:
    1. Working with unstable or volatile persons, prevalence of weapons on site, or presence of gang members – for violent incidents
    2. Impact of staffing, including security personnel, if applicable
    3. The presence of hazards, conditions, operations, and situations that might place workers at risk of occupational assault incident
    4. The presence of individuals who may pose a risk of violence
    5. A review of any records relating to violent incidents at The Company (see *Policy CP Appendix 2.0 B Compliance Incident Report Log*), including incidents required to be reported pursuant to the Occupational Safety and Health Administration Log of Work-Related Injuries and Illnesses (OSHA Form 300), and workers' compensation records
  - b. At least two (2) members of the violence prevention committee, at least one (1) of whom is a direct care staff member, shall conduct walk-through surveys of all worksite areas at least once annually, and as needed, to identify existing or potential physical environmental risk factors for workplace violence.
    1. Such risk factors shall include, at a minimum, The Company's layout, access restrictions, crime rate in surrounding areas, lighting, and communication and alarm devices
    2. The results from the walk through shall be discussed and analyzed during the annual comprehensive violence risk assessment
- 6). *Violence Prevention Training:* The Company develops and annually reviews, evaluates, and revises the content of violence prevention training.
  - a. The training shall be at least two (2) hours in duration and shall be held during paid work time.
  - b. The Company shall provide interim training for individuals who begin work between annual training sessions.
  - c. The training methods shall include, but not be limited to, at least two (2) of the following: handouts, presentations, discussion, role playing, and DVD or computer-based training activities.
  - d. All employees, regardless of their title or level of risk, should receive training to include, at a minimum:
    1. A review and definition of workplace violence
    2. A full explanation and full description of the Program
    3. Techniques to de-escalate and minimize violent behavior
    4. Appropriate responses to workplace violence, including the use of restraining techniques
    5. Reporting requirements and procedures
    6. Location and operation of safety devices
    7. Resources for coping with violence

8. A summary and analysis of The Company's risk factors, identified in the violence risk assessment, and preventative actions taken in response to the identified risk factors
9. Information on multicultural diversity to increase staff sensitivity to racial and ethnic issues and differences
10. Assurance that The Company will not take any retaliatory action for reporting any threat or violent incident

7). *Specialized training:* The Company provides specialized training.

- a. Employees with job tasks or locations that place them at higher risk for violent incidents should be provided with specialized training in addition to those topics outlined above. Training shall be designed to deal with the nature of this risk.
- b. Managers and supervisors shall undergo the training outlined thus far, plus additional training to enable them to recognize a potentially hazardous situation and to make necessary changes in the physical company, resident care treatment program, and staffing policy and procedures to reduce security hazards.
- c. Managers and supervisors shall also be trained to ensure that employees are not placed in assignments that compromise safety as well as how to behave compassionately towards coworkers when an incident does occur.
- d. Security personnel, if any, shall receive training regarding The Company layout, security hardware on premises, and high-risk jobs.

8) *Training records:* All training records shall be filed with the Human Resource Department/Personnel Department.

- a. Develop strategies for encouraging the reporting of all incidents of workplace violence and procedures for reporting such incidents.
- b. Review de-identified, aggregated data that has been compiled from incident investigation reports by the appropriate department to identify trends and, if needed, to make recommendations to prevent similar incidents.

9). *Availability of Plan:* The Company shall make a copy of the plan available, upon request, to the Commissioners of Health and Senior Services, and Human Services for on-site inspection to each health care worker and collective bargaining agent that represents health care workers at The Company.

- a. If the committee determines that the plan contains information that would pose a threat to security if made public, any such information shall be excluded before providing copies to workers or collective bargaining agents.

10). *Managing Risk Factors:* The Company shall implement prevention and control measures to counteract the risk factors identified by the risk assessment, including, at a minimum:

- a. Lighting indoors and in parking lots
- b. The installation and maintenance as necessary of items including alarm systems, closed circuit TVs, metal detection systems, cell phones, personal alarm devices, codes, panic alarms, and audio surveillance systems
- c. Assigning and training appropriate personnel to respond to each alarm system
- d. The training and posting of security personnel in emergency departments, psychiatric wards, and in other locations, as needed

- e. Controlled access, as needed, to staff offices and employee work areas

11). *Personnel Guidance:* The Company shall have personnel sufficiently trained to identify aggressive and violent predicting factors and the ability to appropriately respond to and manage violent disturbances. The following guidelines will be issued to all personnel:

- a. If an incident is an emergency, follow The Company's Emergency Management Plan and Chain of Command.
- b. Once an incident occurs, the Violence Prevention Officer and/or designee should, if warranted:
  - 1. Report the incident to the local police department
  - 2. Secure work areas where the disturbance occurred
  - 3. Ensure the physical safety of employees and others remaining in the area as soon as possible
  - 4. Ensure that no work area is left short-staffed while others assist the victim or help in securing the area
  - 5. Quickly assess the work area, if it was disturbed or damaged during an incident to determine if it is safe
  - 6. Provide critical incident debriefing to victims, witnesses, and other affected employees; these conversations must be strictly confidential

12). *Incident report:* An [Incident Report](#) shall be completed for any type of violent incident, whether physical injury has occurred or not (i.e., verbal abuse, threats of violence, menacing, etc.). Issues of confidentiality shall be considered.

- a. The record shall be analyzed to determine changes needed to prevent the recurrence of violence in the workplace and to determine required training.
- b. The Company shall provide the Department of Health and Senior Services with immediate access to the records and any de-identified and/or aggregated data.
- c. An employee and/or his/her authorized representatives shall have access to the employee's identifiable records and to de-identified and/or aggregated data within two (2) business days.
- d. The incident report shall initially be assessed by the Violence Prevention Officer.
- e. The Company shall provide written, de-identified incident investigation reports to the Violence Prevention Committee.
  - 1. After reviewing the de-identified incident reports, The Company, in collaboration with the Violence Prevention Committee, shall encourage appropriate follow-up, consider changes in procedures, and add elements to training as needed
  - 2. Appropriate revisions shall be made to the violence action plan. All revisions shall be put in writing and notification shall be given to all employees
  - 3. The Violence Prevention Committee shall decide when the de-identified data shall be aggregated

13). *Medical Care:* The Company shall ensure that prompt and appropriate medical care is provided to health care workers injured during an incident.

14). *Incident Response System:* The Company shall establish a post-incident response system that provides, at a minimum, an in-house crisis response team for employee-victims and their coworkers, and individual and group crisis counseling that may include support groups, family crisis intervention, and professional referrals.

The Company shall ensure that provisions for medical confidentiality and protection from discrimination are included in Company policies and procedures to prevent victims from suffering further loss.

- 15). *Record Keeping*: The Company shall keep a record of all violent acts against employees while at work. The records shall be maintained for at least five (5) years following the reported act, during which time employees, their authorized representatives, and the Department of Health and Senior Services shall have access to the record. The records shall include:
- a. OSHA 300 Log – OSHA regulations require entry on the Injury and Illness log of any injury which requires more than first aid, causes loss of consciousness, requires modified duty, or results in lost time from work. Assaults shall be entered on the log. Doctors' reports of work injury and supervisors' reports shall be kept of each recorded assault. Fatalities or catastrophes must be reported to OSHA.

On January 25, 2019, the U.S. Department of Labor's Occupational Safety and Health Administration (OSHA) has issued a final rule that eliminates the requirement for establishments with 250 or more employees to electronically submit information from OSHA Form 300 (Log of Work-Related Injuries and Illnesses) and OSHA Form 301 (Injury and Illness Incident Report) to OSHA each year. These establishments are still required to electronically submit information from OSHA Form 300A (Summary of Work-Related Injuries and Illnesses). The final rule does not alter an employer's *duty to maintain* OSHA Forms 300 and 301 on-site, and OSHA will continue to obtain these forms as needed through inspections and enforcement actions.

The agency is also amending the recordkeeping regulation to require covered employers to electronically submit their Employer Identification Number with their information from Form 300A. For more information, visit [www.osha.gov](http://www.osha.gov).

- b. State specific logs such as NJOSH 300 (New Jersey).
- c. Employee deaths – resulting from an employment accident or illness caused by or related to a workplace hazard or the hospitalization (not examination and release) of three (3) or more employees resulting from an employment accident or illness caused by a workplace hazard must be orally reported by the employer within eight (8) hours.
- d. Incidents of assaults – shall describe who was assaulted, the type of activity, (i.e., unprovoked sudden attack), and all other circumstances of the incident. The records should include a description of the location/environment, potential or actual costs, lost time, nature of injuries sustained, etc. (Reference Appendix CP 2.0 B [Compliance Incident Report Log](#))
- e. Incidents of abuse, verbal attacks, or aggressive behavior – any acts of aggression shall be recorded; they may be threatening to the worker but may not result in injury (i.e. pushing or shouting). These records may be assault incident reports that are evaluated routinely by the Violence Prevention Committee.
- f. Other Accident Investigation Reports.
- g. Minutes of safety meetings and inspection reports – shall include corrective actions recommended relative to workplace violence and The Company's response and completion dates for action items. Minutes of the Violence Prevention Committee meetings shall be kept for three (3) years.

- h. Training records – shall include dates on which training was conducted, type of training given, employees trained, etc. Records of training Program contents, and the sign-in sheets of all attendees, shall be kept for five (5) years. Qualifications of the trainers shall be maintained along with the training records.
- i. Inspection records – shall include dates of inspection, areas inspected, all findings and recommendations, any control measures implemented, etc.
- j. Employee questionnaires/surveys – that assess their views of high-risk work areas and activities.
- k. Staff termination records.
- l. Union grievances and complaints.
- m. Police reports.
- n. Insurance records.
- o. Workers’ Compensation Records.
- p. Medical records.

16). *Workforce Violence Enforcement:* The Company has a zero-tolerance policy for violence. If an employee engages in any violence in the workplace, or threatens violence in the workplace, he/she may be terminated immediately for cause. No talk of violence or joking about violence will be tolerated.

Note: 29 C.F.R. § 1604.11(e)—one of Title VII’s sexual harassment provisions— “an employer may . . . be responsible for the acts of non-employees (including residents), with respect to sexual harassment of employees in the workplace, where the employer (or its agents or supervisory employees) knows or should have known of the conduct and fails to take immediate and appropriate corrective action.”

In an effort to fulfill this commitment to a safe work environment for employees, residents, and visitors:

- a. All employees must display Company identification.
- b. All visitors must register and display identification while on the property.
- c. The Company specifically prohibits the possession of weapons by any employee while on Company property unless authorized for security personnel. Employees are also prohibited from carrying a weapon while performing services off The Company premises. Appropriate disciplinary action, up to and including termination, will be taken against any employee who violates this policy.
- d. Desks, telephones, and computers are the property of The Company. The Company reserves the right to enter or inspect employees’ work area including, but not limited to, desks, email, and computer storage disks, with or without notice.
- e. Any private conversations overheard or transmitted via telephone, electronic communication, mail, or fax on Company premises that constitute threats against other individuals can and will be used as the basis for termination for cause.
- f. Employees are encouraged to report any incident that may involve a violation of any of the policies that are designed to provide a comfortable workplace environment. Any concerns may be presented to employees’ immediate supervisor and/or the Compliance Officer. All reports will be investigated, and information will be kept confidential.

17). *Anti-Retaliation*: The Company shall not take any retaliatory action against any health care worker for reporting violent incidents. Thus, an employee shall not be discharged, suspended, demoted, or have any other adverse employment action taken against him/her for making a good faith report of violence.

18). *Definitions*:

**Covered Health Care Company** – A general or special hospital or nursing home licensed by the Department of Health and Senior Services, a state or county psychiatric hospital, or a state developmental center.

**Health Care Worker** – An individual who is employed by a covered health care company.

**Workplace Violence or Violent Act** – Any physical assault, threatening behavior, verbal abuse, or damage of personal property occurring in the work setting. It includes, but is not limited to, beatings, stabbing, suicides, shootings, rapes, near suicides, murders, psychological traumas such as threats, obscene phone calls, use of berating language, an intimidating presence, and harassment of any nature such as being followed, sworn at, or shouted at. Acts of vandalism, arson, and sabotage are also considered workplace violence.

**Workplace** – May be any location, either permanent or temporary, where an employee performs any work-related duty. This includes, but is not limited to, the buildings and the surrounding perimeters, including the parking lots, field locations, clients' homes, off-site business-related functions such as trade shows and business conferences, social events such as Company party, and traveling to and from work assignments.

**Violence by Strangers** – In this type of incident the violence is committed by a stranger. This stranger has no legitimate relationship to the worker or workplace and enters the workplace, usually on the pretense of being a customer or visitor, to commit a robbery or other violent act. Workers also may be victimized by strangers outside the “traditional” workplace but while acting within the course and scope of their employment.

**Violence by Residents/Clients** – In these incidents, the violence is committed by someone who receives a service such as a current or former resident or a family member. The violence can be committed in the workplace or, as with service providers, outside the workplace but while the worker is performing a job-related function.

**Violence by Coworkers** – In coworker incidents, the perpetrator has an employment relationship with the workplace. The perpetrator can be a current or former employee, a prospective employee, a current or former supervisor or a manager. Coworker violence that occurs outside the workplace, but which resulted or arose from the employment relationship would be included in this category. This type of violence can be divided into two types: violence between supervisors and subordinates, and violence between workers at the same levels.

**Violence by Personal Relations** – In personal relations incidents, the violence is committed by someone who has a personal relationship with the worker, such as a current or former spouse or partner, a



relative, or a friend. Included in this category is the perpetrator who has a personal dispute with the worker and enters the workplace to harass, threaten, injure, or kill.

**Violence by an Ancillary Service Provider** – In these incidents, the violence is committed by someone who enters the workplace to provide a service such as an ambulance attendant, lab/x-ray technician, delivery person, or physician.

### **Definitions of Incidents:**

**Assault** – The intentional use of physical injury (impairment of physical condition or substantial pain) to another person, with or without a weapon or dangerous instrument.

**Criminal Mischief** – Intentional or reckless damaging of the property of another person without permission.

**Disorderly Conduct** – Intentionally causing public inconvenience, annoyance, or alarm, or recklessly creating a risk thereof by fighting (without injury) or in violent, numinous or threatening behavior, or making unreasonable noise, shouting abuse, misbehaving, disturbing an assembly or meeting of persons, or creating hazardous conditions by an act which serves no legitimate purpose.

**Harassment** – Intentionally striking, shoving, or kicking another, or subjecting another person to physical contact, or threatening to do the same (without physical injury). Any behavior that demeans, embarrasses, humiliates, annoys, alarms, or verbally abuses a person and that is known or would be expected to be unwelcome. This includes abusive or obscene language, insults, gestures, intimidation, stalking, bullying, or other inappropriate activities.

Inappropriate use of Electronic Communications - See Textual harassment, below.

**Larceny** – Wrongful taking, depriving, or withholding property from another (no force involved). Victim may or may not be present.

**Menacing** – Intentionally places or attempts to place another person in fear of imminent serious physical injury.

**Reckless Endangerment** – Subjecting individuals to danger by recklessly engaging in conduct which creates substantial risk of serious physical injury.

**Robbery** – Forcible stealing of another's property by use of threat of immediate physical force. (Victim is present and aware of theft).

**Textual Harassment-Sexting** - "sext." Sexting: the act of sending or receiving sexually explicit messages, videos, or photos is a form of sexual harassment. Even if sexting occurs outside the workplace, it can impact the workplace environment and be considered severe and pervasive workplace harassment.

### **Sex Offense:**

**Public Lewdness** – Exposure of sexual organs to others.

**Sexual Abuse** – Subjecting another to sexual contact without consent.

**Sodomy** – A deviant sexual act committed as in rape.

**Rape** – Sexual intercourse without consent.

### **Sexting in the Workplace**

The “sext.” Sexting is the act of sending or receiving sexually explicit messages, videos, or photos, and is a form of sexual harassment. If sexting occurs outside the workplace, it can impact the workplace environment and be considered severe and pervasive workplace harassment.

When sexting occurs from a supervisor to an employee, it is a clear case of sexual harassment. When it occurs from one coworker to another, the employer is only liable if the employer knew, or should have known about the textual harassment and its negative impact on the work environment.

Sexting between two consenting adults is not illegal unless it is done while misusing company equipment. Employers must intervene when they become aware that the behavior has impacted the work environment by creating a hostile work environment for any of the parties. If even one employee feels he or she is negatively impacted, the employer must investigate and intervene.

#### **Policy:**

- It is the policy of this Company that harassment in the workplace (electronic or otherwise) based on sex is prohibited.
- All employees must follow the [Code of Conduct](#) and treat their coworkers with dignity and respect.
- Although sending of sexts between two adults is not a prohibited activity during nonwork hours, sharing the content of sext messages with others in the workplace to whom they were not sent is a violation of our Code of Conduct.
- Inappropriate cyber communications while the employee is off the clock that impact the work environment can be investigated as potential harassment because of the professional connection between the two individuals.
- Any behavior by the parties involved in the sexting that is disrespectful, negatively impacts the reputation of a coworker, either actual or perceived, or creates any form of hostile work environment is prohibited.
- Employees who suffer or observe electronic harassment must report it.
- Harassment and retaliation against anyone who reports a concern or participates in an investigation is strictly prohibited.
- Employees can be disciplined for inappropriate use of electronic communications that create a hostile work environment up to and including termination of employment.

### **B. POLICY AGAINST HARASSMENT** (Reference Section CP 2.1 [Code of Conduct](#))

*1). Overview:* The Company is committed to equal opportunity and nondiscrimination in all aspects of employment, including hiring, promotions, and the work environment. The Company endeavors to foster a congenial work environment in which all individuals are treated with respect and dignity. Each individual has the right to work in an environment that promotes equal opportunity and prohibits discriminatory practices, including sexual and other forms of harassment.

The Company expressly prohibits any form of employee harassment or discrimination based on sex, race, color, religion, national origin, age, disability, sexual orientation, marital status or veteran status, or any other factor illegal under federal, state, or city law (any of which is referred to as an “Unlawful Category”). Improper interference with the ability of employees to perform their expected job duties is not tolerated.

Harassment or discrimination is unacceptable on The Company’s property, or in other work-related settings.

- 2). *Definitions and Examples of Harassment:* For purposes of this policy, harassment is defined as unwelcome or unwanted conduct, whether verbal, physical, or electronic based upon race, sex, religion, or any other Unlawful Category. Harassment occurs when the unwelcome or unwanted conduct is made a condition of employment, utilized for decisions affecting employment (including, but not limited to, promotions, hiring, and firing), used to create an intimidating or hostile work environment, or found to unreasonably interfere with an individual's ability to work.

Examples of the type of conduct that constitutes harassment include, but are not limited to: physical conduct, verbal conduct, display of harassing pictures or materials, electronic or otherwise, name calling, and jokes which are based on Unlawful Categories such as race, sex, national origin, sexual orientation, disability, etc.

- 3). *Coverage:* This policy covers all Company employees and independent contractors without exception. The Company will not tolerate, condone, or allow harassment, whether engaged in by fellow employees, supervisors, managers, independent contractors, or other nonemployees who conduct business with The Company. The Company encourages the reporting of all incidents of harassment, regardless of who the offender may be.
- 4). *Complaint Procedures:* While the Company encourages individuals who are being harassed, or subject to discrimination, to promptly notify the offender that his or her behavior is unwelcome, The Company also recognizes that power and status disparities between an alleged harasser and a target may make such confrontation extremely difficult. Whether or not such informal, direct communication between individuals is effective, The Company requires that the complaint be reported in the following manner:

If an individual has been subjected to harassment based on an Unlawful Category, or believes he or she has been treated in an unlawful, discriminatory manner, whether by a coworker, superior, or other nonemployee who conducts business with The Company, the individual should promptly report the incident, either verbally or in writing, to his or her immediate supervisor. In the event the employee believes it would be inappropriate to discuss the matter with his or her immediate supervisor, the employee should report it to The Company’s Compliance Officer.

All reports of harassment or discrimination will be reduced to writing by the person receiving the complaint and signed by the complainant. If a person other than the Compliance Officer receives the complaint from a Company employee or agent, he or she will promptly confer with the Compliance Officer who will coordinate and direct an investigation into the allegations.

Where necessary, The Company may employ a lawyer or consultant to investigate the complaint and provide guidance in handling the matter.

The complaint will be investigated expeditiously. While the Company endeavors to keep the complaint confidential throughout the investigatory process, The Company will do so to the extent practical and appropriate under the circumstances.

- 5). *Complaint Resolution:* On completing the investigation of a complaint and conferring with Counsel and The Company's management, if necessary, the Compliance Officer will communicate his or her findings and intended action to the complainant and alleged offender.

If the Company determines that an individual is guilty of harassing or discriminating against another individual, appropriate disciplinary action, up to and including termination, will be taken against the offending person. Appropriate sanctions will be determined by the management of The Company in consultation with the person conducting the investigation or any outside counsel or consultant so engaged. In addressing confirmed incidents of harassment, The Company's response, at a minimum, will include reprimanding the offender and preparing a written record of the offense. Additional action may include, but is not limited to referral to counseling, withholding of a promotion, reassignment, temporary suspension without pay, financial penalties, or termination.

- 6). *Retaliation:* The Company will not in any way retaliate against an individual who makes a report of harassment or unlawful discrimination, or provides information concerning such actions, nor will it permit any employee to do so. Retaliation is a serious violation of this policy and should be reported immediately. Any person found to have retaliated against another individual for reporting harassment or discrimination will be subject to the same disciplinary action provided for offenders.
- 7). *False Accusations:* If, after investigating any complaint of harassment or unlawful discrimination, The Company determines that the complainant or purported witness falsely accused another knowingly or in a malicious manner, the complainant or witness will be subject to appropriate disciplinary action.

**Policy Number:** WM 2.9

**Policy Title:** Disciplinary Standards

**Policy Statement/Purpose:** All of The Company's Associates are subject to disciplinary action for failure to comply with ethical standards or legal requirements. Any violation of law or corporate policy or procedures related to the Compliance and Ethics Program will result in appropriate sanctions. The disciplinary action plan includes disciplinary guidelines including a provision for non-retaliation and non-retribution

**Policy Interpretation and Implementation:**

**A. DISCIPLINE**

- 1). *Overview:* Active participation in the Compliance and Ethics Program is mandatory for all Company associates. Adherence to applicable laws, rules, and regulations, as well as The Company Compliance and Ethics Program, are elements in evaluating performance. Failing to report suspected noncompliance, participating in non-compliant behavior, or encouraging, directing, facilitating or permitting, either actively or passively, non-compliant behavior may result in disciplinary action, up to and including termination.
  
- 2). *Procedure:*
  - a. Violations subject to disciplinary action include any of the following:
    1. Violation of federal or state law related to health care
    2. Violation of the Compliance and Ethics Program in performance of one's job/employment duties
    3. Failure to report the foregoing violations
    4. Failure to detect foreseeable violations
  - b. If The Company learns that an individual knowingly fabricated, distorted, exaggerated, or minimized a report of misconduct, either to injure someone else or to protect himself or herself, the individual will be subject to disciplinary action, up to and including termination.
  - c. When an individual makes a report admitting to noncompliance on his or her part does not guarantee protection from disciplinary action related to the underlying noncompliance. However, volunteering information about one's own errors, misconduct, or noncompliance is considered, if the admission is complete and truthful, and was not already known to, or about to be discovered by The Company. The weight to be given to the report will depend on all the facts known to The Company at the time disciplinary decisions are made.
  - d. All disciplinary actions are applied consistently and in accordance with well-publicized guidelines. Compliance-related disciplinary policies are fairly and firmly enforced:
    1. Similarly situated employees committing similar offenses under similar circumstances shall be subject to the same consistently applied and enforced discipline.
    2. All levels of employees shall be subject to the same disciplinary action for commission of similar offenses under similar circumstances.

3. The form of correction or discipline provided will be case specific and may be based on a variety of factors, including whether the employee promptly reported his/her own violation, severity of the offense, previous incidents involving the individual, whether the employee cooperates fully in investigating/correcting the violation, and the individual's commitment to a positive change in behavior.
  4. Persons who commit violations which are negligent or reckless in nature shall be subject to more severe sanctions.
- e. The range of disciplinary action to which persons may be subject include the following:
    5. Oral or Verbal Warnings;
    6. Written Warnings;
    7. Suspension from Employment or Revocation of Contract (paid or unpaid); and
    8. Privilege revocation
    9. Termination. Some acts or omissions of employees and others associated with The Company shall result in immediate termination. Individuals who commit negligent or reckless violations of laws, rules, regulations, or Company policy shall be terminated immediately.
    10. Financial penalties
  - f. Discipline is enforced by the Compliance Officer, Department Supervisors, or other members of Administration as appropriate.
  - g. During investigations of any person for a violation(s), such person will be either suspended or temporarily relieved of job responsibilities related to the alleged violation(s), depending upon the seriousness of the offense, in accordance with The Company policies and procedures.
  - h. Whether The Company ultimately imposes a disciplinary action that is more or less stringent than that called for according to the list of employee infractions and violations listed in the *Disciplinary Guidelines* (below) is left to the sole discretion of The Company, as set forth in the disciplinary protocol developed pursuant to this policy, in accordance with The Company policies and procedures.

## **B. DISCIPLINARY GUIDELINES**

- 1). *Overview:* The Company provides disciplinary guidelines to impose consequences for employee infractions to support and enforce the Compliance and Ethics Program.
- 2). *Examples of Employee Infractions and Corresponding Disciplinary Actions Applicable to The Company's Compliance and Ethics Program:* Consistent with the Federal Sentencing Guidelines, The Company will impose disciplinary actions relative to respective infractions. The disciplinary actions are listed as guidelines to be considered in determining the disciplinary action to be taken in response to employee infractions. The Company, in its sole discretion, may impose discipline less or more stringent than that called for by these guidelines, as set forth in the disciplinary protocol established under the Compliance and Ethics Program, in accordance with The Company policies and procedures.

### C. NON-RETALIATION AND NON-RETRIBUTION

(Reference CP Section 2.0 [Company Compliance and Ethics Plan](#))

- 1). *Overview:* The Company ensures that Associates can freely participate in The Company's Compliance and Ethics Program, without fear of intimidation, retaliation and retribution, including but not limited to, reporting potential issues, investigating issues, self-evaluations, audits, and remedial actions.
- 2). *Procedure:* No Company Associate is permitted to engage in intimidation, retaliation, retribution, or any form of harassment against another Associate for reporting compliance-related concerns, including but not limited to, reporting potential issues, investigating issues, self-evaluations, audits, and remedial actions. Any retribution, retaliation, or harassment by Company Associates will be met with disciplinary action. Company Associates cannot exempt themselves from the consequences of wrongdoing by self-reporting; although self-reporting may be considered in determining the appropriate course of action.
  - a. *Corporate Compliance and Ethics Program Elements that Protect Associate Rights:*
    1. The Company Associate should report actual or potential wrongdoing, misconduct, or violations of the Compliance and Ethics Program to their supervisor, Compliance Officer, or Compliance Hotline immediately
    2. The Company supervisors should maintain an open-door policy and take aggressive measures to assure The Company that there is no subsequent retaliation, retribution, or harassment for reporting a problem
    3. If the Company Associate has a concern, it should be addressed in order of the following individuals:
      - Immediate Supervisor
      - Manager
      - Administrator
      - Compliance Officer
      - Board of Directors/Owner
    4. If the Company Associate is uncomfortable reporting the issue in the manner noted above, The Company Associate should report directly to the Compliance Hotline
    5. Confidentiality regarding Company Associate's concerns and problems are maintained always, insofar as legal and practical, informing only those Associates who have a need to know

**Policy Number:** WM 2.10

**Policy Title:** Controlled Substances and Abuse

**Policy Statement/Purpose:** It is The Company's policy to provide a work environment that is free from the use, sale, possession, or distribution of illegal drugs or the improper or abusive use of legal drugs or alcohol on Company's premises, and to require Company employees to perform all job-related duties, either on or off Company's premises, without the presence of illegal drugs, alcohol, or inappropriate legal drugs in their systems.

**Policy Interpretation and Implementation:** Providing a workplace without the presence of illegal drugs, alcohol, or inappropriate legal drugs is a component of The Company Compliance and Ethics program.

The Compliance Officer will work with the Pharmacy, Pharmacy Consultant, and the Director of Nursing to assemble all existing policies and procedures pertaining to storing, handling, destroying, and dispensing controlled substances and incorporate them into a single set of policies and procedures, adding such policies and procedures as are deemed necessary. These policies and procedures will be maintained as part of the Corporate Manual.

**Testing Applicants:**

1. All applicants will be informed of The Company's Substance Abuse Program.
2. Applicants may be drug-tested as part of the application process after receiving a conditional offer of employment.
3. Applicants will be advised of the testing requirements in detail by an authorized Company official prior to an offer of hire. The Substance Abuse Program will be explained to all applicants, and applicants must complete, sign, and date a Chemical Screening Consent and Release Form and their signature must be witnessed and dated. If The Company deems it necessary to require testing, an application will not be processed further, unless the applicant submits to the testing procedure.
4. The applicant's ability to meet Company's medical standards will be transmitted directly to Company's Administrator or designated official, who will keep the results strictly confidential. If an applicant's test is positive, he or she will not be considered for employment at that time and will be so informed that he or she has failed to meet The Company's medical standards. The applicant will be offered referral to professional evaluation at the applicant's own expense.

**Testing Employees:** Current employees may be asked to submit a test if cause exists to indicate that their health or ability to perform work may be impaired. Factors which could establish cause include, but are not limited to:

1. Documented change in work performance
2. Repeated failure to follow instructions or operation procedures
3. Violation of Company safety policies
4. Involvement in an incident/accident or near-incident/accident
5. Discovery or presence of substances in an employee's possession or near the employee's workplace
6. Odor of alcohol and/or residual odor peculiar to some chemical or controlled substances
7. Unexplained and/or frequent lateness and/or absenteeism



8. Personality changes or disorientation
9. Arrest or conviction for violation of a criminal drug statute
10. Discrepancy in controlled drug count or documentation of doses

### **Testing Procedures:**

1. If, after consulting the employee's manager, The Company's In-service and Infection Control Director, or designee, believes cause exists, or has a reasonable suspicion that an employee may be impaired or using substances, these findings and observations will be documented. Upon review and approval by the In-service and Infection Control Director, or designee, the employee will be required to consent to a test and sign a *Chemical Screening Consent and Release Form* if the employee did not previously sign the form as an initial applicant.
2. If the employee refuses to sign the *Chemical Screening Consent and Release Form* when knowingly able, he or she will either be terminated or referred for outside help (i.e., non-Company) at the sole discretion of The Company.
3. All the testing will be done either internally by The Company (per established protocols, CLIA, etc.) or at an external testing lab chosen by The Company's Administrator. The Company will determine the controlled substances for which testing will be performed.
4. If any initial drug test is positive, a confirmation test will be performed on the specimen.
5. The procedure for collecting and testing the specimens is the same for employees as for applicants. The Company's In-service and Infection Control Director, or designee, will explain to the employee the testing procedures and The Company's Substance Abuse Program.
6. All testing results are to be kept confidential. The employee will be informed of the results by The Company's In-service and Infection Control Director, or designee.
7. Employees with negative test results may return to work. A confirmed positive test will result in appropriate disciplinary action including, but not limited to, termination or referral of the employee to outside help for assessment which may include suitable medical treatment and/or rehabilitation at the sole discretion of The Company and at the expense of the employee without pay.
8. Alternatively, employees with confirmed positive test results may, at their option and expense, have a second confirmation test made on the same specimen. An employee will not be allowed to submit another specimen for testing.
9. If The Company chooses to refer the employee for outside assistance, and if an employee agrees to seek outside assistance, The Company's In-service and Infection Control Director, or designee, will stay in contact with the employee's physician or counselor during the treatment to ensure that the employee is in compliance with the prescribed treatment.
10. The employee will be considered to have taken leave under the Family Medical Leave Act during his or her absence as long as the employee timely provides the requisite physician certificate required under the Family Medical Leave Act.
11. Once The Company has been informed in writing by the physician or counselor that the employee is again suitable for employment, before the employee may be reinstated, the employee must sign the *Surveillance Agreement Form* and agree to probation and random drug testing for a period of one (1) year.
12. If The Company chooses to refer the employee for outside assistance, and if employee refuses to seek the assistance of outside help after testing positive and being informed of Company's policy, or the employee agrees to seek outside assistance but fails to timely provide the requisite physician certification required under the Family and Medical Leave Act, he or she may be terminated for

violation of Company's policy and failing to meet Company's medical standards, or the employee may be given the opportunity to resign.

13. After so agreeing, and before returning to work, the employee must test negative on the drug test.
14. An employee awaiting pending test results may be placed on probationary status and may be sent home without pay during the time required for a specimen to be evaluated.

**Relapse by Employee:** Any employee who is rehabilitated through the EAP must remain alcohol-free or drug-free. Any relapse by an employee will be considered a violation of this policy and the employee will be subject to disciplinary action, up to and including termination.

**Search of Company Premises:** The Company reserves the right to conduct searches of Company premises and equipment, and employee work areas, lockers, bags, and vehicles on Company premises, at any time. An employee who fails to cooperate with such a search will be subject to disciplinary action, up to and including termination. If you do not want your bags searched, do not bring them onto the premises.

**Referral of Questions:** Application of this policy or any questions concerning this policy should be directed to Human Resources Department Representative.

#### **Reporting:**

For reporting requirements for Healthcare Professional Impairment, visit your state specific professional boards or Department of Consumer Affairs.

#### **Definitions:**

**Company Premises** include all areas in which The Company operates, including, but not to limited to, its property; company-owned or leased equipment, privately owned vehicles entering or parked on the property, or in the use of the property; lockers; desks; equipment; work space; and storage facilities.

**Legal drugs** include alcohol, medications prescribed by a physician, and over-the-counter medications. Company prohibits the use of alcohol during working hours and the use or abuse of prescription medications to the extent that job performance or fitness for duty is adversely affected. Employees shall notify their superior when taking prescribed medication. Upon request, the employee shall furnish Company with the physician's statement regarding the possible/probable side effects of the medication.

**Illegal drugs** include those controlled substances under federal or state law which are not authorized for sale, possession, or use, and legal drugs which are obtained or distributed illegally. Company prohibits the use of illegal drugs during working hours or in such a manner as to adversely affect job performance or fitness for duty.

**Policy Number:** WM 2.11

**Policy Title:** Termination

**Policy Statement/Purpose:** The Company has policies to govern employee termination consistent with applicable laws, regulations, and practices.

**Policy Interpretation and Implementation:** Termination is a component of The Company Compliance and Ethics program.

1. It is the policy of Company to terminate employment because of an employee's resignation, discharge, or retirement; the expiration of an employment contract; or a permanent reduction in the workforce.
2. Discharge can be for any reason not prohibited by law. In the absence of a specific written agreement, employees are free to resign at any time and for any reason, and Company reserves the right to terminate employment at any time for any reason.
3. Employees are requested to give written notice of their intent to resign. Failure to give written notice may result in forfeiture of benefits (such as accrued, unused paid leave time) and ineligibility for reemployment. The following guidelines are suggested:
  - a. Supervisory and Management personnel should give at least four weeks' notice
  - b. All other employees should give at least two weeks' notice
4. Supervisors should send notices of resignation or recommendation for termination to the Business Office.
5. The department manager must provide any needed supporting documents for termination, such as performance appraisals or disciplinary reports.
6. All terminations will be reviewed by the Administrator.
7. Notice of involuntary terminations should be handled carefully and discreetly, preferably in a private meeting including the employee to be terminated, the immediate supervisor, and another member of management. All union members must have another union member or the union steward if available.
8. In cases of resignation, the Administrator or Compliance Officer should conduct an *exit interview* not later than the employee's last working day.
9. The Business Office should maintain written reports of the termination notice meeting and exit interview.
10. If the employee owes The Company any money or is responsible for any long or damaged property, those accounts are to be settled as originally agreed or by deduction from final pay, unless prohibited by law.
11. The Human Resources Department representative will be responsible for notifying the COBRA plan administrator of a qualifying event for terminated employees who are covered by The Company's health plan.
12. Requests for employment references should be made in writing to the Business Office and should include an authorization by the employee for release of the requested information.
13. Generally, the Business Office will not release reference information without the employee's authorization or will limit the information to verification of the employee's position, job location, and dates of employment.

14. Termination and discharge procedures outlined in this policy are only guidelines and do not create a legal contract between The Company and its employees. Company reserves the right to implement its policies and procedures as it sees fit. In addition, specified grounds for termination are not all-inclusive because Company reserves the right to terminate employment for any reason.

**APPENDIX**  
**8. WORKFORCE MANAGEMENT (WM)**  
**TOOLS AND FORMS**

**Appendix WM 1.0 A  
POSITIVE BACKGROUND CHECK LIST**

<b>Applicant Name:</b>			<b>Date of Background Check:</b>		
<b>Requested Position:</b>					
<b>Section II: Criminal Record and Referral History Summary</b>					
List referral, criminal charge, or conviction	Date of request	Number of years since concerning behavior	Age at time of criminal history	Completion of any re-quested treatment	Need for additional infor-mation
<b>Any other pertinent information:</b>					
<b>MANAGER SIGNATURE &amp; TITLE:</b>				<b>DATE:</b>	

Each Facility requires that any positive background check of an Employee should be acted upon as follows:

- Provided to the Employee
- Reviewed with the Employee  
The Employee should provide HR with a written statement of the details surrounding the positive background check.
- Employee's written statement has been received

**Administrator will review the Employee's Application for Employment to determine:**

<b>Employment History</b>	<b>Good</b>	<b>Fair</b>	<b>Poor</b>
<b>a.</b> Continuity of jobs (no long gaps in employment)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>b.</b> Length of employment at each job	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- Was the application form completed honestly (i.e., was "yes" checked where appropriate?)  
**YES**  **NO**

Upon completion of above, Administrator reviews the references provided by the Employee to determine if:

- References validate the employment history provided regarding dates of past employment?  
**YES**  **NO**
- The references provided were good references?  
**YES**  **NO**

If the Employee worked for our company prior to the receipt of the positive background check results, job performance to date has been documented? **YES**  **NO**

Recommendation of Administrator regarding continued employment:

Administrator's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Any Employee with a positive initial or annual background check will not be permitted to work until the positive issue above has been thoroughly investigated and a suitability determination has been made by Corporate and Center Human Resources.**

Corporate HR Review – Approves above Recommendation? **YES**  **NO**

**Reason:** \_\_\_\_\_  
\_\_\_\_\_

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Appendix WM 1.0 B**

## NEW HIRE CHECKLIST

Name: \_\_\_\_\_

Date of Hire: \_\_\_\_\_

Indicate the date each item is completed on the checklist below. File the completed checklist in a new employee folder. Each item must be checked/dated before an employee file is complete.

### Master Employee File

	<b>Task</b>	<b>Complete</b>
1.	Employment Application ( <i>signed, dated, received and reviewed</i> )	
2.	Interview completed	
3.	W-4 ( <i>signed and dated</i> )	
4.	I-9 ( <i>proper ID must be attached</i> )	
5.	Work Opportunity Tax Credit (WOTC)	
6.	Conditional Offer of Employment	
7.	OIG Clearance	
8.	Verified References ( <i>or explanation for lack thereof</i> )	
9.	Background Authorization Release Form	
10.	Fair Credit Reporting authorization & release, as needed	
11.	Verified Criminal Background	
12.	License Verified ( <i>RN, LPN, SW, PT, OT, SLP</i> ) OR CNA Certification Verification (Primary Source)	
13.	Complete driving record for all employees who transport residents	
14.	License or Certification Verification Added to Tracking Registry	
15.	Identification Badge Acknowledgement	
16.	Job Description Acknowledgement ( <i>signed and dated</i> )	
17.	General Orientation Checklist ( <i>signed and dated</i> )	
18.	Department Specific Orientation & Competency completed	
19.	Benefit Summary Sheet	
20.	Time & Attendance Calendar ( <i>if applicable</i> )	
21.	Life Insurance Application	
22.	Insurance Programs & Costs ( <i>Medical, Dental, AFLAC, FSA</i> )	
23.	Union Enrollment Forms	
24.	Receipt of Employee Handbook ( <i>signed and dated</i> )	
25.	Dress Code	
26.	Release of Liability	
27.	Corporate Compliance Program	
28.	Non-Disclosure	
29.	False Claims Acknowledgement	
30.	Memorandum & Rules Governing Use of Computer System	
31.	Payroll Periods & Direct Deposit Forms	
32.	Meal Breaks & Missed Meal Break forms	



33.	Time Sheet Reporting & Submission	
34.	New Hire Reporting Form ( <i>NJ only</i> )	
35.	Working Papers ( <i>if applicable – completed, signed &amp; dated</i> )	
36.	Call Out Procedures	
37.	Injury Reporting Protocol	
38.	Smoking Area(s) & Emergency Exits	
39.	Initial COBRA Letter	
40.	Credible Coverage	
41.	Health Insurance Waiver	
42.	Credit Union Application ( <i>NBA, Inc.</i> )	
43.	State Specific Family Leave Insurance ( <i>NJ only</i> )	

Employee Health File: No later than 14 days Post Hire

44.	Physical Examination Record	
45.	Employee Immunization & Testing Record	
46.	Flu Vaccine Documentation	
47.	Informed Consent or Declination for Hepatitis Vaccine	
48.	Employee Reportable Conditions	

Other

49.	In-Service Record/CE Record	
50.	Performance Reviews/Ongoing Competency Verification	
	I-9 File (separate folder for all employees)	

**Appendix 2.0 A**  
**LICENSED INDEPENDENT PRACTITIONER CREDENTIALING**  
**AND APPOINTMENT CHECKLIST**  
**(Year)**

**Directions:** Enter the name of the LIP being considered for initial appointment into the top line of this matrix and track completion dates for the application and appointment process for each candidate. (Hint: Create a real time Excel document to manage this initial appointment process.)

CRITERIA (enter date documented for each LIP)									
CREDENTIALING APPLICATION ON FILE ( <i>dated</i> )									
CURRENT LICENSE VERIFICATION (date verified)									
COPY OF GOVERNMENT ISSUED PHOTO ID									
NATIONAL PRACTITIONER DATA BANK VERIFICATION									
DEA #									
NARCOTIC CERTIFICATION									
PROFESSIONAL LIABILITY INSURANCE									
RESUME/CV									
SCOPE OF SERVICE LETTER									
2 COMPETENCY LETTERS									
MEDICAL DIRECTOR REVIEW SIGNATURE (PER FILE)									
ADMINISTRATOR SIGNATURE (PER FILE)									
VERIFICATION VALIDATION FORM FROM JOINT COMMISSION ACCREDITED HOSPITAL (if applicable)									
LETTER OF ACCEPTANCE									
MEMO TO STAFF									
NEXT LICENSE RENEWAL DATE									

**Appendix WM 2.0 B**  
**MEDICAL STAFF CREDENTIALING AND PRIVILEGING CANDIDATE**  
**APPLICATION CHECKLIST**  
(On Company Letterhead)

Medical Staff Candidate:

As you complete your application for Medical Staff appointment, please remember to include:

- \_\_\_\_\_ Complete application for [Medical Staff Privileges](#) – all sections must be complete, signed, and dated
- \_\_\_\_\_ Copy of current State License
- \_\_\_\_\_ Copy of Government issued photo ID
- \_\_\_\_\_ Copy of current DEA
- \_\_\_\_\_ Copy of current CDS (New Jersey/Connecticut only)
- \_\_\_\_\_ Copy of current Liability Certificate/Face Sheet of insurance, with policy effective and expiration dates, evidencing a minimum coverage of \$1M/\$3M
- \_\_\_\_\_ Copy of Board Certification Certificate or Board Eligibility Letter
- \_\_\_\_\_ National Practitioner Data Bank Inquiry - Explanation of any malpractice history, form enclosed, signed and dated
- \_\_\_\_\_ Copy of current Curriculum Vitae. Please note: the usage of “to present” is not acceptable, you must use month and year format (e.g., 12/2007 to 7/2018) and there should be no gaps in time. (It is helpful to indicate “CV current as of *date*”)
- \_\_\_\_\_ Hospital Joint Commission Verification Letter (for each hospital if applicable)

**Appendix 2.0 C**  
**APPLICATION FOR APPOINTMENT TO THE MEDICAL STAFF**

Facility: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

Staff Appointment Requested:

- Active Medical Staff
- Courtesy Staff
- Consulting Staff
- Allied Health Professional
- Physician assistant/Nurse Practitioner

List Area of Specialty Service: \_\_\_\_\_

List Specialty Board Memberships: \_\_\_\_\_

Licensure (*Copy required*)

Type: \_\_\_\_\_ State: \_\_\_\_\_ Date: \_\_\_\_\_

DEA Number (*Copy required*): \_\_\_\_\_

Certificate of Malpractice Insurance: (*Copy required*) \_\_\_\_\_

Company Name: \_\_\_\_\_

Address: \_\_\_\_\_

List Medical Society Memberships:

\_\_\_\_\_

\_\_\_\_\_

**PROFESSIONAL AND ACADEMIC PREPARATION**

Institution	Degree	Major/Specialty	Dates


Other Trainings: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Hospital Staff Memberships or Health-Related Facilities *(most recent first)*:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Hospital	City/State	Membership Type	Dates From	Dates To

Are any of the above facilities Joint Commission accredited? \_\_\_\_\_

If yes, please list:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Professional References *(List name, address, and telephone number)*:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

The following questions must be answered for the application to be considered:

1. Has your membership status and/or clinical privileges ever been revoked, suspended, reduced, or not renewed at any health care facility?  
Yes \_\_\_\_\_ No \_\_\_\_\_
  
2. Has your membership in local, state, or national medical societies ever been suspended or terminated?  
Yes \_\_\_\_\_ No \_\_\_\_\_
  
3. Have you ever had your license to practice medicine or your DEA status revoked, suspended, or reduced, and/or are there currently any challenges to your license or DEA status?  
Yes \_\_\_\_\_ No \_\_\_\_\_

All the information provided on this application is true to the best of my knowledge. I understand that any willful omission or misrepresentation of information may result in denial or termination of my privileges. I authorize the Credentials Committee to consult with representatives of other health care facilities as to information regarding my competence, character, and professional conduct. I release from liability all individuals who provide such information in good faith and without notice. I hereby submit my application, current license, resume, service statement, and 2 competency letters for the professional staff at \_\_\_\_\_

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Appendix 2.0 D**  
**APPLICATION FOR MEDICAL STAFF PRIVILEGES**

Dear Practioner,

In conjunction with your *Application for Appointment to the Medical Staff*, please complete the *Request for Privileges* and indicate the specialty in which you practice and your status in the certifying process, or that specialty. Submit your eligibility and/or congratulatory letter from the Specialty Board, if available.

\_\_\_\_\_  
Specialty Practice

\_\_\_\_\_  
Dates(s) board examination was taken/retaken

\_\_\_\_\_  
Results

OR \_\_\_\_\_ Dates(s)  
board examination is scheduled

\_\_\_\_\_ Not eligible to take specialty boards

\_\_\_\_\_ Not planning to take boards\*

\*If you are not planning to take boards, a letter of recommendation, from the Chief of Staff, is required.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Print Name

**HEALTH CARE PRACTITIONER**

Full Name: \_\_\_\_\_

Other Names Used: \_\_\_\_\_

Type:

\_\_\_\_ MD    \_\_\_\_ DO    \_\_\_\_ Nurse Practitioner    \_\_\_\_ Dentist    \_\_\_\_ Psychologist    \_\_\_\_  
Podiatrist    \_\_\_\_ Optometrist    \_\_\_\_ Ophthalmologist    \_\_\_\_ Other

Home Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Social Security #: \_\_\_\_\_ UPIN#: \_\_\_\_\_

American Board of \_\_\_\_\_ Date: \_\_\_\_\_

If you are not Board Certified and if a Board exists for your specialty, please indicate the date you were/are eligible to sit for the examination: \_\_\_\_\_

*\*\*Please attach a copy of your current Curriculum Vitae\*\**

<b>PRACTICE INFORMATION</b>
-----------------------------

Type of Practice: \_\_\_\_\_

Practice Name: \_\_\_\_\_

Other Practitioners in Group: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Primary Office Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Email: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

<b>HOSPITAL AFFILIATIONS</b>
------------------------------

Are you a member of the medical staff at an accredited Joint Commission hospital?

\_\_\_ No \_\_\_ Yes, since \_\_\_\_\_



If yes, please list complete name and address:

Hospital Name: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

<b>EDUCATION TRAINING</b>
---------------------------

\_\_\_\_\_ Medical School      \_\_\_\_\_ Dental School      \_\_\_\_\_ Other Professional School

Degree: \_\_\_\_\_ Date of Graduation: \_\_\_\_\_

Name of School: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Email (if applicable): \_\_\_\_\_

<b>INTERNSHIP</b>
-------------------

From: (month/year) \_\_\_\_\_ To: (month/year) \_\_\_\_\_

Type: \_\_\_\_\_ Rotating    \_\_\_\_\_ Special    \_\_\_\_\_ Specialty

Program Director: \_\_\_\_\_

Email (if applicable): \_\_\_\_\_

Name of Hospital: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

**RESIDENCY**

From: (month/year) \_\_\_\_\_ To: (month/year) \_\_\_\_\_

Type: \_\_\_ Rotating \_\_\_ Special \_\_\_ Specialty

Program Director: \_\_\_\_\_

Email (if applicable): \_\_\_\_\_

Name of Hospital: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

From: (month/year) \_\_\_\_\_ To: (month/year) \_\_\_\_\_

Type: \_\_\_ Rotating \_\_\_ Special \_\_\_ Specialty

Program Director: \_\_\_\_\_

Email (if applicable): \_\_\_\_\_

Name of Hospital: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

**FELLOWSHIP**

From: (month/year) \_\_\_\_\_ To: (month/year) \_\_\_\_\_

Specialty Program Director: \_\_\_\_\_

Email (if applicable): \_\_\_\_\_

Name of Hospital: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

**OTHER POST-GRAD EDUCATION**

From: (month/year) \_\_\_\_\_ To: (month/year) \_\_\_\_\_

Course or Program: \_\_\_\_\_

Name of Institution: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

From: (month/year) \_\_\_\_\_ To: (month/year) \_\_\_\_\_

Course or Program: \_\_\_\_\_

Name of Institution: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

**CERTIFICATIONS**

From: (month/year) \_\_\_\_\_ To: (month/year) \_\_\_\_\_

Certification \_\_\_\_\_

Name of Institution/Organization: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

From: (month/year) \_\_\_\_\_ To: (month/year) \_\_\_\_\_

Certification \_\_\_\_\_

Name of Institution/Organization: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

**WORK HISTORY INFORMATION**

Physician Name: \_\_\_\_\_

Your employment history, including private practice, since residency/fellowship program to the present is essential for credentialing. Copy this form for additional space. All information is confidential.

**Work History:** (Begin with most recent experience)

From: _____ To: _____ Name of Facility: _____
Address: _____
What capacity: _____

\_\_\_\_\_

From: \_\_\_\_\_ To: \_\_\_\_\_ Name of Facility: \_\_\_\_\_  
Address: \_\_\_\_\_  
What capacity: \_\_\_\_\_

From: \_\_\_\_\_ To: \_\_\_\_\_ Name of Facility: \_\_\_\_\_  
Address: \_\_\_\_\_  
What capacity: \_\_\_\_\_

From: \_\_\_\_\_ To: \_\_\_\_\_ Name of Facility: \_\_\_\_\_  
Address: \_\_\_\_\_  
What capacity: \_\_\_\_\_

From: \_\_\_\_\_ To: \_\_\_\_\_ Name of Facility: \_\_\_\_\_  
Address: \_\_\_\_\_  
What capacity: \_\_\_\_\_

From: \_\_\_\_\_ To: \_\_\_\_\_ Name of Facility: \_\_\_\_\_

Address:

What capacity:

## ATTESTATION

In making application for appointment to The Company Medical Staff, I have read and agree to abide by the *Facility and Medical Staff Bylaws* and by such Rules and Regulations the Facility or Medical Staff may from time to time enact.

By applying for appointment to the Medical Staff:

1. An application authorizes Center Representatives, as defined herein, to consult with all persons who have been professionally associated with the applicant or who have relevant information regarding the applicant's professional qualifications and the applicant authorizes such persons to respond to requests for information received from Center Representatives. Center Representatives must act in good faith in making such inquiries and such inquiries shall not exceed the scope of which is reasonably necessary in order for the Medical Staff and the Board to evaluate the applicant's qualifications. All information gathered as a result of such inquiries shall be treated as confidential and shall not be communicated except on a need-to-know basis. An applicant consents to the inspection by Facility Representatives of those records regarding the professional qualifications of the applicant that are reasonably related to the proper evaluation of the applicant's application in terms of qualifications, licensure status, training and experience, and current clinical competence in light of the clinical privileges being requested. All such records shall be treated as confidential and shall not be disclosed except on a need-to-know basis. The applicant releases from liability the Center and the Center's Representative for their activities in reviewing and evaluating the applicant's credentials, provided their activities and the release of information are within the scope of their duties under these Bylaws and are carried out in good faith and without malice. An applicant agrees that if he or she is, or has applied to become a member of the staff of another health care organization and the Center receives an inquiry from such other health care organization regarding the applicant's professional qualifications, the Center may disclose the information as it maintains regarding the applicant's professional qualifications, provided such disclosure is done in good faith and without malice. It is understood that the provisions herein are equally applicable to applicants for initial appointment, applicants for reappointment, and in any situation in which the applicant's continued membership or privileges is under official consideration.
2. By applying for appointment to and maintaining Membership in the Medical Staff, the applicant or Member:
  - A. Signifies his or her willingness to appear for interviews regarding his or her application.

- B. Authorizes Center Representative to consult with others who have been associated with him or her, or who may have information bearing on his or her competence and qualifications.
- C. Consents to the inspection by Center Representative of all records and documents that may be material to an evaluation of his or her professional qualifications and ability to carry out the clinical privileges he or she maintains or requests as well as of his or her professional and ethical qualifications.
- D. Releases from all liability all Center Representatives for their acts performed in good faith and without malice in connection with evaluating the applicant or Member and his or her credentials and qualifications.
- E. Release from all liability all individuals and organizations who provide information, including otherwise privileged and confidential information, to Center Representatives in good faith and without malice concerning the applicant's or Member's ability, professional ethics, character, physical and mental health, emotional stability, and other qualifications.
- F. Authorizes Center Representative to provide to hospitals, medical associations, and other organizations concerned with the quality and efficiency of patient care with any information the Center may have concerning him or her and releases Center Representatives from all liability for so doing, provided that such provision of information is done in good faith and without malice.

In return for my application being considered:

1. I certify that the information given in or attached to this application is accurate and complete to the best of my knowledge and I believe it fairly represents the current level of my training, experience, capability, and competence to exercise the clinical privileges I have requested.
2. I acknowledge receipt, review, and understanding of the Bylaws and the Health Care Practitioners Responsibility. I further attest that I understand the procedures for appointment and reappointment, including granting renewal or revision of clinical privileges, and agree to abide by them.
3. I certify that I am in good physical health and have no medical issues that may prevent me from performing my duties as a member of the medical staff.

---

Signature

---

Date

**Appendix 2.0 E**  
**PRIVILEGE REQUEST FOR SUBACUTE PROGRAM**

Category of Care	Sources of Relevant Training/Experience	Privileges Granted
------------------	---	--------------------

Complex medical care     Residency     No conditions

Assessment and management of complicated or multiple concurrent medical conditions (e.g. unstable fellowship Diabetes, general metabolic conditions, enteric and parenteral feedings, complex pressure sores, vascular ulcers, cardiac decompensation/arrhythmias, etc.)

- Advanced Training
- Conditional
- CME
- Special Workshops/Seminars
- Practice Experience

Complex medical care     Residency     No conditions

Assignment and management of complicated infections (e.g., HIV, multiple organism, opportunistic infections, fellowship colonization of wounds, indwelling tubes, Catheters, etc.)

- Advanced Training
- Conditional
- CME
- Special Workshops/Seminars
- Practice Experience

Complex medical care     Residency     No conditions

Managing cancer and cancer therapy, prescribing and monitoring chemotherapy, pain management, and fellowship rehabilitative care for cancer residents.

- Advanced Training
- Conditional
- CME
- Special Workshops/Seminars
- Practice Experience

Weaning residents from ventilator, rehabilitation and management of complications of those with major fellowship primary pulmonary illnesses, respiratory instability, and secondary causes of ventilatory failure.

Pulmonary Care     Residency     No conditions



- Advanced Training
  - Conditional fellowship
  - CME
  - Special Workshops/Seminars
  - Practice Experience
- 

Managing residents with advanced renal failure, overseeing dialysis, managing any complications of fellowship illness in relation to dialysis.

Renal/dialysis Care     Residency     No conditions

- Advanced Training
  - Conditional fellowship
  - CME
  - Special Workshops/Seminars
  - Practice Experience
- 

Managing pain related to medical, surgical, or other conditions by medication and/or mechanical modalities.

Pain management     Residency     No conditions

- Advanced Training
  - Conditional fellowship
  - CME
  - Special Workshops/Seminars
  - Practice Experience
- 

Managing terminal/hospice care, pain management, development of care plan, making ethical decisions fellowship regarding withholding/withdrawing of treatment.

Terminal care     Residency     No conditions

- Advanced Training
  - Conditional fellowship
  - CME
  - Special Workshops/Seminars
  - Practice Experience
- 

Post-operative medical and surgical complications, surgical wound management.

Post-surgical Care     Residency     No conditions

- Advanced Training
- Conditional fellowship
- CME
- Special Workshops/Seminars
- Practice Experience

---

Supervising rehabilitation of residents with injuries, fractures, general debilitating training. Ordering physical therapy, occupational therapy, speech-language pathology services, and neuropsychological services for residents with such debilities as head and spinal cord injuries.

Rehabilitation Care     Residency     No conditions

- Advanced Training
- Conditional fellowship
- CME
- Special Workshops/Seminars
- Practice Experience
- Cardiac rehab
- Orthopedic rehab
- Traumatic brain injury rehab

---

Managing major depression; acute organic psychosis; fluctuating behavioral, cognitive, or mood disturbances.

Psychiatric Care     Residency     No conditions

- Advanced Training
- Conditional fellowship
- CME
- Special Workshops/Seminars
- Practice Experience

\_\_\_\_\_ Other Privileges Requested (list and describe) \_\_\_\_\_  
\_\_\_\_\_ Residency \_\_\_\_\_ No Conditions

\_\_\_\_\_ Advanced Training  
\_\_\_\_\_ Conditional fellowship  
\_\_\_\_\_ CME  
\_\_\_\_\_ Special Workshops/Seminars  
\_\_\_\_\_ Practice Experience

**LICENSURE**

Please ATTACH copies of current \_\_\_\_\_ (state) license, CDS and DEA registrations reflecting \_\_\_\_\_ (state) address.

Have any of the following ever been, or are currently in process, either on a voluntary or involuntary basis been: denied, revoked, suspended, reduced, limited, placed on probation, not renewed, or relinquished for disciplinary reasons?

If the answer to any of the below questions is “Yes”, please provide a full explanation on a separate sheet and attach.

License (in any State)  Yes  No

Controlled Drug Substance Registration  Yes  No  N/A

Drug Enforcement Agency Registration (Federal)  Yes  No  N/A

**LIABILITY INSURANCE INFORMATION**

Please ATTACH a copy of current Certificate of Liability Insurance.

If the answer to any of the below questions is “Yes”, please provide a full explanation on a separate sheet and attach.

Have any professional liability suits been filed against you which are presently pending?  Yes  No

Have any professional liability suits been filed against you within the last 10 years?  Yes  No

Have you or any party owning/controlling more than 10% of your business/practice ever been subject to or currently undergoing:

- Government disciplinary action such as, but not limited to, revocation, suspension, or restriction of license or Medicare/Medicaid provider status?  Yes  No
  
- Criminal or ethical investigation or conviction?  Yes  No

- Bankruptcy, insolvency, or assignment for the benefit or creditor proceedings?  Yes  No

If the answer to any of the below questions is “Yes”, please provide a full explanation on a separate sheet and attach.

<b>ADDITIONAL INFORMATION REGARDING QUALIFICATIONS</b>
--

Where applicable, describe below those specific aspects of training or experience that you feel are relevant to the requested privileges:

Internship/Residency: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Advanced Training/Fellowship: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Continuing Medical Education: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Special Workshops/Seminars: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Practice Experience: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Privileges Requested By: \_\_\_\_\_

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date Requested

Privilege Request Reviewed/Approved By: \_\_\_\_\_

\_\_\_\_\_  
Medical Director

\_\_\_\_\_  
Date Approved

\_\_\_\_\_  
Administrator

\_\_\_\_\_  
Date Approved

\_\_\_\_\_  
Governing Body/Credentialing Committee

\_\_\_\_\_  
Date Approved

**Appendix 2.0 F**  
**CREDENTIALING COMMITTEE ACTION**

Name of Applicant: \_\_\_\_\_

Date of Review: \_\_\_\_\_

- Current License
- Application
- Resume (relevant education, training, and experience)
- Statement of Service
- 2 Competency Letters
- National Practitioner Data Bank Query ([www.npda.hipde.com](http://www.npda.hipde.com)) (800) 767-6732
- Credentials to be reviewed bi-annually/ with license renewal update
- Maintained with current date in fireproof, locked cabinet

\_\_\_\_\_ Approved

\_\_\_\_\_ Denied - Reason: \_\_\_\_\_

\_\_\_\_\_  
Name and Signature of Medical Director

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Signature of Administrator

\_\_\_\_\_  
Date

**SAMPLE**

January 2019

Dr. Miller  
845 W. Bay Avenue  
Barnegat, NJ 08005

Dear Dr. Miller:

I am pleased to inform you that your request to admit residents to the Barnegat Nursing Center has been approved for the following:

-----           General Medical Services for residents over age 17  
                          General Medical Services are defined as services to  
                          residents in the following categories:

(See attached A: Categories of Acceptance)

Your appointment is effective\_\_\_\_\_.

Sincerely,

David J. Kinder  
Administrator  
Medical Director

**SAMPLE**

Date: January 23, 2019

To: All Departments

From: David J. Kinder, LNHA

The following physicians have been approved to provide medical services at Barnegat Nursing Center according to the attached A Categories of Acceptance

Dr. Walter Miller, Medical Director  
Dr. Mark James Bartiss, Attending  
Bruce Kalin, Dr. Bartiss's assistant

Dr. Nishi Sahay, Attending  
Dr. Rajiv Sahay, Attending  
Dr. Cornejo, Attending  
Dr. Christine Gigliuto, Attending  
Dr. Riviello, Attending  
Dr. Stanch, Psychiatrist



**Appendix WM 3.0 A**  
**GENERAL ORIENTATION CHECKLIST**

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Department: \_\_\_\_\_

Date of Hire: \_\_\_\_\_

	<b>Topic</b>	<b>Initials</b>	<b>Date Completed</b>
1	Company History, Mission/Vision, and Values		
2	Corporate Compliance Program		
3	Quality Improvement Program		
4	Employee Paperwork		
5	Resident Rights/Confidentiality/Advance Directives		
6	Hot to Handle Complaints with use of Problem Reports		
7	Dealing with the Cognitively Impaired/dementia resident		
8	Resident Neglect and Abuse		
9	Cultural Diversity and Sensitivity Training		
10	Tour of Building/Introduce Staff		
11	Fire Safety/In-Service/Film		
12	Lock Out/Tag Out		
13	Security Systems		
14	Power Outages		
15	Nutritional Services Information		
16	Hazardous Communications		
17	SDS Eye Wash Stations		
18	Laundry/Personal Clothing		
19	HIV/AIDS		
20	Bloodborne Pathogens & TB		
21	Hepatitis B		
22	Immunization Record Informed Consent		
23	Infection Control/Hand hygiene		
24	Standard Precaution		
25	TB Testing		
26	History of Positive Skin Test		
27	In-Service Requirements ( <i>state specific</i> )		
28	Customer Service Operation		
29	General Orientation Information/Activities		
30	Rehabilitation/Body Mechanics		

31	Physical and Chemical Restraints		
32	Resident Safety		
33	Falls Alert Program		
34	Employee Safety and Incident Reporting		
35	Memorandum on Rules Governing Use of Computer System & Network		
36	Protected Health Information and HIPAA Compliance		
37	Pain Assessment and Management		
38	Missing Resident/Elopement		
39	Department Specific Orientation		
40	Risk Management & Quality Improvement		
41	Elder Justice Act		

My signature verifies attendance and explanation and/or receipt of all handouts given during the general orientation as listed above. I understand that I may ask for further clarification on any of the above issues.

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Employee Name (Printed)

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Employee Signature

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Date

**Appendix WM 3.0 B**

**ANNUAL COMPLIANCE AND CONFLICTS OF INTEREST DISCLOSURE STATEMENT**

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Position: \_\_\_\_\_

1. Instructions

Please answer all of the questions in Section 3 to the best of your knowledge. If you answer “yes” to any question on this form, please respond fully to the information requested, or identify whether the position or relationship is compensated, involves equity (*i.e.*, stock, or other beneficial ownership interest), or involves another financial interest. Use additional sheets if necessary to fully answer any question.

2. Disclosure Statement

A. Do you or, to your knowledge, any member of your family have any interest in any entity which conducts business with The Company?

\_\_\_\_ No \_\_\_\_ Yes (if yes, please explain)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

B. Do you or, to your knowledge, any member of your family hold any position as a director, officer, partner, trustee, employee, agent, or consultant of any entity which conducts business with The Company?

\_\_\_\_ No \_\_\_\_ Yes (if yes, please explain)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

C. Have you or, to your knowledge, any member of your family given, directly or indirectly, any gift, entertainment, compensation, reward, or other benefit during the past twelve (12) months to any entity which conducts business with The Company?

No  Yes (if yes, please explain)

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D. Have you or, to your knowledge, any member of your family received, directly or indirectly, any gift, entertainment, compensation, reward, or other benefit of more than nominal value during the past twelve (12) months from any entity which conducts business with The Company?

No  Yes (if yes, please explain)

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E. Are you a member of the Governing Body or an officer, trustee, employee, agent, or consultant of, any other healthcare provider or supplier other than The Company?

No  Yes (if yes, please explain)

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F. Please indicate whether you are currently debarred, suspended, excluded, or otherwise ineligible to participate in any federal program.

No, I am NOT currently debarred, suspended, excluded, or otherwise ineligible to participate in any federal program.

Yes, I am currently debarred, suspended, excluded, or otherwise ineligible to participate in any federal program. Please provide details of debarment, suspension, or exclusion.

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G. Please indicate whether you have ever been convicted of a criminal offense related to the provision of health care items or services.

No, I have never been convicted of a criminal offense related to the provision of health care items or services.

Yes, I have been convicted of the following criminal offense related to the provision of health care items or services. Please explain and include: offense, date of conviction, and state where offense occurred.

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H. Please indicate whether you have entered into or been a party to any agreement or settlement with any governmental body or agency relating to an allegation of noncompliance with, or violation of, any healthcare laws.

No  Yes (if yes, please explain the nature of the settlement and include: violation, date of settlement, and state where the violation occurred)

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Please indicate your knowledge of whether or not The Company is currently noncompliant with any applicable healthcare laws or regulations or under investigation, audit, or review for any alleged non-compliance with healthcare laws.

No, I have NO knowledge of any noncompliance with applicable healthcare laws by The Company or knowledge of any investigation, audit, or review of alleged noncompliance with healthcare laws by The Company.

\_\_\_\_\_ Yes, I am aware of and have knowledge of noncompliance with healthcare laws by The Company or I have knowledge of an investigation, audit, or review of alleged noncompliance with healthcare laws. Please explain, in detail, what you have knowledge of by providing a complete explanation and all relevant facts and circumstances.

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**ACKNOWLEDGEMENT  
ANNUAL COMPLIANCE AND CONFLICTS OF INTEREST  
DISCLOSURE STATEMENT**

I hereby certify that I have carefully read and understand all of the instructions, questions, and disclosures in this Annual Disclosure Statement. I agree to immediately update the information provided in this Annual Disclosure Statement in writing to The Company Compliance Officer in the event of any changes.

I further certify that the information contained on this form is true and correct to the best of my knowledge, and I have made reasonable efforts to assure that accurate and complete information has been provided.

Additionally, I certify that it is my responsibility to read, understand, and abide by The Company *Code of Conduct* and agree to comply with my obligations under the *Code of Conduct*.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## Appendix WM 3.0 C

### ACKNOWLEDGEMENT OF THE COMPANY COMPLIANCE AND ETHICS PLAN

I hereby acknowledge by my signature that I have received a copy of The Company's document entitled *Company Compliance and Ethics Plan*. Further, I understand that:

1. The Company Compliance and Ethics Program has committed our organization to support each employee in our efforts to provide quality of care while adhering to all applicable laws and regulations.
2. If I have any concerns that may involve a violation of a law or regulation, I am expected to report such concern. Even if I am unsure it is a violation of any law or regulation, I am encouraged to report the concern without delay.
3. I should report concerns to either my manager, the Administrator, or the Compliance Officer, by openly or anonymously calling the Compliance Hotline at (800) 557-1066.
4. If my concern is reported in good faith, I will not be subjected to retaliation for making the report.
5. The Company's Compliance and Ethics Program Manual is available for my review should I have any questions or require any clarification.
6. If I am a vendor and/or contractor, I agree to abide by the standards contained in The Company's Compliance Plan as well as its *Compliance and Ethics Program Manual* and agree to participate in The Company's mandatory compliance training which can be accessed at [www.mednetcompliance.com](http://www.mednetcompliance.com) under E-Learning Courses (Password – elements1). Vendor shall disseminate Company's policies to Vendor's managers and employees. ([Appendix VC 1.B](#))

I hereby agree to abide by all Compliance and Ethics Program requirements and understand that adherence to this document and other policies and procedures in The Company's *Compliance and Ethics Program Manual* is a condition of employment or continued business dealings with The Company.

I hereby acknowledge receipt of the following:

1. [The Company Compliance and Ethics Plan](#)
2. [Code of Conduct](#)
3. [Deficit Reduction Act of 2005](#)
4. [Policy Against Harassment](#)

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Print Name

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Signature

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Company Name (If Contractor)

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Date

**Appendix WM 3.0 D  
TRAINING LOG**

**REQUIRED TRAINING TOPIC:** \_\_\_\_\_

\_\_\_\_\_  
Name

\_\_\_\_\_  
Relationship to The Company (Employee, Business Associate, etc.)

\_\_\_\_\_  
Name of Business Associate (if applicable)

**TRAINING (Description):**

**DATE OF TRAINING:**

\_\_\_\_\_  
 Signature Acknowledgement on File

\_\_\_\_\_  
 Signature Acknowledgement on File

\_\_\_\_\_  
 Signature Acknowledgement on File

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 Signature Acknowledgement on File

\_\_\_\_\_  
 Signature Acknowledgement on File



**Appendix WM 3.0 E**  
**ACKNOWLEDGMENT OF POLICY AGAINST HARASSMENT**

I hereby acknowledge by my signature that I have received a copy and have been trained on The Company's Policy WM 2.8 B [\*Policy Against Harassment\*](#).

I hereby agree to abide by its requirements.

\_\_\_\_\_

Print Name

\_\_\_\_\_

Date

\_\_\_\_\_

Signature

**Appendix WM 3.0 F**  
**CONFIDENTIAL INFORMATION AGREEMENT**

**Appendix WM 4.0 A**  
**COMPLIANCE AND ETHICS PLAN EMPLOYEE LETTER**

(Date)

Dear Employees,

The Company has developed and implemented a Corporate Compliance and Ethics Program. This Program ensures The Company's commitment to a high standard of conduct, honesty and reliability in its business practices, and to advance and maintain compliance with federal and state laws and regulations applicable to health care programs. The Corporate Compliance and Ethics Program includes The Company's commitment to adhere to the requirements of the Deficit Reduction Act of 2005, 42 U.S.C. Section 1396a(a)(68).

As an employee of The Company, you are required to honor the same commitment by adhering to the Corporate Compliance and Ethics Program as well as The Company's efforts pursuant to the Deficit Reduction Act of 2005 to detect, address and prevent fraud, waste and abuse.

Enclosed are the [Company Compliance and Ethics Plan](#), the [Code of Conduct](#), [Policy Against Harassment](#), and [The Deficit Reduction Act of 2005](#).

Please read them carefully and sign the below acknowledgment.

I hereby acknowledge by my signature that I have received a copy of the four above noted policies. I have read them carefully and understand that I must adhere to these policies as a condition of employment.

\_\_\_\_\_  
Print Name of Individual

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Individual

**Appendix WM 4.0 B**  
**DRUG & ALCOHOL REASONABLE SUSPICION CHECKLIST**

Date: \_\_\_\_\_  
Name of Employee: \_\_\_\_\_  
Job Title: \_\_\_\_\_  
Location/Department: \_\_\_\_\_

Prior to sending any employee for drug or alcohol testing due to a reasonable suspicion, this form must be completed by two members of management who have had a first-hand observation or conversation with the employee. In rare situations, a second member of management may not be available to witness the behavior. If the employee is in a safety sensitive area, remove them from work immediately until a second observer can talk with the employee and/or a decision can be made on whether testing is necessary.

When completing the following document, list all observations you noticed. Be as specific as possible including names of employees/witnesses, when and where you noticed these behaviors occurring, what the employee was doing at the time and any witnesses of these events. Include any observations or changes in appearance such as:

1. Stumbling or difficulty walking
2. Slurred or incoherent speech
3. Apparent confusion and disorientation
4. Odor of alcohol and/or residual odor peculiar to some chemical or controlled substance
5. Dilated pupils/pinpoint pupils
6. Red eyes
7. Discovery or presence of illegal substances or alcohol on an employee's possession or near the employee's workplace
8. Nodding appears more sleepy than awake (not regular tiredness/more sleepy than awake)
9. Describe any odor on the employee's breath or clothing

The above observations can be further substantiated by the following documentation or observations:

1. Excessive absenteeism or excessive tardiness
2. Declining productivity or performance
3. Violation of Facility safety policies
4. Involvement in any accident or near accident

Observations:

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First Observer Name/Title

Date

Signature

Date

Observations:

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Second Observer Name/Title

Date

Signature

Date

Once the observations are documented, the involved management should immediately meet with HR, if available, and make a decision as soon as possible on whether or not to send the employee for reasonable suspicion testing to rule out the possibility that they may be under the influence of drugs or alcohol at work. This decision should be made and handled in accordance with The Company's drug and alcohol policy and procedure.

Describe Action Taken:

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**Appendix WM 4.0 C**  
**PERFORMANCE APPRAISAL:**  
**ANNUAL REVIEW FORM (INCLUDING SUPERVISORY SKILLS)**

**INSTRUCTIONS**

In completing this review, the following sequence should be followed:

1. Review the attached Job Description. Notify Human Resources of any changes/additions to the Job Description.
2. Complete the following pages by circling the most appropriate numerical value in each section.
3. To determine the Overall Performance Rating: add the numerical values together and divide by eight. **Note:** If the employee has supervisory responsibilities, then complete the supervisory section as well. The divisor will then be eleven.
4. Obtain the signature of your manager (Secondary Reviewer).
5. Complete the **Employee Action Record**, if applicable, for salary change recommendations or job title changes.
6. Manager must also submit to the Department Head and Human Resources, prior to the performance discussion with the employee, a detailed plan to address areas rated "needs improvement" and/or "marginal".
7. Submit the Annual Review, Employee Action Record, and detailed plan, if applicable, to Human Resources for approval signatures.
8. Upon receipt of approval signatures, the Annual Review will be returned for discussion with the employee. The current Job Description will also be included. Have the **employee sign and date** the Job Description and Annual Review Form.
9. Once you discuss the review with the employee and obtain their signatures, provide copies to the employee and return the original forms to Human Resources.

**ANNUAL REVIEW FORM (INCLUDING SUPERVISORY SKILLS)**

Review Period: \_\_\_\_\_ to \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_ Dept: \_\_\_\_\_

Title: \_\_\_\_\_ Hire Date: \_\_\_\_\_

Date Started in most Recent Position: \_\_\_\_\_

## **JOB KNOWLEDGE**

Knowledge of products, policies, and procedures; OR knowledge of techniques, skills, equipment, procedures, and materials.

- 5 Expert in job, has thorough grasp of all phases of job.
- 4 Very well informed, seldom requires assistance and instruction.
- 3 Satisfactory job knowledge, understands and performs most phases of job well, occasionally requires assistance or instruction.
- 2 Limited knowledge of job, further training required, frequently requires assistance or instruction.
- 1 Lacks knowledge to perform job properly.

## **QUALITY OF WORK**

Freedom from errors and mistakes. Accuracy, quality of work in general.

- 5 Highest quality possible, final job virtually perfect.
- 4 Quality above average with very few errors and mistakes.
- 3 Quality very satisfactory, usually produces error free work.
- 2 Room for improvement, frequent errors, work requires checking & re-doing.
- 1 Excessive errors and mistakes, very poor quality.

## **QUANTITY OF WORK**

Work output of the employee.

- 5 High volume producer always does more than is expected or required.
- 4 Produces more than most, above average.
- 3 Handles a satisfactory volume of work, occasionally does more than is required.
- 2 Barely acceptable, low output, below average.
- 1 Extremely low output, not acceptable.

## **RELIABILITY**

The extent to which the employee can be depended upon to be available for work, do it properly, and complete it on time. The degree to which the employee is reliable, trustworthy, and persistent.

- 5 Highly persistent, always gets the job done on time.
- 4 Very reliable, above average, usually persists in spite of difficulties.
- 3 Usually gets the job done on time, works well under pressure.
- 2 Sometimes unreliable, will avoid responsibility, satisfied to do the bare minimum.
- 1 Usually unreliable, does not accept responsibility, gives up easily.

## **INITIATIVE AND CREATIVITY**

The ability to plan work and to go ahead with a task without being told every detail and the ability to make constructive suggestions.

- 5 Displays unusual drive and perseverance, anticipates needed actions, frequently suggests better ways of doing things.
- 4 Self-starter, proceeds on own with little or no direction, progressive, makes some suggestions for improvement.
- 3 Very good performance, shows initiative in completing tasks.
- 2 Does not proceed on own, waits for direction, routine worker.
- 1 Lacks initiative, less than satisfactory performance.

## **JUDGEMENT**

The extent to which the employee makes decisions which are sound. Ability to base decisions on fact rather than emotion.

- 5 Uses exceptionally good judgment when analyzing facts and solving problems.
- 4 Above average judgment, thinking is very mature and sound.
- 3 Handles most situations very well and makes sound decisions under normal circumstances.



- 2 Uses questionable judgment at times, room for improvement.
- 1 Uses poor judgment when dealing with people and situations.

### **COOPERATION**

Willingness to work harmoniously with others in getting a job done. Readiness to respond positively to instructions and procedures.

- 5 Extremely cooperative, stimulates teamwork and good attitude with others.
- 4 Goes out of the way to cooperate and get along.
- 3 Cooperative, gets along well with others.
- 2 Indifferent, makes little effort to cooperate, or is disruptive to the overall group or department.
- 1 Negative and difficult to get along with.

### **ATTENDANCE**

Faithfulness in coming to work daily and conforming to scheduled work hours.

- 5 Always regular and prompt, **perfect attendance**, absent only in rare emergency.
- 4 Very prompt and regular in attendance, above average, pre-planned absences.
- 3 Usually present and on time, normally pre-planned absences.
- 2 Lax in attendance and/or reporting on time, improvement needed to meet required standards.
- 1 Often absent without sufficient reason and/or frequently reports to work late or leaves early.

## **COMPLETE THIS SECTION FOR SUPERVISORY PERSONNEL ONLY**

### **PLANNING AND ORGANIZING**

The ability to analyze work, set goals, develop plans of action, utilize time. Consider amount of supervision required and extent to which you can trust employee to carry out assignments conscientiously.

- 5 Exceptionally good planning and organizing skills. Conscientious.
- 4 Above average planning and organizing. Usually carries out assignments conscientiously.
- 3 Average planning and organizing. Occasionally requires assistance.
- 2 Room for improvement. Frequently requires assistance.
- 1 Unacceptable planning and organizing skills.

### **DIRECTING AND CONTROLLING**

The ability to create a motivating climate, achieve teamwork, train and develop, measure work in progress, take corrective action.

- 5 Exceptional leader, others look up to this employee.
- 4 Above average. Usually, but not always motivational.
- 3 Average. Sometimes needs to be reminded of leadership role.
- 2 Needs to improve motivational and teamwork skills.
- 1 Unacceptable directing and controlling skills.

### **DECISION MAKING**

The ability to make decisions and the quality and timeliness of those decisions.

- 5 Exceptional decision-making abilities. Decisions are made in a timely manner.
- 4 Above average decision-making abilities. Usually makes sound and timely decisions.
- 3 Average. Sometimes requires assistance in making decisions.
- 2 Needs to improve decision making and/or timeliness of decisions.
- 1 Unacceptable decisions and/or timeliness.

**MANAGERIAL COMMENTS**

**Noteworthy strong areas of present performance:**

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**Areas requiring improvement in job performance:**

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**What has the employee done to improve performance from the previous review?:**

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**Developmental Plans:**

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**To what extent have previous plans been carried out?**

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*(Add all numerical values from each category) then divide by 8 (or 11, if supervisor section was completed)*

**Overall Performance Rating:** \_\_\_\_\_

**PERFORMANCE RATING DEFINITIONS**

**Distinguished (5)**

Outstanding performance that results in extraordinary and exceptional accomplishments with significant contributions to objectives of the department, division, group, or company.

**Commendable (4)**

Consistently generates results above those expected of the position. Contributes in an above-average manner to innovations both technical and functional.

**Fully Satisfactory (3)**

Good performance with incumbent fulfilling all position requirements and may on occasion generate results above those expected of the position.

**Needs Improvement (2)**

Performance leaves room for improvement. This performance level may be the result of new or inexperienced incumbent on the job or an incumbent not responding favorably to instruction.

**Marginal (1)**

Lowest performance level which is clearly less than acceptable, and which is obviously well below minimum position requirements. Situation requires immediate review and action. Possible separation or reassignment is in order without significant and immediate performance improvement.

**EMPLOYEE COMMENTS:**

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**Signatures:** Signatures acknowledge that this form was discussed and reviewed.

Received by:

Prepared by:

Approved by:

\_\_\_\_\_  
Employee

\_\_\_\_\_  
Supervisor

\_\_\_\_\_  
Secondary Reviewer

Date: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

## **9. SAFETY MANAGEMENT (SM)**

## 9. SAFETY, SECURITY, AND RISK MANAGEMENT (SM)

<b>Policy Number</b>	<b>POLICY</b>
SM 1.0	<a href="#"><u>SAFETY MANAGEMENT PLAN</u></a>
SM 1.1	<a href="#"><u>RISK MANAGEMENT PLAN</u></a> <a href="#"><u>A. GOVERNING BODY APPROVAL</u></a>
SM 1.2	<a href="#"><u>EMERGENCY PREPAREDNESS PLAN</u></a> <a href="#"><u>A. RISK ASSESSMENT REPORT</u></a> <a href="#"><u>B. HAZARD VULNERABILITY ANALYSIS</u></a> <a href="#"><u>C. VIOLENCE PREVENTION</u></a>
SM 1.3	<a href="#"><u>SAFETY COMMITTEE</u></a>
SM 2.0	<a href="#"><u>SECURITY INSPECTION AND ANALYSIS</u></a>
SM 2.1	<a href="#"><u>EMPLOYEE WORK-RELATED INJURY AND ILLNESS REPORTING</u></a>
SM 2.2	<a href="#"><u>BED SAFETY INSPECTIONS</u></a>
SM 2.3	<a href="#"><u>ELOPEMENT DRILLS</u></a>
SM 2.4	<a href="#"><u>RESIDENT SMOKING POLICY</u></a>
SM 2.5	<a href="#"><u>WORKPLACE VIOLENCE</u></a>
<b>APPENDIX</b>	<a href="#"><u>Appendices, Tools, and Forms</u></a>
SM 1.1	<a href="#"><u>EMERGENCY PPREPAREDNESS CHECKLIST</u></a>
SM 1.2	<a href="#"><u>VIOLENCE INCIDENT REPORT FORM</u></a>
SM 2.0	<a href="#"><u>FALL INVESTIGATION</u></a>
SM 3.0	<a href="#"><u>FRACTURE INVESTIGATION</u></a>
SM 4.0	<a href="#"><u>MEDICATION INCIDENT</u></a>
SM 5.0	<a href="#"><u>RELEASE AGAINST MEDICAL ADVICE</u></a>

**Policy Number:** SM 1.0

**Policy Title:** Safety Management Plan

**Policy Statement/Purpose:** It is the goal of The Company to provide all residents, employees, and visitors with a safe and healthy environment. Company shall comply with all applicable safety and health regulations.

**Policy Interpretation and Implementation:** Safety management is a component of The Company Compliance and Ethics program.

1. This Company will create a safety committee that will meet on a regular basis to review reported accidents and implement precautions as needed.
2. The safety committee will inspect the facility on an annual basis to identify any health and/or safety issues that may need to be addressed.
3. General orientation for new employees will include a discussion of safety practices.
4. Individual employees are responsible for following safety rules and procedures.
5. Failure to follow safety rules and/or procedures will be reported to the appropriate Department Head.

**Policy Number:** SM 1.1

**Policy Title:** Quality and Risk Management Plan

**Policy Statement/Purpose:** The Company develops and implements policies and procedures that insure continuous measurable quality improvement in patient care, clinical processes, risk management and patient safety, efficiency, and effectiveness of clinical services and management, community, and financial accountability.

**Policy Interpretation and Implementation:** Risk management is a component of The Company Compliance and Ethics program.

#### **A. GOVERNING BODY APPROVAL**

Reviewed by the QAPI and Risk Management Committee

Date: \_\_\_\_\_

Approved by the Governing Body

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

### **QUALITY AND RISK MANAGEMENT PLAN**

#### **I. Philosophy and Purpose:**

The Company develops and implements policies and procedures that insure continuous measurable quality improvement in patient care, clinical processes, risk management and patient safety, efficiency, and effectiveness of clinical services and management, community, and financial accountability. Policies and procedures are designed to directly support The Company Mission, Values, and Strategic Plan. The Company's Quality Improvement/Quality Assurance (QI/QA) and risk management (RM) procedures are imbedded in the day-to-day operations of The Company, involve all staff, and contribute to a culture of clinical and operational excellence.

QI/QA and RM performance measures address clinical services and management, quality of care and services, patient access, patient experience, health care costs, care coordination, compliance, network quality, adverse events, utilization of services.

QA/QI activities will incorporate those measures/standards required by insurers and regulators. The Company will include the elements required for [FTCA?] qualification and meaningful use of our



EHR. In addition, QA/QI will provide measures of excellence to justify third party quality recognition. We aspire to be compliant by design while individualizing the QI/QA process to meet our unique needs.

The Company wishes to measure progress toward success, meeting the “Triple Aim” of improving the health of our community, patient satisfaction and retention, and reducing the per patient cost of care.

## II. Guiding Principles

**Quality Improvement/Quality Assurance:** The key attributes that support The Company’s vision of a health delivery system describes a system that promotes excellence in patient safety, risk prevention and management, quality care, and services. This system:

- Is centered upon treating people with dignity
- Focuses on patient-centered care
- Provides an integrated continuum of care
- Demands service excellence
- Focuses on the triple aim concepts of improving patient care, improving the patient experience, and reducing costs
- Requires effective communication and information sharing
- Continually improves its operating and clinical practices
- Integrate with risk management principles and practice
- Is best achieved by teamwork
- Uses resources optimally
- Is scientific and results oriented
- Provides a safe environment for clients, visitors, and staff
- Delivers care based on the best scientific evidence combined with judgment of expert clinicians
- Integrate with compliance and ethics principles and practice

**Risk Management:** RM is an overarching, conceptual framework that guides the development of a systematic approach to management of risk management and patient safety initiatives and activities. The plan is operationalized through a formal, written risk management and patient safety plan. RM activities support The Company’s philosophy that patient safety and risk management are everyone’s responsibility. Teamwork and participation among management, providers, volunteers, and staff are essential for an efficient and effective patient safety and risk management program. The program will be implemented through compliance with all policies relevant to patient safety and risk management, the coordination of multiple organizational functions, and the activities of multiple departments.

The Company supports the establishment of a just culture that emphasizes implementing evidence-based best practices, learning from error analysis, and providing constructive feedback, rather than blame and punishment. In a just culture, unsafe conditions and hazards are readily and proactively identified, medical or patient care errors are reported and analyzed, mistakes are openly discussed, and suggestions for systemic improvements are welcomed. Individuals are still held accountable for compliance with patient safety and risk management policies and practices. As such, if evaluation and

investigation of an error or event reveal reckless behavior or willful violation of policies, disciplinary actions can be taken.

Through RM the Company stimulates the development, review, and revision of The Company's policies, practices, and protocols in light of identified risks and chosen loss prevention and reduction strategies. Principles of The Company's RM provide the foundation for developing key policies and procedures for day-to-day risk management activities, including:

- Claims management
- Complaint resolution
- Confidentiality and release of information
- Event investigation, root-cause analysis, and follow-up
- Failure mode and effects analysis
- Referral Management
- Infection Control
- Clinical supervision and back-up of clinical and non-clinical staff
- Provider and staff education, competency validation, and credentialing requirements
- Reporting and management of adverse events and near misses
- Trend analysis of events, near misses, and claims

Reference: [http://ams.aha.org/EWEB/DynamicPage.aspx?WebCode=ProdDetailAdd&ivd\\_prc\\_prd\\_key=0258a970-1c88-48e3-a800-cf1b02e33324](http://ams.aha.org/EWEB/DynamicPage.aspx?WebCode=ProdDetailAdd&ivd_prc_prd_key=0258a970-1c88-48e3-a800-cf1b02e33324)

**Policy Number:** SM 1.2

**Policy Title:** Emergency Preparedness Plan

**Policy Statement/Purpose:** The Company has emergency preparedness policies consistent with federal and state law, regulation, and practices.

**Policy Interpretation and Implementation:** Emergency management is a component of The Company Compliance and Ethics program.

1. CMS Emergency Preparedness Check List
2. Hazard Vulnerability Analysis
3. Violence prevention

**A. RISK ASSESSMENT REPORT**

1. [CMS Emergency Preparedness Check List](#)
2. [Hazard Vulnerability Analysis](#)
3. Violence Prevention:

The QAPI/QAA Committee has completed a risk assessment and completed the following Violence Prevention reports:

- Records Review
- Security Inspection and Analysis
- Review of Tasks & Employee Surveys

Upon review of the reports and the issues identified, the QAPI Committee recommends the following action(s) to reduce the risk of workplace violence:

Building and Work Area Design

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Security and Security Equipment

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Work Practices and Procedures

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Management has instituted the following because of the Violence Prevention Report recommendations:

Action Taken	Date Completed
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

The following Policies and Procedures have been edited or developed because of the Violence Prevention Report recommendations:

Name of Policy and Procedure	Date Completed
<hr/>	<hr/>
<hr/>	<hr/>

**B. HAZARD VULNERABILITY ANALYSIS**

<https://www.calhospitalprepare.org/post/revised-hva-tool-kaiser-permanente>

**Policy Number:** SM 1.3

**Policy Title:** Safety Committee

**Policy Statement/Purpose:** The purpose of the Safety Committee is to provide a framework/mechanism to address safety issues within The Company. Also, the purpose of a safety committee is to regularly bring workers and management together in a non-adversarial, cooperative effort to promote safety and health in the workplace. The committee's primary focus is to detect and correct workplace hazards. A Safety Committee is a key element to achieving continuous improvement in a safety process.

**Policy Interpretation and Implementation:** The safety committee is a component of The Company Compliance and Ethics program.

- a. In accordance with Company's commitment to safety, Company will establish a Safety Committee for the following purposes:
  1. To maintain and enhance employee interest in health and safety issues
  2. To help ensure that managers, supervisors, and employees are aware through training activities that they are responsible for the prevention of workplace accidents and for maintaining a safe workplace
  3. To help make health and safety activities an integral part of The Company's operating procedures, culture, and programs
  4. To provide an opportunity for discussion of health and safety problems and possible solutions
  5. To inform and educate employees and supervisors about health and safety issues and research findings
  6. To help reduce the risk of workplace injuries and illnesses
  7. To help ensure compliance with federal and state health and safety standards
- b. To accomplish these objectives, the Safety Committee will:
  1. Develop a written mission statement in accordance with corporate requirements
  2. Define duties and responsibilities of committee members
  3. Identify and prioritize goals and establish action plans to achieve each goal
  4. Include representation from different levels and areas of The Company
  5. Meet at least monthly
  6. Record and disseminate minutes of meetings, documenting attendance, problems, and issues, as well as corrective action proposed and actions taken to address each issue
  7. Make attendance mandatory with the penalty of removal for repeated absences
  8. Develop methods to increase and maintain safety awareness
  9. Organize special subcommittees to address specific issues, projects, or programs
- c. The Administrator, in concert with The Company's Human Resource department, will determine the composition of The Company's safety committee and ensure that each functional area/department has a member assigned to serve on the committee. Human Resources will advise corporate of the committee structure and membership and provide periodic reports as determined by corporate health and safety staff. No less than annually, The Company Safety Committee will be required to prepare an overview of the activities undertaken in the furtherance of its health and safety mission for submission to corporate health and safety staff.

1. Each committee member will be on the safety committee for at least one year. After the member's one-year anniversary date, new members will be recruited to replace not more than 50% of the existing members. This will ensure a core group of members from one year to the next.
  2. When a committee member needs to be replaced, employees currently not on the committee will be asked if any would be interested in serving on the safety committee. Applicant/potential member names will be submitted to the committee for review. The existing safety committee, together with HR and the Administrator, will determine if a candidate is acceptable.
  3. If no new employees volunteer nor can be recruited, the existing member will continue to serve for another year or until replacement members can be obtained.
- d. The specific functions of the Safety committee are to:
1. Detect hazards
  2. Analyze and solve problems
  3. Assist in the management of safety
- e. At a minimum, the committee should do the following:
1. Evaluate existing employer accident and illness prevention programs
  2. Establish procedures for conducting and documenting the findings of periodic workplace inspections
  3. Make recommendations to correct hazards
  4. Review, in a timely manner, incidents resulting in work-related deaths, injuries, illnesses, and complaints
  5. Conduct follow-up evaluations on the effectiveness of new safety equipment or health and safety procedures
- f. Accident Investigation and Review
1. The committee will be responsible for reviewing accidents (including near miss accidents) that have occurred since the previous meeting.
  2. The committee will attempt to determine the cause of each accident as well as any corrective actions that have been done or will be done to prevent the same type of accident from occurring again in the future.
  3. Human Resources will forward all accident reports to the Safety chairman.
  4. Safety inspections will be performed by the safety committee.
  5. The committee will determine the frequency of the inspections as well as who will conduct the inspection:
    - Reports of the inspections will be reviewed during the following safety committee meeting
  6. Employees cannot serve effectively if subject to employer retaliation for engaging in safety committee activities. Therefore, the employer shall not discharge, threaten with discharge, demote, suspend, or in any manner discriminate against any employee because they have participated in any safety committee function. This includes, but does not limit any activity serving as a safety committee member, making statements, complaints, or suggestions to the safety committee, or participating in a safety committee workplace inspection.

**Policy Number:** SM 2.0

**Policy Title:** Security Inspection and Analysis

**Policy Statement/Purpose:** The Company has security inspection and analysis policies that support law, regulation, and practice.

**Policy Interpretation and Implementation:** Security and Inspection and analysis are components of The Company Compliance and Ethics program.

The Violence Prevention Committee has completed inspection of the workplace on \_\_\_\_\_ (Date).

### **GENERAL BUILDING, WORKSTATIONS, AND AREA DESIGNS**

- Review the design of all new or renovated facilities to ensure safe and secure conditions for employees. Ensure that facilities are designed to ensure the privacy of residents and visitors, yet permit employees to communicate with other staff in emergency situations.
- Review all entrance/exit locations. Utilize a visitor-only entrance at reception. All other entrance/exit locations should be secured with locks, card keys, or intercom buzzers. All exits should be locked to prevent unauthorized entry, but still allow egress from inside the building. Review employment termination policy for employees with access to keys.
- Design work areas and arrange furniture to prevent entrapment of the employees and/or minimize potential for assault incidents.
- Public areas are free of objects that could be used as weapons.
- Chairs and furniture in public areas are secured to prevent use as weapons.
  - Clear partitions       In Use       Not Used       Recommended

*Utilize clear partitions, Plexiglas, glass guard, or wire glass to provide protection, yet allow for communication.*
- Private, locked restrooms are available for staff.
- A secure place is provided for employees to store personal belongings.
- Employee-only work areas are secured. Medication rooms are locked.
- Floor plans are posted showing exits, entrances, and location of security equipment.
- Exits are unobstructed.

- Emergency numbers are posted by phones.
- Provide appropriate lighting systems for all indoor building areas as well as grounds around the facility. Lighting should meet the requirements of nationally recognized standards, as well as local building codes.
- Parking is prohibited in fire zones.

Is there a nearby parking lot reserved for employees only?

- Yes
- No

Is the parking lot attended or otherwise secured?

- Yes
- No

Is the parking lot free of bushes or other hiding places?

- Yes
- No

Is there enough lighting to see clearly in the parking lot and when walking to the building?

- Yes
- No

Are security escorts available to employees walking to and from the parking lot?

- Yes
- No

Have neighboring facilities and businesses experienced violence or crime?

- Yes
- No

Are broken windows and locks repaired promptly?

- Yes
- No

Comments on General Building, Workstations, and Area Design:

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**SECURITY PERSONNEL**

Who is responsible for building security? \_\_\_\_\_

Are employees told who is responsible for security?

- Yes
- No



Are trained security personnel accessible to employees in a timely manner?

- Yes       No

What type of security personnel is being utilized?

- Contracted Security Guards      or       In-house Employees

Are the Security Guards knowledgeable of the Workplace Violence Prevention Program?

- Yes       No

Is the number of Security Guards appropriate for the site?

- Yes       No

Do the security personnel receive specific training on workplace violence situations?

- Yes       No

Do security personnel have sufficient authority to take all necessary action to ensure employee safety?

- Yes       No

Location of Security Guards:

- At Entrance  
 Inside Building Patrol  
 Outside Building Patrol

Type of communication devices security personnel are provided with: \_\_\_\_\_

\_\_\_\_\_

Is there an established liaison with local police?

- Yes       No

Comments on Security Personnel:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## SECURITY EQUIPMENT

Are security devices tested on a regular basis and repaired promptly when necessary?

- Yes       No

Door Buzzers                       In Use             Not Used             Recommended

Card Access                       In Use             Not Used             Recommended

*Utilize door buzzers or card access to control access to employee work areas.*

Mirrors                               In Use             Not Used             Recommended

*Utilize mirrors to see around corners and in blind spots both inside and outside the building.*

Alarm System/Panic Button       In Use             Not Used             Recommended

*Utilize electronic alarm systems activated visually or audibly. Systems should identify the location of the room or location of the employee by means of an alarm sound and/or a lighted indicator or equally effective measure. Adequate personnel must be available to render prompt assistance if such systems are utilized.*

Closed Circuit Television         In Use             Not Used             Recommended

*Utilize closed circuit television which permits security guards to monitor high-risk areas, both inside and outside the building.*

Location(s) of surveillance: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Metal Detectors                       In Use             Not Used             Recommended

*Utilize metal detection systems to identify persons with weapons.*

Cellular telephones                 In Use             Not Used             Recommended

Beepers                               In Use             Not Used             Recommended

CB Radios                             In Use             Not Used             Recommended

Hand-held Alarms                     In Use             Not Used             Recommended

*Utilize cellular telephones, beepers, CB radios, or hand-held alarms or noise devices for emergency communication and in field situations.*

Review the effectiveness and/or need for the following security measures:

Intrusion Detection System       In Use             Not Used             Recommended

Monitor(s)                             In Use             Not Used             Recommended

Video Tape Recorder                In Use             Not Used             Recommended

Hand Held Metal Detector       In Use       Not Used       Recommended

Hand Held Video Camera       In Use       Not Used       Recommended

Comments on Security Equipment:

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### WORK PRACTICE CONTROLS AND PROCEDURES

Employee I.D. Badge       In Use       Not Used       Recommended

*Utilize identification cards for all employees, and establish sign-in and sign-out procedure. When identification badges are provided, employees should be required to wear them.*

#### Reception Area/Visitor Policies and Procedures

- Review visitor sign in/out procedure
- Review escort policy for nonemployees
- Review visitor entrance security measures
- Review visitor use of identification badges

#### Security Policies and Procedures

- Workplace Violence Prevention Program is reviewed and updated annually
- Workplace Violence Prevention Program is accessible to all employees
- Workplace Violence Prevention Program is reviewed and updated when tasks are added or changed
- Emergency Action Plan, Evacuation Plan, and/or Disaster Contingency Plan is reviewed and updated annually
- Safety meetings are held regularly with all personnel on all shifts. Meetings are conducted in a manner to allow free and open discussions
- Review internal communication systems to respond to emergencies
- Review policy on how to deal with emergency or hostage situations
- Review policy on when to involve in-house security or local law enforcement
- Review policy for employees who work late or off-hours
- Review policy for accounting for field staff
- Review procedures for employee dismissal
- Review policy for notifying employees of past violent acts in the workplace
- Review policy for “buddy system” for when employees are in a potentially dangerous situation

#### Incident Policies and Procedures

- Review incident reporting procedures for effectiveness and timeliness of response
- Review recordkeeping of incident reports
- Review injury reports (and if employee loses time)
- Review counseling (EAP) procedures

- Provide information and give assistance to employees who are victims of domestic violence, and review procedures to ensure confidentiality and safety for affected employees

**Training Policies and Procedures**

- Review written training records for content, methods of training, and effectiveness
- Training is completed at orientation and annually thereafter
- Utilize crime prevention services and/or lectures provided by the local or state police

**Off Premises Work Practice Controls (For staff who work away from a fixed workplace, such as: social services, transportation, sales/delivery, messengers, and others.**

- Trained in hazardous situation avoidance
- Briefed about areas where they work (gang colors, neighborhood culture, language, drug activity, etc.
- Have reviewed past incidents by type and area
- Know directions and routes for day's schedule; including alternate routes
- Previewed client/case histories
- Left an itinerary with contact information
- Have periodic check-in procedures
- After-hours contact procedures
- Partnering arrangements if deemed necessary
- Know how to control/defuse potentially violent situations
- Supplied with personal alarm/cellular phone/radio
- Limit visible clues of carrying money/valuables
- Carry forms to record incidents by area
- Know procedures if involved in incident

**Comments on Work Practice Controls and Procedures:**

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**From this inspection the following issues have been identified:**

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**Policy Number:** SM 2.1

**Policy Title:** [Employee Work-Related Injury and Illness Reporting](#)

**Policy Statement/Purpose:** The Company provides a safe and health work environment for all employees and contract workers.

**Policy Interpretation and Implementation:**

1. *Overview:* The Company provides a safe and healthy work environment for all employees and contract workers. Timely and accurate reporting of work-related injuries and illness are important components of compliance.

2. *Policy Guidelines:*

- a. Employees are asked to practice safe workplace techniques throughout their work day, to follow all policies and procedures, and to comply with manufacturers' instructions when using equipment. Compliance with these elements of workplace safety will help ensure that employee health and safety, as well as the health and safety of residents and others, are protected.
- b. In the event of an incident involving an employee's work-related illness or injury, the employee involved must report the event immediately to his or her supervisor and participate in the preparation of a report to be made on the appropriate incident report form before leaving the shift during which the incident occurred.
- c. Supervisors are responsible for seeing that the report reflects the facts, that the report has been signed and dated by the employee, and that all signed and dated witness statements are attached.
- d. If an employee refuses to sign the incident report, the supervisor will so note and have the refusal witnessed.
- e. All employees injured on the job may be subject to drug and/or alcohol testing if signs of impairment are present.
- f. If an employee is unable to participate in the completion of the incident report due to being incapacitated by the work-related injury or illness, he or she must submit a report as soon as able.
- g. In the case that the employee is unable to complete an employee incident report due to being incapacitated from the work-related injury or illness, the supervisor must complete as much detail on a report form as possible, including obtaining written and signed statements from witnesses, and submit to administration before the end of the shift.

**Policy Number:** SM 2.2

**Policy Title:** Bed Safety Inspections

**Policy Statement/Purpose:** To provide residents with bed safety through annual and periodic inspections of bed frames, mattresses, and bed rails.

**Policy Interpretation and Implementation:**

1. Environmental Services staff will conduct regular inspections of all bed frames, mattresses, and bed rails, if any, as part of a regular maintenance program to identify areas of possible entrapment.
2. When bed rails and mattresses are used and purchased separately from the bed frame, the facility will ensure that the bed rails, mattresses, and bed frame are compatible.
3. Bed gap analysis of a bed will be conducted upon admission, before bed rails are put into use, and when a resident receives a new bed or mattress.
4. Information can be obtained from the FDA approved resource found at the following address:  
<http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/GuidanceDocuments/ucm072662.htm>

**Policy Number:** SM 2.3

**Policy Title:** Elopement Drill

**Policy Statement/Purpose:** Elopement drills will be held to help prepare staff to search for a resident who is missing or has eloped.

**Policy Interpretation and Implementation:**

1. An elopement drill will be performed annually, and/or as recommended by The Company QAPI/QAA Committee.
2. If The Company has a secured unit, elopement drills will be held every six months.
3. Prior to the drill, a staff person will be assigned to act as a missing resident. This staff member will also be assigned to a location in or out of the facility.
4. All staff will be alerted that an elopement drill is in progress. A description and name of the fictitious resident will be provided.
5. Staff will be assigned areas to search and a designated time to report back to the drill coordinator.
6. Once the individual is located, the drill is complete.
7. An Elopement Drill Log will be kept noting the time the drill was conducted, a list of participants, and the length of time it took to locate the individual.
8. Results of the drill will be reviewed and evaluated to determine the need for additional staff education.
9. The results of the elopement drill will be submitted to the QAPI/QAA Committee for review and recommendations.

**Policy Number:** SM 2.4

**Policy Title:** Resident Smoking Policy

**Policy Statement/Purpose:** The Company shall establish and maintain safe resident smoking practices.

**Policy Interpretation and Implementation:**

1. Prior to, or upon admission, residents shall have a smoking assessment completed and be informed about any limitations on smoking, including designated smoking areas, and the extent to which the facility can accommodate their smoking or nonsmoking preferences.
2. Smoking restrictions shall be strictly enforced throughout the building.
3. The staff shall consult with the attending physician and the director of nursing services to determine any restrictions on the resident's smoking privileges.
4. Any smoking related privileges, restrictions, and concerns (for example, need for close monitoring) shall be noted on the care plan, and personnel caring for the resident shall be alerted to these issues.
5. Updates will be kept in the smokers' logbook which will be kept by the smoking monitor during smoking times and stored at the front desk.
6. The Company may impose smoking restrictions on residents at any time if it is determined by the interdisciplinary care team that the residents cannot smoke safely with the available levels of support and supervision.
7. The staff will review the status of the resident's smoking privileges as needed and consult as needed with the director of nursing services and the attending physician. These methods may include assessment of a resident's cognitive ability, judgment, manual dexterity, and mobility.
8. The Company will designate a smoking area for residents.
9. Residents may keep cigarettes or tobacco on them but must turn in all matches, lighters, etc. to the designated person.
10. Any smoking materials that are being held by The Company or designated person will be kept labeled with the owners' names in a common smoking materials box, and only accessible by staff.
11. Anyone who provides smoking supervision to residents shall be advised of any restrictions/concerns and the plan of care related to smoking.
12. A smoking apron may be required for some residents while smoking. The aprons will be kept available during smoking times and will be handed out before smoking.
13. For the safety of our residents, oxygen use is prohibited in smoking areas.
14. Staff members and volunteer workers shall not purchase and/or provide any smoking articles for residents unless approved by the Administrator or director of nursing.
15. This facility may check periodically to determine if residents have any smoking articles in violation of our smoking policies. Staff should confiscate any such articles and shall notify the Director on duty that they have done so.
16. The designated smoking area will be in compliance with law and regulation including the use of non-combustible ashtrays and access to fire extinguishing equipment.



**Policy Number:** SM 2.5

**Policy Title:** [Workplace Violence](#)

**Policy Statement/Purpose:** The Company shall establish and maintain a safe workplace.

**Policy Interpretation and Implementation:** Reference WM 2.8 [Workplace Violence](#)

**APPENDIX**

**9. SAFETY MANAGEMENT (SM)**

**TOOLS AND FORMS**

**Appendix SM 1.1**  
**EMERGENCY PREPAREDNESS CHECKLIST RECOMMENDED**  
**FOR EFFECTIVE HEALTH CARE FACILITY PLANNING**

Not Started	In Progress	Complete	Tasks
<p><b>This checklist includes Emergency Preparedness Actions recommended by CMS. Each facility’s Leadership Team should complete the checklist to audit the facility’s emergency preparedness by checking either Not Started, In Progress, or Complete, to designate the facility’s status with each item. Information gathered should be used to focus on areas to address to achieve a satisfactory emergency response plan to guide staff to prepare for, manage, and recover from identified potential hazards.</b></p>			
			<p><b>Develop Emergency Plan:</b>            Gather all available relevant information including, but not limited to:</p> <ul style="list-style-type: none"> <li>✓ Copies of any state/local emergency planning regulations or requirements</li> <li>✓ Facility personnel names and contact information</li> <li>✓ Contact information of local and state emergency managers</li> <li>✓ A facility organizational chart and floor plan</li> <li>✓ Building construction and Life Safety systems information</li> <li>✓ Specific characteristics and needs of residents who receive care, including identifying individuals who may need additional response assistance (physical or mental disabilities, diverse cultures/backgrounds, limited or no English proficiency, chronic medical disorders, frail and totally dependent, dependent on machines such as oxygen feeding pumps, mechanical lifts, etc.)</li> </ul>
			<p><b>Create All Hazards Continuity of Operations (COOP) Plan:</b></p> <ul style="list-style-type: none"> <li>✓ Develop a continuity of operations plan using an all-hazards approach.</li> <li>✓ Follow an “all-hazards approach,” to include addressing bomb threats, earthquakes, evacuations, hot/cold extreme weather, tornadoes, internal/external fires, floods, hazardous material/waste spills, emerging infectious disease (EID) outbreaks (Influenza, Ebola, Zika Virus, and others that may require modifications to facility protocols to protect the health and safety of patients, such as isolation and personal protective equipment (PPE) measures), missing residents, shelter preparedness, power outages, loss of water, loss of heat or cooling, snow storms, active shooter and other workplace violence, and any other hazard that could potentially impact the facility directly and indirectly. (Indirect could interrupt necessary utilities, supplies, or staffing.)</li> <li>✓ Determine all essential functions and critical personnel.</li> </ul>
			<p><b>Analyze Each Potential Risk Hazard:</b>            Conduct a risk assessment of potential hazards, both internal and community-based, that the facility may face; analyze specific vulnerabilities of the facility; determine the following actions for each:</p> <ul style="list-style-type: none"> <li>✓ Specific actions to be taken for each identified potential hazard.</li> <li>✓ Identified key staff responsible for executing the plan.</li> <li>✓ Staffing requirements and defined staff responsibilities.</li> </ul>

			<ul style="list-style-type: none"> <li>✓ Identification and maintenance of sufficient supplies and equipment to sustain operations and deliver care/services for 3-10 days, based on each hazard's vulnerability.</li> <li>✓ Communication procedures to receive emergency warning/alerts, and for communication with staff, families, and residents before, during, and after the event.</li> <li>✓ Designate critical staff, providing for other staff and volunteer coverage and meeting staff needs, including transportation and sheltering of critical staff members' family if necessary.</li> <li>✓ Extension cords or other temporary wiring devices are not used to connect electrical devices in the facility to a portable and mobile generator due to the potential for shock, fire, and tripping hazards when using such devices.</li> <li>✓ Maintain temperatures, emergency lighting, fire detection and extinguishing systems, and sewage and waste disposal.</li> <li>✓ Appropriate alternate energy source through the development of the facility's risk assessment and emergency plan. Is a permanent generator required to meet the emergency power and stand-by systems requirements for this emergency preparedness regulation, or will a portable or mobile unit(s) meet the requirements for emergency power and stand-by systems.</li> </ul>
			<p><b>Resident Identification Plan:</b></p> <ul style="list-style-type: none"> <li>✓ Determine how residents will be identified in an evacuation, and ensure the following identifying information is transferred with each resident: <ul style="list-style-type: none"> <li>○ Name</li> <li>○ Social security number</li> <li>○ Photograph</li> <li>○ Medicaid or other health insurer number</li> <li>○ Date of birth</li> <li>○ Diagnoses</li> <li>○ Current drug/prescription and diet regimens</li> <li>○ Allergies</li> <li>○ Blood type</li> <li>○ Advance directives</li> <li>○ Name and contact information for next of kin/responsible person/Power of Attorney</li> </ul> </li> <li>✓ Determine how this information will be secured. (e.g., laminated documents, water proof pouch attached to resident, water proof wrist tag, etc.)</li> <li>✓ Determine how medical records and medications will be transported so they can be matched with the correct resident, with HIPAA privacy maintained.</li> </ul>
			<p><b>Transportation Vendors/Suppliers/Contactors Plan:</b></p> <ul style="list-style-type: none"> <li>✓ Establish transportation arrangements that are adequate for all types of residents/patients being served.</li> </ul>

		<ul style="list-style-type: none"> <li>✓ Obtain written assurances from transportation vendors/other suppliers/contractors identified in the emergency plan that they can fulfill their commitments in case a disaster affects the entire area (e.g., their staff, vehicles, and other vital equipment are not “overbooked,” and vehicles/equipment are kept in good operating condition with ample fuel).</li> <li>✓ Ensure the right type of transportation has been obtained (e.g., ambulances, buses, helicopters, etc.).</li> </ul>
		<p><b>Communication Plan - Infrastructure Contingency:</b></p> <ul style="list-style-type: none"> <li>✓ Establish contingencies for the facility communication infrastructure in the event of telephone failures. (e.g., walkie-talkies, ham radios, text messaging systems, etc.).</li> </ul>
		<p><b>Communication Plan - Collaborate with Suppliers/Other Providers:</b></p> <ul style="list-style-type: none"> <li>✓ Collaborate with suppliers/providers identified as part of a community emergency plan/agreement to receive/care for residents.</li> <li>✓ Define a surge capability assessment for incoming residents.</li> <li>✓ Include a housing/sustenance plan for staff and/or family of staff.</li> </ul>
		<p><b>Communication Plan - Collaborate with Local Emergency Management Agencies and Healthcare Coalitions and the Department of Health:</b></p> <ul style="list-style-type: none"> <li>✓ Collaborate with health department and local emergency management agencies to ensure their involvement in the development of an effective emergency plan, including their ability to provide needed assistance.</li> <li>✓ Establish collaboration with different types of healthcare providers (e.g. hospitals, nursing homes, hospices, home care, dialysis centers etc.) at the state and local level to integrate plans of and activities of healthcare systems into state and local response plans to increase medical response capabilities.</li> <li>✓ The emergency preparedness communication plan must include names and contact information for the following: (i) Staff, (ii) Entities providing services under arrangement, (iii) Patients' physicians, (iv) Other facilities, and (v) Volunteers.</li> </ul>
		<p><b>Communication Plan - Long-Term Care Ombudsman Program:</b></p> <ul style="list-style-type: none"> <li>✓ Prior to any disaster, discuss the facility’s emergency plan with a representative of the Ombudsman program where the facility is located, and provide a copy of the plan to the Ombudsman program.</li> <li>✓ When responding to an emergency, notify the local Ombudsman program of how, when, and where residents will be sheltered, so the program can assign representatives to visit them and provide assistance to them and their families.</li> </ul>
		<p><b>Communication Plan - Residents/Patients/Families/Responsible Parties:</b></p> <p>Ensure residents/patients and family members are aware of and knowledgeable about the facility plan, including:</p> <ul style="list-style-type: none"> <li>✓ Families know how and when they will be notified about evacuation plans, how they can be helpful in an emergency (example, should they come to</li> </ul>

			<p>the facility to assist?) and how/where they can plan to meet their loved ones.</p> <ul style="list-style-type: none"> <li>✓ Out-of-town family members are given a number they can call for information.</li> <li>✓ Residents who are able to participate in their own evacuation are aware of their roles and responsibilities in the event of a disaster.</li> </ul>
			<p><b>Conduct Exercises &amp; Drills:</b></p> <ul style="list-style-type: none"> <li>✓ Conduct exercises designed to test individual essential elements, interrelated elements, or the entire plan:</li> <li>✓ Exercises or drills must be conducted at least semi-annually.</li> <li>✓ Corrective actions should be taken on any deficiency identified.</li> </ul>
			<p><b>Decision Criteria for Executing Plan:</b></p> <ul style="list-style-type: none"> <li>✓ Include factors to consider when deciding to shelter-in-place or evacuate.</li> <li>✓ Determine who at the facility will have authority to make the decision to shelter-in-place or evacuate (even if no outside evacuation order is given), and the chain of command.</li> </ul>
			<p><b>Shelter-in-Place Plan:</b></p> <p>Due to the risks in transporting vulnerable patients and residents, evacuation should only occur if sheltering-in-place presents a greater risk than evacuating. An effective shelter-in-place plan should specify:</p> <ul style="list-style-type: none"> <li>✓ Procedures to assess if the facility can withstand high winds, flooding, etc.</li> <li>✓ Measures to secure the building against damage (plywood for windows, sandbags, and plastic for flooding.</li> <li>✓ Identify the safest areas of the facility.</li> <li>✓ Ensure safe temperatures are maintained in areas to protect residents and others (71 to 81° range), and to preserve stored provisions according to standards and/or manufacturer recommendations. <ul style="list-style-type: none"> <li>○ If temperatures are not maintained at a safe level in particular parts of the building, there is a relocation plan within the building, external to the building, or full evacuation to another location with safe and health-supporting temperatures</li> </ul> </li> <li>✓ Emergency Generators must: <ul style="list-style-type: none"> <li>○ Have all wiring to each unit installed in accordance with the requirements of any of the wiring methods in Chapter 3 of the National Fire Protection Association (NFPA) 70 Guidelines: National Electrical Code (NEC).</li> <li>○ Be designed and located so as to minimize the hazards that might cause complete failure due to flooding, fires, icing, and vandalism</li> <li>○ Be located so that adequate ventilation is provided</li> <li>○ Be located or protected so that sparks cannot reach adjacent combustible material</li> <li>○ Be operated, tested, and maintained in accordance with manufacturer, local and/or state requirements</li> </ul> </li> <li>✓ Procedures for collaborating with the local emergency management agency, fire, police, and EMS agencies about deciding to shelter-in-place.</li> <li>✓ Sufficient resources are in supply for sheltering-in-place for at least 7 days, including:</li> </ul>

		<ul style="list-style-type: none"> <li>○ Ensuring emergency power, including back-up generators and accounts for maintaining a supply of fuel</li> <li>○ An adequate supply of potable water (recommended amounts vary by population and location)</li> <li>○ A description of the amounts and types of food in supply</li> <li>○ Maintaining extra pharmacy stocks of common medications</li> <li>○ Maintaining extra medical supplies and equipment (e.g., oxygen, linens, vital equipment)</li> <li>✓ Identifying and assigning staff who are responsible for each task.</li> <li>✓ Description of hosting procedures, with details ensuring 24-hour operations for minimum of 7 days.</li> <li>✓ Contracts established with multiple vendors for supplies and transportation.</li> <li>✓ Develop a plan for addressing emergency financial needs and providing security.</li> <li>✓ Written guidelines for storage of emergency fuel and associated equipment and systems as required by the 2000 edition of the Life Safety Code of the National Fire Protection Association (NFPA).</li> </ul>
		<p><b>Evacuation Plan:</b> If the local community, region, or state declares a state of emergency and is requiring a mandatory evacuation of the area, facilities should abide by these laws and mandates.</p> <p>Develop an effective plan for evacuation, ensuring provisions for the following are specified:</p> <ul style="list-style-type: none"> <li>✓ Identification of person responsible for implementing the facility evacuation plan (even if no outside evacuation order is given).</li> <li>✓ Multiple pre-determined evacuation locations (contract or agreement) with a “like” facility have been established, with suitable space, utilities, security, and sanitary facilities for individuals receiving care, staff, and others using the location, with at least one facility being 50 miles away in the event all local facilities are impacted by the disaster. A back-up may be necessary if the first is unable to accept evacuees.</li> <li>✓ Identify evacuation routes and alternative routes, with maps available and specific travel time established.</li> <li>✓ A process to notify the proper authorities of the evacuation.</li> <li>✓ Adequate food supply and description of how items will be transported.</li> <li>✓ Amounts of water to be transported and how that will occur (e.g., 1 gal/person).</li> <li>✓ Description of how medications will be transported, including ensuring their protection under the control of a registered nurse.</li> <li>✓ Procedures for protecting/transporting residents’ medical records.</li> <li>✓ A list of items to accompany residents/patients is described.</li> <li>✓ Identify how residents/patients, their families, staff, and others will be notified of the evacuation, and communication methods that will be used during and after the evacuation.</li> </ul>

		<ul style="list-style-type: none"> <li>✓ Identify staff responsibilities and how residents/patients will be cared for during evacuation, and a back-up plan if there aren't sufficient staff.</li> <li>✓ Describe procedures to ensure residents/patients dependent on wheel-chairs and/or other assistive devices are transported so their equipment is protected and their personal needs met during transit (e.g., incontinent supplies for long periods, transfer boards, other assistive devices).</li> <li>✓ Describe how other critical supplies/equipment will be transported.</li> <li>✓ Tracking method to account for all residents and staff during and after an emergency/evacuation.</li> <li>✓ Protocol to ensure staff accompany the evacuating residents.</li> <li>✓ Procedure for managing a resident/patient who becomes ill or dies in route.</li> <li>✓ Provision for mental health and grief counselors at reception points to talk with and counsel evacuees.</li> <li>✓ Protocol if a resident/patient turns up missing during evacuation: <ul style="list-style-type: none"> <li>○ Notify the patient/resident's family</li> <li>○ Notify local law enforcement</li> <li>○ Notify Nursing Home Administration and staff</li> </ul> </li> <li>✓ How to ensure that resident/patient identification wristband (or equivalent identification) is intact on all residents/patients.</li> <li>✓ Process to track the arrival of each resident/patient at the destination.</li> <li>✓ How staff and residents will be tracked during an emergency.</li> <li>✓ Description of whether staff's family can shelter at the facility or must evacuate.</li> </ul>
		<p><b>Residents &amp; Family Members:</b></p> <ul style="list-style-type: none"> <li>✓ Determine how residents and their families/guardians will be informed of the evacuation, helped to pack, have their possessions protected, and be kept informed during and following the emergency, including information on where they will be/go, for how long, and how they can contact each other.</li> </ul>
		<p><b>Location of Evacuated Residents:</b></p> <ul style="list-style-type: none"> <li>✓ Determine the location of evacuated residents, document, and report to the clearing house established by the state or partnering agency.</li> </ul>
		<p><b>Needed Provisions:</b></p> <ul style="list-style-type: none"> <li>✓ Determine if provisions need to be delivered to the facility/residents, such as power, flashlights, food, water, ice, oxygen, medications, and if urgent action is needed to obtain resources and assistance.</li> </ul>
		<p><b>Helping Residents in the Relocation – incoming and/or outgoing:</b> Suggested principles of care for relocated residents include:</p> <ul style="list-style-type: none"> <li>✓ Encourage the resident/patient to talk about expectations, anger, and/or disappointment.</li> <li>✓ Work to develop a level of trust.</li> <li>✓ Present an optimistic, favorable attitude about the relocation.</li> <li>✓ Anticipate that anxiety will occur.</li> <li>✓ Do not argue with the resident.</li> <li>✓ Do not give orders.</li> </ul>



			<ul style="list-style-type: none"> <li>✓ Do not take the resident’s behavior personally.</li> <li>✓ Use praise liberally.</li> <li>✓ Include the resident in assessing problems.</li> <li>✓ Encourage staff to introduce themselves to residents.</li> <li>✓ Encourage family participation.</li> </ul>
			<p><b>Training for Facility Staff Members and Contracted Individuals:</b></p> <ul style="list-style-type: none"> <li>✓ Ensure that each facility staff member on each shift is trained to be knowledgeable and follow all details of the plan.</li> <li>✓ Training should address psychological and emotional trauma aspects on caregivers, families, residents, and the community at large.</li> <li>✓ Hold periodic reviews, drills, and other demonstrations with sufficient frequency to ensure everyone is fully trained.</li> <li>✓ Provide training to all new hires during orientation.</li> </ul> <p>Contracted individuals may provide services at multiple facilities, and it may not be feasible for them to receive formal training for each of the facilities for emergency preparedness programs. The expectation is that each individual knows the facility’s emergency program and their role during emergencies; however, the delivery of such training is left to the facility to determine.</p> <ul style="list-style-type: none"> <li>✓ Develop training documentation-i.e. the facility’s emergency plan, important contact information, and the facility’s expectation for contracted individuals during an emergency, as well as documentation that the individual received the information/training.</li> </ul>
			<p><b>Training for Transportation Vendors/Volunteers:</b></p> <ul style="list-style-type: none"> <li>✓ Ensure that vendors/volunteers who will help transport residents and those who receive them at shelters and other facilities are trained on the needs of the chronic, cognitively impaired, frail population and are knowledgeable on how to help minimize transfer trauma.</li> </ul>
			<p><b>Annual Review of Emergency Plan and Annual Drills:</b></p> <ul style="list-style-type: none"> <li>✓ Complete an internal review of the emergency plan on an annual basis to ensure the plan reflects the most accurate and up-to-date information. Updates may be warranted under the following conditions: <ul style="list-style-type: none"> <li>○ Regulatory change</li> <li>○ New hazards are identified or existing hazards change</li> <li>○ After tests, drills, or exercises when problems are identified</li> <li>○ After actual disasters/emergency responses</li> <li>○ Infrastructure changes</li> <li>○ Change of key personnel</li> </ul> </li> <li>✓ Participate in a community-based, full-scale exercise, or individual, facility-based mock disaster drill annually. <ul style="list-style-type: none"> <li>○ An actual emergency event or response of sufficient magnitude that requires activation of the relevant emergency plans meets the annual</li> </ul> </li> </ul>

			<p>exercise requirement and exempts the facility for engaging in a community-based, full-scale exercise, or individual, facility-based mock disaster drill for one year following the actual event.</p> <p>Facilities must be able to demonstrate this through written documentation</p> <ul style="list-style-type: none"> <li>○ If a facility activates its emergency plan twice in one year, then the facility would be exempt from both exercises (community-based, full-scale exercise, and the secondary exercise-individual, facility based mock disaster drill, table top exercise) for one year following the actual event</li> </ul>
			<p><b>Required Policies and Procedures:</b></p> <ul style="list-style-type: none"> <li>✓ Resident and Family Emergency Preparedness Instructions</li> <li>✓ Collaboration with other Healthcare Facilities and the Community</li> <li>✓ Residents with special needs and Residents “At Risk” including: <ul style="list-style-type: none"> <li>○ Residents with limited mobility</li> <li>○ Missing residents</li> </ul> </li> <li>✓ Evacuation, shelter-in-place, triage, and tracking of residents</li> <li>✓ Sustenance <ul style="list-style-type: none"> <li>○ Food, water, medical, and pharmaceutical supplies</li> <li>○ Alternate sources of energy</li> </ul> </li> <li>✓ Communication Plan: how the facility will coordinate patient care within the facility, across healthcare providers, and with state and local public health departments. Include names and contact information for the following: <ul style="list-style-type: none"> <li>○ Staff</li> <li>○ Entities providing services under an arrangement</li> <li>○ Patients’/residents’ physicians</li> <li>○ Other facilities</li> <li>○ Volunteers</li> <li>○ Federal, state, tribal, regional, and local emergency preparedness staff</li> <li>○ State Licensing and Certification Agency</li> <li>○ Office of the State Long-Term Care Ombudsman</li> <li>○ Other sources of assistance specific to the facility</li> </ul> </li> <li>✓ Staffing strategy</li> <li>✓ Surge capacity strategy</li> <li>✓ Use of volunteers</li> <li>✓ Evacuation/transportation plans and back-up plan if alternate location is impacted by the disaster</li> <li>✓ Continuity of operations <ul style="list-style-type: none"> <li>○ Resident records</li> <li>○ Sharing information</li> <li>○ Alternate facilities</li> </ul> </li> <li>✓ Policies and procedures to ensure adequate alternate energy sources, including emergency power necessary to maintain temperatures to protect patient health and safety and for safe and sanitary storage of provisions;</li> </ul>

			emergency lighting; fire detection, extinguishing, and alarm systems; sewage and waste disposal
			<b>Facility Reentry Plan:</b> ✓ Describe who will authorize reentry to the facility after an evacuation, the procedures for inspecting the facility, and how it will be determined it is safe to return after an evacuation. ✓ Describe the appropriate considerations for return travel.
			<b>Loss of Resident's Personal Effects:</b> ✓ Establish a process for locating lost resident personal effects for residents who have been evacuated.

Adapted from CMS *Survey & Certification Emergency Preparedness for Every Emergency*

**Name/Title of individuals completing checklist:**

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**Date Completed:** \_\_\_\_\_

**Date of Next Scheduled Review:** \_\_\_\_\_

**Appendix SM 1.2**  
**VIOLENCE INCIDENT REPORT FORM**

**PART I – NATURE OF INCIDENT**

To be completed by the appropriate supervisor based on information provided by the persons(s) involved in the incident. Supervisors should submit this form to the Violence Prevention Committee as soon as possible, but not more than five (5) working days after the reported incident.

Date of Incident \_\_\_\_\_ Approximate Time of Incident \_\_\_\_\_ am / pm

Location/Department of Incident \_\_\_\_\_

Address of Incident (if different from facility address, i.e., employee's residence, conference, etc.)  
\_\_\_\_\_

Source of Incident:

- In Person
- Telephone
- Recording
- Mail
- Email
- Fax
- Other: \_\_\_\_\_

Type of Incident:

- Assault
- Disorderly Conduct
- Harassment/Threat
- Robbery
- Sex Offense
- Other: \_\_\_\_\_

Name of Person Involved (Victim of Incident): \_\_\_\_\_

- Resident
- Visitor
- Employee – Job Title/Department: \_\_\_\_\_

Home Address: \_\_\_\_\_  
\_\_\_\_\_

Home Phone: \_\_\_\_\_ Work Phone: \_\_\_\_\_

The assailant/perpetrator was:

- Intruder/Stranger
- Vendor
- Resident
- Resident Family Member
- Visitor
- Student
- Coworker/Employee
- Supervisor
- Former Coworker/Employee/Supervisor
- Spouse/Family/Friend
- Other: \_\_\_\_\_

Name of Assailant/Perpetrator, if known: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Description of Assailant/Perpetrator, if unknown:

Sex: \_\_\_\_\_ Age: \_\_\_\_\_ Height: \_\_\_\_\_ Weight: \_\_\_\_\_

Race: \_\_\_\_\_ Hair Color: \_\_\_\_\_ Eye Color: \_\_\_\_\_

Clothing:  
\_\_\_\_\_  
\_\_\_\_\_

Additional description: \_\_\_\_\_  
\_\_\_\_\_

Were injuries sustained?

- Yes
- No

If yes, please specify the injuries and the location of any treatment:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Did the incident involve a weapon?

Yes  No

If yes, what type: \_\_\_\_\_

Was the victim alone when the incident occurred?

Yes  No

Were there any witnesses to the incident?

Yes  No

If yes, list name, address, and phone and attach witness statements:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Description of violent incident

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## **PART II – IMMEDIATE RESPONSE**

Did Police respond to incident?

Yes  No

If yes, what Police Department: \_\_\_\_\_

Was a Police Report Filed?

Yes  No

If yes, Report Number: \_\_\_\_\_

Was the local Union/Employee Representative notified?

Yes  No  N/A

If yes, name of person notified: \_\_\_\_\_

Was any outside agency contacted?

Yes  No

If yes, name of person notified: \_\_\_\_\_

Describe immediate action taken by Company:

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Name of Person Filing Report

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Date

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Signature of Person Filing Report

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Title

**PART III – FOLLOW UP**

To be completed by the Violence Prevention Officer following the investigation of the reported incident.

- No Action Taken
- Arrest
- Warning
- Suspension
- Reprimand
- Change Policy and Procedure
- Revise Security Measure
- Employee Training
- Other

Describe corrective action taken:

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Were employee assistance program services offered (EAP)?

Yes       No       N/A

If yes, when? \_\_\_\_\_

**PART IV – FOLLOW UP/INTERVIEW**

To be completed with Victim

Did you lose any work days?

Yes       No

If yes, how many? \_\_\_\_\_

Have you had any counseling or support since the incident?

Yes       No

Specify: \_\_\_\_\_

What do you feel can be done in the future to avoid such an incident? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Has corrective action been taken?

Yes       No

Additional Comments:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Signature of Violence Prevention Officer

\_\_\_\_\_  
Date



**Appendix SM 2.0**  
**FALL INVESTIGATION**

*This is not part of the medical record. It is used for Quality Assurance purposes.  
This form must be completed within 12 hours.*

Resident Name: \_\_\_\_\_ Room #: \_\_\_\_\_

The primary purpose is to determine the facts surrounding the fall. This information will help determine the trends that may be present as well as the factors that may help prevent falls in the future.

1. Check Lying/Standing Blood Pressure:

\_\_\_\_\_

2. Did resident c/o dizziness?

\_\_\_\_\_

3. What is resident's cognition?

\_\_\_\_\_

4. Did resident start any new medication? If so, list: \_\_\_\_\_

5. Did resident recently c/o pain?

\_\_\_\_\_

6. Did resident c/o weakness earlier in the day?

\_\_\_\_\_

7. When was last toileting time?

\_\_\_\_\_

8. How many falls has resident had in the last 30 days?

\_\_\_\_\_

9. Is assistance required to transfer/ambulate resident?

\_\_\_\_\_

10. When was last meal/snack?

\_\_\_\_\_

11. Is resident walking on a regular basis?

\_\_\_\_\_

12. What was resident doing prior to fall?

\_\_\_\_\_

**Equipment** (Please check Yes or No. If it does not apply, check N/A).

1. Was the environment barrier free? Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_
2. Was the floor dry? Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_
3. Do W/C breaks work? Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_
4. Can resident operate W/C breaks? Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_
5. Were W/C breaks on? Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_
6. Was a walker near the resident? Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_
7. Does the resident remember to use the walker? Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_
8. Was resident wearing appropriate footwear? Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_
9. Was a transfer belt used? Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_
10. Was a Hoyer Lift used? (if Yes, complete below) Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_
  - a. Was resident positioned correctly? Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_
  - b. Were 2-3 assists used? Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_
  - c. Were "legs" of Hoyer Lift positioned correctly? Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

11. Restraints

- a. Was there an order for restraint? Yes \_\_\_\_\_ No \_\_\_\_\_
- b. Was a restraint in place? Yes \_\_\_\_\_ No \_\_\_\_\_
- c. Was restraint applied correctly? Yes \_\_\_\_\_ No \_\_\_\_\_
- d. Did resident remove restraint? Yes \_\_\_\_\_ No \_\_\_\_\_

12. Call Bell

- a. Was a call bell in place? Yes \_\_\_\_\_ No \_\_\_\_\_
- b. Can resident use call bell? Yes \_\_\_\_\_ No \_\_\_\_\_
- c. How long did it take to answer? Yes \_\_\_\_\_ No \_\_\_\_\_

13. Is bed check/chair alarm used?

Yes \_\_\_\_\_ No \_\_\_\_\_

- a. Did staff verify it was working before resident was placed in chair? Yes \_\_\_\_\_ No \_\_\_\_\_
- b. Did it function properly? Yes \_\_\_\_\_ No \_\_\_\_\_
- c. How long did it take to respond? Yes \_\_\_\_\_ No \_\_\_\_\_

14. Employees

- a. Was the appropriate number of assists used? Yes \_\_\_\_\_ No \_\_\_\_\_
- b. Was proper technique used? Yes \_\_\_\_\_ No \_\_\_\_\_
- c. Was resident left unattended inappropriately? Yes \_\_\_\_\_ No \_\_\_\_\_

Physician Notified: \_\_\_\_\_ Date: \_\_\_\_\_ Time: \_\_\_\_\_

Family Notified: \_\_\_\_\_ Date: \_\_\_\_\_ Time: \_\_\_\_\_

What intervention was implemented after the fall?

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Care Plan must be updated with a new intervention:

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Indicate what may have caused the accident:

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\_\_\_\_\_  
Signature of Person Completing Form

\_\_\_\_\_  
Date

\_\_\_\_\_  
Time

**Appendix SM 3.0**  
**FRACTURE INVESTIGATION**

*This is not part of the medical record. It is used for performance improvement purposes.  
Must be initiated at the time of discovery and completed within **12 hours**.*

Resident Name: \_\_\_\_\_ Room #: \_\_\_\_\_

Location of Fracture:

\_\_\_\_\_

Appearance of Fracture:

\_\_\_\_\_

Caregiver/Employee Reporting:

\_\_\_\_\_

Date Reported: \_\_\_\_\_ Time Reported: \_\_\_\_\_

Resident Cognition: \_\_\_\_\_ Does resident ambulate on own? Yes \_\_\_\_\_  
No \_\_\_\_\_

Does resident wheel self around in W/C? Yes \_\_\_\_\_ No \_\_\_\_\_

Does the resident have a diagnosis of osteoporosis or osteopenia? Yes \_\_\_\_\_ No \_\_\_\_\_

Resident Statement, if able:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

***If cause of fracture is unknown, list the caregivers on previous shifts  
and document their response on back of form.***

Review clinical record and behavior log for any reported incidence of combative behavior, falls, or observed incidents in last 72 hours.

Care Plan Reviewed/Revised as Needed: Yes \_\_\_\_\_ No \_\_\_\_\_

Nurse's Notes Documented: Yes \_\_\_\_\_ No \_\_\_\_\_

Administrator Notified: Yes \_\_\_\_\_ No \_\_\_\_\_ Date \_\_\_\_\_ Time: \_\_\_\_\_

Director of Nursing Notified: Yes \_\_\_\_\_ No \_\_\_\_\_ Date: \_\_\_\_\_ Time: \_\_\_\_\_

Based on investigation, determination of the cause of the fracture: \_\_\_\_\_

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\_\_\_\_\_  
nature/Title of Person Completing Form

\_\_\_\_\_  
Date

Sig-

*Director of Nursing or Designee to complete interviews of staff and document responses.*

Caregiver/Employee's Name/Title:

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Date: \_\_\_\_\_ Shift: \_\_\_\_\_

Response:

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Caregiver/Employee's Name/Title:

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Date: \_\_\_\_\_ Shift: \_\_\_\_\_

Response:

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Caregiver/Employee's Name/Title: \_\_\_\_\_

Date: \_\_\_\_\_ Shift: \_\_\_\_\_

Response:

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**DIRECTOR OF NURSING CONCLUSION**

In my professional opinion, no abuse, neglect, or mistreatment occurred.

DON Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Further investigation required.

DON Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Details of investigation and resolution:**

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DON Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Appendix SM 4.0  
MEDICATION INCIDENT**

Resident Name: \_\_\_\_\_ Room #: \_\_\_\_\_

Physician:  
\_\_\_\_\_

Date(s) of Incident:  
\_\_\_\_\_

Medication Ordered:  
\_\_\_\_\_

Medication Given:  
\_\_\_\_\_

Explanation:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Signature of Person Filing Report

\_\_\_\_\_  
Title

Time and Date DON Notified:  
\_\_\_\_\_

Time and Date Physician Notified:  
\_\_\_\_\_

Physicians Orders (*if any*):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Time and Date Pharmacist Consultant Notified:  
\_\_\_\_\_

Committee Recommendations:

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Action Taken:

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Time and Date Reviewed by DON:

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**Appendix SM 5.0**

**Release of Responsibility for Discharge Against Medical Advice (AMA)**

I, \_\_\_\_\_ wish to discharge myself from this facility  
Patient/Resident's Name

at my own insistence and against the advice of my physician(s): \_\_\_\_\_  
Name of Physician(s)

I have been informed of the risk to my health and/or safety if I leave this facility against medical advice.

I release \_\_\_\_\_, its administration, employees, and my physician(s)  
Name of Facility

from all responsibility and negative consequences that may occur from my leaving the facility against their advice.

\_\_\_\_\_  
Patient/Resident's Signature

\_\_\_\_\_  
Date

**Documentation of Refusal to Sign**

\_\_\_\_\_,  
Patient/Resident's Name

is discharging him/herself at his/her own insistence and against the advice of the facility staff and the physician(s). The Patient/Resident has been informed of the risks and dangers to his/her health and safety if he/she leaves against medical advice. The Patient/Resident has refused to sign the above release.

Witness #1: \_\_\_\_\_ Date/Time: \_\_\_\_\_

Witness #2: \_\_\_\_\_ Date/Time: \_\_\_\_\_

## **10. QUALITY CARE AND IMPROVEMENT (QAPI)**

## 10. QUALITY CARE AND IMPROVEMENT (QAPI)

<b>Policy Number</b>	<b>POLICY</b>
QAPI 1.0	<a href="#"><u>QAPI PLAN (New 2017)</u></a> <a href="#"><u>A. QUALITY ASSURANCE AND PERFORMANCE IMPROVEMENT COMMITTEE</u></a>
QAPI 2.0	<a href="#"><u>QUALITY OF CARE</u></a>
<b>APPENDIX</b>	<a href="#"><u>Appendices, Tools, and Forms</u></a>
Appendix 1.0	<a href="#"><u>QAPI: HOW-TO-GUIDE</u></a>

**Policy Number:** QAPI 1.0

**Policy Title:** Quality Assurance and Performance Improvement

**Policy Statement/Purpose:** The Company has QAPI policies to ensure compliance with federal and state laws and regulations.

**Policy Interpretation and Implementation:** The QAPI Plan is overseen by the Quality Assurance and Performance Improvement (QAPI)/Quality Assessment and Assurance (QAA) Committee.

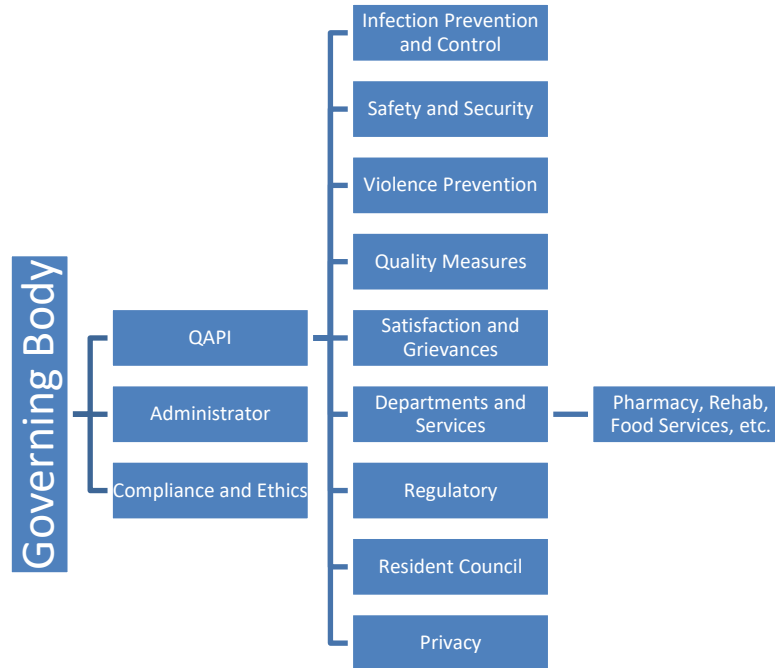
#### **A. QUALITY ASSURANCE AND PERFORMANCE IMPROVEMENT COMMITTEE**

- 1). *Overview:* This Company shall establish and maintain a Quality Assurance and Performance Improvement (QAPI)/Quality Assessment and Assurance (QAA) Committee that oversees the implementation of the QAPI Program.
- 2). *Policy:* The Administrator shall delegate the necessary authority for the QAPI/QAA Committee to establish, maintain, and oversee the QAPI program. The committee shall be a standing committee of The Company and shall provide reports to the Administrator and Governing Board (body).

The primary goals of the QAPI/QAA Committee are to:

- a. Establish, maintain, and oversee Company systems and processes to support the delivery of quality of care and services
  - b. Promote the consistent use of Company systems and processes during provision of care and services
  - c. Help identify actual and potential negative outcomes relative to resident care and resolve them appropriately
  - d. Support the use of root cause analysis to help identify where patterns of negative outcomes point to underlying systematic problems
  - e. Help departments, consultants, and ancillary services implement systems to correct potential and actual issues in quality of care
  - f. Coordinate the development, implementation, monitoring, and evaluation of performance improvement projects to achieve specific goals
  - g. Coordinate and facilitate communication regarding the delivery of quality resident care within and among departments and services, and between Company staff, residents, and family members
- 3). *Committee Authority*
    - a. The QAPI/QAA Committee advises the Administrator and Governing Board (body).
    - b. The committee has the full authority to oversee the implementation of the QAPI Program including, but not limited to, the following:
      1. Establishing performance and outcome indicators for quality of care and services delivered in The Company
      2. Choosing and implementing tools that best capture and measure data about the chosen indicators

3. Appropriately interpreting data within the context of standards of care, benchmarks, targets, and the strengths and challenges of The Company
  4. Communicating the information gathered and their interpretation to the owner/governing board (body)
- c. The QAPI Coordinator/Champion shall coordinate the activities of the QAPI/QAA Committee.
- d. Committee Structure



- e. Committee Membership
1. The Administrator shall appoint both permanent and rotating members of the QAPI/QAA committee
  2. The Administrator shall appoint individuals to fill any vacancies occurring on the committee
  3. The following individuals may serve on the committee:
    - Director of Nursing Services (required member)
    - Medical Director or designee (required member)
    - At least three other staff, one of whom must be the Administrator, owner, board member, or other individual in a leadership role with knowledge of facility systems and authority to change those systems (required members)
    - Dietary Representative
    - Pharmacy Representative
    - Social Services Representative
    - Activities Representative
    - Environmental Services Representative
    - Infection Control Representative
    - Rehabilitative/Restorative Services Representative
    - Staff Development Representative

- Safety Representative
  - Nursing Staff (non-management) Representative
  - Medical Records Representative
- f. Committee Meetings
1. The committee will meet monthly at an appointed time
  2. Special meetings may be called by the coordinator as needed to address issues that cannot be held until the next regularly scheduled meeting
- g. Committee Reports and Records - The committee shall maintain minutes of all regular and special meetings that include at least the following information:
1. The date and time the committee met
  2. The names of committee members present and absent
  3. Conclusions and recommendations from the committee
  4. A summary of any approaches and action plans to be implemented
  5. The time the meeting adjourned
- h. The QAPI Coordinator shall ensure that meeting minutes are distributed to all committee members and others as needed.
- i. Confidentiality of Information
1. All QAPI/QAA minutes, reports, findings, etc., are confidential and shall be filed separately from other committee documentation to maintain such confidentiality
  2. Committee members shall keep confidential all information that they obtain as a result of their participation in/on committee
  3. The Administrator may authorize sharing of summaries or periodic evaluations of the QAPI Program with residents and/or other interested persons or organizations. These should not include confidential information
- j. Instituting QAPI Privilege
1. Documents compiled for the express use by the QAPI/QAA Committee, or under the direction of the Committee, are protected under QAPI Privilege
  2. To ensure the protection of the QAPI documents, each document must bear a mark indicating it is protected under 42 CFR §483.75(h), (i)
  3. Mark each document with the following or a similar statement: “This document is prepared for the express use of the QAPI/QAA Committee and meets the requirements of 42 CFR §483.75(h), (i).”
    - Place this statement as a footer, watermark, or ink-stamped phrase on all pages created for the QAPI/QAA Committee
    - Indicate that every page in the QAPI/QAA Committee record is part of the QA process to ensure there is no mistaking the purpose of the document
  4. QAPI Privilege protects the self-release of documents to individuals who are outside of the intended communication
    - Documents are protected under federal law from free access by people outside of the committee
    - Individuals who provide information to the QAPI/QAA Committee are protected as well and may not be required to disclose QAPI evidence or content of discussions
    - A plaintiff attorney will not be able to obtain QAPI protected documents unless there is a court order

5. Documents otherwise available from their original source are not protected by QAPI Privilege
6. Memos, policies, and other similar documents considered part of day-to-day business are not QAPI documents and are not protected by QAPI Privilege
- k. Committee Audit Process
  1. The QAPI/QAA Committee will scrutinize all department reports and summarize the findings in the committee minutes
  2. The QAPI/QAA Committee shall help various departments/committees/disciplines/individuals develop and implement plans of correction and monitoring approaches. These plans and approaches should include specific time frames for implementation and follow-up
  3. The committee shall track the progress of any active plans of correction
  4. The committee shall advise the administration of the need for policy or procedural changes and, as appropriate, monitor to ensure that such changes are implemented
- l. Annual Review
  1. The QAPI/QAA Committee shall review the QAPI Plan at least annually for necessary revisions and shall document any such changes

**Policy Number:** QAPI 2.0

**Policy Title:** Quality of Care

(Reference CP Appendix 1.0.1 A: [Compliance Risk Areas: Quality of Care](#))

**Policy Statement/Purpose:** To ensure quality of care consistent with applicable legal requirements and standards of practice. It is Company policy that each resident receives the necessary care to attain or maintain the highest practicable physical, mental, and psychosocial well-being, in accordance with the resident's comprehensive assessment and plan of care.

**Policy Interpretation and Implementation:** Quality of Care is a component of The Company Compliance and Ethics Program. Elements include:

- a. The Company must conduct initially and periodically a comprehensive, accurate, standardized, reproducible assessment of each resident's functional capacity. The assessment must be based on a uniform data set specified by the state and approved by CMS.
- b. The Company must develop and implement a baseline care plan for each resident that includes the instructions needed to provide effective and person-centered care of the resident that meet professional standards of quality care. The baseline care plan must:
  1. Be developed within 48 hours of a resident's admission
  2. Include the minimum healthcare information necessary to properly care for a resident including, but not limited to:
    - Initial goals based on admission orders
    - Physician orders
    - Dietary orders
    - Therapy services
    - Social services
    - PASARR recommendation, if applicable
- c. The Company must develop a comprehensive care plan for each resident that includes measurable objectives and timetables to meet a resident's medical, nursing, mental, and psychosocial needs that are identified in the comprehensive assessment.
- d. Each resident must receive, and The Company must provide, the necessary care and services to attain and maintain the highest practicable physical, mental, and psychosocial well-being, in accordance with the comprehensive assessment and plan of care.
- e. A resident must be given the appropriate treatment and services to maintain or improve his or her ability to bathe, dress, groom, transfer, and ambulate.
- f. The Company must ensure that a resident who enters The Company without pressure sores does not develop them, unless the resident's clinical condition demonstrates that they were unavoidable.
- g. A resident with pressure injuries must receive necessary treatment and services to promote healing, prevent infection, and prevent new sores from developing.
- h. A resident who enters The Company without an indwelling catheter may not be catheterized, unless the resident's clinical condition demonstrates that catheterization is necessary.
- i. A resident who is incontinent of bladder must receive appropriate treatment and services to prevent urinary tract infections and to restore as much normal bladder function as possible.



- j. A resident who displays mental or psychosocial adjustment difficulty must receive a psychological evaluation with appropriate treatment and services to correct the assessed problem.
- k. The Company must ensure that a resident whose assessment did not reveal a mental or psychosocial adjustment difficulty does not display a pattern or decreased social interaction and/or increased withdrawn, angry, or depressive behaviors, unless the resident's clinical condition demonstrates that such a pattern was unavoidable.
- l. The Company must ensure that the resident's environment remains as free of accident hazards as possible and must provide adequate supervision and assistive devices to prevent accidents.
- m. The Company must ensure that a resident maintains acceptable parameters of nutritional status, such as body weight and protein levels, unless the resident's clinical condition demonstrates that this is not possible.
- n. Each resident's drug regimen must be free from unnecessary drugs.
- o. Resident must be free of significant medication errors.
- p. The Company must have sufficient nursing staff to provide nursing and related services to attain or maintain the highest practicable physical, mental, and psychosocial well-being of each resident, as determined by resident assessments and plans of care.
- q. The Company must use the services of a registered nurse (RN) for at least eight consecutive hours a day, seven days a week.
- r. The Company must employ a qualified dietitian full-time, part-time, or on a consulting basis.
- s. Menus must meet the nutritional needs of residents in accordance with the recommended dietary allowances of the Food and Nutrition Board of the National Research Council, National Academy of Sciences.
- t. Each resident must receive, and The Company must provide, at least three meals daily, at regular times, comparable to normal mealtimes in the community.
- u. The medical care of each resident must be supervised by a physician.
- v. The resident must be seen by a physician at least once every thirty (30) days for the first ninety (90) days after admission and at least once every sixty (60) days thereafter.
- w. The Company must provide or arrange for the provision of physician services twenty-four (24) hours a day, in case of an emergency.
- x. If required by the written order of a physician, The Company must provide or obtain specialized rehabilitative services including, but not limited to, physical therapy, speech-language pathology, occupational therapy, and mental rehabilitative services.
- y. The Company must assist residents in obtaining routine and 24-hour emergency dental care, including assistance in making appointments and arranging for transportation.
- z. The Company must provide pharmaceutical services, and have in place procedures that assure accurate acquiring, receiving, dispensing, and administering of all drugs and biologicals to meet the needs of each resident.
- aa. The drug regimen of each resident must be reviewed at least once a month by a licensed pharmacist.
- bb. The Company must establish an infection prevention and control program under which it investigates, controls, and prevents the spread of infections in The Company.

## **APPENDIX**

# **10. QUALITY CARE AND IMPROVEMENT (QAPI) TOOLS AND FORMS**

**Appendix QAPI 1.0**  
**QUALITY ASSURANCE PERFORMANCE IMPROVEMENT PLAN**  
**HOW-TO-GUIDE**

**OVERVIEW**

- a. This proprietary Quality Assurance Performance Improvement Plan contains a condensed representation of the full Centers for Medicare & Medicaid Services (“CMS”) governmental guidelines found at <https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/QAPI/NHQAPI.html>  
This source can be used to create your own QAPI Plan or can be adopted as written by adding details specific to your facility.
- b. Review the CMS guidelines which mandate QAPI implementation in the *State Operations Manual, Appendix PP*, considering the content of F865, F866, F867, and F868 available at: [https://www.cms.gov/Regulations-and-Guidance/Guidance/Manuals/downloads/som107ap\\_pp\\_guidelines\\_ltcf.pdf](https://www.cms.gov/Regulations-and-Guidance/Guidance/Manuals/downloads/som107ap_pp_guidelines_ltcf.pdf)
- c. Your facility can individualize this plan to reflect your facility’s specific systems and vision and select guiding principles from the list provided, or you can write your own plan, and compile all 3 documents to create your own QAPI preamble.
- d. Post the preamble for all to read, with training provided to the staff.

*The attached disclaimer is provided for client advisement and states that the use of Med-Net Quality Assurance Performance Improvement Plan doesn’t guarantee that the client will be successful in fulfilling the CMS requirements. The client is responsible for ensuring the completeness and accuracy of implementing the QAPI program as defined by CMS.*

**DISCLAIMER**

Med-Net Compliance, LLC has provided a tool for your facility use in preparation for meeting the Centers for Medicaid & Medicaid Services (CMS) governmental guidelines. The Quality Assurance Performance Improvement Plan (QAPI) tool is a source for implementing Phase II of the CMS healthcare regulatory and compliance guidelines.

In addition to the terms of this Disclaimer, your facility’s use of the attached tool is governed by your Company’s Agreement with Med-Net Compliance, LLC pursuant to which you are contractually obligated.

**THE CONTENT**

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**QUALITY ASSURANCE IMPROVEMENT PLAN**  
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- Worksheet for Creating a Performance Improvement Project (PIP).....
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## INTRODUCTION

The organization is committed to developing, implementing, and maintaining an effective, comprehensive, data-driven QAPI program that focuses on indicators of the outcomes of care and quality of life.

The organization will:

- A. Maintain documentation and demonstrate evidence of an ongoing QAPI program which may include, but is not limited to:
  - i. systems and reports demonstrating systematic identification, reporting, investigation, analysis, and prevention of adverse events; and
  - ii. documentation demonstrating the development, implementation, and evaluation of corrective actions or performance improvement activities.
- B. Present a QAPI plan to the State Survey Agency as requested.
- C. Present a QAPI plan to a State Survey Agency or Federal surveyor at each annual recertification survey and upon request during any other survey and to CMS upon request.
- D. Present documentation and evidence of an ongoing QAPI program's implementation and compliance with requirements to a State Survey Agency, Federal surveyor, or CMS upon request.

## GLOSSARY OF KEY QAPI TERMS

- **Accountability:** Being answerable to an authority whether one performs an activity or delegates it.
- **Responsibility:** Being answerable to an authority for an activity one performs.
- **Adverse Event:** Undesirable outcome that results from a care-delivery intervention, medication, or treatment.
- **Benchmark:** A reference point against which things can be compared or assessed.
- **Data:** Statistics and facts that are collected for the purpose of reference or analysis.
- **High-Risk, High-Volume, Problem Prone:**
  - **High-Risk:** Refers to care or service areas associated with significant risk to the health or safety of residents, e.g., tracheostomy care; pressure injury prevention; administration of high-risk medications such as warfarin, insulin, and opioids.
  - **High-Volume:** Refers to care or service areas performed frequently or affecting a large population, thus increasing the scope of the problem, e.g., transcription of orders, medication administration, or laboratory testing.
  - **Problem-prone:** Refers to care or service areas that have historically had repeated problems, e.g., call bell response times, staff turnover, or lost laundry.
- **Indicator:** Provides evidence that a certain condition exists but does not clearly identify the situation or issue in any detail. Indicators enable decision-makers to assess progress towards the achievement of intended outputs, outcomes, goals, and objectives.
- **Measure:** A stronger reflection of the underlying concept; a more developed and tested way of describing the concept that is being evaluated than an indicator.
  - **Structural Measure:** Focus is on fixed characteristics of an organization, its professionals, and staff. These measures distinguish between a capability or asset and the

- activity that may rely on that structure. Structural measures are usually based on the organization or professional as a unit of assessment in the denominator. *Example:* The extent to which use of electronic health records is implemented facility-wide. Numerator = Number of departments with EHR; Denominator = Number of all departments in the facility.
- **Process Measure:** Assesses steps or activities carried out to deliver care or services, measuring the actions of professionals and staff. Consider sample sizes for denominators, exclusion criteria, and alternative processes or work-arounds that may exist. *Example:* The percentage of newly admitted residents receiving admission skin assessments.
  - **Outcome Measure:** Focus is on the product/outcome of a process/system of care or services which can identify different or more complex underlying causes. *Example:* The rate/incidence of nursing home acquired pressure ulcers.
  - **Mission Statement:** Describes the purpose of the organization, and guides the actions of the organization by including the overall goals, while providing the framework or context within which the organization formulates its strategies.
  - **Near Miss:** A potential harm event that did not reach a resident.
  - **Purpose Statement:** Describes how QAPI will support the overall vision and mission of the organization.
  - **Quality Assurance and Performance Improvement (QAPI):** Nursing home QAPI is the coordinated application of two mutually-reinforcing aspects of a quality management system: *Quality Assurance (QA)* and *Performance Improvement (PI)*. QAPI takes a systematic, interdisciplinary, comprehensive, and data-driven approach to maintaining and improving safety and quality in nursing homes while involving residents, families, and all nursing home caregivers in practical and creative problem solving.
    - **Quality Assurance (QA):** A retrospective, reactive effort that examines why a specific desired standard was not met as part of an effort to achieve quality; a systematic, retrospective, and reactive process for monitoring and evaluation of the various aspects of a project, service, or facility to ensure that standards of quality are being met.
    - **Performance Improvement (PI):** A proactive, continuous study of processes to prevent or decrease the likelihood of reoccurrence of persistent problems by identifying opportunities for correcting underlying causes; measuring the output of a particular business process or procedure, then proactively analyzing cause and modifying the process or procedure to increase the output, increase efficiency, or increase the effectiveness of the process or procedure.
  - **Quality Deficiency or Opportunity for Improvement:** A *quality deficiency* is an opportunity for improvement and is not the same as a deficiency identified during the survey process. It is a deviation in performance resulting in an actual or potential undesirable outcome, or an opportunity for improvement; anything a facility considers to be in need of further investigation and correction or improvement. *Example:* Problems such as medical errors and accidents, responses to questionnaires showing decreased satisfaction, etc.
  - **Root-Cause Analysis:** A structured team process that assists in identifying underlying factors or causes of an event, such as an adverse event or near-miss.
  - **Standard:** The rules or *definition* of what it means to provide competent care.



- **Systems Thinking:** A perspective in which one considers how things influence the whole, rather than considering one individual element that is part of the whole.
- **Threshold:** A defined quality level against which data results are compared.
- **Trending:** An observed direction, whether desirable or undesirable, in which results being analyzed are heading.
- **Vision Statement:** Sometimes called a picture of the organization in the future as you want it to be known. It is intended to serve as the inspiration and the framework for strategic planning.

## QAPI PLAN

A Quality Assurance Performance Improvement Plan must include five elements as a structure to guide the organization's efforts. They are:

1. Design and Scope
2. Governance and Leadership
3. Feedback, Data Systems, and Monitoring
4. Performance Improvement Projects (PIPs)
5. Systematic Analysis and Systemic Action

Each of these five elements is discussed in detail on the following pages of this QAPI Plan.

## ELEMENT ONE: DESIGN AND SCOPE

The organization can utilize the following twelve steps to design and implement QAPI, as adapted from the CMS document *QAPI at a Glance*:

### A. Step 1: Leadership Responsibility and Accountability

- i. The Leadership Team, consisting of the Administrator, Director of Nursing, Medical Director, and key department managers are selected based on issues under review, and are responsible for creating and sharing the focus of QAPI.
- ii. The Leadership Team and the QAPI/QAA Steering Committee can be one in the same.
- iii. Support from the Governing Body is evident through provision of equipment, training, staff time, other requested resources based on specific projects, and review with feedback during board meetings of the QAPI Program activity reports provided by the Administrator and/or QAPI Champion.

### B. Step 2: Incorporate a Deliberate Approach to Teamwork into the QAPI Program

- i. The use of team processes ensures that the unique perspective of a variety of individuals is included in problem solving and improvement planning.
- ii. Team members include staff, residents, family members, and others, as appropriate, based on the topic under review, keeping in mind confidentiality of Protected Health Information (PHI) and internal operations information.

### C. Step 3: Taking a QAPI Pulse with the QAPI Self-Assessment

- i. Initially and then periodically thereafter, but no less often than annually, the Leadership Team will conduct a review of the progress, using the '*QAPI Self-Assessment Tool*' included in the Appendix of this QAPI Plan. This tool is adapted from a CMS resource of the same name. The Leadership Team will compare the responses from one self-assessment to the next to identify progress made and areas needing a deeper focus.
- ii. The Leadership Team will brainstorm with appropriate team members to conduct the above referenced QAPI Self-Assessment. To complete each specific section, knowledgeable staff from that area of our service scope will meet with the Leadership Team to identify the current status of QAPI involvement, asking questions about QAPI implementation such as:
  - a. Where are we?
  - b. What is working?
  - c. What isn't working?
  - d. Where do we need to go?

### D. Step 4: Identifying Guiding Principles and a Preamble

- i. Staff must be trained on The Company's vision, mission, and purpose statements during new hire orientation and at least annually. A document titled '*Guide for Developing Purpose, Guiding Principles, and Scope for QAPI*' is located in the appendix of this QAPI Plan. Once created, it will guide staff in determining how QAPI will impact all departments.
- ii. The organization will create its QAPI Plan Preamble by assembling the following:
  - a. Vision Statement: A written picture of the organization in the future as we want it to be known

- b. Mission Statement: A written statement of the purpose of our organization as it provides services to residents
- c. Purpose Statement: What the organization intends to accomplish through QAPI
- iii. The Leadership Team defines the scope of the QAPI Program, including the types of care and services provided by the organization that impact clinical care, quality of life, resident choice with individualized goals for care, and care transitions.

**E. Step 5: The QAPI Plan**

- i. The Leadership Team works together to keep this QAPI Plan current.
- ii. Updates occur annually and as needed.
- iii. Staff are trained on areas of the QAPI Plan that require their input and actions.

**F. Step 6: Conduct a QAPI Awareness Campaign**

- i. QAPI is the responsibility of every employee.
- ii. An organization-wide communication campaign will ensure that employees, residents, and families understand the facility's commitment to QAPI and opportunities for involvement.
- iii. This happens through departmental and general staff meetings, use of memos, bulletin board postings, staff training, and other methods deemed appropriate for each segment of QAPI implementation and oversight.
  - a. Employees will receive training upon hire and periodically regarding the QAPI Plan and their role in QAPI
  - b. Resident Council is provided with information regarding the QAPI Plan
  - c. Families are offered information on QAPI through postings, mailings, meetings, and verbal communication

**G. Step 7: Develop a Strategy for Collecting and Using Data**

- i. The Leadership Team, in collaboration with QAPI teams and the QAPI/QAA Committee, determines what data to monitor routinely so that performance targets can be established, and benchmarks identified.
- ii. Team members will ask and answer:
  - a. What data will be collected?
  - b. Who will collect the data?
  - c. Who will review and analyze the data?
  - d. How frequently will data be collected, and results reported to QAPI/QAA?
- iii. Areas selected for data collection and analysis are determined by the Leadership Team and QAPI/QAA Committee to be the most in need of in-depth review. Key areas for application of the QAPI process will be selected from the following list that addresses clinical care issues, quality of life, and a culture of safety. Consideration is given to ensuring resident rights, choice, and respect.
  - a. Acquired Pressure Ulcers
  - b. Allegations of Abuse/Neglect/Exploitation/Misappropriation
  - c. Antibiotic Stewardship
  - d. Assessment Content
  - e. Call Light Response
  - f. Cleanliness of Environment
  - g. Complaints

- h. CMS and AHRQ *Possibly Preventable Issues* listed on page 11 under Element Three
- i. Drug Regimen Review Findings
- j. Elopement Prevention
- k. Fall Prevention
- l. Grievances
- m. Infection Prevention and Control Compliance
- n. Infection Rates
- o. Injuries of Unknown Origin
- p. Meal Service
- q. Medication Errors
- r. Noise Levels
- s. Observations from Routine Rounds
- t. Past Survey Plans of Correction
- u. Psychotropic Medication Review
- v. Quality Measures (since QM reports contain information that is months old, staff also monitor real-time clinical indicators that are problematic in our setting)
- w. Resident/Family/Staff Concerns
- x. Staff Education Attendance
- y. Staff Evaluations and Competency Testing Results
- z. Satisfaction Survey Results
- aa. 24-hour Report Items
- bb. Unplanned Re-hospitalizations
- cc. Weight Loss
- dd. Other

#### **H. Step 8: Identify Gaps and Opportunities**

- i. The Leadership Team observes the collated data, looking for trends or faulty systems to prevent undesirable outcomes.
- ii. Input is sought from caregivers, other staff, residents, and families via meetings, focus groups, the grievance process, and submitted suggestions.
- iii. The Leadership Team and others seek best available evidence for comparison of the facility's internal data against national benchmarks, published best practices, and clinical guidelines.
- iv. Information is obtained through on-line searches; Medicare's Nursing Home Compare data; professional journals; on-line webinars; attendance at conferences; collaboration with consultants; training provided by the pharmacist, medical director, and a variety of consultants; and other sources as applicable.

#### **I. Step 9: Prioritize Opportunities and Charter PIPs**

- i. Not all problems require the depth of focus of a Performance Improvement Project (PIP).
- ii. Areas identified as showing possible negative trends will be selected for PIP focus based on high-risk, problem prone, and/or frequency of occurrence issues.
  - a. When an issue rises to the level of needing a PIP, the work project will be structured or "chartered" – See '*Worksheet for Creating a Performance Improvement Project (PIP)*' in the appendix of this QAPI Plan

- b. Further detail on PIPs is included in this Plan under *'Element 4: Performance Improvement Projects (PIPs)'*

**J. Step 10: Plan, Conduct, and Document PIPs**

- i. The PDSA model, or similar tool, will be followed to conduct the work of the PIP:
  - a. **Plan** – Decide exactly what is going to be done
    - 1. List action steps and who is responsible
    - 2. Decide what data to collect
  - b. **Do** – Decide when and how it will be done
    - 1. Document observations, problems, unexpected findings; collect data identified as needed during the Plan phase
  - c. **Study** – Review the results
    - 1. Study and analyze the collected data
    - 2. Summarize what was learned
  - d. **Act** – Decide what changes need to be made based on the findings
    - 1. Make modifications to the plan if necessary
- ii. The Plan, Do, Study, Act cycle will be repeated as often as necessary to achieve the desired result.
- iii. A *'Plan, Do, Study, Act Cycle Worksheet'* is available in the appendix of this QAPI Plan.

**K. Step 11: Get to the Root of the Problem**

- i. Root Cause Analysis (RCA) is used to determine the true root cause of an issue.
- ii. RCA helps create a focus on system and process correction and improvement, not on placing blame or treating symptoms, thus supporting a culture of QAPI.
- iii. Understanding the contributing factors or causes of a system failure helps our teams develop actions that sustain corrections.
- iv. Tools such as the *'Five Whys Root Cause Analysis Worksheet'* or the *'Fishbone Root Cause Analysis Worksheet'* guide staff to drill down to discover true root cause – both are available in the appendix of this QAPI Plan.

**L. Step 12 – Take Systemic Action**

- i. Based on the root cause of a problem as identified by our team members, corrective action will be taken.
- ii. The goal is to achieve improvement and prevent recurrence of the problem.
- iii. Changes will be monitored for impact on the problem, and if improvement does not occur, the team will develop and implement additional interventions, with monitoring for achievement of desired outcomes.

## ELEMENT TWO: GOVERNANCE AND LEADERSHIP

The organization's Governing Body and the facility Administrator have **accountability** for the QAPI program.

**A. The Leadership Team**, which consists of the Administrator, Director of Nursing, Medical Director, selected key department managers based on the topics under review, and the QAPI Champion have responsibility for the function of QAPI within the facility. The Leadership Team and the QAPI/QAA Steering Committee can be one in the same. They are charged with establishing:

- i. A format and frequency of meetings: at least quarterly to coincide with the QAPI/Quality Assessment and Assurance (QAA) Committee meeting, and more often if needed.
- ii. Communication systems for use between scheduled QAPI/QAA Committee meetings, such as during the facility's Morning Meeting, via phone calls, face-to-face conversation, memos, and email.
- iii. The format for taking meeting minutes and presenting reports from PIP leaders to the Leadership Team.
- iv. A format and process for reporting activities of the QAPI/QAA Committee and QAPI focus to the governing body by the QAPI Champion or Administrator.
- v. Audit tools and data analysis format.
- vi. A tracking process for determining if expected improvement is achieved.
  - a. QAPI/QAA findings resulting from audit tools, trending of data, and analysis of outcomes will be reviewed by the QAPI/QAA team members to determine if outcomes are achieved or if revision of actions taken should occur when further PDSA effort is needed
- vii. The format for QAA/QAPI/QAA reports to be provided to the governing body.
- viii. A plan to ensure the QAPI program is sustained in the event of key staff turnover.

**B. The QAPI/QAA Committee**, including the Administrator:

- i. Will monitor to ensure that sufficient resources of personnel, time, equipment, and finances are available, and that they adequately support the needs of the facility's QAPI program.
- ii. Will provide opportunities to all departments to participate in the committee when relevant performance data is discussed.

**C. A QAPI Champion** will be selected.

- i. The Champion who is selected by the Leadership Team will demonstrate commitment to the mission and vision, and to creating a culture of continuous quality improvement.
- ii. The Champion will coordinate opportunities for residents, families, and staff to interact with the Leadership Team and participate in QAPI activities.
- iii. An alternate or assistant to the QAPI Champion will be selected should the needs and volume of the QAPI efforts require additional personnel.
- iv. The QAPI Champion will work with the Leadership Team and staff development coordinator to ensure that all staff are provided education that describes the QAPI Program, each person's responsibility to participate actively in QAPI efforts and processes, and the content and meaning of the facility's Preamble and QAPI Plan.

#### **D. Training**

- i. As part of the new hire orientation process, the Leadership Team will ensure that QAPI training is provided to all new employees.
- ii. PIP team members will receive training in the following:
  - a. Team process
  - b. Root cause analysis
  - c. PIP process
  - d. Data collection techniques
  - e. Measuring for improvement
  - f. A variety of other topics related to the QAPI work of the facility
- iii. Team leaders will monitor the engagement and level of understanding of their team members, arranging for additional training when a need is identified.

#### **E. Resources**

- i. Time will be allotted to staff for attendance at QAPI/QAA or PIP team meetings.
- ii. Equipment needs, such as access to a computer and printer, paper and pens, poster board materials, projectors and screens, etc., will be requested in writing to the Leadership Team. Individuals authorized to submit requests include the QAPI Champion, any department manager, or the team leaders of QAPI/QAA teams or PIPs.
- iii. The QAPI Champion or designee will inquire from team members and others to determine that resources are adequate.

#### **F. Monitoring**

- i. The Leadership Team will monitor the proficiency of the QAPI Champion, and the team leaders based on the summary reports and evidence of improvement presented at the QAPI/QAA Committee meetings.
- ii. The Leadership Team will utilize the optional QAPI Leadership Rounding Tool available in the appendix of this Plan, or a similar format, to monitor concerns and evidence of improvement.
- iii. The QAPI/QAA Committee will monitor results of the QAPI program.

#### **G. Evaluation**

- i. Job and Role Descriptions will include language that measures commitment to quality assurance and performance improvement efforts.
- ii. Sample job description content will be considered from CMS tools at <https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/QAPI/downloads/ExPerformanceObjectivesJobDesc.pdf>
- iii. The Leadership Team will update the QAPI Plan at least annually.
- iv. The QAPI/QAA Committee will evaluate the effectiveness of action plans.

### ELEMENT THREE: FEEDBACK, DATA SYSTEMS, AND MONITORING

- A. Performance indicators will be developed for each aspect of care and services being monitored.
  - i. Standards, thresholds, and benchmarks will be identified for each indicator to measure for improvement.
  - ii. The *'Measure/Indicator Development Tool'* will be used to develop indicators/measures, and measures and is included in the appendix of this Plan.
  
- B. Data sources for monitoring will be selected from, but not limited to, the following:
  - i. Topics listed in the various sections of this QAPI Plan.
  - ii. Input from caregivers, residents, families, and others - resident/family/staff concerns, resident satisfaction surveys.
  - iii. Adverse events, such as acquired pressure ulcers, injuries of unknown origin, medication errors, allegations of abuse/neglect/exploitation, elopement, unplanned weight loss.
  - iv. Performance Indicators: Quality measures, antipsychotic medication use, infection rates, hospitalization rates.
  - v. Survey findings: Past survey findings and plans of correction, mock surveys.
  - vi. Complaints: Resident grievances, family and staff complaints.
  - vii. Special units, departments, and unique populations identified in the Facility Assessment (Refer to F838 Facility Assessment for more information).
  - viii. The Potentially Preventable Events list identified in collaboration by CMS and the Agency for Healthcare Research and Quality that includes the following:
    - a. Medication Events:
      - 1. Change in mental status/delirium related to use of opiates and psychotropic medications
      - 2. Hypoglycemia related to use of antidiabetic medication
      - 3. Ketoacidosis related to use of antidiabetic medication
      - 4. Bleeding related to use of antithrombotic medication
      - 5. Thromboembolism related to use of antithrombotic medication
      - 6. Prolonged constipation/ileus/impaction
      - 7. Electrolyte imbalance, including dehydration and acute kidney injury, related to use of diuretic medication
      - 8. Drug toxicities including acetaminophen, digoxin, levothyroxine, ACE inhibitors, phenytoin, lithium, valproic acid, antibiotics
      - 9. Altered cardiac output related to use of cardiac/blood pressure medication
    - b. Care Events:
      - 1. Falls, abrasions/skin tears, or other trauma related to care
      - 2. Electrolyte imbalance, including dehydration and acute kidney injury/insufficiency, associated with inadequate fluid maintenance
      - 3. Thromboembolic events related to inadequate resident monitoring and provision of care
      - 4. Respiratory distress related to inadequate monitoring and provision of tracheostomy/ventilator care
      - 5. In-house acquired/worsened stage pressure injuries, and unstageable/suspected deep tissue injuries
      - 6. Elopement



- c. Infection:
  1. Respiratory infections:
    - Pneumonia
    - Influenza
  2. Skin and wound infections:
    - Surgical site infections (SSIs)
    - Soft tissue and non-surgical wound infections
  3. Urinary tract infections:
    - Catheter Associated UTIs (CAUTIs)
    - Non-catheter associated UTIs
  4. Infectious Diarrhea:
    - Clostridium difficile
    - Norovirus

**C. Data Collection Process:**

- i. For each issue under review, the Leadership Team and/or the QAPI Champion will ensure that the following are identified:
  - a. The measure/indicator to be studied
  - b. When and how often the measure will be studied
  - c. Where the data will come from
  - d. Who is responsible to track the measure
  - e. A performance goal or aim to be achieved
  - f. How data findings will be tracked
  - g. How data findings will be displayed
- ii. A data collection and monitoring plan will use the *Measure/Indicator Development Tool* to guide measure/indicator development and the companion guide *Measure/Indicator Collection and Monitoring Worksheet* provided in the appendix of this Plan.
- iii. Goals will be established using the *Goal Setting Guide* in the appendix of this Plan, which explains and incorporates the SMART formula for setting goals.
  - a. S = Specific
  - b. M = Measurable
  - c. A = Attainable
  - d. R = Relevant
  - e. T = Time-Bound

**D.** The assigned QAPI team will identify gaps and opportunities for improvement and communicate them to the QAPI/QAA Committee and the Leadership Team.

- i. Issues identified as likely to cause serious harm, impairment, or death will be reported and responded to *immediately*.

**E.** Improvement activities for high-risk, high-volume, and problem prone issues will be assigned to a PIP team.

**F.** Collated data will be analyzed by the assigned team to determine if the findings meet the team's expectations or failed to meet the preselected goal or aim.

- i. Each topic will have its own assigned team to collect and analyze the data.
  - ii. The Plan, Do, Study, Act Cycle will be utilized to determine if desired outcomes are achieved, or if additional actions must be implemented. The *'Plan, Do Study, Act Cycle Worksheet'* is available in the appendix of this Plan.
  - iii. The Plan, Do, Study, Act Cycle will be repeated as often as necessary to achieve improvement.
  - iv. Outcome data will be compared to the initial facility benchmark, identified available external benchmarks, standards of practice, and other available resources.
  - v. Issues will be monitored to determine if the interventions sustain correction, or if revisions are necessary.
- G.** Feedback will include communication of the information to those who need to know.
- i. Information will be disbursed via written reports, poster boards, presentations, and other methods as appropriate based on the topic under review.
  - ii. Dashboards may be created to display progress.
- H.** The QAPI/QAA committee and the Leadership Team will work with the QAPI teams to establish a frequency for monitoring each area of concern.
- I.** Each topic will have its findings communicated to those who need to know, as appropriate.
- i. The method of disbursement of information will be determined based on the audience to whom the results are to be provided.
  - ii. The audience to whom the information will be released will be based on the specific topic and the individuals who have responsibility/authority over that area. This may include the executive leadership, QAPI leadership, QAPI/QAA leadership, resident/family council, caregivers, specific departmental staff, and other stakeholders.

## ELEMENT FOUR: PERFORMANCE IMPROVEMENT PROJECTS (PIPs)

- A. Topics will be selected for PIP assignment when they fall into the following categories:
  - i. High-Risk: Greatest risk to the facility in terms of legal impact, financial repercussions, damage to reputation, regulatory noncompliance, or harm to residents or staff.
  - ii. High-Volume: Greatest number of residents or staff affected or with potential to be affected.
  - iii. Problem Prone: Consider the incidence (frequency), prevalence (how wide spread), and severity (how serious it is, even if it only occurs once) of the issue.
  - iv. The higher the risk, number of residents affected, and potential severity of the issue, the more important it is to charter a PIP to address the problem.
- B. PIP team composition will be assigned based on the issue under review and the needed skills and knowledge of the team members.
  - i. Wherever possible, the team will be interdisciplinary, composed of individuals whose area of work is impacted by the issue under review.
  - ii. Residents and/or family members will be asked to participate as appropriate.
- C. The PIP team members will establish goals, identify needed resources, and document details of the process they follow.
- D. The PIP will be chartered using the ‘*Worksheet for Creating a Performance Improvement Project (PIP)*’ in the appendix of this Plan.
- E. PIP issues will be prioritized for implementation by using the ‘*Prioritization Worksheet for Assigning Performance Improvement Projects (PIPs)*’ provided in the appendix of this Plan.
- F. The following questions will be asked as a model for designing improvement:
  - i. What is the goal to accomplish?
  - ii. How will it be known that the change is an improvement (measures)?
  - iii. What change can be made that will result in an improvement?
- G. PIP projects will be recorded in a log titled ‘*Performance Improvement Project (PIP) Inventory Sheet*’ included in the appendix of this QAPI Plan.
  - i. The log is periodically reviewed and monitored by the Leadership Team/QAA Committee to determine that all PIPs are active and that progress is being made.
- H. PIP team leaders will be selected from individuals recommended by the Leadership Team and QAPI Champion.
  - i. These individuals must have the ability to coordinate, organize, and direct all activities of the project team.
- I. PIP team members will be selected by the PIP team leader and/or QAPI Champion based on their knowledge and experience with the process and the topic under review.
  - i. Department managers and supervisors will be asked to recommend staff for the various assignments.

- ii. Individuals who request to serve on a PIP team will be considered based on their potential to contribute to the various issues.
- J.** The PDSA Cycle or a similar model will be followed. A *'Plan, Do, Study, Act Cycle Worksheet'* is provided in the appendix of this Plan.
- K.** Performance Improvement Project (PIP) Documentation.
- i. A *Performance Improvement Project (PIP) Guide* provided in the appendix of this Plan will be used by each PIP team to document their efforts.
- L.** The sustainability of recommended actions and interventions will be considered as the following categories are implemented:
- i. Systems: The methods, procedures, and routines to be used will be identified.
  - ii. People: Leaders, staff, residents, families, and others with skill or understanding of the issue will be identified.
  - iii. Environment: Physical structure and organizational culture will be considered to ensure the improvement plan can be implemented.
  - iv. Measurement: Indicators or methods to be utilized and frequency will be decided to ensure consistent performance and monitoring.
- M.** A PIP communication plan will be developed.
- i. The QAPI Leadership Team will work with the PIP team to establish a plan for communicating the needed information to the appropriate individuals based on the topic under review.
  - ii. The communication strategy will support bi-directional dialog between the Leadership Team, members of the PIP team, and any others who can contribute useful information or who need to know.
  - iii. Success stories will be communicated to those who would benefit from the information.
  - iv. Documents will be filed electronically or in hard copy for future reference or use.

## ELEMENT FIVE: SYSTEMATIC ANALYSIS AND SYSTEMIC ACTION

- A.** Systems thinking will be employed to help staff understand how things influence each other as a whole, and to not just consider the separate elements.
- B.** Systems types in our facility include:
- i. Clinical Systems. *Example:* Pressure ulcer prevention, medication administration, weight loss prevention and monitoring, etc.
  - ii. Service Systems. *Example.* Meal delivery, recreation activities, maintenance of equipment, etc.
  - iii. Operational Systems. *Example.* Staffing, billing, etc.
  - iv. Policies and procedures
  - v. Other
- C.** Systems thinking will include root cause analysis to help define the true problem.
- i. Tools used to facilitate this include the ‘*Fishbone Root Cause Analysis Worksheet*’ and the ‘*Plan, Do, Study, Act Cycle Worksheet*’ included in the appendix of this Plan.
  - ii. Systems needing improvement will be identified through analysis, brainstorming, trending, and use of the PDSA process. For each system that is undergoing analysis and improvement activities by either our Leadership Team, our department managers, or our PIP teams, the following will be considered.
    - a. Areas of impact/focus
    - b. The root cause and/or barrier
    - c. Action items designed to bring about improvement
    - d. Goal date and responsible team/person
    - e. Dates of progress revision/updates
- D.** Once root causes are identified, our team(s) will focus on eliminating or mitigating the causes and contributing factors. To be effective, our actions will include:
- i. Targeting elimination of the root cause.
  - ii. Offering long-term solutions to the problem.
  - iii. Developing a response that is achievable, objective, and measurable.
- E.** New systems and revised systems will be tested on a pilot unit, pilot department, or a specific area of operations needing the system implementation.
- i. The assigned team will provide instruction to the pilot unit/area in what will be implemented.
  - ii. Interviews and observation will determine if the pilot system changes are working, if there are barriers to success, and what must be done to adjust the system components, and a time line for implementation and correction.
  - iii. Once the pilot program is performing satisfactorily, if other units, departments, or areas of care and services need the system implemented, similar actions will occur to install the new or revised system in those locations.
- F.** Performance Improvement Activities

- i. Data will be collected and analyzed for selected listings of topics provided earlier in this Plan.
- ii. Teams will track a variety of issues, such as medical errors and adverse medical events, analyze their causes, and implement preventive actions and mechanisms that include feedback and learning for staff throughout the organization.
- iii. The scope and complexity of services provided by our facility as identified in the *'QAPI Self-Assessment Tool'* will help determine the number and frequency of improvement projects conducted.

**G.** PIP Documentation/PIP information will be documented on the following forms provided in the appendix of this QAPI Plan.

- i. *'Worksheet for Creating a Performance Improvement Project (PIP)'*
- ii. *'Prioritization Worksheet for Assigning Performance Improvement Projects (PIPs)'*
- iii. *'Performance Improvement Project (PIP) Inventory Sheet'*
- iv. *'Performance Improvement Project (PIP) Guide'*

**H.** Monitoring of PIP activity and outcomes will be conducted by the Leadership Team/QAA Committee on an ongoing basis based on the urgency of the topics, but no less often than at scheduled quarterly meetings. Prioritized topics will receive more frequent review.

## ATTACHMENT LISTING

- QAPI Self-Assessment Tool
- Guide for Developing Purpose, Guiding Principles, and Scope for QAPI
- Worksheet for Creating a Performance Improvement Project (PIP)
- Plan, Do, Study, Act Cycle Worksheet
- Five Whys Root Cause Analysis Worksheet
- Fishbone Root Cause Analysis Worksheet
- QAPI Leadership Rounding Tool
- Rounding Worksheet
- Measure/Indicator Development Tool
- Measure/Indicator Specific Information
- Measure/Indicator Collection and Monitoring Worksheet
- Goal Setting Guide
- Prioritization Worksheet for Assigning Performance Improvement Projects (PIPs)
- Performance Improvement Project (PIP) Inventory Sheet
- Performance Improvement Project (PIP) Guide

<b>QAPI Self-Assessment Tool</b>					
<b>Rate How Closely Each Statement Fits the Organization</b>	<b>Not Started</b>	<b>Just Start-</b>	<b>On the Way</b>	<b>Almost There</b>	<b>Doing Great</b>
The organization has developed principles guiding how QAPI will be incorporated into the culture and built into how work is done					
The organization has identified how all service lines and departments will utilize and be engaged in QAPI to plan and do work					
The organization has developed a written QAPI plan that contains the steps taken to identify, implement, and sustain continuous improvements in all departments, and is revised on an ongoing basis					
The board of directors and trustees (if applicable) are engaged in and supportive of the performance improvement work being done within the organization					
QAPI is considered a priority within the organization					
QAPI is an integral component of new caregiver orientation and training					
Training is available to all caregivers on performance improvement strategies and tools					
When conducting performance improvement projects, a small change is made and the effect of that change is measured before implementing it more broadly					
When addressing performance improvement opportunities, the organization focuses on making changes to systems and processes rather than focusing on addressing individual behaviors					
The organization has established a culture in which caregivers are held accountable for their performance, but not punished for errors, and do not fear retaliation for reporting quality concerns					
Leadership can clearly describe to someone unfamiliar with the organization, the approach to QAPI and give accurate and up-to-date examples of how QAPI is being used to improve safety and quality of resident care					
The organization has identified all sources of data and information relevant to use for QAPI. This includes data that reflects and measures clinical care, input from caregivers, resident, families, and stakeholders, and other data that reflects the services provided by the organization					



For the relevant sources of data identified, the organization sets targets or goals for desired performance, as well as thresholds for minimum performance					
The organization has a system to effectively collect, analyze, and display data to identify opportunities for improvements. This includes comparing the results of the data to benchmarks or to the internal performance targets or goals					
The organization supports the development of employees who have skills related to analyzing and interpreting data used to assess performance and support improvement initiatives					
The organization has a systematic and objective way to prioritize the identified opportunities for improvement					
The organization has a process in place to charter projects once performance improvement opportunities are identified					
The organization has a process in place for documenting work completed, including highlights, progress, and lessons learned related to performance improvement projects					
The organization uses a measurement for every performance improvement project to determine if changes to systems and processes have been effective. The organization uses both process measures and outcome measures to assess impact on resident care and quality of life					
The organization uses a structured process to identify underlying causes of problems, such as root-cause analysis					
The organization identifies system and process breakdowns and avoids focus on individual performance when using root-cause analysis to investigate an event or problem					
The organization consistently links corrective actions with system and process breakdowns identified, rather than focusing on education or asking caregivers to be more careful					
The organization puts both process and outcome measures in place once corrective actions have been identified in order to determine if change is happening as expected, and that the change has resulted in the desired impact of resident care					
Once an intervention has been put in place and determined to be successful, the organization measures whether the changes have been sustained					

Date Completed: \_\_\_\_\_ Date of Next Assessment: \_\_\_\_\_

Team Members Contributing to Assessment

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## GUIDE FOR DEVELOPING PURPOSE, GUIDING PRINCIPLES, AND SCOPE FOR QAPI

The team completing this worksheet will include senior leadership and any others considered appropriate by the Leadership Team. This is designed to help everyone associated with our facility to understand how QAPI will be used and integrated into the organization. It will be developed as a tool to help create details of the written QAPI plan. The following step-by-step instructions should be used to create a separate document that may be used as a preamble to the QAPI Plan that is individualized for the facility.

### **Step 1: Locate or Develop the Organization's Vision Statement\***

The vision statement presents a picture of how the organization will be viewed in the future; it is the inspiration and the framework for strategic planning. It will assist in involving staff in its development, and development and should be posted for everyone to view. For example, the vision statement of the Good Samaritan Society is “to create an environment where people are loved, valued, and at peace.”

### **Step 2: Locate or Develop the Organization's Mission Statement\***

The mission statement describes the purpose of the organization. The mission statement should guide the actions of the organization, spell out its overall goal, provide a path, and guide decision-making. It provides the framework or context within which The Company's strategies are formulated. As above, we strive to get caregivers involved in establishing our organization's mission. For example, “Meadowlark Hills is each resident's home. We are committed to enhancing quality of life by nurturing individuality and independence. We are growing a value-driven community while leading the way in honoring inherent senior rights and building strong and meaningful relationships with all whose lives we touch.”

### **Step 3: Develop a Purpose Statement for QAPI**

The purpose statement describes how QAPI supports the overall vision and mission of the organization. (**\*If the organization does not yet have a vision or mission statement, the purpose statement can still be written and should state what the organization intends to accomplish through QAPI.**) For example, the purpose of QAPI in the organization is to take a proactive approach to continually improving the way care is provided and staff engages with residents, caregivers and other partners to realize the vision to *[reference aspects of vision statement here]*. To do this, all employees will participate in ongoing QAPI efforts which support our mission by *[reference aspects of mission statement here]*.

### **Step 4: Establish Guiding Principles**

Guiding Principles describe the organization's beliefs and philosophy pertaining to quality assurance and performance improvement. The principles should guide what the organization does, why it does it, and how it does it. For example:

- **Guiding Principle #1:** QAPI has a prominent role in management and Board functions, on par with monitoring reimbursement and maximizing revenue.
- **Guiding Principle #2:** The organization uses quality assurance and performance improvement to make decisions and guide day-to-day operations.
- **Guiding Principle #3:** The outcome of QAPI in the organization is the quality of care and the quality of life of the residents.

- **Guiding Principle #4:** In the organization, QAPI includes all employees, all departments, and all services provided.
- **Guiding Principle #5:** QAPI focuses on systems and processes, rather than individuals. The emphasis is on identifying system gaps rather than on blaming individuals.
- **Guiding Principle #6:** The organization makes decisions based on data that includes the input and experience of caregivers, residents, health care practitioners, families, and other stakeholders.
- **Guiding Principle #7:** The organization sets goals for performance and measures progress toward those goals.
- **Guiding Principle #8:** The organization supports performance improvement by encouraging employees to support each other as well as be accountable for their own professional performance and practice.
- **Guiding Principle #9:** The organization has a culture that encourages, rather than punishes, employees who identify errors or system breakdowns.
- Add any additional Guiding Principles that may be important to your nursing home. Review the five QAPI elements to ensure guiding principles for the organization are identified and captured. Guide to Develop Purpose, Guiding Principles, and Scope for QAPI

(NOTE: The above Guiding Principles can be adopted by the facility just as they are provided.)

### Step 5: Define the Scope of QAPI within the Organization

Scope outlines the types of care and services provided by the facility that impact clinical care, quality of life, resident choice, and care transitions. Scope should incorporate the care and services delivered by all departments. For example:

Scope of Services and QAPI Involvement	
Services Provided by Facility	QAPI Activity Involvement for Each Listed Service
Post-Acute Care	
Dementia Care and Services	
Dietary Services	
Dining	
Physical Therapy	
Respiratory Therapy	
Social Services	
Wound Care	

Once the list of care and service areas has been identified, determine how each will use QAPI to assess, monitor, and improve performance on an ongoing basis.

### Step 6: Assemble Document

Once Steps 1-5 have been completed, assemble the vision and mission statements, guiding principles, and scope of QAPI into a separate document that may be used as a preamble to the QAPI plan. Use this document to help articulate the goals and objectives of the organization, then consider posting for all to see.

Adapted from the CMS form *Guide for Developing Purpose, Guiding Principles, and Scope for QAPI*

**WORKSHEET FOR CREATING/CHARTERING A PERFORMANCE IMPROVEMENT PROJECT (PIP)**

**Project Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

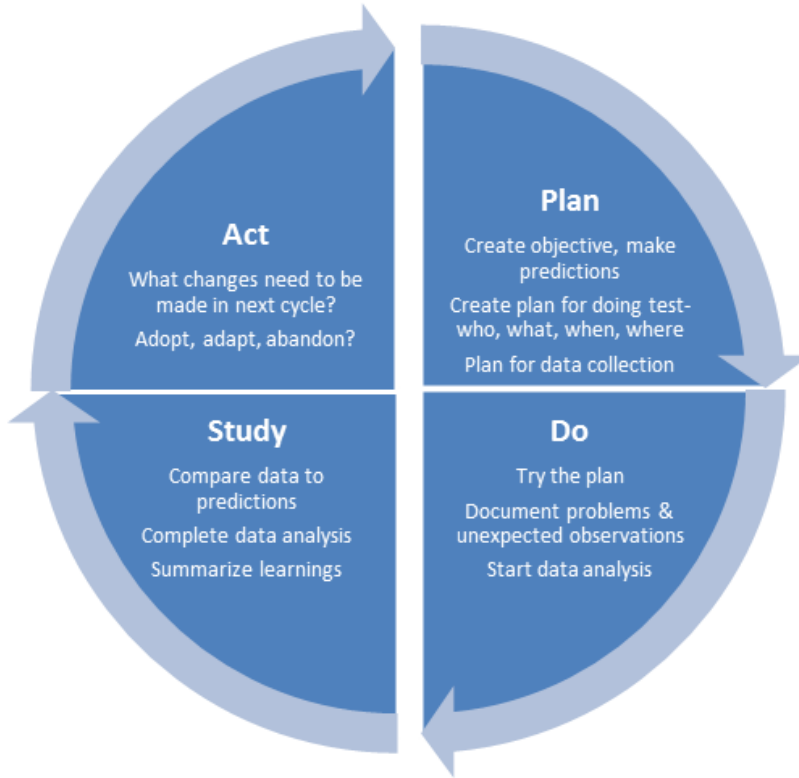
Problem(s) to be solved		
Background of the issue(s) for this project		
The goal(s) for this project (use 'Goal Setting Guide' to identify goals)		
Scope: Specify where the project begins and ends, and the key steps in between		
<b>Phases of the Project</b>	<b>Start Date</b>	<b>End Date</b>
Initiation: Date(s) PIP topic developed and approved		
Planning: Date(s) tasks and processes to achieve goals are defined		
Implementation: Date(s) when the project will begin, and an estimated date of completion		
Monitoring: Date(s) project progress observed and results documented		
Closing: Date(s) project ended and summary written		

Project Team and Responsibilities		
Title	Role	Person Assigned (Name/Title)
Project Director	Coordinates, organizes, and directs the activities of the PIP team	
Project Manager	Manages day-to-day project operations, including data collection process, analysis, and final display of data related to the project	
Additional Team Member #1		
Additional Team Member #2		
Additional Team Member #3		
Additional Team Member #4		
Additional Team Member #5		
Equipment, supplies, etc. needed for the project		
What may get in the way of PIP success?		What can the team do about this?

Project Approval			
Title	Name	Signature	Date
Administrator			
Project Director			

Adapted from CMS Worksheet to Create Performance Improvement Project (PIP) Charter

## PLAN, DO, STUDY, ACT CYCLE WORKSHEET



**Topic:**

<b>Plan</b>
<b>Do</b>
<b>Study</b>
<b>Act</b>

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## FIVE WHYS ROOT CAUSE ANALYSIS WORKSHEET

The Five Whys is a simple problem-solving technique that helps to get to the root of a problem quickly. The Five Whys strategy involves looking at any problem and drilling down by asking: "Why?" or "What caused this problem?" While you want clear and concise answers, you want to avoid answers that are too simple and overlook important details. Typically, the answer to the first "why" should prompt another "why" and the answer to the second "why" will prompt another and so on; hence the name Five Whys. This technique can help you to quickly determine the root cause of a problem. It's simple, and easy to learn and apply.

Directions: The team conducting this root cause analysis does the following:

- Develops the problem statement. (See Step 1 of Guidance for RCA for additional information on problem statements.) Be clear and specific.
- The team facilitator asks why the problem happened and records the team response. To determine if the response is the root cause of the problem, the facilitator asks the team to consider "If the most recent response were corrected, is it likely the problem would recur?" If the answer is yes, it is likely this is a contributing factor, not a root cause.
- If the answer provided is a contributing factor to the problem, the team keeps asking "Why?" until there is agreement from the team that the root cause has been identified.
- It often takes three to five whys, but it can take more than five! Keep going until the team agrees the root cause has been identified.

Problem Statement	One sentence description of event or problem;
Why?	
Why?	
Why?	
Why?	
Why?	
<b>List Root Causes:</b>	1. 2. 3.
To validate root causes, ask the following: If you removed this root cause, would this event or problem have been prevented?	

Adapted from the CMS form *Five Whys Tool for Root Cause Analysis*



## FISHBONE ROOT CAUSE ANALYSIS WORKSHEET

A cause and effect diagram, often called a “fishbone” diagram, help teams in brainstorming to identify possible causes of a problem and in sorting ideas into useful categories. The problem or effect is displayed at the head or mouth of the fish. Possible contributing causes are listed on the smaller “bones” under various cause categories. Include team members who have personal knowledge of the processes and systems involved in the problem or event to be investigated.

The team using the fishbone diagram tool should carry out the steps listed below.

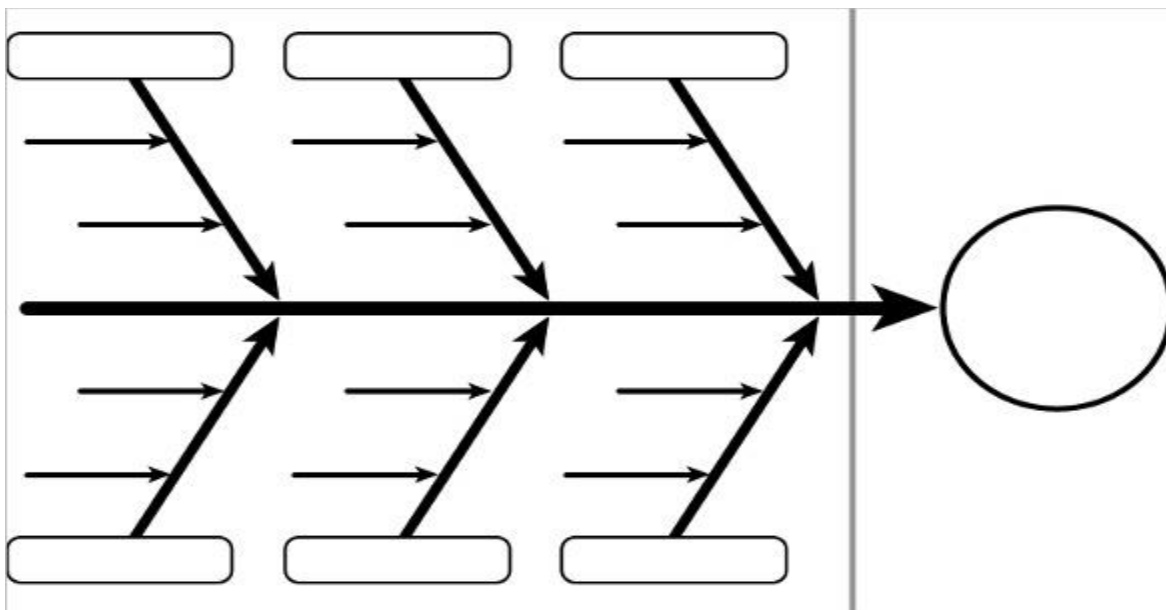
Agree on the problem statement (also referred to as the effect). Write this at the mouth of the “fish.” Be as clear and specific about the problem as possible.

Agree on the major categories of causes of the problem (written as branches from the main arrow). Major categories often include: equipment or supply factors, environmental factors, rules/policy/procedure factors, and people/staff factors.

Brainstorm all the possible causes of the problem. Ask “Why does this happen?” As each idea is given, the facilitator writes the causal factor as a branch from the appropriate category (places it on the fishbone diagram). Causes can be written in several places if they relate to several categories.

Again ask, “Why does this happen?” about each cause. Write sub-causes branching off the cause branches.

Continue to ask “Why?” and generate deeper levels of causes and organize them under related causes or categories to identify and then address root causes to prevent future problems.



Adapted from the CMS form *How to Use the Fishbone Tool for Root Cause Analysis*

## QAPI LEADERSHIP ROUNDING TOOL

Leadership rounding is a process where leaders/managers move throughout the facility with staff and residents, talking with them directly about care and services provided, including QAPI initiatives. Rounding with staff and residents is an effective way to learn firsthand what is going well and what needs to be addressed. It demonstrates leadership's commitment to including staff, residents, and family members in performance improvement efforts, and promotes a culture of QAPI. Use this tool to guide your rounds and to monitor the progress of QAPI initiatives.

### **Before rounding decide:**

- Which leader(s) will conduct rounds?
- How frequently will rounds take place?
- What questions should be asked?
- What do you want to learn?
- What barriers/issues have already been identified that employees should be asked about to gather their input for solutions?

### **During Rounding:**

- Leaders conduct rounds as planned, maintaining a positive tone, and building relationships with staff, visitors, and family members by taking the time to listen and respond to their needs.
- Ask questions and document key points. (See optional rounding form below.)
- When employees raise issues or ask for help, assure them you will follow up.
- Follow up on previous issues or requests —share with staff how previous issues were addressed or resolved, maintaining required confidentiality of protected information.

### **After Rounding:**

- Identify frequently noted issues/themes.
- Prioritize issues (e.g., by level of urgency, risk, ability to resolve).
- Conduct follow-up to demonstrate responsiveness (note: this may involve following up with employees individually, developing an organizational report that outlines the input collected and proposed solutions—potentially utilizing the priority levels developed in step #2—or including the findings as a component to be communicated during the next rounding session).
- Consider ways to acknowledge outstanding employee/unit efforts (e.g., thank you notes or other rewards/recognition).
- Identify training or coaching opportunities for employees/units.
- Plan next rounding session.

See the optional Rounding Worksheet provided on the following page:

## ROUNDING WORKSHEET

**Person Conducting Rounds:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Unit:** \_\_\_\_\_

Assigned Topics	
___ Specific PIPs	
___ Specific Aspect of Care	
___ Specific Workplace/Workflow Issue	
___ Other	
Information Needed Prior to Rounding	
What is the goal for the selected topic?	
How will improvement be recognized?	
Have improvements been made to date?	
Barriers/Issues Already Known	
Barriers/Issues Addressed by Leadership Team	
Questions to Ask During Rounding	
What things are going well around this issue?	
Are there any frustrations with this issue?	
What barriers are interfering with this topic? How should they be addressed?	
What additional equipment or resources are needed?	
Does anyone deserve recognition for their work on this issue?	
Does anyone need training to make this topic more successful?	
What feedback has been received from residents and families about changes taking place as part of this issue?	
What else should be communicated to leadership?	

Adapted from the CMS *QAPI Leadership Rounding Guide*

## MEASURE/INDICATOR DEVELOPMENT TOOL

Use this worksheet to develop a performance indicator/measure

**An indicator** provides evidence that a certain condition exists but does not clearly identify the situation or issue in any detail. Indicators enable decision-makers to assess progress toward the achievement of intended outputs, outcomes, goals, and objectives.

**A measure** is a stronger reflection of the underlying concept; a more developed and tested way of describing the concept that is being evaluated. Often the two terms are used interchangeably.

### Measure/Indicator Type

- **Structural Measure:** Focus is on fixed characteristics of an organization, its professionals, and staff. These measures distinguish between a capability or asset and the activity that may rely on that structure. Structural measures are usually based on the organization or professional as a unit of assessment in the denominator. Example: The extent to which use of electronic health records is implemented facility-wide. Numerator = Number of departments with EHR; Denominator = Number of all departments in facility.
- **Process Measure:** Assesses steps or activities carried out to deliver care or services, measuring the actions of professionals and staff. Consider sample sizes for denominators, exclusion criteria, and alternative processes or work-arounds that may exist. Example: The percentage of newly admitted residents receiving admission skin assessments.
- **Outcome Measure:** Focus is on the product/outcome of a process/system of care or services which can identify different or more complex underlying causes. Example: The rate/incidence of nursing home acquired pressure ulcers.

**Numerator:** When a person or event will be counted as having met the desired result – this is the top number of the fraction you will calculate. Example: any resident with a completed skin assessment within 12 hours of admission: Numerator: 19.

**Denominator:** the total pool of persons or events you will be counting – this is the bottom number of the fraction you will calculate. Example: all residents admitted in last month. Denominator= 23.

**Exclusion Criteria:** Any person or event you would exclude from the denominator count. Example: exclude any residents in the nursing home for less than 24 hours because all assessment data not available: Denominator after exclusions: 20

**Calculation:** Typically expressed as Numerator/Denominator x 100 = rate %.  
Example:  $19/20 \times 100 = 90\%$

**Indicator/Measure Goal:** The numerical goal aimed for – may be based on an already established goal for the indicator. Example: Goal = 100%

**Indicator/Measure Threshold:** The minimum acceptable level of performance. Example: Threshold = 95%

**MEASURE/INDICATOR SPECIFIC INFORMATION**

**Topic to Be Measured:** \_\_\_\_\_

Defining Measure/Indicator Specifications	Details
Numerator: Person or event to be counted as having met the desired result – top number of the fraction	
Denominator: Total pool of persons or events to be counted – the bottom number of fractions	
Exclusion Criteria: Any person or event to be excluded from the denominator	
Result Calculation: Numerator/Denominator x 100 = Rate %	
Indicator/Measure Goal: The numerical goal desired to be achieved	
Indicator/Measure Threshold: The minimum acceptable level of performance	
Data Source	
Sample Size and Methodology: How large is the sample? How will the sample be determined?	
Frequency of Measurement: Will this be calculated daily/weekly/monthly/quarterly/annually?	
Duration: Is the time frame for which data will be collected the number of cases/events that occurred in the past weeks, months, quarters?	

Adapted from CMS form *Measure/Indicator Development Worksheet*

## MEASURE/INDICATOR COLLECTION AND MONITORING WORKSHEET

For each measure/indicator that is chosen for data collection and monitoring for QAPI, answer the following questions. The information gleaned from these questions will help to determine how best to track, display, and assess or evaluate the results of the various measures chosen. This table can be used as an overview tool and completed by the QAPI Champion or designee. Alternatively, this table can be used for individual measures or groupings of measures that address similar topics.

What is being measured (measure/indicator)?	Frequency of Measuring	Data Source	Who will track this measure?	Performance goal or aim	How will the data findings be tracked and displayed?

Adapted from CMS form *Measure/Indicator Collection and Monitoring Plan*

## GOAL SETTING GUIDE

Goal setting is important for any measurement related to performance improvement. This worksheet is intended to help QAPI teams establish appropriate goals for individual measures and also for performance improvement projects (PIPs).

Goals should be clearly stated and describe what the organization or team intends to accomplish. Use this worksheet to establish a goal by following the SMART formula outlined below. Note that setting a goal does not involve describing what steps will be taken to achieve the goal.

<b>Summarize the problem to be measured</b>

Use the **SMART** formula to develop a goal: Specific, Measurable, Attainable, Relevant, Time-Bound.

### Specific

<b>Describe the goal in terms of What, Who, Where questions</b>	
What is to be accomplished?	
Who will be involved/affected?	
Where will it take place?	

### Measurable

<b>Describe how you will know if the goal is reached</b>	
What measure will be used?	
What is the current data figure (i.e. count, percent, rate) for the measure?	
What is the increased/decreased goal number?	

### Attainable

<b>Defend the rationale for setting the goal measure in Section 2 by answering the following</b>	
Was the measure or figure to be attained based on a particular best practice/average score/benchmark? Explain.	

Is the goal measure set too low so it is not challenging enough? Explain.	
Does the goal measure require a 'stretch' without being too unreasonable? Explain.	

**Relevant**

<b>Briefly describe how the goal will address the problem stated above</b>

**Time-Bound**

<b>Define the timeline and target date for achieving the goal</b>

Write the goal statement based on the **SMART** elements above. The goal should be descriptive, yet concise enough that it can be easily communicated and remembered.

<b>Goal Statement</b>

Adapted from CMS form *Goal Setting Worksheet*



**PRIORITIZATION WORKSHEET FOR ASSIGNING PERFORMANCE IMPROVEMENT PROJECTS  
(PIPs)**

**Directions:** This tool is designed to assist in choosing potential areas for improvement that are the highest priority based on the needs of the residents and the facility. Follow this systematic assessment process below to identify potential areas for PIPs. This process will consider such factors as high-risk, high-volume, or problem prone areas that affect health outcomes and quality of care. This tool should be completed and used by the QAPI team to determine the areas to select for PIPs. Begin by listing potential areas for improvement in the left-hand column. Then score each area in the columns to the right, based on a rating system of 1 to 5 as defined here: **1 = very low 2 = low 3 = medium 4 = high 5 = very high**

Ratings are subjective and meant to be a guide. Finally, add the scores across the row and total in the final column. Potential improvement areas with a higher score indicate a higher priority for creating a PIP.

<b>1 = very low / 2 = low / 3 = medium / 4 = high / 5 = very high</b>	
Potential Areas for Improvement ( <i>identify from feedback from staff, families, residents, other incidents, near misses, unsafe conditions, survey deficiencies</i> )	
Prevalence ( <i>the frequency at which this issue arises</i> )	
Risk ( <i>the level to which this issue possesses a risk of the residents</i> )	
Cost ( <i>the cost incurred by the organization each time this issue occurs</i> )	
Relevance ( <i>the extent to which addressing this issue can affect resident quality of life/quality of care</i> )	
Responsiveness ( <i>the likelihood an initiative on this issue would address a need expressed by residents, family, and/or staff</i> )	
Feasibility ( <i>the ability of the organization to implement a PIP on this issue, given the current resources</i> )	
Continuity ( <i>the level to which a focus on this issue would support the organization's goals and priorities</i> )	
<b>Total Score Tally</b>	

Additional factors to consider:

1. What existing standards or guidelines are available to provide direction for this initiative?

2. What measures can be used to monitor progress?
3. Is the topic publicly reported on Nursing Home Compare or is it part of the Advancing Excellence in America's Nursing Homes campaign?
4. Which type of changes primarily will be involved (i.e., system changes, environmental changes, staffing changes)?
5. Which staff will be most affected by the initiative? What training needs will this initiative present?
6. Is there an identified champion(s) for this initiative?

*Adapted from the CMS QAPI Prioritization Worksheet for Performance Improvement Projects*

## PERFORMANCE IMPROVEMENT PROJECT INVENTORY SHEET

Use this template for high-level tracking of all PIPs occurring within our facility. The information is useful for leaders, surveyors, or others responsible for overall monitoring of the program. Consider updating the status column on a regular basis; e.g., monthly, quarterly. Bring this to the QAPI team meetings to review all PIPs currently underway, to identify if the PIPs are moving along, if any have stalled, etc. Use multiple pages if needed.

Project Name: \_\_\_\_\_ Start Date: \_\_\_\_\_

Purpose	
Current Phase 1. Initiation 2. Planning 3. Implementation 4. Monitoring 5. Closing	
Change(s) Initiated: What actions have been put into place?	
Indicators/Measures: What data is being tracked to show improvement?	
Status: What are the indicator/measure results as compared to goals of thresholds? Have negative consequences or barriers been identified? How are they being addressed?	

Adapted from CMS Form *Performance Improvement Project (PIP) Inventory*

**PERFORMANCE IMPROVEMENT PROJECT (PIP) GUIDE**

Start Date	Review Date(s)	Completion Date(s)	PIP Squad Members	
<b>Project Leaders</b>		1.		
		2.		
		3.		
<b>Key Area(s) for Improvement</b>		4.		
		5.		
		6.		
		7.		
Specific Measurable <b>GOAL:</b> Action Oriented Realistic Time-Bound				
<b>What is the root cause for the problem? Ask “Why is this happening?” 5 times. removed this root cause, would the event have been prevented?</b>				<b>If you</b>
<b>Barriers</b>				
<b>Brainstorm possible solutions and state PDSA Cycle (Plan, Do, Study, Act)</b>				

Plan	Do			Study and Act	
Tasks to be Completed	Responsible Member	Start Date(s)	Completion Date(s)	Comments (Re-sults/Lessons Learned)	Adopt/Adapt/Abandon (choose one)

Study and Act					
Benchmarks/Metrics (How progress will be measured)	Baseline	First Measurement	Second Measurement	Final Measurement	Comments

Adapted from Great Plains Quality Innovation Network form *Performance Improvement Project (PIPs) Guide*

## **11. INFECTION PREVENTION AND CONTROL (IC)**

## 11. INFECTION PREVENTION AND CONTROL (IC)

<b>Policy Number</b>	<b>POLICY</b>
IC 1.0	<a href="#">INFECTION PREVENTION and CONTROL</a>
IC 1.1	<a href="#">ANTIBIOTIC STEWARDSHIP</a>
<b>APPENDIX</b>	<b>Appendices, Tools, and Forms</b>
IC 1.1	<a href="#">ANTIBIOTIC STEWARDSHIP CHECKLIST AND AUDIT</a>

**Policy Number:** IC 1.0

**Policy Title:** Infection Prevention and Control Plan

**Policy Statement and Purpose:** The Infection Prevention and Control Plan (IPCP) consists of the Infection and Prevention Control policy and procedures, and the Antibiotic Stewardship policy and procedures. The facility staff and its associates adhere to the mission and goals set forth in the IPCP which is reviewed annually and approved and adopted by the facility Infection Control committee.

### A. Mission and Goals

Facility leadership is committed to a comprehensive Infection Prevention and Control Plan (IPCP) focused on both employee health and resident care practices. The IPCP encompasses the prevention of adverse outcomes such as health care associated infections (HCAI) <sup>1</sup>, supporting staff in all areas of the facility to improve resident care, minimizing health care associated occupational hazards, optimizing antibiotic use, and fostering evidence-based decision making. To that end, the IPCP provides staff with a coordinated organizational structure, technical procedures, comprehensive work practices and guidelines to reduce the risk of infection transmission, and exercise antibiotic stewardship. The goals of the IPCP are to:

1. Provide a safe, sanitary, and comfortable environment for residents, visitors, and staff.
2. Improve resident and facility outcomes related to the risk of infection to residents and staff through:
  - a. Proactively preventing, identifying, reporting, investigating, and controlling infections and communicable diseases
  - b. Initiating proper measures to limit unprotected exposure to pathogens or further their spread from identified sources of contagion, including infections associated with procedures and with the use of medical equipment and medical services
  - c. Collecting, analyzing, and trending data, and instituting appropriate corrective actions
3. Provide education to identify and correct problems relating to infection control practices including, but not limited to, hand hygiene, Standard Precautions, transmission-based precautions, immunization protections, injection safety, infection versus colonization, and competency testing/evaluation.
4. Optimize the use of antibiotics to meet resident- and community-specific needs per The Company *Antibiotic Stewardship* policy.
5. Facilitate compliance with federal, state, and local regulations relating to infection control and antibiotic stewardship.

### B. Scope

The Infection Prevention and Control Plan is based on the latest recommendations from the Centers for Disease Control and Prevention (CDC) <sup>2</sup>. The major components include:

1. Surveillance of Infections - ongoing monitoring for occurrence of infections for all residents, staff, volunteers, visitors, and other individuals providing services under a contractual arrangement based upon the facility assessment.
2. Implementation of Control Measures and Precautions - basics such as cleaning procedures, hand hygiene practices, and Standard and Transmission Based Precautions.



3. Prevention of Infection - staff and resident education focusing on risk of infection, practices to decrease infection risk, infection control policies and procedures, availability of immunizations and their administration to residents and staff, as appropriate.
4. Report of Infection - specific Department of Health reporting according to state and local regulations.
5. Population Served - The IPCP is based on the needs of the population served and the environment of care. The population consists of predominantly elderly and compromised individuals living in a post-acute or long-term environment. Underlying disease processes and comorbidities put the residents at high-risk for infection. The challenges of providing care and services to this unique population are woven into the policies, procedures, and protocols of the IPCP. Efforts are directed toward employees, visitors, contract staff, and licensed independent practitioners including medical staff.
6. Antibiotic Stewardship - Specific elements as defined by the CDC <sup>3</sup>

### C. Committee Oversight

1. The multi-disciplinary Infection Prevention and Control Committee (IPCC) is a component of the facility Quality Assessment and Performance Improvement (QAPI) committee. The IPCC:
  - a. Implements infection prevention and control policy and protocol
  - b. Monitors and evaluates infection prevention and control activities and outcomes
  - c. Reviews and analyzes data monthly to identify trends
2. Documents and implements corrective action as appropriate.
  - a. Meets monthly and reports to the QAPI/QAA Committee and facility management at least quarterly
  - b. Documents IPCC attendance and maintains committee minutes
3. The QAPI Committee
  - a. Provides oversight for continuous improvement and sustainability of infection prevention and control and antibiotic stewardship practices and outcomes
  - b. Reviews drugs identified to be included in the monthly Drug Regimen Review (DRR) including antibiotics
    - The pharmacist conducts the DRR which includes a review of the medical record concurrently with the MAR (or other list of current medications) and reviews if the taking of an antibiotic supports the infection prevention and control program, especially the antibiotic stewardship program
  - c. Conducts an annual review of the IPCP and updates the plan as necessary in conjunction with the IPCC and facility leadership
  - d. QAPI/QAA Committee record disclosure of information is limited to demonstrating compliance to the QAPI/QAA Committee requirements to identify and correct quality deficiencies.
4. IPCC committee members include:
  - a. Medical Director/Designee
  - b. Director of Nursing
  - c. Infection Preventionist
  - d. Administrator/Designee
  - e. Facility Safety Officer
  - f. Pharmacy Representative
  - g. Lab Representative

- h. Maintenance representative
- i. Community representative (annually)
- j. Others as designated by the facility may include: Business office representative, dietary, social service, etc.

#### **D. Authority Statement**

1. The facility Infection Preventionist, in conjunction with the Infection Prevention and Control committee (IPCC):
  - a. Investigates the etiology of infections
  - b. Monitors infection control practices pertaining to residents, employees, visitors, and the environment
  - c. Promotes and monitors immunization protocols for residents and staff
  - d. Generates and reviews data such as infection rates and antibiotic resistance rates
  - e. Monitors and reports on the use of antibiotics to meet resident- and community-specific needs
  - f. Recommends procedures for asepsis, disinfection, sterilization, isolation, and environmental control of microorganisms
  - g. Reports relevant information to facility leadership
2. The facility Medical Director and Infection Preventionist are authorized to initiate action as indicated when there is sufficient reason to believe that an infectious, hazardous condition exists that could endanger any resident, employee, or visitor. This includes the initiation of Transmission Based Precautions and any necessary restrictions during an outbreak situation.
3. The facility Administrator designates one or more individual(s) as the infection Preventionist(s) (IPs) who are responsible for the facility's IPCP. The IP must:
  - a. Have primary professional training in nursing, medical technology, microbiology, epidemiology, or another related field
  - b. Be qualified by education, training, experience, or certification
  - c. Work at least part-time at the facility
  - d. Have completed specialized training in infection prevention and control
4. The individual designated as the IP, or at least one of the individuals if there is more than one IP, is a member of the facility's QAPI/QAA Committee and reports to the QAPI/QAA Committee on the IPCP on a regular basis.

*This statement of authority is reviewed and authenticated annually by the facility IPCC Team, the facility Medical Director and clinical management team, including the Administrator and the Director of Nursing.*

#### **E. Infection Surveillance System**

Facility leadership maintains written standards, policies, and procedures for the Infection Prevention and Control Program, designed to detect, control, and prevent possible communicable diseases or infections before they can spread to other persons in the facility.

##### *1. Detection*

Detection of infections is accomplished through an ongoing, facility based, system of surveillance. All infections are identified and reported to the Infection Control Preventionist (IP). The IP maintains, tracks, and trends an ongoing monthly line listing of residents with infections and

monitors for outbreak potential. The IP reviews and compares follow-up lab data and completes a monthly review to identify trends.

a. Definitions:

- **Healthcare-associated infection (HCAI) (Facility associated)** - any infection in a resident that is not present at the time of admission or readmission and doesn't develop before the first 72 hours of admission or readmission; an infection in a resident while receiving health care for another condition<sup>1</sup>
- **Other healthcare associated infections** - any infection in a recently hospitalized resident (within 8 weeks) which is present at the time of admission to the facility or develops within the first 72 hours of admission or readmission.
- **Community associated infections** - any infection in a resident who has not been in another healthcare facility within the prior 8 weeks that is present at the time of admission or developing within the first 72 hours of admission or readmission.

2. Control

To control the potential spread of infection, the type and duration of precaution is based on the resident's condition and follows the CDC guidelines.<sup>4, 5</sup> Elements of the Infection Prevention and Control Plan include<sup>7</sup>:

a. Surveillance and Disease Reporting

- Epidemic infections
- Urinary tract infections
- Respiratory tract infections
- Tuberculosis
- Skin and soft tissue infections, infestations
- Other infections

b. Standard and transmission-based precautions

- Hand Hygiene
- Respiratory and cough etiquette
- Work exclusion policies - The circumstances under which employees with a communicable disease or infected skin lesions are prohibited from direct contact with residents or their food, if direct contact will transmit the disease

c. Isolation Precautions - When and how isolation should be used for a resident, including but not limited to:

- A requirement that the isolation is the least restrictive for the resident
- Antibiotic resistant bacteria - Multi drug resistant organisms (MDRO) such as MRSA, vancomycin-resistant enterococci (VRE), or antibiotic-resistant gram-negative bacilli
- Immunosuppressed residents
- Personal Protective Equipment
- Injection safety
- Point of Care Testing (including glucometer cleaning)
- Linen management

d. Antibiotic Stewardship

- Sufficient time for staff from relevant departments to contribute to stewardship activities

- Training and education ensuring participation from the many groups that can support stewardship activities
- Stewardship-related duties in job descriptions and annual performance reviews
- e. Facility Management including environmental control, waste management, product evaluation and disinfection, sterilization, and asepsis
- f. Facility *Exposure Control Plan* for OSHA Blood Borne Pathogens<sup>6</sup>
  - Competency Evaluation
- g. Emergency Preparedness
  - Outbreak Control
    - Pandemic Influenza
  - Natural Disaster
- h. Screening and immunization for residents, staff, and volunteers
  - Baseline TB Screen
  - Influenza Vaccination (and goal)
  - Hepatitis B Vaccination
  - Pneumococcal considerations
- i. Resident Care and Health
- j. Employee Health
- k. Education in infection prevention and control policy and practices
  - Employee
  - Visitor
  - Resident

### 3. Prevention

Prevention of infection is a priority and is stressed through the promotion and compliance with Standard Precautions and CDC Hand Hygiene Guidelines as well as compliance with immunization recommendations.

## F. Organization Assessment

The Department of Health and Human Services Centers for Disease Control and Prevention recommend that the long-term care organization conducts a comprehensive assessment of its infection prevention and control programs and practices. It has made an assessment tool available (Version 1.3.1-September 2016)<sup>8</sup> which includes:

- Section 1: Facility Demographics
- Section 2: Infection Control Program and Infrastructure
- Section 3: Direct Observation of Facility Practices (optional)
- Section 4: Infection Control Guidelines and Other Resources

This assessment tool contains checklists, surveillance monitors, and resources to assist the IPCC in evaluating the effectiveness of the Infection Prevention and Control Plan, to identify gaps, and to develop an action plan for improvement and approval.

## G. Infection Preventionist Responsibilities

In collaboration with the Infection Prevention and Control Committee (IPCC), the Infection Preventionist coordinates activities related to:

- a. Culture Surveillance
  - Monitor, review, and track all cultures and lab data for resolution of infections, infectious trends, and potential for outbreaks including:
    - *Monthly Line Listing* of infections and cultures
    - Track new infections monthly
    - Initiate a new list monthly, eliminating resolved infections from the past month
    - Differentiate nosocomial and community acquired infections
    - Analyze potential outbreaks
    - Summarize infections monthly
    - Targeted review for *Clostridium difficile* infection (C-diff); Methicillin-Resistant Staphylococcus Aureus (MRSA); Vancomycin-Resistant Enterococci (VRE) and other Multi Drug Resistant Organisms (MDRO); Acinetobacter; Strep Pneumonia, Legionella, and others as required by specific states (Example: Candida Auris as required in New York State)
    - Case review as indicated
- b. Routine Surveillance
  - Communicate with staff during walking rounds
  - Review information sources daily:
    - *The 24-Hour Report*
    - Medical progress notes
    - Lab/Radiology reports
    - Nurses' Notes
    - Treatment/medication records
    - Assessments
    - Transfer information
  - Observe the environment by conducting purposeful walking rounds in resident care and nonresident care areas
- c. Antibiotic Drug Resistance Management
  - Identify and designate residents known to be colonized or infected (with MRSA & MDRO) for early detection and initiation of precautions to decrease the risk of transmission to other residents
  - Evaluate residents admitted with known infection or colonization of MDRO for appropriate precautions and room placement
  - Evaluate residents newly diagnosed with MDRO infection for appropriate precautions and room placement. Complete room transfer as indicated
  - Implement policies and procedures for Transmission Based Precautions for cases of MDRO
  - Adhere to cohorting guidelines: Residents colonized or infected with a MDRO cannot be placed in room with another resident who has:
    - A different multi-drug resistant organism
    - An invasive device such as a port, IV-line, track, or indwelling bladder catheter
    - A recent post-operative wound
    - Open wound(s) (including pressure ulcer)
    - Severe immunosuppression (e.g., cancer, HIV, transplant residents, etc.)
  - Provide care management for residents with MDRO according to the specific transmission-based precaution restrictions. When possible, residents are not restricted to their rooms
  - Provide cover/containment of infected area when resident is outside his/her room

- Limit the resident's activity outside his/her room if unable to contain infectious material or resident has poor hygiene
  - Observe health-care providers and interactions with MDRO colonized/infected residents to determine if infection control policies are being observed
  - Provide employee reeducation and/or disciplinary action as needed
- d. Staff Exposure Management
- Arrange for necessary testing and/or follow up in the event staff members are exposed to an infectious disease in accordance with federal regulations and CDC recommendations. Prevention and management of employee exposure is provided through:
    - Complete new employee pre-placement evaluations and screening tests
    - Coordinate employee immunizations including Hepatitis B and influenza vaccinations
    - Coordinate employee annual surveillance testing and lab work as needed
    - Maintenance of the employee medical records
    - Evaluate and coordinate care for employees who are exposed to blood borne pathogens and infectious diseases (including potential exposure to MDRO)
- e. Outreach Notification
- Notify the receiving hospital or other facility and transporting service (ambulance) when a resident with MDRO is being transferred for treatment, evaluation, or testing. Include:
    - Verbal report to transporting service and receiving facility
    - Identification of MDRO on the transfer form
- f. Antibiotic Stewardship Oversight
- Conduct a formal review for the appropriateness of any antibiotics prescribed on a regular basis
- g. Resident Safety Advisories
- Post and share resident safety advisories as indicated
- h. Resident /Family education documented (signs and symptoms to watch for, sepsis, etc.)

## H. Antibiotic Use Protocols and Systems

- a. Facility leadership reduces a resident's risk of adverse drug reactions and preserves drug efficacy in the face of rising multidrug-resistant pathogens by establishing elements of antibiotic stewardship<sup>3</sup> including:
- Leadership commitment - Necessary human, financial, and information technology resources to develop and manage the antibiotic stewardship program, improve antibiotic use and the frequency with which they are used, with a commitment to quality improvement
  - Accountability - A single leader responsible for program outcomes
  - Drug Expertise - A pharmacist leader to co-lead the antibiotic stewardship program responsible for working to improve antibiotic use
  - Monitoring and tracking - Audit and analyze facility wide antibiotic prescribing and resistance patterns
  - Reporting - Antibiotic use, resistance, and customer data integration (CDI) trends to doctors, nurses, and relevant staff
  - Documenting - Corrective action identified under the facility IPCP
  - Educating and engaging - Clinicians and department heads to improve antibiotic use and implement strategies to optimize the use of antibiotics

- Provide education and regular updates on antibiotic prescribing, antibiotic resistance, and infectious disease management that address both national and local issues
- Share facility-specific information on antibiotic use as a tool to motivate improved prescribing
- Utilize options for providing education on antibiotic use such as:
  1. Didactic presentations in formal and informal settings
  2. Messaging through posters, flyers, and newsletters
  3. Electronic communication to staff groups
  4. Review de-identified cases with providers where changes in antibiotic therapy could have been made
  5. Web-based educational resources to help staff develop educational content
  6. Pair education with corresponding interventions and measurement of outcomes to enhance educational effectiveness
- Evaluating - Coordinating with quality improvement staff to regularly review and analyze QAPI incident and antibiotic use data, including data resulting from drug regimen reviews, and acting on available data to make improvements to ensure optimum use, quality, and patient safety
- The Infection Prevention and Control Plan provides specific interventions to improve antibiotic use that can be divided into three categories (See the Company *Antibiotic Stewardship Policy*)
  - Broad
  - Pharmacy driven
  - Infection and syndrome specific
- The Infection Prevention and Control Committee:
  - Reviews and identifies facility interventions highlighted in the CDC/Institute for Healthcare Improvement “Antibiotic Stewardship Driver Diagram and Change Package”<sup>9</sup>
  - Collaborates with laboratory services staff to:
    1. Guide empiric therapy
    2. Create and interpret cumulative antibiotic resistance report (an antibiogram)
    3. Ensure that lab reports present data in a way that supports optimal antibiotic use
    4. Ensure that lab information provided is useful to stewardship efforts
    5. Ensure lab partner contracts are written accordingly
  - Coordinates with information technology staff to integrate stewardship protocols into existing workflow such as:
    1. Embedding relevant information and protocols at the point of care
    2. Implementing clinical decision support for antibiotic use
    3. Creating prompts for action to review antibiotics in key situations
    4. Facilitating the collection and reporting of antibiotic use data
  - Places performance expectations on nurses to:
    1. Assure cultures are performed before starting antibiotics
    2. Review medications as part of their routine duties
    3. Prompt discussions of antibiotic treatment, indication, and duration
  - Monitors antibiotic prescribing and prepares periodic reports for the QAPI/QAA Committee. Antibiotic stewardship measurement is critical to identify opportunities for improvement and assess the impact of improvement efforts

## **I. Influenza and pneumococcal immunizations**

- a. Influenza
  - Before offering the influenza immunization, each resident or the resident's representative receives education regarding the benefits and potential side effects of the immunization
  - Each resident is offered an influenza immunization October 1 through March 31 annually, unless the immunization is medically contraindicated, or the resident has already been immunized during this time period
  - The resident or the resident's representative has the opportunity to refuse immunization
  - The resident's medical record includes documentation that indicates, at a minimum:
    - That the resident or resident's representative was provided education regarding the benefits and potential side effects of influenza immunization
    - That the resident either received the influenza immunization or did not receive the influenza immunization due to medical contraindications or refusal
- b. Pneumococcal disease
  - Before offering the pneumococcal immunization, each resident or the resident's representative receives education regarding the benefits and potential side effects of the immunization
  - Each resident is offered a pneumococcal immunization, unless the immunization is medically contraindicated, or the resident has already been immunized
  - The resident or the resident's representative has the opportunity to refuse immunization
  - The resident's medical record includes documentation that indicates, at a minimum:
    - That the resident or resident's representative was provided education regarding the benefits and potential side effects of pneumococcal immunization
    - That the resident either received the pneumococcal immunization or did not receive the pneumococcal immunization due to medical contraindication or refusal

## **J. Infection Prevention and Control Manual**

The Infection Prevention and Control Policies and Procedures Manual is state specific. Policies and the IPCP are reviewed annually, and revisions made as needed.

## **K. Compliance with Governmental, Regulatory, and Accrediting Agencies**

Facility leadership reviews and assesses compliance with pertinent governmental, regulatory, and accreditation agencies, including but not limited to OSHA, State Specific Departments of Health, County Health Department, EPA, CDC, and FDA.

- a. State Specific - mandatory reporting of specific infectious conditions as serious event
- b. OSHA - Exposure Control Plans for TB and Blood borne Pathogens
- c. CDC and APIC - compliance with published standards for prevention of healthcare-associated infections and Antibiotic Stewardship

### **Resources:**

1. National Action Plan to Prevent Health Care-Associated Infections: Road Map to Elimination - <https://health.gov/hcq/pdfs/hai-action-plan-ltcf.pdf>
2. <https://www.cdc.gov/longtermcare/index.html>
3. <https://www.cdc.gov/getsmart/healthcare/implementation/core-elements.html>
4. <https://www.cdc.gov/infectioncontrol/guidelines/isolation/index.html>



*Guidelines for Isolation Precaution: Preventing Transmission of Infectious Agents in Healthcare Settings, 2007*

*Recommendations for LTC from the Management of Multidrug-Resistant Organisms in Healthcare Settings, 2006*

5. <http://dr.carondelet.org/dl/Clinical%20Syndromes.pdf>

6. <https://www.osha.gov/Publications/osha3186.pdf>

7. SHEA/APIC Guideline: Infection Prevention and Control in the Long Term Care Facility. HHS Public Access

8. <https://www.cdc.gov/infectioncontrol/pdf/icar/lctcf.pdf>

9. [https://www.cdc.gov/getsmart/healthcare/pdfs/Antibiotic\\_Stewardship\\_Change\\_Package\\_10\\_30\\_12.pdf](https://www.cdc.gov/getsmart/healthcare/pdfs/Antibiotic_Stewardship_Change_Package_10_30_12.pdf)

[https://www.train.org/cdctrain/training\\_plan/3697](https://www.train.org/cdctrain/training_plan/3697)

**Plan Approved:** *Document that the plan was approved for the facility*

**Plan Reviewed/Revised:** *Date the plan was reviewed*

**Revision Date:** *Date the plan was last revised*

**Policy Number:** Infection Control (IC) 1.1

**Policy Title:** Antibiotic Stewardship

**Policy Statement/Purpose:** The Antibiotic Stewardship policy establishes antibiotic use protocols and systems for monitoring antibiotic use and recording incidents in order to reduce a resident's risk of adverse drug reactions and preserve drug efficacy in the face of rising multidrug-resistant pathogens. The Antibiotic Stewardship policy is a compliance component of the Antimicrobial Stewardship Program.

**Policy Interpretation and Implementation:**

1. Centers for Disease Control and Prevention (CDC) Core Elements of an Antibiotic Stewardship Program (ASP)
  - Leadership Commitment - Dedicating necessary human, financial, and information technology resources
  - Accountability - Appointing a single leader responsible for program outcomes
  - Drug Expertise - Appointing a pharmacist leader responsible for working to improve antibiotic use
  - Action - Formal review procedure for the appropriateness of any antibiotics prescribed after 48 hours from the initial orders
  - Tracking - Monitoring antibiotic prescribing and resistance patterns
  - Reporting - Regular reporting information on antibiotic use and resistance to doctors, nurses, and relevant staff
  - Education - Educating clinicians about resistance and optimal prescribing
2. Leadership Commitment - The Company:
  - Supports efforts to improve and monitor antibiotic use including:
    - Stewardship-related duties in job descriptions and annual performance reviews
    - Sufficient time for staff from relevant departments to contribute to stewardship activities
  - Supports training and education ensuring participation from the many groups that can support stewardship activities
  - Provides financial support to support the capacity and impact of a stewardship program
3. Accountability and Drug Expertise - The Company:
  - Identifies a stewardship program leader responsible for program outcomes
  - Identifies a pharmacy leader to co-lead the antibiotic stewardship program
4. Formal training in infectious diseases and/or antibiotic stewardship - The Company:
  - Ensures staff expertise to develop and manage the antibiotic stewardship program, improve antibiotic use, and the frequency with which they are used, with a commitment to quality improvement
  - The pharmacy and therapeutics committee may expand its role to assess and improve antibiotic use
5. Key Support - The Company:
  - Engages clinicians and department heads in efforts to:
    - Improve antibiotic use

- Coordinate facility-wide monitoring and prevention of healthcare-associated infections
  - Audit, analyze, and report data
  - Monitor and report resistance and customer data integration (CDI) trends
  - Educate staff on the importance of appropriate antibiotic use and implementing strategies to optimize the use of antibiotics
  - Coordinates with quality improvement staff to optimize antibiotic use to ensure quality and patient safety
  - Collaborates with laboratory services staff to guide empiric therapy, creating and interpreting a cumulative antibiotic resistance report (an antibiogram), and ensuring that lab reports present data in a way that supports optimal antibiotic use. Information provided should be useful to stewardship efforts and partner contracts should be written accordingly
  - Ensures Information technology staff integrates stewardship protocols into existing workflow such as embedding relevant information and protocols at the point of care, implementing clinical decision support for antibiotic use, creating prompts for action to review antibiotics in key situations, and facilitating the collection and reporting of antibiotic use data
  - Places performance expectations on nurses to assure cultures are performed before starting antibiotics, review medications as part of their routine duties, and prompt discussions of antibiotic treatment, indication, and duration
6. Policies and Interventions to Improve Antibiotic Use - The Company:
- Implements written policies and procedures whose purpose is to improve antibiotic use
  - Utilizes specific interventions that can be divided into three categories: broad, pharmacy driven, and infection and syndrome specific
    - Broad interventions
      - i. Antibiotic “Time outs”. Antibiotics are often started empirically while diagnostic information is being obtained. An antibiotic “time out”, 48 hours after antibiotics are initiated, prompts a reassessment of the continuing need and choice of antibiotics when the clinical picture is clearer and more diagnostic information (including culture results) is available. The “time out” answers key questions:
        - Does this patient have an infection that will respond to antibiotics?
        - Is the patient on the right antibiotic(s), dose, and route of administration?
        - Can a more targeted antibiotic be used to treat the infection (de-escalate)?
        - How long should the patient receive the antibiotic(s)?
      - ii. Prior authorization - Ensure that antibiotic use is reviewed with an antibiotic expert before therapy is initiated. This intervention requires the availability of expertise in antibiotic use and infectious diseases and authorization needs to be completed in a timely manner
      - iii. Prospective audit and feedback - Audits are conducted by staff other than the treating team. Audit and feedback require the availability of expertise and may engage external expert advice on case reviews
    - Pharmacy-driven Interventions
      - i. Automatic changes from intravenous to oral antibiotic therapy in appropriate situations and for antibiotics with good absorption which improves patient safety by reducing the need for intravenous access
      - ii. Dose adjustments in cases of organ dysfunction such as renal adjustment
      - iii. Dose optimization including dose adjustments based on therapeutic drug monitoring and optimizing therapy for highly drug-resistant bacteria

- iv. Automatic alerts where therapy might be unnecessarily duplicative including simultaneous use of multiple agents with overlapping spectra
- v. Time-sensitive automatic stop orders for specified antibiotic prescriptions, especially antibiotics administered for prophylaxis
- vi. Detection and prevention of antibiotic-related drug-drug interactions
- Infection and syndrome specific interventions
  - i. Interventions are intended to improve prescribing for specific syndromes but should not interfere with prompt and effective treatment for severe infection or sepsis
  - ii. Community-acquired pneumonia. Interventions for community-acquired pneumonia should focus on correcting recognized problems in therapy, including improving diagnostic accuracy, tailoring of therapy to culture results, and optimizing the duration of treatment to ensure compliance with guidelines
  - iii. Urinary tract infections (UTIs). Antibiotics may actually be prescribed for asymptomatic bacteriuria and not infections. Interventions for UTIs should focus on avoiding unnecessary urine cultures and treatment of residents who are asymptomatic and ensuring that residents receive appropriate therapy based on local susceptibilities and for the recommended duration
  - iv. Skin and soft tissue infections. Interventions for skin and soft tissue infections should focus on ensuring residents do not get antibiotics with overly broad spectra and ensuring the correct duration of treatment
  - v. Empiric coverage of methicillin-resistant *Staphylococcus aureus* (MRSA) infections. In many cases, therapy for MRSA can be stopped if the patient does not have a MRSA infection or changed to a beta-lactam if the cause is methicillin-sensitive *Staphylococcus aureus*
  - vi. *Clostridium difficile* infections. Treatment guidelines for CDI urge providers to stop unnecessary antibiotics in all residents diagnosed with CDI. Reviewing antibiotics in residents with new diagnoses of CDI can identify opportunities to stop unnecessary antibiotics which improve the clinical response of CDI to treatment and reduces the risk of recurrence
  - vii. Treatment of culture proven invasive infections. Invasive infections, such as blood stream infections, present good opportunities for interventions to improve antibiotic use because they are easily identified from microbiology results. The culture and susceptibility testing provide information needed to tailor antibiotics or discontinue them due to growth of contaminants
- Implements policies that apply in all situations to support optimal antibiotic prescribing, including:
  - Specifying the dose, duration, and indication for all courses of antibiotics so they are readily identifiable
  - Making this information accessible helps ensure that antibiotics are modified as needed and/or discontinued in a timely manner
- Develops and implements facility-specific treatment recommendations that:
  - Are based on national guidelines and local susceptibilities
  - Provide formulary options to optimize antibiotic selection and duration for common indications for antibiotic use like community-acquired pneumonia and urinary tract infection

- Chooses and prioritizes interventions based on the needs of the facility as well as the availability of resources and content expertise as defined by measures of overall use and other tracking and reporting metrics
    - Review potential interventions that are highlighted in the CDC/Institute for Healthcare Improvement “Antibiotic Stewardship Driver Diagram and Change Package” found at: [https://www.cdc.gov/getsmart/healthcare/pdfs/Antibiotic\\_Stewardship\\_Change\\_Package\\_10\\_30\\_12.pdf](https://www.cdc.gov/getsmart/healthcare/pdfs/Antibiotic_Stewardship_Change_Package_10_30_12.pdf)
    - Assessments of the use of antibiotics as mentioned in the “Process Measures” section of this document can be a starting point for selecting specific interventions
7. Tracking and Reporting Antibiotic Use and Outcomes - The Company:
- Monitors antibiotic prescribing - Antibiotic stewardship measurement is critical to identify opportunities for improvement and assess the impact of improvement efforts. Measurement may involve evaluation of both process and outcome
    - Antibiotic Use Process Measures
      - i. Address whether policies and guidelines are being followed as expected and, if conducted over time, process reviews assess the impact of efforts to improve use
      - ii. Assess the use of antibiotics or the treatment of infections to determine the quality of antibiotic use including determining if prescribers:
        - Have accurately applied diagnostic criteria for infections
        - Prescribed recommended agents for a particular indication
        - Documented the indication and planned duration of antibiotic therapy
        - Obtained cultures and relevant tests prior to treatment
        - Modified antibiotic choices appropriately to microbiological findings
      - iii. Standardized tools such as those for drug use evaluations or antibiotic audit forms like those developed by CDC can assist in these reviews
      - iv. Assess if antibiotics are being given in a timely manner and assess compliance with facility antibiotic use policies such as the documentation of dose, duration, and indication, or the performance of reassessments of therapy (antibiotic time outs)
        - These reviews can be done retrospectively on charts which could be identified based on pharmacy records or discharge diagnoses
        - For interventions that provide feedback to clinicians, it is also important to document interventions and track responses to feedback such as acceptance
    - Antibiotic Use Measures
      - i. Measure antibiotic use as either days of therapy (DOT) or defined daily dose (DDD)
      - ii. DOT is an aggregate sum of days for which any amount of a specific antimicrobial agent is administered or dispensed to a particular patient (numerator) divided by a standardized denominator (e.g., patient days, days present, or admissions). If a patient is receiving two antibiotics for 10 days, the DOT numerator would be 20
      - iii. DDD estimates antibiotic use in facilities by aggregating the total number of grams of each antibiotic purchased, dispensed, or administered during a period of interest divided by the World Health Organization-assigned DDD. DDDs are often available in facilities with pharmacy systems that cannot calculate DOTs

- Compared to DOT, DDD estimates are not appropriate for children, are problematic for residents with reduced drug excretion such as renal impairment, and are less accurate for between-facility benchmarking
        - DDDs can be a useful measure of progress when tracked using a consistent methodology over time
      - iv. As part of the National Healthcare Safety Network (NHSN), CDC has developed an Antibiotic Use (AU) Option that automatically collects and reports monthly DOT data that can be analyzed in aggregate and by specific agents and patient care locations
        - The AU module is available to facilities that have information system capability to submit electronic medication administration records (eMAR) and/or bar-coding medication records (BCMA) using an HL7 standardized clinical document architecture
        - To participate in the AU option, facility personnel can work with their information technology staff and potentially with their pharmacy information software providers to configure their system to enable the generation of standard formatted file(s) to be imported into NHSN
    - Outcome measures
      - i. Address whether interventions improved antibiotic use and patient outcomes
      - ii. Track clinical outcomes that measure the impact of interventions to improve antibiotic use:
        - Reducing antibiotic resistance
        - Pathogens recovered from residents after admission (when residents are under the influence of the stewardship interventions)
        - Resistance at the patient level (i.e. what percent of residents develop resistant super-infections)
        - Drug cost savings
8. Education - The Company:
  - Provides regular updates on antibiotic prescribing, antibiotic resistance, and infectious disease management that address both national and local issues
  - Shares facility-specific information on antibiotic use as a tool to motivate improved prescribing
  - Utilizes options for providing education on antibiotic use such as:
    - Didactic presentations in formal and informal settings
    - Messaging through posters, flyers, and newsletters
    - Electronic communication to staff groups
  - Reviews de-identified cases with providers where changes in antibiotic therapy could have been made
  - Offers a variety of web-based educational resources to help staff develop educational content
  - Pairs education with corresponding interventions and measurement of outcomes to enhance educational effectiveness
9. Emerging Developments in Antibiotic Stewardship
  - Strategies for improving antibiotic use and evidence for best practices in antibiotic stewardship are evolving

- The integration of IT into the clinical data presentation and decision-making for antibiotic use will expand with increased uptake and capabilities of electronic health records
- The role of rapid diagnostic laboratory testing is evolving and may become important additions to stewardship efforts
- The use of diagnostic tools on patient care needs further research to determine how they can best be applied to stewardship efforts
- Better characterization of the impact of antibiotic stewardship interventions on resistance by evaluating which interventions or antibiotic targets yield the greatest benefit in combating antibiotic resistance
- CDC's NHSN launch of the Antimicrobial Resistance (AR) Option facilitates evaluation of antimicrobial resistance data using a standardized approach

## **APPENDIX**

### **11. INFECTION PREVENTION AND CONTROL (IC)**

#### **TOOLS AND FORMS**



**Appendix IC 1.1**  
**ANTIBIOTIC STEWARDSHIP CHECKLIST AND AUDIT**

**PURPOSE:** Identify compliance to implementation of The Company Antibiotic Stewardship policy

**PROCESS:** Identify the degree of compliance for each major element using the scale 0-3:

- 0. Not in compliance
- 1. Minimally in compliance (less than 50%)
- 2. Partially in compliance (Greater than 50% but less than 100%)
- 3. Full compliance
- N/A. Not Applicable

% compliance is: aggregate compliance score/ Total possible compliance score

Compliance Element	Score	Comment
<b>Leadership Commitment</b>		
1. Supports efforts to improve and monitor antibiotic use including:		
o Stewardship-related duties in job descriptions and annual performance reviews;		
o Sufficient time for staff from relevant departments to contribute to stewardship activities.		
o Supports training and education ensuring participation from the many groups that can support stewardship activities.		
o Provides financial support to support the capacity and impact of a stewardship program.		
2. Accountability and Drug Expertise		
o Identifies a stewardship program leader responsible for program outcomes.		
o Identifies a pharmacy leader to co-lead the antibiotic stewardship program.		
3. Formal training in infectious diseases and/or antibiotic stewardship		
o Ensures staff expertise to develop and manage the antibiotic stewardship program, improve antibiotic use and the frequency with which they are used, with a commitment to quality improvement.		
o The pharmacy and therapeutics committee may expand its role to assess and improve antibiotic use.		
<b>Key Support:</b>		
4. Engages clinicians and department heads in efforts to:		
a. Improve antibiotic use		

b. Coordinate facility-wide monitoring and prevention of healthcare-associated infections		
c. Audit, analyze, and report data		
d. Monitor and report resistance and customer data integration (CDI) trends		
e. Educate staff on the importance of appropriate antibiotic use, and implementing strategies to optimize the use of antibiotics		
5. Coordinates with quality improvement staff to optimize antibiotic use to ensure quality and patient safety		
6. Collaborates with laboratory services staff to guide empiric therapy, creating and interpreting a cumulative antibiotic resistance report (an antibiogram), and ensuring that lab reports present data in a way that supports optimal antibiotic use. Information provided should be useful to stewardship efforts and partner contracts should be written accordingly		
7. Ensures Information technology staff integrates stewardship protocols into existing workflow such as embedding relevant information and protocols at the point of care, implementing clinical decision support for antibiotic use, creating prompts for action to review antibiotics in key situations and, facilitating the collection and reporting of antibiotic use data		
8. Places performance expectations on nurses to assure cultures are performed before starting antibiotics, review medications as part of their routine duties, and prompt discussions of antibiotic treatment, indication, and duration		
<b>Policies and Interventions to Improve Antibiotic Use</b>		
9. Implements written policies and procedures whose purpose is to improve antibiotic use		
10. Broad interventions		
<ul style="list-style-type: none"> <li>○ An antibiotic “time out”, 48 hours after antibiotics are initiated, prompts a reassessment of the continuing need and choice of antibiotics when the clinical picture is clearer and more diagnostic information (including culture results) is available. The “time out” answers key questions: <ul style="list-style-type: none"> <li>✓ Does this patient have an infection that will respond to antibiotics?</li> <li>✓ Is the patient on the right antibiotic(s), dose, and route of administration?</li> <li>✓ Can a more targeted antibiotic be used to treat the infection (de-escalate)?</li> <li>✓ How long should the patient receive the antibiotic(s)?</li> </ul> </li> </ul>		
<ul style="list-style-type: none"> <li>○ Prior authorization- Ensure that antibiotic use is reviewed with an antibiotic expert before therapy is initiated. This intervention requires the availability of expertise in antibiotic use and infectious diseases and authorization needs to be completed in a timely manner.</li> </ul>		

<ul style="list-style-type: none"> <li>○ Prospective audit and feedback- Audits are conducted by staff other than the treating team. Audit and feedback requires the availability of expertise and may engage external expert advice on case reviews.</li> </ul>	
<b>11. Pharmacy-driven Interventions</b>	
<ul style="list-style-type: none"> <li>○ Automatic changes from intravenous to oral antibiotic therapy in appropriate situations and for antibiotics with good absorption which improves patient safety by reducing the need for intravenous access</li> </ul>	
<ul style="list-style-type: none"> <li>○ Dose adjustments in cases of organ dysfunction such as renal adjustment</li> </ul>	
<ul style="list-style-type: none"> <li>○ Dose optimization including dose adjustments based on therapeutic drug monitoring and optimizing therapy for highly drug-resistant bacteria</li> </ul>	
<ul style="list-style-type: none"> <li>○ Automatic alerts where therapy might be unnecessarily duplicative including simultaneous use of multiple agents with overlapping spectra</li> </ul>	
<ul style="list-style-type: none"> <li>○ Time-sensitive automatic stop orders for specified antibiotic prescriptions, especially antibiotics administered for prophylaxis</li> </ul>	
<ul style="list-style-type: none"> <li>○ Detection and prevention of antibiotic-related drug-drug interactions</li> </ul>	
<b>12. Infection and syndrome specific interventions</b>	
<ul style="list-style-type: none"> <li>○ Interventions are intended to improve prescribing for specific syndromes but should not interfere with prompt and effective treatment for severe infection or sepsis</li> </ul>	
<ul style="list-style-type: none"> <li>○ Community-acquired pneumonia. Interventions for community-acquired pneumonia should focus on correcting recognized problems in therapy, including: improving diagnostic accuracy, tailoring of therapy to culture results and optimizing the duration of treatment to ensure compliance with guidelines</li> </ul>	
<ul style="list-style-type: none"> <li>○ Urinary tract infections (UTIs). Antibiotics may actually be prescribed for asymptomatic bacteriuria and not infections. Interventions for UTIs should focus on avoiding unnecessary urine cultures and treatment of residents who are asymptomatic and ensuring that residents receive appropriate therapy based on local susceptibilities and for the recommended duration</li> </ul>	
<ul style="list-style-type: none"> <li>○ Skin and soft tissue infections. Interventions for skin and soft tissue infections should focus on ensuring residents do not get antibiotics with overly broad spectra and ensuring the correct duration of treatment</li> </ul>	
<ul style="list-style-type: none"> <li>○ Empiric coverage of methicillin-resistant Staphylococcus aureus (MRSA) infections. In many cases, therapy for MRSA can be stopped if the patient does not have an MRSA infection or changed to a beta-lactam if the cause is methicillin-sensitive Staphylococcus aureus</li> </ul>	

<ul style="list-style-type: none"> <li>○ Clostridium difficile infections. Treatment guidelines for CDI urge providers to stop unnecessary antibiotics in all residents diagnosed with CDI. Reviewing antibiotics in residents with new diagnoses of CDI can identify opportunities to stop unnecessary antibiotics which improve the clinical response of CDI to treatment and reduces the risk of recurrence</li> </ul>		
<ul style="list-style-type: none"> <li>○ Treatment of culture proven invasive infections. Invasive infections, such as blood stream infections, present good opportunities for interventions to improve antibiotic use because they are easily identified from microbiology results. The culture and susceptibility testing provide information needed to tailor antibiotics or discontinue them due to growth of contaminants</li> </ul>		
13. Implements policies that apply in all situations to support optimal antibiotic prescribing, including:		
<ul style="list-style-type: none"> <li>○ Specify the dose, duration and indication for all courses of antibiotics so they are readily identifiable</li> </ul>		
<ul style="list-style-type: none"> <li>○ Making this information accessible helps ensure that antibiotics are modified as needed and/or discontinued in a timely manner</li> </ul>		
14. Develops and implements facility-specific treatment recommendations that:		
<ul style="list-style-type: none"> <li>○ Are based on national guidelines and local susceptibilities</li> </ul>		
<ul style="list-style-type: none"> <li>○ Provide formulary options to optimize antibiotic selection and duration for common indications for antibiotic use like community-acquired pneumonia and urinary tract infection</li> </ul>		
15. Chooses and prioritizes interventions based on the needs of the facility as well as the availability of resources and content expertise as defined by measures of overall use and other tracking and reporting metrics		
<b>Tracking and Reporting Antibiotic Use and Outcomes</b>		
16. Monitors antibiotic prescribing- Antibiotic stewardship measurement is critical to identify opportunities for improvement and assess the impact of improvement efforts.		
17. Antibiotic Use Process measures		
<ul style="list-style-type: none"> <li>○ Address whether policies and guidelines are being followed as expected and, if conducted over time, process reviews assess the impact of efforts to improve use</li> </ul>		
<ul style="list-style-type: none"> <li>○ Assess the use of antibiotics or the treatment of infections to determine the quality of antibiotic use including determining if prescribers: <ul style="list-style-type: none"> <li>✓ Have accurately applied diagnostic criteria for infections</li> <li>✓ Prescribed recommended agents for a particular indication</li> <li>✓ Documented the indication and planned duration of antibiotic therapy</li> <li>✓ Obtained cultures and relevant tests prior to treatment</li> <li>✓ Modified antibiotic choices appropriately to microbiological findings</li> </ul> </li> </ul>		

○ Assess if antibiotics are being given in a timely manner and assess compliance with facility antibiotic use policies such as the documentation of dose, duration and indication or the performance of reassessments of therapy (antibiotic time outs).		
○ Antibiotic Use Measures		
✓ Measure antibiotic use as either days of therapy (DOT) or defined daily dose (DDD).		
<b>18. Antibiotic Use Outcome measures</b>		
○ Track clinical outcomes that measure the impact of interventions to improve antibiotic use:		
✓ Reducing antibiotic resistance		
✓ Pathogens recovered from residents after admission (when residents are under the influence of the stewardship interventions)		
✓ Resistance at the patient level (i.e. what percent of residents develop resistant super-infections)		
✓ Drug cost savings		
<b>Education</b>		
19. Provides regular updates on antibiotic prescribing, antibiotic resistance, and infectious disease management that address both national and local issues		
21. Shares facility-specific information on antibiotic use as a tool to motivate improved prescribing		
22. Utilizes options for providing education on antibiotic use such as:		
○ Didactic presentations in formal and informal settings		
○ Messaging through posters and flyers and newsletters		
○ Electronic communication to staff groups		
23. Reviews de-identified cases with providers where changes in antibiotic therapy could have been made		
24. Offers a variety of web-based educational resources to help staff develop education content		
25. Pairs education with corresponding interventions and measurement of outcomes to enhance educational effectiveness		
<b>Total score actual</b>		
<b>Total score potential (25 elements x 3= 75)</b>		
<b>% Compliance</b>		

**Date of Audit:**

**Reviewers (s)**

**Analysis:**

**Opportunities for Improvement:**

**Next steps:**

## **12. CLINICAL PRACTICES (CL)**

## 12. CLINICAL PRACTICES (CL)

Med-Net's mission focuses on Corporate Compliance and Ethics with supporting policies in fraud, waste, abuse, privacy, quality, data integrity, and workforce management. As such, clinical policies and procedures are referred to Med-Pass. Med-Net customers receive a special discount to the Med-Pass policies. The Med-Pass policies can be accessed at <http://www.med-pass.com/> and using the discount code: **MedNet10**.

\*Please note that the discount is not on every product, but a range of the Med-Pass Heaton policy and procedure manuals.

## 13. STATE SPECIFIC REQUIREMENTS



### 13. STATE SPECIFIC REQUIREMENTS

STATE	Function	STATE SPECIFIC REQUIREMENTS
Dept. of Health websites		<a href="#">Listing of State Department of Health websites</a>
Dept. of Labor websites		<a href="#">Listing of State Department of Labor websites</a>
A. State Specific Deficit Reduction Act	Fiscal Integrity	<a href="#">Deficit Reduction Act of 2005, 42 U.S.C. Section 1396a(a)(68).</a>
B. State Specific Medical Records Storage and Retention Requirements	Business Practices P 2.1 A Medical Records Retention	<a href="#">Medical Records Retention Requirements</a>
C. State specific Consumer Protection and Exclusion websites	Workforce Management	<a href="#">State specific consumer protection and exclusion websites</a>
D. State Specific Rights	Workforce Management	<a href="https://www.consumer.ftc.gov/articles/pdf-0096-fair-credit-reporting-act.pdf">https://www.consumer.ftc.gov/articles/pdf-0096-fair-credit-reporting-act.pdf</a> *Contact the state or local consumer protection agency or the state Attorney General
E. State Specific Licensing/debarment Websites	Debarment	<a href="#">Reference: State Consumer Protection and Exclusion websites</a>
F. State Specific Workplace Sexual Harassment Prevention Training	Workforce Management	<a href="#">Workplace Sexual Harassment Prevention Training Requirements</a>
<b><u>NEW JERSEY REQUIREMENTS</u></b>		
New Jersey	Workforce Management	Board of Nursing Mandatory Reporting Guidelines

New Jersey	Workforce Management	Peggy's Law
New Jersey	Workforce Management	<a href="#">Health Care Professional Responsibility and Reporting Enhancement Act</a> (Nurse Cullen Law)
New Jersey	Safety	Patient Safety Act <ul style="list-style-type: none"> <li>• Assessment Form</li> </ul>
New Jersey	Safety	Workplace Violence Prevention NJ Stat 26:2H-5.20 and NJAC 8:43E-11.3 (see <a href="#">WM 2.8 A</a> )
New Jersey	Safety	Safe Patient Handling Policy
New Jersey	Workforce Management	The New Jersey Opportunity to Compete Act “Ban the Box” law prohibits criminal background checks until after conditional offer of employment.
New Jersey	Workforce Management	Division of Consumer Affairs Licensure Databases: <a href="https://newjersey.mylicense.com/verification_4_6/">https://newjersey.mylicense.com/verification_4_6/</a>  Certified Nurse Aide and Personal Care Assistant Registry: <a href="http://www.cnatips.com/registry/nurse-aide-nj.php">http://www.cnatips.com/registry/nurse-aide-nj.php</a> Department of Health and Senior Services Licensure Databases: <a href="http://www.state.nj.us/health/healthfacilities/search.shtml">http://www.state.nj.us/health/healthfacilities/search.shtml</a>
<b><u>NEW YORK REQUIREMENTS</u></b>		
New York	Workforce Management	Harassment Policy
New York		<a href="#">OMIG</a>

## State Department of Health Websites

Alabama Department of Public Health, <http://www.alabamapublichealth.gov/>  
Alaska Department of Health and Human Services, <http://dhss.alaska.gov/Pages/default.aspx>  
Arizona Department of Health Services, <https://www.azdhs.gov/>  
Arkansas Department of Health, <https://www.healthy.arkansas.gov/>  
California Department of Health, <https://www.cdph.ca.gov/>  
Colorado Department of Public Health and Environment, <https://www.colorado.gov/cdphe>  
Connecticut Department of Public Health, <https://portal.ct.gov/dph>  
Delaware Division of Public Health, <https://dhss.delaware.gov/dhss/dph/index.html>  
Florida Department of Health, <http://www.floridahealth.gov/>  
Georgia Department of Public Health, <https://dph.georgia.gov/>  
Hawaii State Department of Health, <http://health.hawaii.gov/>  
Idaho Department of Health and Welfare, <https://healthandwelfare.idaho.gov/>  
Illinois Department of Public Health, <http://www.dph.illinois.gov/>  
Indiana State Department of Health, <https://www.in.gov/isdh/>  
Iowa Department of Public Health, <http://idph.iowa.gov/>  
Kansas Department of Health and Environment, <http://www.kdheks.gov/>  
Kentucky Cabinet for Health and Family Services, <https://chfs.ky.gov/agencies/dph/Pages/default.aspx>  
Louisiana Department of Health, <http://ldh.la.gov/>  
Maine Department of Health and Human Services, <https://www.maine.gov/dhhs/>  
Maryland Department of Health <https://health.maryland.gov/pages/home.aspx>  
Massachusetts Department of Public Health, <https://www.mass.gov/orgs/departement-of-public-health>  
Michigan Department of Health and Human Services, <https://www.michigan.gov/mdhhs/>  
Minnesota Department of Health, <https://www.health.state.mn.us/>  
Mississippi State Department of Health, <https://msdh.ms.gov/>  
Missouri Department of Health & Senior Services, <https://health.mo.gov/>  
Montana Department of Public Health and Human Services, <https://dphhs.mt.gov/>  
Nebraska Department of Health and Human Services, <http://dhhs.ne.gov/Pages/default.aspx>  
Nevada Department of Health and Human Services, <http://dhhs.nv.gov/>  
New Hampshire Department of Health and Human Services, <https://www.dhhs.nh.gov/>  
New Jersey Department of Health, <https://www.nj.gov/health/>  
New Mexico Department of Health, <https://nmhealth.org/>  
New York Department of Health, <https://www.health.ny.gov/>  
North Carolina Department of Health and Human Services, <https://www.ncdhhs.gov/>  
North Dakota Department of Health, <https://www.ndhealth.gov/>  
Ohio Department of Health, <https://odh.ohio.gov/wps/portal/gov/odh/home>  
Oklahoma Department of Health, <https://www.ok.gov/health/>  
Oregon Health Authority, <https://www.ok.gov/health/>  
Pennsylvania Department of Health, <https://www.health.pa.gov/Pages/default.aspx>  
Rhode Island Department of Health, <http://www.health.ri.gov/>  
South Carolina Department of Department of Health and Environmental Control, <https://www.scdhec.gov/>  
South Dakota Department of Health, <https://doh.sd.gov/>

Tennessee Department of Health, <https://www.tn.gov/health.html>  
Texas Department of State Health Services, <https://www.dshs.texas.gov/>  
Utah Department of Health, <https://health.utah.gov/>  
Vermont Department of Health, <http://www.healthvermont.gov/>  
Virginia Department of Health, <http://www.vdh.virginia.gov/>  
Washington State Department of Health, <https://www.doh.wa.gov/>  
West Virginia Department of Health & Human Resources, <https://dhhr.wv.gov/Pages/default.aspx>  
Wisconsin Department of Health Services, <https://www.dhs.wisconsin.gov/>  
Wyoming Department of Health, <https://health.wyo.gov/>

### **State Department of Labor Websites**

Alabama Department of Labor, [www.labor.alabama.gov/](http://www.labor.alabama.gov/)  
Alaska Department of Labor and Workforce Development, [www.labor.state.AK.us](http://www.labor.state.AK.us)  
Industrial Commission of Arizona, [www.azica.gov](http://www.azica.gov)  
Arkansas Department of Labor, <http://www.labor.arkansas.gov>  
California Department of Industrial Relations, [www.dir.ca.gov/Contactus.html](http://www.dir.ca.gov/Contactus.html)  
Colorado Department of Labor and Employment, [www.coloradolaborlaw.gov](http://www.coloradolaborlaw.gov)  
Connecticut Department of Labor, [www.CT.gov/dol](http://www.CT.gov/dol)  
Delaware Works, [www.Delawareworks.com](http://www.Delawareworks.com)  
Florida Department of Economic Opportunity, [www.floridajobs.org](http://www.floridajobs.org)  
Georgia Department of Labor, [www.dol.state.GA.us](http://www.dol.state.GA.us)  
Hawaii Department of Labor and Industrial Relations, [www.labor.hawaii.gov](http://www.labor.hawaii.gov)  
Idaho Department of Labor, [www.labor.Idaho.gov](http://www.labor.Idaho.gov)  
Illinois Department of Labor, [www.state.IL.us/agency/idol](http://www.state.IL.us/agency/idol)  
Indiana Department of Labor, [www.in.gov/dol](http://www.in.gov/dol)  
Iowa Division of Labor, [www.iowadivisionoflabor.gov](http://www.iowadivisionoflabor.gov)  
Kansas Department of Labor, [www.dol.KS.gov](http://www.dol.KS.gov)  
Kentucky Labor Cabinet, [www.labor.KY.gov](http://www.labor.KY.gov)  
Louisiana Department of Labor, <http://www.LAworks.net> or [www.ldol.state.la.us/](http://www.ldol.state.la.us/)  
Maine Department of Labor, [www.maine.gov/labor](http://www.maine.gov/labor)  
Maryland Department of Labor, Licensing, & Regulation [www.dllr.state.MD.us](http://www.dllr.state.MD.us)  
Massachusetts Executive Office of Labor and Workforce Development, [www.Mass.gov/eolwd](http://www.Mass.gov/eolwd) or  
[www.state.ma.us/](http://www.state.ma.us/)  
Michigan Department of Licensing and Regulatory Affairs, [www.Michigan.gov/lara](http://www.Michigan.gov/lara)  
Minnesota Department of Labor and Industry, [www.dli.mn.gov](http://www.dli.mn.gov)  
Mississippi Department of Employment Security, [www.mdes.MS.gov](http://www.mdes.MS.gov)  
Missouri Department of Labor & Industrial Relations, [www.labor.mo.gov](http://www.labor.mo.gov)  
Montana Department of Labor & Industry, [www.dli.MT.gov](http://www.dli.MT.gov)  
Nebraska Department of Labor, [www.dol.Nebraska.gov](http://www.dol.Nebraska.gov)  
Nevada Department of Business & Industry Office of the Labor Commissioner, [labor.nv.gov](http://labor.nv.gov)  
New Hampshire Department of Labor, [www.nh.gov/labor](http://www.nh.gov/labor)

New Jersey Department of Labor & Workforce Development, [lwd.dol.state.nj.us/labor/index.html](http://lwd.dol.state.nj.us/labor/index.html)  
New Mexico Department of Workforce Solutions, [www.dws.state.nm.us](http://www.dws.state.nm.us)  
New York Department of Labor, [www.labor.ny.gov](http://www.labor.ny.gov)  
North Carolina Department of Labor, [www.labor.nc.gov](http://www.labor.nc.gov)  
North Dakota Department of Labor and Human Rights, [www.nd.gov/labor](http://www.nd.gov/labor)  
Ohio Department of Commerce, [www.com.state.OH.us](http://www.com.state.OH.us)  
Oklahoma Department of Labor, [www.labor.ok.gov](http://www.labor.ok.gov)  
Oregon Bureau of Labor and Industries, [www.Oregon.gov/boli](http://www.Oregon.gov/boli)  
Pennsylvania Department of Labor & Industry, [www.dli.state.PA.us](http://www.dli.state.PA.us)  
Rhode Island Department of Labor and Training, [www.dlt.ri.gov](http://www.dlt.ri.gov)  
South Carolina Department of Labor, Licensing, and Regulation [www.llr.state.SC.us](http://www.llr.state.SC.us)  
South Dakota Department of Labor & Regulation, [www.dlr.sd.gov](http://www.dlr.sd.gov)  
Tennessee Department of Labor & Workforce Development, [www.tn.gov/workforce](http://www.tn.gov/workforce)  
Texas Workforce Commission, [www.twc.state.TX.us](http://www.twc.state.TX.us)  
Utah Labor Commission, [www.Laborcommission.Utah.gov](http://www.Laborcommission.Utah.gov)  
Vermont Department of Labor, [www.labor.vermont.gov](http://www.labor.vermont.gov)  
Virginia Department of Labor and Industry, [www.doli.Virginia.gov](http://www.doli.Virginia.gov)  
Washington State Department of Labor & Industries, [www.lni.WA.gov](http://www.lni.WA.gov)  
West Virginia Division of Labor, <https://labor.wv.gov/Pages/default.aspx>  
Wisconsin Department of Workforce Development, [dwd.wisconsin.gov](http://dwd.wisconsin.gov)  
Wyoming Department of Workforce Services, <http://www.wyomingworkforce.org/>

#### **[A. Deficit Reduction Act of 2005, 42 U.S.C. Section 1396a\(a\)\(68\)](#)**

\*See list of [State Department of Health website links](#) to search for state specific requirements regarding this regulation.

#### **B. SR BP 2.1 A Medical Records Retention Requirements**

\*See list of [State Department of Health website links](#), your state laws or code, or your State Nursing Home Licensing requirements to search state specific Medical Records Retention Requirements.

A general retention period must be chosen for medical records of adult residents that do not fall within specific exceptions. Records known to be subject to an actual or potential claim or investigation are to be retained indefinitely, or until the matter is known to be finally resolved. Employee health records must be retained according to specific state and federal retention and statute of limitations requirements. Requests to review or copy employee medical records must be responded to in strict compliance with applicable statutes and regulations.

\*Some additional links that may be helpful:

<https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=2&cad=rja&uact=8&ved=2ahUKEwjDzpj6zoPjAhXKx1kKHZqHCSOQFjABegQIE-BAH&url=http%3A%2F%2Fwww.healthinfoweb.org%2Fcomparative-analysis%2Fmedical-record-retention-required-health-care-providers-50-state-comparison&usg=AOvVaw13Gv8XJ1eh-LpRz8uTxF-tn>

<https://www.healthit.gov/sites/default/files/appa7-1.pdf>

## C. STATE CONSUMER PROTECTION AND EXCLUSION WEBSITES

1. **Arkansas** Department of Human Services – <https://ardhs.sharepointsite.net/ExcludedProvidersList/Forms/AllItems.aspx>
2. **Arkansas** Department of the Inspector General – <http://omig.arkansas.gov/providers/excluded-providers>
3. **Connecticut** Department of Social Services Administrative Actions List – <http://www.ct.gov/dss/cwp/view.asp?a=2349&q=310706>
4. **Connecticut** Department of Public Health Regulatory Action Report – <http://www.ct.gov/dph/cwp/view.asp?a=4061&q=387280>
5. **Florida** Department of Management Services – [http://www.dms.myflorida.com/business\\_operations/state\\_purchasing/vendor\\_information/convicted\\_suspended\\_discriminatory\\_complaints\\_vendor\\_lists](http://www.dms.myflorida.com/business_operations/state_purchasing/vendor_information/convicted_suspended_discriminatory_complaints_vendor_lists)
6. **Florida** Agency for Health Care Administration – Office of Medicaid Program Integrity – [http://ahca.myflorida.com/Executive/Inspector\\_General/medicaid.shtml](http://ahca.myflorida.com/Executive/Inspector_General/medicaid.shtml)
7. **Kansas** Department of Health and Human Services – Medicaid Program Integrity – [http://www.kdheks.gov/hcf/medicaid\\_program\\_integrity/index.htm](http://www.kdheks.gov/hcf/medicaid_program_integrity/index.htm)
8. **Kansas** Termination Provider List – [http://www.kdheks.gov/hcf/medicaid\\_program\\_integrity/download/Termination\\_List.pdf](http://www.kdheks.gov/hcf/medicaid_program_integrity/download/Termination_List.pdf)
9. **Kentucky** Cabinet for Health and Family Services – Department of Medicaid Services – KY Medicaid Program Terminated and Excluded Provider List – <http://chfs.ky.gov/dms/term.htm>
10. List of Suspended or Excluded **Massachusetts** Health Providers – <http://www.mass.gov/eohhs/docs/masshealth/provlibrary/suspended-excluded-masshealth-providers.pdf>
11. **Michigan** Department of Community Health (MDCH) Sanctioned Provider List – [http://www.michigan.gov/documents/mdch/MI\\_Sanctioned\\_Provider\\_List\\_379358\\_7.pdf](http://www.michigan.gov/documents/mdch/MI_Sanctioned_Provider_List_379358_7.pdf)
12. **Michigan** Department of Community Health Licensing Sanctions for Health Facilities and Professionals – [http://michigan.gov/lara/0,4601,7-154-63294\\_63302---,00.html](http://michigan.gov/lara/0,4601,7-154-63294_63302---,00.html) & [http://www.michigan.gov/lara/0,4601,7-154-72600\\_72603---,00.html](http://www.michigan.gov/lara/0,4601,7-154-72600_72603---,00.html)
13. **Michigan** Department of Human Services (MDHS) Licensing Sanctions for Adult Foster Care and Other Residential Settings Licensed by MDHS – [http://www.michigan.gov/mdhhs/0,5885,7-339-71551\\_27716---,00.html](http://www.michigan.gov/mdhhs/0,5885,7-339-71551_27716---,00.html)
14. **Minnesota** Department of Human Services – MHCP Enrolled Providers – [http://www.dhs.state.mn.us/main/idcplg?IdcService=GET\\_DYNAMIC\\_CONVERSION&RevisionSelectionMethod=LatestReleased&dDocName=dhs16\\_177378](http://www.dhs.state.mn.us/main/idcplg?IdcService=GET_DYNAMIC_CONVERSION&RevisionSelectionMethod=LatestReleased&dDocName=dhs16_177378)
15. **Nebraska** Department of Health and Human Services - Program Integrity Nebraska Medicaid Excluded Providers at – [http://dhhs.ne.gov/medicaid/Pages/med\\_pi\\_sanc.aspx](http://dhhs.ne.gov/medicaid/Pages/med_pi_sanc.aspx)
16. State of **New Jersey** Office of Consumer Protection – <http://www.njconsumeraffairs.gov/ocp/filings.htm>
17. State of **New Jersey** Consolidated Debarment Report – <http://www.state.nj.us/treasury/debarred/>
18. State of **New Jersey** Office of the Insurance Fraud Prosecutor – <http://www.njinsurance-fraud.org/new.htm>

19. **New York** State Insurance Company Search – <http://www.ins.state.ny.us/tocol4.htm>
20. **New York** State Consumer Protection Board – <http://www.consumer.state.ny.us/>
21. **New York** State Agency Debarment List – <https://dbr.labor.state.ny.us/EDList/search-Page.do>
22. **North Carolina** State Excluded Provider List – <http://dma.ncdhhs.gov/document/state-excluded-provider-list>
23. **Ohio** Medicaid Provider Exclusion and Suspension List – <http://medicaid.ohio.gov/PROVIDERS/EnrollmentandSupport/ProviderExclusionandSuspensionList.aspx>
24. **Ohio** Department of Developmental Disabilities Online Abuser Registry Verification – [https://its.prodapps.dodd.ohio.gov/ABR\\_Default.aspx](https://its.prodapps.dodd.ohio.gov/ABR_Default.aspx)
25. **Ohio** Auditor of the State – <https://ohioauditor.gov/findings/search.aspx>
26. **Oklahoma** Nurse Aid Registry Search – <https://www.ok.gov/health/pub/wrapper/naverify.html>
27. **Oklahoma** Nurse Aide and Nontechnical Services Workers Registry – <https://www.ok.gov/health/pub/wrapper/nrsaid.html>
28. **Pennsylvania** Office of Consumer Advocate – <http://www.oca.state.pa.us/>
29. **Pennsylvania** Insurance Fraud Prevention Authority – <http://helpstop-fraud.org/Shared/RighttoKnow/tabid/72/Default.aspx>
30. **Pennsylvania** Department of General Services Debarment List – <http://www.portal.state.pa.us/portal/server.pt?open=512&objID=1271&&PageID=244340&level=3&css=L3&mode=2>
31. **TennCare** Division of Health Care Finance & Administration – <https://www.tn.gov/tenncare/topic/terminated-provider-list>

#### **D. STATE SPECIFIC RIGHTS**

- See <https://www.consumer.ftc.gov/articles/pdf-0096-fair-credit-reporting-act.pdf> or contact the state or local consumer protection agency or the state Attorney General.

#### **E. STATE SPECIFIC LICENSING/DEBARMENT WEBSITES**

(Reference: [State Consumer Protection and Exclusion websites](#))

- For state specific background check requirements, check with your state regulatory agency.
- Information on those who have been debarred is available at the State of **New Jersey** Consolidated Debarment Report – <http://www.state.nj.us/treasury/debarred/>.
- Information on those who have been debarred is available at the **Pennsylvania** Department of General Services Debarment List – <http://www.portal.state.pa.us/portal/server.pt?open=512&objID=1271&&PageID=244340&level=3&css=L3&mode=2>.
- Information on those who have been debarred is available at the **New York** State Agency Debarment List - **New York** State Agency Debarment List – <https://dbr.labor.state.ny.us/EDList/searchPage.do>



**Kansas** Department of Health and Environment License Information System Search – <http://www.kdheks.gov/health/licensing.htm>

**Kansas** State Board of Nursing License Verification – <https://www.kansas.gov/ksbn-verifications/>

**Kansas** Board of Healing Arts-License and Registrant Profile Search – <http://www.ksbha.org/requests/licenseverification.shtml>

**Kansas** Nurse Aide Registry – <https://ksdhe.glsuite.us/glsuiteweb/Clients/KSDHE/public/main.html>

**Kansas** State Board of Pharmacy License Search – <https://ksbop.elicensesoftware.com/portal.aspx>

**Kansas** Department of Aging and Disability License Search – <https://ksdhe.glsuite.us/glsuiteweb/Clients/KSDHE/Public/Verification/LicVerification.aspx>

## F. STATE SPECIFIC WORKPLACE SEXUAL HARASSMENT PREVENTION TRAINING

State/City	Covered Employers	Covered Employees	What
<b>California</b>	Effective, January 1, 2019, the law applies to California employers with 5 or more employees <b>(used to be 50)</b> .	By January 1, 2020, employers must provide required training to <u>all</u> supervisory and nonsupervisory employees within six months of employment or assuming a supervisory position. Beginning January 1, 2020, employers must provide training for: <ul style="list-style-type: none"> <li>● Seasonal and temporary employees or any employee hired to work for less than six months, within 30 calendar days of hire or within 100 hours worked, whichever occurs first (except for those employed by a temporary services employer that must provide the training), and</li> <li>● Migrant and seasonal agricultural workers.</li> </ul>	SB 1343 requires covered employers to provide at least 2 hours of sexual harassment prevention training and education to all supervisory employees and at least 1 hour of such training to all non-supervisory employees in California, by January 1, 2020. Training and education must be provided once every two years thereafter, as specified under the new law.  See <a href="#">Senate Bill No. 1343</a> , amending Cal. Gov. Code sections 12950 and 12950.1.
<b>Connecticut</b>	Connecticut's law covers employers with 50 or more employees for a minimum of 13 weeks the previous training year.	Connecticut's law covers employers with 50 or more employees for a minimum of 13 weeks the previous training year.	Since 1993, Connecticut employers with 50 or more employees must provide 2 hours of interactive sexual harassment prevention training and education to all supervisory employees.  See <a href="#">Conn. Gen. Stat. § 46a-54(15)(A)</a> and <a href="#">Conn. Agencies Regs. § 46a-54-204</a> ).

<b>Delaware</b>	Effective Jan 1, 2019, employers with at least 50 employees in Delaware must provide “interactive training and education to employees regarding the prevention of sexual harassment.” It also obligates employers (with 4 or more employees) to issue an information sheet on sexual harassment.	<p>All employees:</p> <ul style="list-style-type: none"> <li>• Within one year of beginning employment for new employees.</li> <li>• Within one year of the law’s effective date for existing employees.</li> </ul> <p>Employers are not required to provide training to:</p> <ul style="list-style-type: none"> <li>• Applicants.</li> <li>• Independent contractors.</li> <li>• Employees employed less than six months continuously.</li> <li>• Employees employed by employment agencies (the employment agency is responsible for training their employees).</li> </ul>	Interactive training must be conducted for new employees within one year of the commencement of their employment. Existing employees must receive sexual harassment training within one year of the effective date of the statute (that is, by January 1, 2020). New supervisors must receive additional interactive training within one year of the commencement of their employment in a supervisory role. Existing supervisors must receive training by January 1, 2020. See <a href="#">HB360</a>
<b>Maine</b>	Applies to all workplaces with 15 or more employees.	All new employees within one year of beginning employment. There are additional requirements for supervisory and managerial employees within one year of beginning employment.	Employers shall conduct additional training for supervisory and managerial employees within one year of commencement of employment that includes, at a minimum, the specific responsibilities of supervisory and managerial employees and methods that these employees must take to ensure immediate and appropriate corrective action in addressing sexual harassment complaints.  See <a href="#">Me. Rev. Stat. Ann. tit. 26, § 807(3)</a> .

<p><b>New York State</b></p>	<p>New York’s training laws apply to all employers regardless of size.</p>	<p>The training requirements apply to all employees working any portion of their time in New York, even if they’re based in another state.</p>	<p>Effective immediately, New York employers must: (i) implement the State’s <b>model sexual harassment prevention policy</b>, or create their own sexual harassment prevention policy that meets or exceeds certain <b>minimum standards</b>; (ii) make a <b>complaint form</b> available for employees to report sexual harassment; and (iii) conduct interactive sexual harassment prevention training annually, either using the state’s model training materials or another program that meets the <b>training requirements</b>. Training must be completed for <b>all employees every</b> year.</p> <p>See <a href="#">New York (N.Y. Lab. Law § 201-g)</a>.  <a href="#">model sexual harassment prevention policy</a>  <a href="#">minimum standards</a>  <a href="#">complaint form</a>  <a href="#">training requirements</a></p>
<p><b>New York City</b></p>	<p>Employers with 15 or more employees in the previous calendar year. Independent contractors count toward this threshold.</p>	<p>All employees, including interns, within New York City working more than 80 hours in a calendar year and have worked for at least 90 days. Employers must also train independent contractors that:</p> <ul style="list-style-type: none"> <li>• Have performed work in the furtherance of the business for more than 90 days and more than 80 hours in a calendar year.</li> <li>• Have not already received the mandated annual training elsewhere.</li> </ul>	<p>Interactive training is required annually. See (NYC Admin. Code § 8-102(30) (effective Apr. 1, 201</p>

# NEW JERSEY REQUIREMENTS

[BOARD OF NURSING MANDATORY REPORTING GUIDELINES](#)

[“PEGGY’S LAW”](#)

[HEALTH CARE PROFESSIONAL RESPONSIBILITY AND REPORTING ENHANCEMENT ACT](#)

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[OPPORTUNITY TO COMPETE ACT “BAN THE BOX” LAW](#)

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**BOARD OF NURSING**  
**MANDATORY REPORTING GUIDELINES**  
New Jersey

**POLICY**

Company will appropriately assess nursing conduct and infractions to determine whether such conduct must be reported to the NJ Board of Nursing in accordance with the New Jersey Board of Nursing Mandatory Reporting Guidelines.

**PROCEDURE**

**WHAT MUST BE REPORTED?**

**Level I** – Conduct always required to be reported to the Board of Nursing:

1. Conduct that clearly violates expected standards of care and may result in various degrees of harm.
2. Conduct that demonstrates a pattern of poor judgment or skill.

**Level II** – Conduct that, depending on an analysis of the facts, may require reporting to the Board of Nursing:

1. Conduct that may be indicative of a more serious problem should be reported.
  - A. Note: There is no list of what should or should not be reported under this category. It is a matter of judgment for the person(s) making the report, based upon a review of all the relevant factors.

**Level III** – Conduct that does not require reporting to the Board of Nursing:

1. Low level infractions that do not involve patient care, professional judgment, or wrongdoing.

**WHO MUST REPORT?**

1. All licensed nurses have an affirmative obligation to report suspected violations of the Nurse Practice Act and the Uniform Enforcement Act to the Board of Nursing.
  - A. The highest nursing officer generally has the responsibility for reporting violations to the Board. Additionally, the Director of Security, the Director of Human Resources, and the Risk Manager may also file complaints.
  - B. If the facility or agency administrators refuse or delay a report, staff nurses or nurse managers have a duty to report to the Board.
2. Consumers/residents, families of consumers/residents, the Ombudsman for the Institutionalized Elderly, the Department of Health and Senior Services, and the Criminal Authorities also may submit claims to the Board.

## **HOW MUST A REPORT BE MADE?**

1. Initial Reports to the Board of Nursing Must:
  - A. Be in writing.
  - B. Contain basic information regarding the “who, what, where, why, and how” of the incident.
  - C. Contain the name of a contact person and a telephone number and address where he/she can be reached during business hours.
2. All Persons Making a Report to the Board of Nursing Must Be Prepared To:
  - A. Provide legible copies of all relevant records, materials, and information as requested by the Board representative.
  - B. Speak with the Board’s representative by telephone, in writing, or in person.
  - C. Assist the Board’s representative in gaining access to all relevant information, witnesses, or other persons.
  - D. Agree to appear before the Board if necessary.
    - i. Board’s representative includes any one of the following individuals:
      - a. The Board’s executive director
      - b. Paralegals
      - c. Deputy attorneys general
      - d. Enforcement Bureau investigators

## **TO WHERE MUST A REPORT BE MADE?**

All letters of complaint must be made to:

Board of Nursing  
P.O. Box 45010  
124 Halsey Street, Sixth Floor  
Newark, NJ 07101  
Telephone Number: (973) 504-6457

Emergent complaints of drug diversion or sexual abuse may be made by telephone to the:

1. Board of Nursing at (973) 504-6457
2. Deputy Attorney General at (973) 648-7093
3. Enforcement Bureau of the Division of Consumer Affairs at (973) 504-6300

## “Peggy’s Law” New Jersey

(N.J. Stats. § 52:27G-7; §52:27G-7.1; §52:27G-11)

### POLICY

“Peggy’s Law” is a New Jersey law, effective October 6, 2017 and amending NJ Rev Stat § 52:27G-7.1 together with §52:27G-7 and §52:27G-11. It requires any caretaker, social worker, physician, registered or licensed practical nurse, or other professional or staff member employed at a facility, and any representative of a managed care entity, who, as a result of information obtained in the course of that individual’s employment, has reasonable cause to suspect or believe that an institutionalized elderly person is being or has been abused or exploited, to report such information to the Ombudsman or to the person designated by the Ombudsman to receive such report. If an individual reporting suspected abuse or exploitation has reasonable cause to suspect or believe that the institutionalized elderly person is or has been the victim of a crime, the individual shall additionally report such information to the local law enforcement agency and to the health administrator of the facility. Peggy’s Law requires the Office of the Ombudsman to maintain a 24 hour, 7 day a week system to receive complaints.

### PROCEDURE

1. Any caretaker, social worker, physician, registered or licensed practical nurse, or other professional or staff member employed at a facility and any representative of a managed care entity (“reporting individual”) who, as a result of information obtained in the course of employment has reasonable cause to suspect or believe that an institutionalized elderly person is being or has been abused or exploited shall report such information immediately to the Ombudsman. If a reporting individual suspects or believes that the institutionalized elderly person is or has been the victim of a crime, the reporting individual **shall additionally report such information to the local law enforcement agency and to the health administrator of the facility.**
  - a. If the events that cause the suspicion or belief result in serious bodily injury, the individual shall report the suspicion or belief immediately, but not later than two hours after forming the suspicion or belief.
  - b. If the events that cause the suspicion or belief do not result in serious bodily injury, the individual shall report the suspicion or belief immediately, but not later than 24 hours after forming the suspicion or belief.
2. Such report shall contain the name and address of the elderly person, information regarding the nature of the suspected abuse or exploitation and any other information which might be helpful in an investigation of the case and the protection of such elderly person.
3. The name of any person who reports suspected abuse or exploitation pursuant to this act shall not be disclosed, unless the person who reported the abuse or exploitation specifically requests such disclosure or a judicial proceeding results from such report.
4. Any person who reports suspected abuse or exploitation pursuant to this act or who testifies in any administrative or judicial proceeding arising from such report or testimony shall have



- immunity from any civil or criminal liability on account of such report or testimony, unless such person has acted in bad faith or with malicious purpose.
5. The Office of the Ombudsman is required to provide a complaint reporting system that is active and in effect 24 hours a day, seven days per week.
  6. Any person required to report suspected abuse or exploitation pursuant to this act who fails to make such report shall be fined not more than \$500, and the facility employing the individual shall be fined
  7. When a person has been penalized under this section, a letter making note of the penalty shall immediately be sent by the court to the licensing authority or the professional board, if any, having jurisdiction over the person who has been penalized.
  8. The Office of the Ombudsman provides on its website links to written notices/posters in English, Spanish and other languages, setting forth the address and telephone number for the office and a brief explanation of the function of the office and the procedure to follow in filing a complaint. These can be found and downloaded at <http://www.state.nj.us/ooie/publications.shtml#>.
    - a. The administrator of the facility is required to ensure that such written notice is given to every patient, resident, or client or the patient’s, resident’s, or client’s guardian upon admission and to every person already in residence or the person’s guardian in a format and language that the recipient understands.
    - b. The administrator is required to ensure that such written notice is posted in public areas in the facility.
  9. The administrator of the facility **MUST** provide a copy of this policy (“Peggy’s Law Policy”) **annually** to all employees, caretakers, social workers, physicians, registered or licensed practical nurses and other professionals employed by the facility (“staff”) explaining the requirements of this law concerning the reporting of suspected abuse or exploitation of an institutionalized elderly person.
    - a. All “staff” must sign receipt of the annual notice as a condition of continued employment.
    - b. The signed receipt shall be retained in the “staff’s” personnel file.

Receipt of Policy

I, \_\_\_\_\_, acknowledge that I received a copy of the attached policy regarding NJ Peggy’s Law.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Employee Name (Print)

**HEALTH CARE PROFESSIONAL RESPONSIBILITY  
AND REPORTING ENHANCEMENT ACT**

**New Jersey**

\*For the official language of, and forms pertaining to, this Act, please click the title of this Act to be redirected to the NJ Division of Consumer Affairs website.

**PATIENT SAFETY ACT**  
**NEW JERSEY**

**NJAC 26:2H-12.23**  
**NJAC 8:43E-10.11**

**PURPOSE**

To ensure The Company remains consistent with applicable legal requirements and standards of practice.

**POLICY**

Pursuant to the New Jersey Patient Safety Act, The Company is committed to increasing the safety of our residents by reducing the frequency and severity of preventable adverse events.

The Patient Safety Act applies to both sub-acute residents and long term care residents.

**PROCEDURE**

**PATIENT SAFETY COMMITTEE**

The Company shall establish a Patient Safety Committee.

1. The Patient Safety Committee shall be comprised of at least the following individuals:
  - A. A chairperson appointed by the chief executive officer (CEO) or administrator of The Company.
    - i. For all matters related to the Patient Safety Committee, the chairperson of the Patient Safety Committee shall report directly to the CEO or other administrative head of The Company.
  - B. The medical director, or the medical director's designee, who must also be a physician.
  - C. The director of nursing of The Company, or the designee of the director of nursing, who must also be a nurse.
  - D. The Compliance Officer, another employee of The Company exercising primary responsibility for monitoring adverse events within The Company, or the Compliance Officer's designee.
  - E. The chairperson of the Patient Safety Committee shall also select ad hoc members for the Patient Safety Committee, based on the relevance of their job responsibilities and professional experience, to conduct a root cause analysis of a specific adverse event or near-miss under investigation.
2. In the case of a company that is part of a health care system that owns or operates multiple New Jersey facilities, the Patient Safety Committee may be operated at the system level, provided the following conditions are met:
  - A. There is a representative from each New Jersey-licensed company on the committee.

- B. The system Patient Safety Committee ensures that each company's data related to patient safety remains distinctly identifiable.

3. The Patient Safety Committee shall not constitute a subcommittee of any other committee within The Company.

- 4. The Patient Safety Committee shall meet at least quarterly but may meet on a more frequent basis as needed and determined by the committee.
- 5. The Patient Safety Committee shall document the proceedings of each meeting in the minutes, which shall contain, at a minimum, the following:
  - A. The date and time of the meeting.
  - B. The attendees at the meeting.
  - C. A brief description of the issues discussed.
  - D. The recommendations made by the committee.
  - E. An evaluation of the effectiveness/outcome of previous committee recommendations.
- 6. The Patient Safety Committee shall perform the following activities:
  - A. Develop a written patient safety plan for The Company.
  - B. Review and revise, if appropriate, the patient safety plan as often as the committee deems necessary, but at least once every three years.
  - C. Foster attitudes, beliefs, and behaviors supporting open communication within the company about adverse events and near-misses by developing and implementing a training program for all professional and direct patient care employees and medical staff, enabling them to recognize and report to the Patient Safety Committee all serious preventable adverse events, as well as other adverse events and near-misses.
  - D. Develop and recommend implementation of measures to minimize the risk of preventable adverse events.
  - E. Review developments in evidence-based patient safety practices appropriate to the services offered within The Company and recommend appropriate modification of company policies and procedures to enhance patient safety.
  - F. Assemble an appropriate team to conduct a root cause analysis of near-misses and adverse events that occur within The Company and conduct a root cause analysis of every serious preventable adverse event.
    - i. Facilities may assemble a team and/or retain a consultant to perform the root cause analysis.
    - ii. The Patient Safety Committee shall review the results of each root cause analysis and, as appropriate, recommend the modification of company systems, technology, policies or procedures to enhance patient safety.
  - G. Analyze, on a quarterly basis, the aggregated data in the internal company-specific tracking system to determine patterns of similar problems or events, which may otherwise not be detected by the Patient Safety Committee, in order to identify problems or events appropriate for further analysis.
  - H. Document whether The Company accepted, rejected, or modified the recommendations of the Patient Safety Committee for modifications in company policies or procedures.

- i. In the case of rejection or modification of a recommendation, the Patient Safety Committee shall ensure that the documentation includes the rationale for the action taken.
- I. Monitor modified policies and procedures after implementation to determine the impact of the revised policies.

## **PATIENT SAFETY PLAN**

The Company's Patient Safety Committee shall develop, implement, and comply with a patient safety plan that includes the following elements:

1. A process for company staff to follow in reporting preventable adverse events and near-misses to the Patient Safety Committee.
  - A. The reporting system established by The Company shall be accessible to company staff at all times The Company is operating.
2. A process for conducting ongoing review and application of evidence-based patient safety practices in order to reduce the probability of preventable adverse events.
3. A process for the Patient Safety Committee to conduct root cause analyses of all serious preventable adverse events, adverse events, and near-misses.
4. A process for monitoring the impact of changes recommended by the Patient Safety Committee and implemented by The Company.
5. Policies and procedures for providing ongoing training for company personnel, including professional and direct patient care employees and medical staff, as to the requirements of The Company's policies and procedures for assuring patient safety.
  - A. Current employees and staff shall undergo such training no later than one (1) year following the operative date of this policy.
  - B. New employees and staff shall undergo such training during the employee orientation.
  - C. The policies and procedures shall include a method for The Company to document that personnel have completed the required training.

The processes, policies, and procedures established shall not eliminate or lessen a company's obligation under applicable Federal Medicare Conditions of Participation to implement and maintain a continuous quality improvement program.

Investigation and analysis, as well as the recommendation and monitoring of the implementation of related corrective actions, of preventable adverse events and near-misses shall fall within the jurisdiction of the patient safety program rather than the continuous quality improvement program.

## **REPORTING REQUIREMENTS UNDER THE PATIENT SAFETY ACT**

The Company is required to report to the Department of Health and Senior Services every serious preventable adverse event that occurs in The Company.

The Company is encouraged to report near-misses, preventable events and adverse events that are not subject to mandatory reporting.

## **DISCLOSURE TO PATIENT**

A health care company shall ensure that a patient or, in the case of a minor or incompetent adult, the patient's personal representative, guardian, parent, or other family member, as appropriate, and provided disclosure is permissible under applicable confidentiality law, is informed of the following:

1. Any serious preventable adverse event that affected the patient.
2. Any adverse event resulting from an allergic reaction that was not previously documented in the patient's medical history.
  - A. In the case of an allergic reaction, a company shall arrange that the patient be informed of other circumstances, if known, in which the same allergic reaction might occur, and of known preventive measures, if any, and shall arrange that the patient be advised to inform any health care professionals providing future care of the allergic reaction.
  - B. The patient or, in the case of a minor or incompetent adult, the patient's personal representative, guardian, parent, or other family member, as appropriate, shall be informed of the event or allergic reaction in the following manner:
    - i. In person, if the patient is still in The Company.
    - ii. By telephone, if the patient has left The Company and The Company is unable to arrange a face-to-face meeting.
    - iii. By certified mail, if The Company is unable to contact the patient by telephone.

The patient's attending physician, The Company administrator, The Company's medical director or another health care professional authorized in accordance with company policies shall make the disclosure within twenty four (24) hours of the time The Company discovers the event.

If the patient's attending physician determines that informing the patient of the event would seriously and adversely affect the health of a patient who is a competent adult, then The Company shall ensure that the attending physician, The Company administrator, The Company's medical director, or another health care professional authorized in accordance with company policies informs a family member of the event, if a family member is available and can be so informed without violating any applicable confidentiality or privacy law.

1. In selecting a family member to whom to make the disclosure required, The Company shall accord first preference to a spouse, a partner in a civil union, or a domestic partner, then to adult children or parents, and then to siblings.

2. The Company shall ensure that the attending physician documents in the patient's medical record the basis of the determination that disclosure of the adverse event to the patient would seriously and adversely affect the patient's health.
3. The Company shall ensure that information concerning the serious preventable adverse event or allergic reaction is not disclosed to a family member who is not the guardian or who does not have a medical power of attorney, if the patient has prohibited disclosure of his or her protected health information to any family members.

In disclosing information, The Company shall ensure that the following information is recorded in the patient's medical record:

1. The time, date, and individuals present when the disclosure was made, and the person to whom the disclosure was made.
2. A statement that the occurrence of a serious preventable adverse event or adverse event related to an allergic reaction, as applicable, was disclosed.

The Company may request written acknowledgement from the patient, or the patient's parent, guardian, or family member, as applicable, that the patient or family member received information about the serious preventable adverse event or an allergic reaction.

1. If a company requests written acknowledgment, The Company shall advise the patient, or the patient's parent, guardian, or family member, as applicable, that signing the acknowledgement is voluntary and in no way constitutes either a release from liability by the patient or an admission of liability on the part of the physician or health care company.
  - A. The Company shall provide this advice orally at the time it makes the request, and the acknowledgment form shall state at the beginning, in easily readable print, that signing the acknowledgement is voluntary and in no way constitutes either a release from liability by the patient or an admission of liability on the part of the physician or health care company.

The patient's medical record shall be available to the patient upon request, subject to discovery, and admissible as evidence or otherwise disclosed in a civil, criminal, or administrative action or proceeding.

#### **CONFIDENTIALITY PROTECTIONS AND RESTRICTIONS ON DISCLOSURE AND USE**

1. If information submitted to or developed by the Patient Safety Committee provides a reasonable basis for the health care company to take disciplinary action against a health care professional in a case in which the professional has displayed recklessness, gross negligence or willful misconduct or where there is evidence, based on similar cases known to The Company, of a pattern of significant substandard performance that resulted in serious preventable adverse events, The Company must do so.
2. If information submitted to or developed by the Patient Safety Committee provides a reasonable basis to suspect criminal behavior on the part of anyone employed by, on the medical staff

of, or acting as an agent of, a health care company, The Company shall report such information to the appropriate police authorities.

3. The Patient Safety Committee may release de-identified aggregate trend data on preventable adverse events and near-misses, and a company may file reports, analyses or plans to the reporter of such information, the Patient Safety Committee and the underlying data.

#### **REPORTING REQUIREMENTS UNRELATED TO THE PATIENT SAFETY ACT**

1. A health care company shall immediately report to the appropriate police authorities all criminal acts or potentially criminal acts that occur within a company and pose a danger to the life or safety of residents, employees, medical staff or members of the public present in The Company.
2. A licensed company shall notify the Department of Health and Senior Services immediately of the types of events reportable described below.
  - A. The Department of Health and Senior Services anticipates the development of an Internet web-based electronic reporting system but shall, in the interim, require facilities to submit the notice required as outlined above by means of telephone, facsimile, or email, or a combination thereof.
    - i. The Department of Health and Senior Services shall provide notice to facilities on the reporting medium to be used, including telephone and facsimile numbers, email addresses and/or web addresses.
  - B. In the case of acute care facilities, ‘immediately’ means no later than three hours after discovery of the event.
  - C. In the case of long-term care facilities, “immediately” means telephonic notification to the Department of Health and Senior Services at (609) 392-2020, followed by written notification within 72 hours.
3. Examples of reportable events in the nature of physical plant and operational interruptions include, but are not limited to, the following:
  - A. Loss of heat or air conditioning.
  - B. Loss or significant reduction of water, electrical power, or any other essential utilities necessary to the operation of The Company.
  - C. Fires, disasters, or accidents that result in injury or death of residents or employees, or in evacuation of residents from all or part of The Company.
  - D. A labor stoppage or staffing shortage sufficient to require the temporary closure of a service.
  - E. Notices of a potential strike that a company receives from an employee bargaining unit.
    - i. The report shall be accompanied by The Company’s plan to continue service operations in the event the strike occurs.
    - ii. Such a plan shall be considered proprietary, emergency and/or security information and therefore shall not be considered a ‘government record’ subject to public access or inspection.
    - iii. In the event the strike is either averted or settled, the Department of Health and Senior Services shall destroy all copies it has received of The Company’s strike plan.



4. Examples of reportable events in the nature of potentially criminal acts include, but are not limited to, the following:
  - A. Any instance of care ordered by or provided by someone impersonating a physician, nurse, pharmacist, or other licensed health care provider.
  - B. Abduction of a patient of any age.
  - C. Sexual assault on a patient, staff member, or visitor within or on the grounds of a company.
  - D. Death or significant injury of a patient, staff member, or visitor resulting from a physical assault that occurs within or on the grounds of The Company.
5. A health care company shall report incidents of infectious and communicable diseases to the Department of Health and Senior Services.

## DEFINITIONS

The following words and terms shall have the following meanings, unless the context clearly indicates otherwise:

1. “Adverse event” means an event that is a negative consequence of care that results in unintended injury or illness, which may or may not have been preventable.
2. “Allergic reaction” means an abnormal immune response to a substance or allergen that does not normally cause a reaction and that results in a broad range of inflammatory responses.
  - A. Allergies are caused by inherited sensitivity or sensitivity acquired over time to a foreign substance.
  - B. Immediate reactions may be local, such as urticaria, angioedema, or systemic, such as severe bronchial obstruction, vasodilation, pulmonary edema, and shock.
3. “Covered individual” means anyone who is an owner, operator, employee, manager, agent or contractor of a long-term care company.
4. “Criminal sexual abuse” shall be considered to have occurred if the conduct causing the injury is conduct described in section 2241 (relating to aggravated sexual abuse) or section 2242 (relating to sexual abuse) of Title 18, United States Code, or any similar offense under State law.
5. “Disability” means a physical or mental impairment that substantially limits one or more major life activities of an individual.
  - A. A physical impairment is any physiological disorder or condition, cosmetic disfigurement, or anatomical loss affecting one or more of the following body systems: neurological, musculoskeletal, special sense organs, respiratory (including speech organs), cardiovascular, reproductive, digestive, genitourinary, hemic, lymphatic, skin, and endocrine.
  - B. A mental impairment is any mental or psychological disorder, such as mental retardation, organic brain syndrome, emotional or mental illness, and specific learning disabilities.
6. “Event” means a discrete, auditable, and clearly defined occurrence.
7. “Health care company” or “company” means a licensed health care company.

8. “Health care professional” means an individual who, acting within the scope of her or his licensure or certification, provides health care services, and includes, but is not limited to, a physician, dentist, nurse, pharmacist or other health care professional whose professional practice is regulated pursuant to Title 45 of the Revised Statutes.
9. “Health care system” means a licensed health care provider or entity that either owns and operates more than one licensed company within the State or can document operational control over more than one licensed company within the State, but is not a management company.
10. “Medical device” or “device” means an instrument, apparatus, implement, machine, contrivance, implant, in vitro reagent, or other similar article that is intended for use in the diagnosis of disease or other conditions, or in the cure, mitigation, treatment or prevention of disease.
11. “Medicare and/or Medicaid nursing homes” means a long-term care company participating in Title XVIII (Medicare) and/or Title XIX (Medicaid) programs of the Federal Social Security Act.
12. “Near-miss” means an occurrence that could have resulted in an adverse event, but the adverse event was prevented.
13. “Preventable event” means an event that could have been anticipated and prepared against, but occurs because of an error or other system failure.
14. “Root cause analysis” or “RCA” means an in-depth analysis of a preventable adverse event that is designed to identify both direct and underlying causes of the event, in order to develop corrective actions that could reduce the potential for similar preventable adverse events in the future.
15. “Serious bodily injury” means an injury involving extreme physical pain; involving substantial risk of death; involving protracted loss or impairment of the function of a bodily member, organ, or mental faculty; or requiring medical intervention such as surgery, hospitalization, or physical rehabilitation.
16. “Serious preventable adverse event” means an adverse event that is a preventable event and results in death or loss of a body part, or disability or loss of bodily function lasting more than seven days or still present at the time of discharge from a health care company.
17. “Surgery” means an invasive operative procedure in which skin or mucous membranes and connective tissue is resected, including minimally invasive procedures involving biopsies or placement of probes or catheters requiring the entry into a body cavity through a needle or trocar.
  - A. “Surgery” includes a range of dermatological procedures including biopsy, excision and deep cryotherapy for malignant lesions to extensive multi-organ transplant.
  - B. Surgery begins at point of surgical incision, tissue puncture, or insertion of an instrument into tissues, cavities or organs.

- C. Surgery ends after the surgical incision has been closed and operative devices, such as probes, have been removed and counts have concluded, regardless of setting (recovery room or surgical suite.)

## **WORKPLACE VIOLENCE PREVENTION**

New Jersey

NJ Stat 26:2H-5.20  
NJAC 8:43E-11.3

### **POLICY**

Pursuant to the New Jersey Violence Prevention in Health Care Facilities Act, Company will have a Workplace Violence Prevention Program that will be accessible to all employees and a copy will be provided upon request.

Company:

1. Is committed to employees' safety and health;
2. Will provide adequate authority and budgetary resources to responsible parties so that identified goals and assigned responsibilities can be met;
3. Includes and encourages employee participation in the design and implementation of its workplace violence prevention program;
4. Refuses to tolerate violence at the workplace and has developed and implemented a program to reduce incidents of violence;
5. Applies workplace violence policies consistently and fairly to all employees, including supervisors and managers;
6. Requires prompt and accurate reporting of violent incidents, whether or not physical injury has occurred;
7. Will not retaliate against victims of workplace violence.

### **PROCEDURE**

1. Company shall establish a Violence Prevention Committee.
  - A. The Violence Prevention Committee shall include a representative of management who shall serve as the Violence Prevention Officer and be responsible for overseeing all aspects of the program. He/She shall also chair the committee.
  - B. At least 50% of the committee members shall be health care workers who provide direct resident care or otherwise have direct contact with residents.
    - i. If health care workers are represented by one or more collective bargaining agents, the management of the facility or system shall consult with the applicable collective bargaining agents regarding the selection of the health care worker committee members.

- C. The remaining committee members shall have experience, expertise, or responsibility relevant to violence prevention.
  - D. If Company owns or operates more than one covered health care facility, the violence prevention program and the committee may be operated at the system or department level, provided that:
    - i. Committee membership includes at least one health care worker from each facility who provides direct care to residents;
    - ii. The committee develops a violence prevention plan for each facility; and
    - iii. Data related to violence prevention remain distinctly identifiable for each facility.
2. The Violence Prevention Committee shall, at a minimum:
- A. Meet quarterly to review reports of violent incidents. The Committee shall make any appropriate adjustments to the violence prevention plan.
  - B. Develop a detailed, written violence prevention plan that identifies and outlines violence prevention policies, procedures, and responsibilities.
    - i. The plan shall, at a minimum, describe the following:
      - a. The establishment of a violence prevention committee;
      - b. The facility's violence prevention policies;
      - c. The recordkeeping process;
      - d. Incident reporting, investigation, and evaluation methods;
      - e. Available resources for follow-up medical and psychological care, which may include support groups, family crisis intervention, and professional referrals; and
      - f. How employees shall access a post-incident response system.
    - ii. The plan shall require an annual comprehensive violence risk assessment.
    - iii. The plan shall identify methods to reduce identified risks, including, at a minimum: facility modifications, changes to equipment, job design, staffing and security, and revision of violence prevention training content.
    - iv. The plan shall be updated and submitted to the facility administration annually.
  - C. Conduct an annual comprehensive violence risk assessment (See Policy [SM 1.2 A: Risk Assessment Report](#)) for Company that shall review:
    - i. OSHA's 2004 Guidelines for Preventing Workplace Violence for Health Care & Social Service Workers (OSHA 3148-2004);
      - a. The facility shall conduct a job task analysis in collaboration with and for each health care worker that shall be used by the violence prevention committee to identify improved security measures and controls based on potential risk factors – including, but not limited to, working with unstable or volatile persons, prevalence of weapons on site, presence of gang members – for violent incidents.
    - ii. impact of staffing, including security personnel, if applicable;
    - iii. the presence of hazards, conditions, operations, and situations which might place workers at risk of occupational assault incident
    - iv. the presence of individuals who may pose a risk of violence; and
    - v. a review of any records relating to violent incidents at the facility (See [Appendix SM 1.2 A: Violence Incident Report Form](#)), including incidents required to be reported pursuant to the Occupational Safety and Health Administration Log of Work-Related Injuries and Illnesses (OSHA Form 300), and workers' compensation records

- D. At least two (2) members of the violence prevention committee, at least one (1) of whom is a direct care staff member, shall conduct walk through surveys of all worksite areas at least once annually, and as needed, to identify existing or potential physical environmental risk factors for workplace violence.
  - i. Such risk factors shall include, at a minimum, the facility's layout, access restrictions, crime rate in surrounding areas, lighting, and communication and alarm devices (See Policy [SM 2.0: Security Inspection and Analysis](#)).
  - ii. The results from the walk through shall be discussed and analyzed during the annual comprehensive violence risk assessment.
- E. Develop and annually review, evaluate, and revise the content of violence prevention training.
  - i. The training shall be at least two (2) hours in duration and shall be held during paid work time.
    - a. Company shall provide interim training for individuals who begin work between annual training sessions.
  - ii. The training methods shall include, but not be limited to, at least two (2) of the following: handouts, presentations, discussion, role playing, and DVD or computer-based training activities.
  - iii. All employees, regardless of their title or level of risk, should receive training to include, at a minimum:
    - a. A review and definition of workplace violence;
    - b. A full explanation and full description of the program;
    - c. Techniques to de-escalate and minimize violent behavior;
    - d. Appropriate responses to workplace violence, including the use of restraining techniques;
    - e. Reporting requirements and procedures;
    - f. Location and operation of safety devices;
    - g. Resources for coping with violence;
    - h. A summary and analysis of the facility's risk factors, identified in the violence risk assessment, and preventative actions taken in response to the identified risk factors;
    - i. Information on multicultural diversity to increase staff sensitivity to racial and ethnic issues and differences; and
    - j. Assurance that Company will not take any retaliatory action for reporting any threat or violent incident.

In addition, employees with job tasks or locations that place them at higher risk for violent incidents should be provided specialized training in addition to those topics outlined above. Training shall be designed to deal with the nature of this risk. Managers and supervisors shall undergo the training outlined thus far plus additional training to enable them to recognize a potentially hazardous situation and to make necessary changes in the physical facility, resident care treatment program, and staffing policy and procedures to reduce security hazards.

Managers and supervisors shall also be trained to ensure that employees are not placed in assignments that compromise safety and how to behave compassionately towards coworkers when an incident does occur.

Security personnel, if any, shall receive training regarding the facility layout, security hardware on premises, and particular high-risk jobs.

All training records shall be filed with the Human Resource Department/Personnel Department.

- F. Develop strategies for encouraging the reporting of all incidents of workplace violence and procedures for reporting such incidents;
  - G. Review de-identified, aggregated data that has been compiled from incident investigation reports by the appropriate department in order to identify trends and, if needed, to make recommendations to prevent similar incidents.
3. Company shall make a copy of the plan available, upon request, to the Commissioners of Health and Senior Services, and Human Services for on-site inspection to each health care worker and collective bargaining agent that represents health care workers at the facility.
- A. In the event that the committee determines that the plan contains information that would pose a threat to security if made public, any such information shall be excluded before providing copies to workers or collective bargaining agents.
4. Company shall implement prevention and control measures to counteract the risk factors identified by the risk assessment, including, at a minimum:
- A. lighting indoors and in parking lots;
  - B. the installation, as necessary, and maintenance of items including alarm systems, closed circuit TVs, metal detection systems, cell phones, personal alarm devices, codes, panic alarms, and audio surveillance systems;
  - C. assigning and training appropriate personnel to respect to each alarm system;
  - D. the training and posting of security personnel in emergency departments, psychiatric wards, and in other locations, as needed; and
  - E. controlled access, as needed, to staff offices and employee work areas.
5. Company shall have personnel sufficiently trained to identify aggressive and violent predicting factors and the ability to appropriately respond to and manage violent disturbances. The following guidelines will be issued to all personnel:
- A. If an incident is an emergency, follow Company's Emergency Management Plan and Chain of Command.
  - B. Once an incident occurs, the Violence Prevention Officer and/or designee should, if warranted:
    - i. Report the incident to the local police department.
    - ii. Secure work areas where the disturbance occurred.
    - iii. Ensure the physical safety of employees and others remaining in the area as soon as possible.

- iv. Ensure that no work area is left short-staffed while others assist the victim or help in securing the area.
  - v. Quickly assess the work area, if it was disturbed or damaged during an incident to determine if it is safe.
  - vi. Provide critical incident debriefing to victims, witnesses and other affected employees; these conversations must be strictly confidential.
- C. An Incident Report (See [Appendix SM 1.2 A: Violence Incident Report Form](#)) shall be completed for any type of violent incident, whether or not physical injury has occurred (i.e. verbal abuse, threats of violence, menacing, etc.). Issues of confidentiality shall be taken into account.
- i. The record shall be analyzed to determine changes needed to prevent the reoccurrence of violence in the workplace and to determine required training.
  - ii. Company shall provide the Department of Health and Senior Services with immediate access to the records and any de-identified and/or aggregated data.
  - iii. An employee and/or his/her authorized representatives shall have access to the employee's identifiable records and to de-identified and/or aggregated data within two (2) business days.
- D. The incident report shall initially be assessed by the Violence Prevention Officer.
- E. Company shall provide written, de-identified incident investigation reports to the Violence Prevention Committee.
- i. After reviewing the de-identified incident reports, Company, in collaboration with the Violence Prevention Committee, shall encourage appropriate follow-up, consider changes in procedures, and add elements to training as needed.
  - ii. Appropriate revisions shall be made to the violence action plan. All revisions shall be put into writing and notification shall be given to all employees.
  - iii. The Violence Prevention Committee shall decide if and when the de-identified data shall be aggregated.
- F. Company shall ensure that prompt and appropriate medical care is provided to health care workers injured during an incident.
- i. In addition, Company shall establish a post-incident response system that provides, at a minimum, an in-house crisis response team for employee-victims and their coworkers, and individual and group crisis counseling, which may include support groups, family crisis intervention, and professional referrals.
  - ii. Company shall ensure that provisions for medical confidentiality and protection from discrimination is included in facility policies and procedures to prevent victims from suffering further loss.
6. Company shall keep a record of all violent acts against employees while at work. The records shall be maintained for at least five (5) years following the reported act, during which time employees, their authorized representatives, and the Department of Health and Senior Services shall have access to the record. The records shall include:
- A. OSHA 300 Log – OSHA regulations require entry on the Injury and Illness log of any injury which requires more than first aid, causes loss of consciousness, requires modified duty, or results in lost time from work. Assaults shall be entered on the log. Doctors' reports of work injury and supervisors' reports shall be kept of each recorded assault. Fatalities or catastrophes must be reported to OSHA.



- B. **NJOSH 300 (Delete if non-NJ)**
- C. Employee deaths – resulting from an employment accident or illness caused by or related to a workplace hazard or the hospitalization (not examination and release) of three (3) or more employees resulting from an employment accident or illness caused by a workplace hazard must be orally reported by the employer within eight (8) hours.
- D. Incidents of assaults – shall describe who was assaulted, the type of activity, (i.e. unprovoked sudden attack), and all other circumstances of the incident. The records should include a description of the location/environment, potential or actual costs, lost time, nature of injuries sustained, etc. (See [Appendix SM 1.2 A: Violence Incident Report Form](#)).
- E. Incidents of abuse, verbal attacks or aggressive behavior – any acts of aggression shall be recorded; they may be threatening to the worker, but may not result in injury (i.e. pushing or shouting). These records may be assault incident reports that are evaluated routinely by the Violence Prevention Committee. (See [Appendix SM 1.2 A: Violence Incident Report Form](#)).
- F. Other Accident Investigation Reports
- G. Minutes of safety meetings and inspection reports – shall include corrective actions recommended relative to workplace violence and Company’s response and completion dates for action items. Minutes of the Violence Prevention Committee meetings shall be kept for three (3) years.
- H. Training records – shall include dates on which training was conducted, type of training given, employees trained, etc. Records of training program contents, and the sign-in sheets of all attendees, shall be kept for five (5) years. Qualifications of the trainers shall be maintained along with the training records.
- I. Inspection records – shall include dates of inspection, areas inspected, all findings and recommendations, any control measures implemented, etc. (See attached Security Inspection and Analysis).
- J. Employee questionnaires/surveys – that assess their views of high-risk work areas and activities. (See attached Review of Tasks & Employee Surveys and Employee Survey).
- K. Staff termination records
- L. Union grievances and complaints
- M. Police Reports
- N. Insurance records
- O. Workers’ Compensation Records
- P. Medical records

## ENFORCEMENT

Company has a zero-tolerance policy for violence. If an employee engages in any violence in the workplace, or threatens violence in the workplace, he/she may be terminated immediately for cause. No talk of violence or joking about violence will be tolerated.

In an effort to fulfill this commitment to a safe work environment for employees, residents, and visitors:

1. All employees must display company identification.

2. All visitors must register and display identification while on the property.
3. Company specifically prohibits the possession of weapons by any employee while on company property unless authorized for security personnel. Employees are also prohibited from carrying a weapon while performing services off The Company premises. Appropriate disciplinary action, up to and including termination, will be taken against any employee who violates this policy.
4. Desks, telephones, and computers are the property of Company. Company reserves the right to enter or inspect employees' work area including, but not limited to, desks, email, and computer storage disks, with or without notice.
5. Any private conversations overheard or transmitted via telephone, electronic communication, mail or fax on facility premises that constitute threats against other individuals can and will be used as the basis for termination for cause.
6. Employees are encouraged to report any incident that may involve a violation of any of the policies that are designed to provide a comfortable workplace environment. Any concerns may be presented to employees' immediate supervisor and/or the Compliance Officer. All reports will be investigated and information will be kept confidential.

## **ANTI-RETALIATION**

Company shall not take any retaliatory action against any health care worker for reporting violent incidents. Thus, an employee shall not be discharged, suspended, demoted, or have any other adverse employment action taken against him/her for making a good faith report of violence.

## **DEFINITIONS**

*Covered Health Care Facility*: A general or special hospital or nursing home licensed by the Department of Health and Senior Services, a State or county psychiatric hospital, or a State developmental center.

*Health Care Worker*: An individual who is employed by a covered health care facility.

*Workplace Violence or Violent Act*: Any physical assault, threatening behavior, verbal abuse, or damage of personal property occurring in the work setting. It includes, but is not limited to, beatings, stabbing, suicides, shootings, rapes, near suicides, murders, psychological traumas such as threats, obscene phone calls, use of berating language, an intimidating presence, and harassment of any nature such as being followed, sworn at or shouted at. Acts of vandalism, arson and sabotage are also considered workplace violence.

*Workplace*: May be any location, either permanent or temporary, where an employee performs any work-related duty. This includes, but is not limited to, the buildings and the surrounding perimeters, including the parking lots, field locations, clients' homes, off-site business-related functions

such as trade shows and business conferences, social events such as company party, and traveling to and from work assignments.

**Violence by Strangers:** In this type of incident the violence is committed by a stranger. This stranger has no legitimate relationship to the worker or workplace and enters the workplace, usually on the pretense of being a customer or visitor, to commit a robbery or other violent act. Workers also may be victimized by strangers outside the “traditional” workplace but while acting within the course and scope of their employment.

**Violence by Residents/Clients:** In these incidents, the violence is committed by someone who receives a service such as a current or former resident or a family member. The violence can be committed in the workplace or, as with service providers, outside the workplace but while the worker is performing a job related function.

**Violence by Coworkers:** In co-worker incidents, the perpetrator has an employment relationship with the workplace. The perpetrator can be a current or former employee, a prospective employee, a current or former supervisor or a manager. Co-worker violence that occurs outside the workplace, but which resulted or arose from the employment relationship would be included in this category. This type of violence can be divided into two types: Violence between supervisors and subordinates, and violence between workers at the same levels.

**Violence by Personal Relations:** In personal relations incidents, the violence is committed by someone who has a personal relationship with the worker, such as a current or former spouse or partner, a relative or a friend. Included in this category is the perpetrator who has a personal dispute with the worker and enters the workplace to harass, threaten, injure or kill.

**Violence by an Ancillary Service Provider:** In these incidents, the violence is committed by someone who enters the workplace to provide a service such as an ambulance attendant, lab/x-ray technician, delivery person or physician.

**Assault:** The intentional use of physical injury (impairment of physical condition or substantial pain) to another person, with or without a weapon or dangerous instrument.

**Criminal Mischief:** Intentional or reckless damaging of the property of another person without permission.

**Disorderly Conduct:** Intentionally causing public inconvenience, annoyance or alarm or recklessly creating a risk thereof by fighting (without injury) or in violent numinous or threatening behavior or making unreasonable noise, shouting abuse, misbehaving, disturbing an assembly or meeting or persons or creating hazardous conditions by an act which serves no legitimate purpose.

**Harassment:** Intentionally striking, shoving or kicking another or subjecting another person to physical contact, or threatening to do the same (without physical injury). Any behavior that demeans, embarrasses, humiliates, annoys, alarms or verbally abuses a person and that is known or would be expected to be unwelcome. This includes abusive or obscene language, insults, gestures, intimidation, stalking, bullying or other inappropriate activities.

Larceny: Wrongful taking, depriving or withholding property from another (no force involved). Victim may or may not be present.

Menacing: Intentionally places or attempts to place another person in fear of imminent serious physical injury.

Reckless Endangerment: Subjecting individuals to danger by recklessly engaging in conduct which creates substantial risk of serious physical injury.

Robbery: Forcible stealing of another's property by use of threat of immediate physical force. (Victim is present and aware of theft).

Public Lewdness: Exposure of sexual organs to others.

Sexual Abuse: Subjecting another to sexual contact without consent.

Sodomy: A deviant sexual act committed as in rape.

Rape: Sexual intercourse without consent.

# SAFE PATIENT HANDLING POLICY

New Jersey

NJ Law: NJSA 26:2H-14.8

NJAC 8:43E-12.11

**Do not replace current “Patient” with “Resident”**

## PURPOSE

To minimize unassisted patient handling in order to decrease the number of job-related musculo-skeletal injuries and disorders suffered by health care workers and to improve the comfort, dignity, satisfaction and quality of care for residents. Nothing in this policy shall be construed to limit the right of a patient to refuse the use of assisted patient handling.

## POLICY

Pursuant to the New Jersey Safe Patient Handling Act and the rules adopted thereunder at N.J.A.C. 8:43E-12, Company wants to ensure that its residents are cared for safely, while maintaining a safe work environment for employees by minimizing unassisted patient handling. To accomplish this, Company will establish a Safe Patient Handling Committee and a Safe Patient Handling Program to ensure the performance of assessments of patient need for assisted patient handling and to provide standards and procedures for conducting these assessments.

## PROCEDURES

### COMPLIANCE

1. Company is committed to patient and healthcare worker safety and well-being and has created this policy in furtherance of this commitment. It is the duty of employees to take reasonable care of their own health and safety, as well as that of their coworkers and their residents during patient handling activities, by following this policy. Noncompliance will indicate a need for retraining.
2. Company shall post a summary statement of this policy in a location easily visible to staff, residents, and visitors.
3. If a language other than English is the exclusive language spoken by at least 10 percent of Company's healthcare workers, the covered Company shall translate the safe patient handling policy into that language and make it available to those workers.

### SAFE PATIENT HANDLING COMMITTEE

The Administrator shall appoint staff members to this committee, with 50% of the committee to be made up of direct patient care staff and include therapy staff and maintenance staff. The purpose of the Committee is to facilitate and oversee the Safe Patient Handling Program, with tasks that include but are not limited to: establish expertise in using patient handling equipment, oversee care

of equipment, oversee training, complete an annual patient handling hazard assessment, review incident reports involving patient lifting or movement injuries, make recommendations, and report information to the Safety Committee.

1. The Safe Patient Handling Committee shall meet as needed, but no less than quarterly.
2. The Safe Patient Handling Committee shall select a chairperson from among its members.
3. If health care workers are represented by one or more collective bargaining agents, the management of the facility or system shall consult with the collective bargaining agents regarding the selection of the health care worker committee members.
4. The Safe Patient Handling Committee shall be responsible for all aspects of the development, implementation and periodic evaluation and revision of the facility's safe patient handling program, including the evaluation and selection of patient handling equipment.
5. The Safe Patient Handling Committee shall ensure that all decisions about the selection and appropriate use of equipment shall be based on the patient assessments;
6. The Safe Patient Handling Committee shall ensure that the patient assessments are communicated to everyone who may be responsible for lifting, transferring or repositioning that patient.
7. The Safe Patient Handling Committee shall determine and ensure the availability of an adequate number and variety of assisted patient handling equipment on each patient care unit.
8. The Safe Patient Handling Committee shall recommend a financial for the Safe Patient Handling Program to include an annual budget and a realistic three-year plan to purchase the requisite safe patient handling equipment.
9. The Safe Patient Handling Committee shall recommend equipment selection and ensure that healthcare workers and other employees who may handle safe patient handling equipment shall have the opportunity to participate in the selection and evaluation of equipment prior to purchase and that such employee evaluations shall be factored into purchasing decisions before the facility determines which equipment to purchase.
10. The Safe Patient Handling Committee shall develop a plan to ensure that equipment users have prompt access to and availability of assisted patient handling equipment.
11. The Safe Patient Handling Committee shall develop an evaluation process to determine whether selected assisted patient handling equipment is appropriate for the task to be accomplished, comfortable for the patient and safe and stable for both patient and;

## **SAFE PATIENT HANDLING PROGRAM**

The Administrator shall establish a Safe Patient Handling program. The purpose of the program is to reduce the risk of injury to both residents and health care workers in the facility.

1. The Administrator shall designate a representative of administration who shall be responsible for overseeing all aspects of the safe patient handling program.
2. The Administrator and the Safe Patient Handling Committee will ensure that no person shall use patient handling equipment prior to completing the mandatory training as set forth in below section entitled “Training”.
3. The representative shall ensure that The Company supports the program by providing assistance that includes:
  - A. Recognizing problems related to patient handling;
  - B. Developing clear goals;
  - C. Assigning responsibilities to designated staff members;
  - D. Allocating fiscal resources for planning and training;
  - E. Allocating fiscal resources for the purchase, implementation and maintenance of the required equipment in the time allowed; and
  - F. Ensuring follow-up and revisions to the plan.
4. The Administrator shall allow employee input regarding the program through means developed by the safe patient handling committee.
5. The Administrator shall maintain a detailed written description of the program and its components.
6. The Administrator shall make a copy of the written description of the program available upon request, to the Office of Certificate of Need and Health Care Facility Licensure in the Department of Health and Senior Services.
7. The Administrator shall make the written description available within two business days after a request by a health care worker or collective bargaining agent who represents health care workers at the facility.
8. If a language other than English is the exclusive language spoken by at least 10 percent of Company's healthcare workers, the covered Company shall translate the description of the safe patient handling program into that language and make it available to those workers.
9. Company shall not take any retaliatory action against a health care worker because the worker refuses to perform a patient handling task due to a reasonable concern about worker or patient safety, or the lack of appropriate and available patient handling equipment.
  - A. A health care worker who refuses to perform a patient handling task pursuant to this section shall promptly notify her or his supervisor of the refusal and the reason for refusing.

## **PATIENT HANDLING AND MOVEMENT REQUIREMENTS**

1. Avoid hazardous patient handling and movement tasks whenever possible. If unavoidable, assess them carefully prior to completion.

2. Use mechanical lifting devices and other approved patient handling aids for high-risk patient handling and movement tasks.
3. Use mechanical lifting devices and other approved patient handling aids in accordance with instructions and training.

#### **SAFE PATIENT HANDLING ASSESSMENT**

1. Initial Safe Patient Handling Assessment and need for assisted patient handling will be completed by the therapist within 72 hours of admission for every patient. (See [NJ Safe Patient Handling Assessment Form](#)).
2. Assisted patient handling shall be used for patient handling tasks, except when not required based on an assessment of a patient's need for assisted patient handling or in the case of a medical emergency, during which a patient's life would be threatened if the required safe patient handling equipment were not immediately available
3. The nurse will provide the weight and height information and other assessed information to be used to determine strength, physical ability and cognitive ability; preferences; and any special circumstances likely to affect transfer or repositioning tasks;
4. The therapist will inform nursing regarding specific interventions.
5. The quarterly re-assessments will be completed by the therapist on the same schedule as the MDS.
6. The Safe Patient Handling Assessment Form will be kept in the resident record with the Quarterly Assessments.
7. The Safe Patient Handling Committee shall conduct a needs assessment for each unit or department within the facility every three years, or sooner if needed, to determine the type and quantity of assisted patient handling equipment required and, if necessary, to prioritize the need for equipment among the units or areas within The Company based on the needs assessments. The needs assessment for each unit or department shall focus on, at a minimum, the following:
  - A. Typical patient type and care needs on each unit;
    - a. The categories of staff and types of residents to whom injuries are occurring;
    - b. When and where injuries are occurring (department, unit, date, time and shift);
    - c. The number and leading types of musculoskeletal injuries and disorders among healthcare workers;
    - d. Types of tasks that caused injury (or are difficult or painful to perform) including, at a minimum, lifting, repositioning and transferring residents;
    - e. Specific equipment associated with employee or patient injuries;
    - f. Available patient handling equipment and any problems associated with its use;
    - g. Potential problems with new equipment and assurance of access, storage and maintenance;



- h. Facility costs associated with unassisted and assisted patient handling injuries including, at a minimum, medical and workers' compensation costs; and
  - i. Indirect impact of injuries on staff turnover and replacement.
- 8. The needs assessment shall be conducted using, at a minimum, the following resources:
  - A. New Jersey Occupational Safety and Health Form 300 (N.J.A.C. 12:110-5.1);
  - B. OSHA Log of Work-Related Injuries and Illnesses (OSHA Forms 300 and 301) required by 29 CFR Part 1904, which is incorporated herein by reference, as amended and supplemented;
  - C. Reports of workers' compensation claims;
  - D. Accident and incident reports;
  - E. Facility incident reports for employees and residents;
  - F. Insurance company reports;
  - G. Employee interviews and surveys; and
  - H. Reviews and observations of workplace conditions.
- 9. Residents shall have the right to refuse the use of assisted patient handling.

## TRAINING

Company shall require all supervisors, all equipment users, members of the safe patient handling committee and all departments and staff that are engaged in patient handling activities to participate in mandatory, annual safe patient handling training. Trainings and handouts will be made available in any language, in addition to English, if such language is the exclusive language of 10% of Company's healthcare workers.

- 1. The Safe Patient Handling Committee shall:
  - A. Ensure that the training shall be based on researched and proven approaches for performing safe patient handling;
  - B. Ensure that the patient handling training for a health care worker required by this section is conducted prior to any use of the safe patient handling equipment by the healthcare worker, and at least annually thereafter;
  - C. Provide that training shall be at least two hours in duration and shall be held during paid work time;
    - i. Provide appropriate interim training for health care workers beginning work between annual training sessions; and
    - ii. Provide refresher training, as needed;
  - D. Annually, or more frequently if necessary, review the training content and methods and make necessary revisions.
- 2. Training shall include:
  - A. An explanation of The Company's safe patient handling policies and practices
  - B. Causes and prevention of musculoskeletal injuries and disorders
  - C. How to recognize and address early indications of musculoskeletal injuries and disorders before serious injury develops

- D. Identification, assessment and control of patient handling risks, including use of assessments of patient need for assisted patient handling and appropriate communication with residents
  - E. A demonstration of safe, appropriate and effective use of patient handling equipment
  - F. Trainee participation in operating unit-specific patient handling equipment and demonstration that they are proficient in using such equipment for residents with a range of physical limitations
  - G. Company Name's procedures for reporting work-related injuries and illnesses pursuant to the New Jersey Public Employees' Occupational Safety and Health Act, as required by N.J.S.A. 34:6A-40, or OSHA's injury and illness recording and reporting requirements at 29 CFR Part 1904
  - H. Explanation, demonstration and practice of researched and proven methods and techniques that one or more health care workers may use for patient handling of a patient who refuses assisted patient handling
  - I. Staff will correct improper use as indicated
  - J. Human Resources shall maintain training records
3. The Safe Patient Handling Committee shall appoint a person or persons to develop Safe Patient Handling educational materials for residents and their families and include such educational materials in Company's admissions package.

#### **MECHANICAL LIFTING DEVICES AND OTHER EQUIPMENT/AIDS**

1. The Employees Safety Committee and Supervisors will ensure that mechanical lifting devices and other equipment/aids are accessible to staff.
2. Maintenance shall ensure that mechanical lifting devices and other equipment/aids are maintained regularly and kept in proper working order and ensure necessary supplies are available. Staff is required to inform maintenance of any issues as soon as possible as well as remove the device from further use until it is safe to use.
3. The Employee Safety Committee, Supervisors and staff shall ensure that mechanical lifting devices and other equipment/aids are stored conveniently and safely.

#### **REPORTING OF INJURIES/INCIDENTS**

The Administrator and Safe Patient Handling Committee shall:

1. Establish an injury reporting system and encourage all employees to report injuries and near misses in a non-punitive environment.
2. Designate a person or persons to develop procedures for performing injury investigations, preparing investigation reports and educating staff when an injury or near miss occurs;
3. Appoint an appropriate facility department to receive and analyze injury reports and to generate de-identified, aggregated data reports that take into account, at a minimum, items

identified at N.J.A.C. 8:43E-12.8(b); the safe and proper use of assisted patient handling equipment; patient refusals of assisted patient handling associated with injuries to healthcare workers; and the overall efficacy of the safe patient handling program;

4. Establish a system for monthly reporting of generated reports to the safe patient handling committee;
5. Maintain records of work-related musculoskeletal injuries and disorders to help identify problem areas in accordance with the New Jersey Public Employees' Occupational Safety and Health injury and illness recordkeeping requirements (N.J.A.C. 12:110-5), or OSHA's injury and illness recording and reporting requirements at 29 CFR Part 1904.
6. The Safe Patient Handling Committee shall evaluate the de-identified injury incident data in order to: a) identify units and shifts with ongoing injuries related to patient handling; b) track the impact of injuries on employee turnover; and c) determine what measures to take to increase patient acceptance of safe patient handling, including changes to the education of healthcare workers, residents and family members.

#### **DELEGATION OF AUTHORITY AND RESPONSIBILITY**

The Administrator, together with the Safe Patient Handling Committee shall:

1. Support the implementation of this policy.
2. Develop a plan and budget for the acquisition of lifting equipment/aids to allow staff to use them when needed for safe patient handling and movement.
3. Furnish acceptable storage locations for lifting equipment/aids.
4. Provide staffing levels sufficient to comply with this policy.

Therapists shall:

1. Ensure high-risk patient handling tasks are assessed prior to completion and are completed safely, using mechanical lifting devices and other approved patient handling aids and appropriate techniques.
2. Ensure employees complete initial and annual training and training as required if employees show noncompliance with safe patient handling and movement.
3. Collaborate with Safe Patient Handling and Movement Committee in evaluating the Safe Patient Handling and Movement policy.
4. Ensure all staff reporting injuries due to patient handling tasks report the incident in a manner consistent with the incidents policy.

Maintenance shall:

1. Ensure mechanical lifting devices and other equipment/aids are maintained regularly, are in proper working order, and are stored conveniently and safely.

Human Resources shall:

1. Provide the staff with due dates and information for training with safe patient handling and movement.
2. Maintain Incident Reports and supplemental injury statistics as required by the facility, OSHA, Worker's Comp. Carrier and as requested by Safe Patient Handling Committee.

Employees shall:

1. Comply with all parameters of this policy.
2. Use proper techniques, mechanical lifting devices, and other approved equipment/aids during performance of high-risk patient handling tasks.
3. Notify supervisor of any injury sustained while performing patient handling tasks.
4. Notify supervisor of need for re-training in use of mechanical lifting devices, other equipment/aids and lifting/moving techniques.
5. Notify supervisor and/or maintenance of mechanical lifting devices in need of repair.
6. Supply feedback to Supervisor on Safe Patient Handling and Movement components.
7. Have the right to refuse to participate in manually moving a patient if they are concerned for their own or the patient's safety.

Residents shall:

Be encouraged to cooperate fully with the safe patient handling procedures as requested by the nursing staff. However, the resident has the right to refuse.

**SAFE PATIENT HANDLING ASSESSMENT FORM  
NEW JERSEY**

Name: \_\_\_\_\_ Room #: \_\_\_\_\_ Date: \_\_\_\_\_

To be completed within 72 hours of admission, quarterly with MDS, and as needed.

What is the resident's size:    Date                      Date                      Date                      Date  
Weight: \_\_\_\_\_    Wt: \_\_\_\_\_    Wt: \_\_\_\_\_    Wt: \_\_\_\_\_    Wt: \_\_\_\_\_  
Height: \_\_\_\_\_

What is the level of assistance required by the resident?

- Partial assistance of the caregiver (requires no more help than standby, cueing, or coaxing, or no more than 50% physical assistance by the caregiver).
- Dependent (requires more than 50% assistance by the caregiver, or the amount of assistance the resident can offer is unpredictable).

What is the resident's weight-bearing capability?

- Full weight bearing.
- Cannot bear own weight.
- Partial weight bearing.

What is the resident's level of cooperation and comprehension? Is resident cooperative and able to follow instructions?

- Yes, (resident is cooperative; may need prompting but is able to follow simple commands).
- No, (resident is either unpredictable, not always cooperative, or is unable to follow simple commands consistently. A resident with frequent behavior changes should be considered "unpredictable.")

What conditions are likely to affect resident handling tasks?

- |  |  |
|--|--|
| <input type="checkbox"/> Joint replacement                     | <input type="checkbox"/> Postural hypotension      |
| <input type="checkbox"/> LE amputation                         | <input type="checkbox"/> History of falls          |
| <input type="checkbox"/> Severe osteoporosis                   | <input type="checkbox"/> Urinary or fecal stoma    |
| <input type="checkbox"/> Paralysis                             | <input type="checkbox"/> Contractures or spasms    |
| <input type="checkbox"/> Spinal involvement                    | <input type="checkbox"/> Fractures                 |
| <input type="checkbox"/> Pressure Ulcers                       | <input type="checkbox"/> General weakness          |
| <input type="checkbox"/> Impaired balance                      | <input type="checkbox"/> Obese/or substantial size |
| <input type="checkbox"/> Presence of tubes (IV, urinary, etc.) |  |

Other: \_\_\_\_\_

What are the resident's safe handling needs? Dependency level:

- |   |   |
|---|---|
| <input type="checkbox"/> Independent        | <input type="checkbox"/> Supervision required |
| <input type="checkbox"/> Limited assistance | <input type="checkbox"/> Extensive assistance |
| <input type="checkbox"/> Total dependence   |   |

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

Intervention

- Hoyer Lift
- 2 Person transfer
- 1 Person transfer with assistive device
- Gait belt required
- Supervision with assistive device
- Supervision without assistive device
- Independent

Date: \_\_\_\_\_

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature: \_\_\_\_\_

**OPPORTUNITY TO COMPETE ACT “BAN THE BOX” LAW  
New Jersey**

\*See the [New Jersey Department of Labor and Workforce Development](#) for more information.

**EMPLOYMENT VERIFICATION FORM  
New Jersey**

To:

***Fold, staple and return***

Applicant's Name:	
Address:	
Position Applied For:	
I hereby authorize you to issue any information you have regarding my performance and do unconditionally release you from all liability for any ramifications which might result from providing this information.	
Signature:	Social Security #:

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**Pursuant to New Jersey's Health Care Professional Responsibility and Reporting Enhancement Act (Nurse Cullen Law):**

Name While Employed: \_\_\_\_\_ Position \_\_\_\_\_  
Employment Dates: \_\_\_\_\_ To \_\_\_\_\_

Have you submitted documentation to the Division of Consumer Affairs or other professional licensing board during the past seven (7) years regarding this employee? Yes  No

If yes, provide the following:

Date of Notification \_\_\_\_\_

Reason for Notification: \_\_\_\_\_  
(please attach supporting documents)

Is this individual currently employed? Yes  No

If no, what was the reason for leaving?

Voluntary \_\_\_\_\_  
(Reason)

Involuntary \_\_\_\_\_  
(Reason)

Is this former employee eligible for re-employment by the health care entity? Yes  No

If no, please explain if due to job performance as it relates to patient care: \_\_\_\_\_

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Comments / job performance concerns related to patient care noted in prior evaluative documents:

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Reference provided by (please print): \_\_\_\_\_

Title: \_\_\_\_\_

Signature \_\_\_\_\_

Date: \_\_\_\_\_

---

**FOLD AND STAPLE**

**FROM:**

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**TO:**

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# NEW YORK REQUIREMENTS

[NYS HARASSMENT POLICY](#)

**HARASSMENT POLICY**  
**New York State**  
**Introduction**

[Employer Name] is committed to maintaining a workplace free from sexual harassment. Sexual harassment is a form of workplace discrimination. All employees are required to work in a manner that prevents sexual harassment in the workplace. This Policy is one component of [Employer Name's] commitment to a discrimination-free work environment. Sexual harassment is against the law<sup>1</sup> and all employees have a legal right to a workplace free from sexual harassment and employees are urged to report sexual harassment by filing a complaint internally with [Employer Name]. Employees can also file a complaint with a government agency or in court under federal, state or local antidiscrimination laws.

**Policy:**

1. [Employer Name's] policy applies to all employees, applicants for employment, interns, whether paid or unpaid, contractors and persons conducting business, regardless of immigration status, with [Employer Name]. In the remainder of this document, the term “employees” refers to this collective group.
2. Sexual harassment will not be tolerated. Any employee or individual covered by this policy who engages in sexual harassment or retaliation will be subject to remedial and/or disciplinary action (e.g., counseling, suspension, termination).
3. Retaliation Prohibition: No person covered by this Policy shall be subject to adverse action because the employee reports an incident of sexual harassment, provides information, or otherwise assists in any investigation of a sexual harassment complaint. [Employer Name] will not tolerate such retaliation against anyone who, in good faith, reports or provides information about suspected sexual harassment. Any employee of [Employer Name] who retaliates against anyone involved in a sexual harassment investigation will be subjected to disciplinary action, up to and including termination. All employees, paid or unpaid interns, or non-employees<sup>2</sup> working in the workplace who believe they have been subject to such retaliation should inform a supervisor, manager, or [name of appropriate person]. All employees, paid or unpaid interns or non-employees who believe they have been a target of such retaliation may also seek relief in other available forums, as explained below in the section on Legal Protections.

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<sup>1</sup> While this policy specifically addresses sexual harassment, harassment because of and discrimination against persons of all protected classes is prohibited. In New York State, such classes include age, race, creed, color, national origin, sexual orientation, military status, sex, disability, marital status, domestic violence victim status, gender identity and criminal history.

<sup>2</sup> A non-employee is someone who is (or is employed by) a contractor, subcontractor, vendor, consultant, or anyone providing services in the workplace. Protected non-employees include persons commonly referred to as independent contractors, “gig” workers and temporary workers. Also included are persons providing equipment repair, cleaning services or any other services provided pursuant to a contract with the employer.

4. Sexual harassment is offensive, is a violation of our policies, is unlawful, and may subject **[Employer Name]** to liability for harm to targets of sexual harassment. Harassers may also be individually subject to liability. Employees of every level who engage in sexual harassment, including managers and supervisors who engage in sexual harassment or who allow such behavior to continue, will be penalized for such misconduct.
5. **[Employer Name]** will conduct a prompt and thorough investigation that ensures due process for all parties, whenever management receives a complaint about sexual harassment, or otherwise knows of possible sexual harassment occurring. **[Employer Name]** will keep the investigation confidential to the extent possible. Effective corrective action will be taken whenever sexual harassment is found to have occurred. All employees, including managers and supervisors, are required to cooperate with any internal investigation of sexual harassment.
6. All employees are encouraged to report any harassment or behaviors that violate this policy. **[Employer Name]** will provide all employees a complaint form for employees to report harassment and file complaints.
7. Managers and supervisors are **required** to report any complaint that they receive, or any harassment that they observe or become aware of, to **[person or office designated]**.
8. This policy applies to all employees, paid or unpaid interns, and non-employees and all must follow and uphold this policy. This policy must be provided to all employees and should be posted prominently in all work locations to the extent practicable (for example, in a main office, not an offsite work location) and be provided to employees upon hiring.

### **What Is “Sexual Harassment”?**

Sexual harassment is a form of sex discrimination and is unlawful under federal, state, and (where applicable) local law. Sexual harassment includes harassment on the basis of sex, sexual orientation, self-identified or perceived sex, gender expression, gender identity and the status of being transgender.

Sexual harassment includes unwelcome conduct which is either of a sexual nature, or which is directed at an individual because of that individual’s sex when:

- Such conduct has the purpose or effect of unreasonably interfering with an individual’s work performance or creating an intimidating, hostile or offensive work environment, even if the reporting individual is not the intended target of the sexual harassment;
- Such conduct is made either explicitly or implicitly a term or condition of employment; or

- Submission to or rejection of such conduct is used as the basis for employment decisions affecting an individual's employment.

A sexually harassing hostile work environment includes, but is not limited to, words, signs, jokes, pranks, intimidation or physical violence which are of a sexual nature, or which are directed at an individual because of that individual's sex. Sexual harassment also consists of any unwanted verbal or physical advances, sexually explicit derogatory statements or sexually discriminatory remarks made by someone which are offensive or objectionable to the recipient, which cause the recipient discomfort or humiliation, which interfere with the recipient's job performance.

Sexual harassment also occurs when a person in authority tries to trade job benefits for sexual favors. This can include hiring, promotion, continued employment or any other terms, conditions or privileges of employment. This is also called "quid pro quo" harassment.

Any employee who feels harassed should report so that any violation of this policy can be corrected promptly. Any harassing conduct, even a single incident, can be addressed under this policy.

### **Examples of sexual harassment**

The following describes some of the types of acts that may be unlawful sexual harassment and that are strictly prohibited:

- Physical acts of a sexual nature, such as:
  - Touching, pinching, patting, kissing, hugging, grabbing, brushing against another employee's body or poking another employee's body;
  - Rape, sexual battery, molestation or attempts to commit these assaults.
- Unwanted sexual advances or propositions, such as:
  - Requests for sexual favors accompanied by implied or overt threats concerning the target's job performance evaluation, a promotion or other job benefits or detriments;
  - Subtle or obvious pressure for unwelcome sexual activities.
- Sexually oriented gestures, noises, remarks or jokes, or comments about a person's sexuality or sexual experience, which create a hostile work environment.
- Sex stereotyping occurs when conduct or personality traits are considered inappropriate simply because they may not conform to other people's ideas or perceptions about how individuals of a particular sex should act or look.
- Sexual or discriminatory displays or publications anywhere in the workplace, such as:

- Displaying pictures, posters, calendars, graffiti, objects, promotional material, reading materials or other materials that are sexually demeaning or pornographic. This includes such sexual displays on workplace computers or cell phones and sharing such displays while in the workplace.
- Hostile actions taken against an individual because of that individual’s sex, sexual orientation, gender identity and the status of being transgender, such as:
  - Interfering with, destroying or damaging a person’s workstation, tools or equipment, or otherwise interfering with the individual’s ability to perform the job;
  - Sabotaging an individual’s work;
  - Bullying, yelling, name-calling.

**Who can be a target of sexual harassment?**

Sexual harassment can occur between any individuals, regardless of their sex or gender. New York Law protects employees, paid or unpaid interns, and non-employees, including independent contractors, and those employed by companies contracting to provide services in the workplace. Harassers can be a superior, a subordinate, a coworker or anyone in the workplace including an independent contractor, contract worker, vendor, client, customer or visitor.

**Where can sexual harassment occur?**

Unlawful sexual harassment is not limited to the physical workplace itself. It can occur while employees are traveling for business or at employer sponsored events or parties. Calls, texts, emails, and social media usage by employees can constitute unlawful workplace harassment, even if they occur away from the workplace premises, on personal devices or during non-work hours.

**Retaliation**

Unlawful retaliation can be any action that could discourage a worker from coming forward to make or support a sexual harassment claim. Adverse action need not be job-related or occur in the workplace to constitute unlawful retaliation (e.g., threats of physical violence outside of work hours).

Such retaliation is unlawful under federal, state, and (where applicable) local law. The New York State Human Rights Law protects any individual who has engaged in “protected activity.” Protected activity occurs when a person has:

- made a complaint of sexual harassment, either internally or with any anti-discrimination agency;
- testified or assisted in a proceeding involving sexual harassment under the Human Rights Law or other anti-discrimination law;
- opposed sexual harassment by making a verbal or informal complaint to management, or by simply informing a supervisor or manager of harassment;

- reported that another employee has been sexually harassed; or
- encouraged a fellow employee to report harassment.

Even if the alleged harassment does not turn out to rise to the level of a violation of law, the individual is protected from retaliation if the person had a good faith belief that the practices were unlawful. However, the retaliation provision is not intended to protect persons making intentionally false charges of harassment.

## **Reporting Sexual Harassment**

**Preventing sexual harassment is everyone's responsibility.** [Employer Name] cannot prevent or remedy sexual harassment unless it knows about it. Any employee, paid or unpaid intern or non-employee who has been subjected to behavior that may constitute sexual harassment is encouraged to report such behavior to a supervisor, manager or [person or office designated]. Anyone who witnesses or becomes aware of potential instances of sexual harassment should report such behavior to a supervisor, manager or [person or office designated].

Reports of sexual harassment may be made verbally or in writing. A form for submission of a written complaint is attached to this Policy, and all employees are encouraged to use this complaint form. Employees who are reporting sexual harassment on behalf of other employees should use the complaint form and note that it is on another employee's behalf.

Employees, paid or unpaid interns or non-employees who believe they have been a target of sexual harassment may also seek assistance in other available forums, as explained below in the section on Legal Protections.

## **Supervisory Responsibilities**

All supervisors and managers who receive a complaint or information about suspected sexual harassment, observe what may be sexually harassing behavior or for any reason suspect that sexual harassment is occurring, **are required** to report such suspected sexual harassment to [person or office designated].

In addition to being subject to discipline if they engaged in sexually harassing conduct themselves, supervisors and managers will be subject to discipline for failing to report suspected sexual harassment or otherwise knowingly allowing sexual harassment to continue.

Supervisors and managers will also be subject to discipline for engaging in any retaliation.

## **Complaint and Investigation of Sexual Harassment**

*All* complaints or information about sexual harassment will be investigated, whether that information was reported in verbal or written form. Investigations will be conducted in a timely manner, and will be confidential to the extent possible.

An investigation of any complaint, information or knowledge of suspected sexual harassment will be prompt and thorough, commenced immediately and completed as soon as possible. The investigation will be kept confidential to the extent possible. All persons involved, including complainants, witnesses and alleged harassers will be accorded due process, as outlined below, to protect their rights to a fair and impartial investigation.

Any employee may be required to cooperate as needed in an investigation of suspected sexual harassment. **[Employer Name]** will not tolerate retaliation against employees who file complaints, support another's complaint or participate in an investigation regarding a violation of this policy.

While the process may vary from case to case, investigations should be done in accordance with the following steps:

- Upon receipt of complaint, **[person or office designated]** will conduct an immediate review of the allegations, and take any interim actions (e.g., instructing the respondent to refrain from communications with the complainant), as appropriate. If complaint is verbal, encourage the individual to complete the "Complaint Form" in writing. If he or she refuses, prepare a Complaint Form based on the verbal reporting.
- If documents, emails or phone records are relevant to the investigation, take steps to obtain and preserve them.
- Request and review all relevant documents, including all electronic communications.
- Interview all parties involved, including any relevant witnesses;
- Create a written documentation of the investigation (such as a letter, memo or email), which contains the following:
  - A list of all documents reviewed, along with a detailed summary of relevant documents;
  - A list of names of those interviewed, along with a detailed summary of their statements;
  - A timeline of events;
  - A summary of prior relevant incidents, reported or unreported; and
  - The basis for the decision and final resolution of the complaint, together with any corrective action(s).
- Keep the written documentation and associated documents in a secure and confidential location.
- Promptly notify the individual who reported and the individual(s) about whom the complaint was made of the final determination and implement any corrective actions identified in the written document.
- Inform the individual who reported of the right to file a complaint or charge externally as outlined in the next section.

## **Legal Protections and External Remedies**

Sexual harassment is not only prohibited by **[Employer Name]** but is also prohibited by state, federal, and, where applicable, local law.

Aside from the internal process at **[Employer Name]**, employees may also choose to pursue legal remedies with the following governmental entities. While a private attorney is not required to file a complaint with a governmental agency, you may seek the legal advice of an attorney.

In addition to those outlined below, employees in certain industries may have additional legal protections.

### **State Human Rights Law (HRL)**

The Human Rights Law (HRL), codified as N.Y. Executive Law, art. 15, § 290 et seq., applies to all employers in New York State with regard to sexual harassment, and protects employees, paid or unpaid interns and non-employees, regardless of immigration status. A complaint alleging violation of the Human Rights Law may be filed either with the Division of Human Rights (DHR) or in New York State Supreme Court.

Complaints with DHR may be filed any time **within one year** of the harassment. If an individual did not file at DHR, they can sue directly in state court under the HRL, **within three years** of the alleged sexual harassment. An individual may not file with DHR if they have already filed a HRL complaint in state court.

Complaining internally to **[Employer Name]** does not extend your time to file with DHR or in court. The one year or three years is counted from date of the most recent incident of harassment.

You do not need an attorney to file a complaint with DHR, and there is no cost to file with DHR.

DHR will investigate your complaint and determine whether there is probable cause to believe that sexual harassment has occurred. Probable cause cases are forwarded to a public hearing before an administrative law judge. If sexual harassment is found after a hearing, DHR has the power to award relief, which varies but may include requiring your employer to take action to stop the harassment, or redress the damage caused, including paying of monetary damages, attorney's fees and civil fines.

DHR's main office contact information is: NYS Division of Human Rights, One Fordham Plaza, Fourth Floor, Bronx, New York 10458. You may call (718) 741-8400 or visit: [www.dhr.ny.gov](http://www.dhr.ny.gov).

Contact DHR at (888) 392-3644 or visit [dhr.ny.gov/complaint](http://dhr.ny.gov/complaint) for more information about filing a complaint. The website has a complaint form that can be downloaded, filled out, notarized and



mailed to DHR. The website also contains contact information for DHR's regional offices across New York State.

### **Civil Rights Act of 1964**

The United States Equal Employment Opportunity Commission (EEOC) enforces federal anti-discrimination laws, including Title VII of the 1964 federal Civil Rights Act (codified as 42 U.S.C. § 2000e et seq.). An individual can file a complaint with the EEOC anytime within 300 days from the harassment. There is no cost to file a complaint with the EEOC. The EEOC will investigate the complaint, and determine whether there is reasonable cause to believe that discrimination has occurred, at which point the EEOC will issue a Right to Sue letter permitting the individual to file a complaint in federal court.

The EEOC does not hold hearings or award relief, but may take other action including pursuing cases in federal court on behalf of complaining parties. Federal courts may award remedies if discrimination is found to have occurred. In general, private employers must have at least 15 employees to come within the jurisdiction of the EEOC.

An employee alleging discrimination at work can file a "Charge of Discrimination." The EEOC has district, area, and field offices where complaints can be filed. Contact the EEOC by calling 1-800-669-4000 (TTY: 1-800-669-6820), visiting their website at [www.eeoc.gov](http://www.eeoc.gov) or via email at [info@eeoc.gov](mailto:info@eeoc.gov).

If an individual filed an administrative complaint with DHR, DHR will file the complaint with the EEOC to preserve the right to proceed in federal court.

### **Local Protections**

Many localities enforce laws protecting individuals from sexual harassment and discrimination. An individual should contact the county, city or town in which they live to find out if such a law exists. For example, employees who work in New York City may file complaints of sexual harassment with the New York City Commission on Human Rights. Contact their main office at Law Enforcement Bureau of the NYC Commission on Human Rights, 40 Rector Street, 10th Floor, New York, New York; call 311 or (212) 306-7450; or visit [www.nyc.gov/html/cchr/html/home/home.shtml](http://www.nyc.gov/html/cchr/html/home/home.shtml).

### **Contact the Local Police Department**

If the harassment involves unwanted physical touching, coerced physical confinement or coerced sex acts, the conduct may constitute a crime. Contact the local police department.