



COMPLIANCE PROGRAM

Direct Client Care Workforce Members Compliance Program Summary

COMPLIANCE PROGRAM OVERVIEW

Craig HomeCare (the “Company”) is dedicated to providing services in compliance with all State and Federal laws governing its operations and consistent with the highest standards of business and professional ethics. This Compliance Program documents the Company’s commitment to comply with all health care laws, regulations, guidelines, and procedures applicable to the services the Company provides to its clients.

The Compliance Program consists of a Code of Conduct and related policies and procedures which are designed to:

- A. Promote honest and responsible corporate conduct;
- B. Prevent, identify, and correct unethical or unlawful behavior;
- C. Encourage the Company’s employees, directors, officers, affiliates and subsidiaries, and other individuals affiliated with the Company (collectively referred to as “Workforce Members”) to report potential problems so the Company can investigate and take appropriate action to correct and avoid activities which are not in accord with the goals of this Compliance Program;
- D. Minimize financial loss to governmental entities and the Company by early detection and reporting; and
- E. Enhance client satisfaction and safety through the delivery of improved and efficient quality of care.

Adherence to the Compliance Program, the Code of Conduct, and related policies and procedures (collectively referred to as the “Compliance Program”) is a condition of continued employment for all employees. Failure to abide by the Compliance Program may lead to disciplinary or other remedial action.

The activities of the Company, and of each Company Workforce Member with regard to the Company’s affairs, are conducted in a complex world of laws and regulations. It is the responsibility of each Company Workforce Member to ensure that his/her behavior complies with all applicable laws, regulations, the Compliance Program, the Code of Conduct, and related policies and procedures.

The following contains excerpts from the Code of Conduct highlighting key provisions applicable to direct client care Workforce Members and summarizing certain laws, rules, and regulations and the related policies and procedures of the Company that are of particular importance to the Company’s business and preservation of its good name and reputation. This summary is a tool for direct client care Workforce Members to use in familiarizing themselves with the Compliance Program and does not replace their obligation to comply with all applicable laws, regulations, and policies and procedures whether or not the requirements are specifically stated in the Compliance Program or this summary.

EXCERPTS FROM CODE OF CONDUCT

PRINCIPLE 1 – CLIENT CARE AND TREATMENT (Page 8)

The Company shall treat all clients with respect and dignity and provide care and treatment that is both necessary and appropriate. It is the responsibility of every Company Workforce Member to always act in the best interest of the client.

Standard 1.1 – Professional Decision Making.

The Company shall use appropriate clinical criteria to determine whether to treat a client with specific interventions. Any services will only be provided after careful evaluation of the client's condition and consideration of the client's physical, mental, social, emotional, occupational, and/or lifestyle needs and with a valid physician order. Clinical decisions shall be based on medical necessity and identified client needs. The medical necessity of all treatments and procedures recommended by Company Workforce Members will be adequately documented in the client medical record.

Standard 1.2 – Client Rights.

All Workforce Members shall respect clients in the performance of their job duties. Clients and their representatives shall be accorded appropriate confidentiality, privacy, security, protective services, and opportunity for resolution of complaints.

EXCERPTS FROM PRINCIPLE 2 -- LEGAL COMPLIANCE (Page 8)

The Company shall comply with all laws and regulations applicable to its operations. The Company Workforce Members shall be knowledgeable about and comply with such legal requirements in the performance of their duties. The Company Workforce Members shall promptly report any suspected incident of non-compliance, and cooperate fully with any internal investigation concerning alleged non-compliance.

The Company expects all of its Workforce Members to take an active role in detecting and correcting activities that potentially violate applicable laws and regulations. The Company Workforce Members are obligated to do the following: (a) participate fully in all educational programs concerning legal compliance issues; (b) seek assistance from an appropriate member of the Company's Management team with any questions concerning legal compliance issues; (c) report any suspected incident of non-compliance; and (d) cooperate fully in any internal investigation concerning alleged non-compliance. Workforce Members shall be evaluated for compliance with these obligations, and shall be disciplined for failure to fulfill these obligations.

The Company shall not tolerate retaliation against any Workforce Member who, in good faith, raises questions concerning legal compliance and/or reports any suspected incident of non-compliance. All such information reported by a Workforce Member shall be kept confidential to the extent confidentiality is possible throughout any resulting investigation.

There are several means by which a Workforce Member may seek answers to questions concerning legal compliance or report suspected incidents of non-compliance. A Workforce Member may contact:

- A. His/her supervisor.
- B. Craig HomeCare's Compliance Officer – by telephone (316-264-9988) or mail – Compliance Officer, Craig HomeCare, (P.O. Box 2241, Wichita, Kansas 67201-2241).
- C. Compliance Hotline at (316) 266-8716.

All such reports shall be treated as confidential to the fullest extent possible. Craig HomeCare shall make reasonable efforts to protect the anonymity of the person making such a report.

The following Legal Compliance Standards are intended to provide guidance to Workforce Members with respect to their obligation to comply with all applicable laws and regulations. These Standards are neither exclusive nor complete.

Workforce Members are required to comply with all applicable laws and regulations, whether or not specifically addressed in the Code of Conduct.

Standard 2.1 – Fraud and Abuse/Anti-Kickback Statute/the Stark Law Excerpt (Page 9).

All Workforce Members involved in the delivery of client care shall be responsible for producing and maintaining complete and accurate documentation in the appropriate client record and submitting complete and accurate charges for all medical goods and services provided to clients. All Workforce Members involved in coding and billing will be trained, qualified, and knowledgeable in coding and billing and will perform these duties accurately. Workforce Members performing coding and billing functions will remain aware of areas of risk.

Standard 2.2 -- Health Insurance Portability and Accountability Act (“HIPAA”) (Page 11).

The Company shall devote necessary resources to ensure compliance with State and Federal regulations concerning the privacy and security of protected health information. Workforce Members shall receive appropriate training to enable them to perform their job duties in compliance with these legal requirements. The Company will strive to utilize electronic health information in a secure and reliable manner. For further information and specific policies and procedures related to HIPAA, please refer to the Company’s **HIPAA & Release of Information Policies and Procedures**.

Standard 2.7 – Illegal Drugs and Alcohol (Page 12).

The Company prohibits the use, sale, dispensing, or possession of illegal drugs by its Workforce Members, whether on or off the Company’s premises. Illegal drugs include prescription drugs not dispensed or used pursuant to a properly authorized prescription. All Workforce Members shall report for work free of the influence of illegal drugs or alcohol. A Workforce Member may be asked to submit to a drug test at any time deemed appropriate by the Company and as permitted by law. For further information and specific policies and procedures related to illegal drugs and alcohol usage, please refer to Company’s **Professionalism in the Workplace Policies and Procedures**.

Standard 2.8 – Controlled Substances (Page 12).

Some Workforce Members have access to prescription drugs, controlled substances, and other medical supplies. Under Company policy, access to controlled substances is limited to Workforce Members who are properly licensed and who have express authority to handle them. The use of these items is governed by government regulations and must be administered pursuant to physician order. It is extremely important that these items be handled properly by authorized individuals to minimize risk to clients and the Company. Workforce Members should carefully follow the recordkeeping procedures established by the Company. If a Workforce Member becomes aware of the diversion of drugs, the Workforce Member shall report the matter immediately. For further information and specific policies and procedures related to controlled substances, please refer to Company’s **Medication Administration Policies and Procedures**.

EXCERPT FROM PRINCIPLE 3 -- BUSINESS ETHICS (Page 12)

In furtherance of the Company’s commitment to the highest standards of business ethics and integrity, Workforce Members shall accurately and honestly represent the Company and shall not engage in any activity or scheme intended to defraud anyone of money, property, or honest services.

Standard 3.1 – Honest Communication (Page 12).

The Company requires candor and honesty from Workforce Members in the performance of their responsibilities. No Workforce Member shall make false or misleading statements to any person or entity, including other Workforce Members, concerning any aspect of the operations of Craig HomeCare.

PRINCIPLE 4 – CONFIDENTIALITY (Page 14)

All Workforce Members shall execute and abide by the Craig HomeCare Confidentiality Agreement.

EXCERPT FROM PRINCIPLE 5 -- BUSINESS RELATIONSHIPS (Page 14)

Business transactions with vendors, contractors, and other third parties shall be transacted free from offers or solicitation of gifts and favors or other improper inducements in exchange for influence or assistance in a transaction. Business courtesies, which include gifts, meals, entertainment, social events, and similar items of value extended without charge, when accepted, are for the purpose of fostering a collaborative business relationship and never as compensation or inducement for referrals of patients, residents, or health care business.

Standard 5.1 – Gifts and Gratuities (Page 14).

1. Gifts from/to Clients/Client Representatives.

Workforce Members shall not *solicit* monetary tips, personal gratuities, or gifts from clients or their family members and representatives, and are prohibited from accepting monetary tips or gratuities. Workforce Members may accept gifts of a *nominal* value from clients or their family members and representatives. Likewise, it may be appropriate in certain circumstances to provide a gift of a *nominal* value to a client. The Company expects Workforce Members to exercise good judgment and discretion in accepting gifts from or giving gifts to clients or their family members and representatives. If a Workforce Member has a question about whether a particular gift is appropriate, he/she shall ask the Compliance Officer.

ADDITIONAL COMPLIANCE CONSIDERATIONS FOR DIRECT CLIENT CARE WORKFORCE MEMBERS

PROFESSIONAL BOUNDARIES

Workforce members must act professionally in carrying out their respective duties at all times. Given the nature of the services provided by the Company, at times, it may be difficult for some Workforce Members to distinguish between personal versus professional boundaries. Although it may seem natural for a personal bond or friendship to develop between a direct client care provider and client, the Workforce Member must exercise caution and ensure that the relationship between provider and client remains a professional relationship. For further information related to personal and professional boundaries, please refer to Company's **Professional Boundaries Policy and Procedure**.

MANDATED REPORTING

Direct client care Workforce Members are considered mandatory reporters under state law. Direct client care providers must follow Company policy and procedure in making mandated reporting disclosures. If a Workforce Members has any questions regarding this procedure or whether a particular incident should be reported, please refer to Company's **Abuse, Neglect, Mistreatment, and Exploitation Policy and Procedure** and/or contact the Compliance Officer.

REPORTING SUSPECTED FRAUD or NON-COMPLIANCE

As noted in the Compliance Program Overview, the purpose of the Compliance Program is to promote honest and responsible conduct and prevent, identify, and correct any unethical or unlawful behavior. This includes reporting any suspected fraud or non-compliance which may be observed or learned by a direct client care Workforce Member. For example, if a direct client care worker suspects that a client's parent or another nurse has signed false timesheets, this needs to be immediately reported to the Compliance Officer for further investigation. No Workforce Member shall be punished solely on the basis that he/she reported what was reasonably believed to be a suspected incident of non-compliance. However, disciplinary action may be taken if a false report and/or accusation has been made.

2019-2020 Compliance Focus Areas

The following areas were high-risk or high-occurrence over the last year, they will be areas of focus this year. Please take a minute to review and consider how these fit into your role at Craig HomeCare.

Documentation & Care Delivery

Accessing the Plan of Care & Timely Documentation As all homes and nurses are now on-boarded to KanTime for electronic charting there are not paper copies of care plans and orders in the homes. Logging into KanTime to review the plan of care and updated orders at the start of a shift is critical to providing care as ordered by the physician. The system logs when charts are opened and documentation created. There is a goal to submit e-charts within one hour of the end of the shift. Notify your office or support if you can't login to KanTime for any reason.

Providing Physician-Ordered Care All treatments, interventions, and medications that are delivered must be physician-ordered. If you receive the written or verbal order from the physician, enter it in KanTime so it updates in the plan of care. If the family requests a deviation from the plan of care (changed or added medication, OTC medication, diet change, etc) reach out to the physician or your supervisor to obtain an order or clarification. If cares or meds are declined or refused, note as such in your documentation.

HIPAA

Electronic Charting The only time you are to access client info or PHI is during a shift for that client or when making office-initiated corrections. Whether you are using the device provided by Craig HomeCare in the client home or using a personal device to make corrections – be aware of your surroundings and safeguard visibility to PHI. Do not save your login credentials to any device or share with anyone (including another CHC employees or client family).

Client Communications When using unsecure email or text to communicate with the office regarding a client make sure to only use initials and never send photos unless expressly requested by your supervisor after a release has been signed. Pictures of documentation or other identifying documentation sent via text or unsecure email may be considered a HIPAA violation.

E-Mail Addresses When sending PHI or other client information, confirm the email address of the recipient. Many email programs auto-populate the address when you enter a few letters in – which can send PHI to the wrong person inadvertently. Remember, even accidental disclosures can still be considered a HIPAA violation.

Professional Boundaries

Appropriate professional boundaries contribute to the well-being and success of Craig HomeCare, and the relationships between employees, clients and their families and any other third parties. Maintaining professional boundaries protects your job, your license, and your reputation. Some examples or violations of professional boundaries may include but are not limited to:

- Excessive self-disclosure of personal information to others in a way that negatively impacts care given to clients or the ability of others to complete their work
- Gossiping or discussing other employees in a negative way
- Negatively discussing Craig HomeCare in a non-constructive manner to individuals or entities outside of Craig HomeCare
- Negatively discussing past or present clients or clients' families whether revealing protected health information or not
- Soliciting or distributing material for a personal gain
- Accepting tips and/or gratuities
- Accepting shifts outside of the pre-determined schedule without consulting branch office in order to work directly for clients or clients' family
- Performing tasks or favors outside of job descriptions such as dog walking, watching other children in the home, purchasing supplies, snow removal, etc.

Craig HomeCare encourages employees to use good judgment and seek guidance in difficult situations when professional boundaries are in question.