

West River Care Corporate Compliance

I. Policy

A compliance program has been developed and implemented, in order to maintain the highest level of ethics and conduct business in compliance with federal and state laws, as well as private insurer standards. West River Care has a commitment to honest and responsible corporate conduct as a provider of post-acute care.

Policies concerning billing, quality of patient care, documentation as well as ethical business practices have been developed.

The compliance program includes the following items set forth by the OIG Federal Register/Vol.63, N0.152

- A. The development of written policies and procedures
- B. The designation of a Compliance officer and other appropriate bodies
- C. The development and implementation of effective training and education
- D. The development and maintenance of effective lines of communication
- E. The enforcement of standards through well publicized disciplinary guidelines
- F. The use of audits and other evaluation techniques to monitor compliance
- G. The development of procedures to respond to offenses and to initiate corrective actions.

II. Compliance officer

The compliance officer is appointed by the Board of Directors. It is the compliance officer's responsibility to:

- Oversee the Compliance Pan and make modification as needed.
- Audit, monitor and provide oversight of laws.
- Provide an atmosphere that encourages compliance and reporting of non-compliance without retaliation.
- Set up a system to investigate, discipline, correct non-compliance.
- Report all issues to the Board of Directors.

Two compliance telephone lines have been set up. The first that goes to the compliance officer for direct reporting from any employee who has a concern or question about compliance within the organization and a second phone number which is attached to a voice mail for anonymous reporting. Staff are educated about the compliance officer at orientation and annually, and given a hard copy of these numbers. These numbers and the compliance officer's name are posted throughout the agency.

A compliance committee is established by the compliance officer to assist and review issues with the compliance officer. This committee is made up of all disciplines and meets as requested by the compliance officer but no less than quarterly to review any reported issues, investigations, results, and discipline actions taken.

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At orientation and annually compliance education is performed. A major part of that education is to assure that all employees are educated on and understand their responsibility to report any wrong doing they may observe and to bring any concern to their supervisor or the compliance officer.

Phone toll free Anonymously at: 800-303-3810
To the Corporate Compliance officer at: 781-710-9579

III. Standards of Conduct

Standards of Conduct express a commitment to comply with federal, state, and private insurer standards and to the ethical conduct and business practice of all West River Care personnel.

- A. All employees receive a copy of the Standards of Conduct the first day of orientation.
- B. All employees and volunteers read and sign the document and it becomes part of their HR file.
- C. At orientation and annually education is provided to all West River Care staff that they have a responsibility to report any practices that do not conform to the Standards of Conduct

IV. Staff Education

West River Care provides on-going training for staff, volunteers, and contractors related to the compliance program, fraud, waste, and abuse and other programs with federal and state regulations.

Education and training on compliance are included in orientation of new employees and volunteers and annually thereafter.

Education is given through lecture and written materials followed by a quiz to assure understanding.

The compliance officer oversees the content of the education and keeps records of training which include

- dates,
- attendance,
- topics,
- method.

Attendance to the annual in-services is mandatory. Failure to attend results in disciplinary action up to and including termination of employment.

Many opportunities for dates and times are offered.

- Education includes but is not limited to fraud, waste and abuse
- Retention of records

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- Patient rights
- Marketing practices
- Anti-kickback statues
- Appropriate documentation
- Criteria for care
- Billing issues
- The requirement of all staff to follow the compliance policies as a requirement of continued employment
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V. Program Audits and Monitoring Functions

West River Care conducts on-going audits as a means of self-assessment of the quality of operations and compliance This is done quarterly by the members of the compliance committee under the direction of the compliance officer. Reviews of billing, quality of patient care, documentation and marketing practices are reviewed. The OIG work plan is monitored and steps are taken to add concerns to the audit results as necessary. Any found infractions are discussed, reviewed, addressed and improved. Steps are taken to prevent recurrence and further monitoring is performed. A report is developed and results are reported to the quality improvement committee and the Board of Directors as well as documented in the West River Care Annual Agency Report .

VI. Hiring practices

It is West River Care's practice to offer potential employees a position after a criminal background and the nurse aide registry check has been completed, as well as the check with the federal health care programs to assure they are not disbarred from the Medicare/Medicaid program. A drug test is also completed prior to a formal offering of employment. Licenses and certifications are checked electronically with the state on all appropriate personnel.

VII. Disciplinary Action

Discipline action on any infraction found after a reported concern or a quarterly audit will be decided after the assessment has been made by the committee. The reviewer will:

- Have the qualifications and experience necessary to adequately identify potential issues;
- Be objective and independent of line management to the extent that is reasonably possible;
- Have accesses to relevant personnel and resources;
- Present written evaluations to CEO, Board of Directors and management per policy;
- Will suggest and direct corrective actions as needed;
- Determines disciplinary action to be taken under consideration by the compliance committee and the compliance officer and approved by the CEO.
- If it is determined that the infraction has credible evidence of misconduct, may violate criminal or civil or administrative law then West River Care will report the misconduct to the appropriate Federal and State authorities in a reasonable time but no longer than 60 days.

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VIII. Code of Ethics

West River Care used the National Home Health and Hospice Care Organization's guidelines to build their Code of ethics.

Code of Ethics



The Code of Ethics is intended to serve as a guideline to agencies in the following areas:

- A. Patient Rights and Responsibilities
- B. Relationships to Other Provider Agencies
- C. Fiscal Responsibilities
- D. Marketing and Public Relations
- E. Personnel
- F. Legislative
- G Hearing Process

A. Patient Rights and Responsibilities

It is anticipated that observance of these rights and responsibilities will contribute to more effective patient care and greater satisfaction for the patient as well as the agency. The rights will be respected by West River Care personnel and integrated into all programs. A copy of these rights will be prominently displayed within the agency and made available to patients upon request.

- The patient is fully informed of all patient rights and responsibilities.
- The patient has the right to appropriate and professional care relating to physician orders.
- The patient has the right of choice of care providers.
- The patient has the right to receive information necessary to give informed consent prior to the start of any procedure or treatment.
- The patient has the right to refuse treatment within the confines of the law and to be informed of the consequences of his action.
- The patient has the right to privacy.
- The patient has the right to receive a timely response from West Rivers Care request for service.
- A patient will be admitted for service only if the West River Care has the ability to provide safe professional care at the level of intensity needed. The patient has the right to reasonable continuity of care.
- The patient has the right to be informed within reasonable time of anticipated termination of service or plans for transfer to another agency.

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- The patient has the right to voice grievances and suggest changes in service or staff without fear of restraint or discrimination.

A fair hearing shall be available to any individual to whom service has been denied, reduced, terminated or who is otherwise aggrieved by West River Care's action. The fair hearing procedure shall be set forth by each agency as appropriate to the unique patient situation (e.g., funding source, level of care, diagnosis).

- The patient has the right to be fully informed of West River Care's policies and charges for services, including eligibility for third-party reimbursements.
- The patient denied service solely on his inability to pay shall have the right of referral.
- The patient and the public have the right to honest, accurate, and forthright information regarding the home care industry in general and his chosen agency in particular, (e.g., cost per visit, employee qualifications, etc.).

B. Relationship to Other Provider Agencies

- The principal objective of home care and hospice agencies is to provide the best possible service to patients. West River Care shall honestly and conscientiously cooperate in providing information about referrals and shall work together to assure comprehensive services to patients and their families.
- West River Care shall engage in ethical conduct of their affairs so that maximum fair trade occurs.

C. Fiscal Responsibilities

- The amount of service billed is consistent with amount and type of service provided.
- The cost per visit includes only legitimate expenses.
- The medical equipment sold or rented to a patient is provided at the lowest possible cost consistent with quality, quantity, and timeliness.
- The salaries and benefits of the provider and administrative staff shall be consistent with the size, responsibility, and geographical location of the agency.
- West River Care shall not engage in "kick-backs" and "pay-offs."

D. Marketing and Public Relations

- Oral and written statements will fairly represent service, benefits, cost, and agency capability.
- Agencies that promote their service to the public through the media shall include information descriptive of home care and hospice in general, as well as agency specific information.

E. Personnel

- West River Care shall be an equal opportunity employer and comply with all applicable laws, rules, and regulations.
- West River Care shall have written personnel policies available to all employees and uniformly applied to all employees.
- West River Care shall provide an ongoing evaluation process for all employees.
- West River Care shall hire qualified employees and use them at the level of their competency.
- West River Care shall provide supervision to all employees.
- West River Care shall provide continuing education and in-service training for all employees to update knowledge and skills needed to give competent patient care.
- West River Care shall hire adequate staffing to meet the needs of the patients to whom they render care.
- West River Care shall have a pay scale that is consistent with the area and pay only for those expenses for travel and business that are within a reasonable norm.

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F. Standards of Care

- West River Care staff will ensure that all patients meet requirements for admission and continue to be eligible for service throughout the time they receive care.
 - Documentation will be complete, accurate and timely from all West River staff.
 - All documents will be safe guarded by all West River Care staff as per policy
 - West River Care cost reports will be complete, accurate and timely and conform to all Federal and state laws
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