

POLICY NAME:	FRAUD AND ABUSE CONCERNS		POLICY NO:	HR - 50
Department:	Human Resources	<input type="checkbox"/> New <input checked="" type="checkbox"/> Revised	Original Approval Date:	09/01/2015
			1 st Revision Date:	07/01/2018
			2 nd Revision Date:	
RELATED FORMS:			3 rd Revision Date:	

POLICY

We believe physicians and other referral sources will refer their patients to HomeCentris because of the quality of our services, location, technological sophistication and the excellence of our employees.

PROCEDURE

1. No Payments for Patient Referrals:

- Every agreement with a clinician or other referral source shall be in writing and approved by the Company to ensure compliance with applicable laws, regulations, agreements with lenders and Company policies.
- We shall not solicit nor receive, nor offer to pay in any form, physicians or other health care professionals or other referral sources for referrals of patients. Kickbacks, bribes, rebates or flow of any kind of benefits intended to induce referrals are strictly prohibited. We will not offer or give inducements to anyone in exchange for a decision or action that is favorable to HomeCentris. We will not give anything of value to anyone under circumstances that could create even an appearance that HomeCentris is seeking preferential treatment or is paying a reward for referrals. An improper reward includes anything of value, not just money.
- Contract payments or other benefits provided to clinicians and referral sources must be for the services and rates specified in the contract. Every payment must be supported by proper documentation that the services contracted for were provided.

2. Arrangements with Physicians or Other Healthcare Professionals:

- To ensure that all financial arrangements between HomeCentris and physicians (or their immediate family members) comply with federal and applicable state law governing prohibitions on physician self-referrals, all arrangements involving physicians who may refer patients for any of the following services (which may vary by state) must be reviewed and approved by the Compliance Officer:
 - a. clinical laboratory services;
 - b. physical therapy services;
 - c. occupational therapy services;
 - d. speech-language pathology services;
 - e. radiology services, including positron emission tomography scans, nuclear imaging, magnetic resonance imaging, computerized axial tomography scans, and ultrasound services;
 - f. radiation therapy services and supplies;
 - g. durable medical equipment and supplies;
 - h. parenteral and enteral nutrients, equipment, and supplies;
 - i. prosthetics, orthotics, and prosthetic devices and supplies;

- j. home health services;
- k. outpatient prescription drugs; and
- l. inpatient and outpatient hospital services.

- The Company must provide prior review and approval of any joint venture, partnership or other risk-sharing arrangement with any potential or actual referral source.

3. Billing:

- We will not tolerate the submission of any claim or request for reimbursement or payment that is false, fictitious or inaccurate.
- We shall only bill payors for those patients who meet all applicable requirements for the Company's services.
- We shall submit claims for payment or reimbursement using only appropriate billing codes.
- We shall submit claims only for services actually rendered which have been appropriately documented in the medical record. The Company will not tolerate the submission of any data or document relating to a claim or request for reimbursement that is false, fictitious or inaccurate.
- If inaccuracies are discovered in claims already submitted for payment or reimbursement the payor shall be immediately notified and appropriate actions taken to remedy the matter.

4. Reporting. If you suspect or have witnessed a violation of this policy and are not comfortable discussing it with your supervisor, you may call the HomeCentris Compliance Hotline at (888) 739-0965. You may leave an anonymous message and will not face any retaliation for good faith reports.

POLICY NAME:	REPORTING COMPLIANCE CONCERNS		POLICY NO:	HR - 52
Department:	Human Resources	<input checked="" type="checkbox"/> New <input type="checkbox"/> Revised	Original Approval Date:	09/01/2015
			1 st Revision Date:	
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RELATED FORMS:			3 rd Revision Date:	

POLICY

1. We believe the Compliance Program can be effective only if there is active participation by all the Company employees and that mandatory reporting, thorough investigation, and uniform and fair remedial action is a necessary component of an effective program.
2. Any employee who has knowledge of an actual or potential violation of law, regulation, policy procedure and/or the Company Standards of Conduct or who has questions on these matters, should report the matter to a supervisor.
3. If the matter is not resolved in a timely manner or to an employee’s satisfaction, employees are encouraged to contact the Company’s Compliance Officer.
4. In addition, the Company has implemented two Compliance reporting tools for employees and patients who have questions, wish to anonymously report ethical violations, violations of law, or any other information the employee feels he/she cannot otherwise report to a supervisor.
 - The Compliance Hotline number is 888-739-0965.
 - The Compliance Hotline Email Box is compliance@homecentris.com.
5. When reporting, please provide as much detail as possible, including, but not limited to, names dates, times, location, and the specific conduct you feel may violate the law or the Company policy. Unless urgent, questions should be asked in writing. Please try to provide copies of all relevant documents, if applicable.
6. In investigating or researching questions, HomeCentris may contact legal counsel or regulatory authorities. When depending on this advice, the HomeCentris official shall obtain the advice in writing.
7. The Company will not retaliate against any employee making a good faith report of a suspected violation. However, any employee who knowingly makes false allegations may be subject to disciplinary action in accordance with Company policy.

Hotline Name and Number	HomeCentris Compliance Hotline: 888-739-0965	
Extension Number	Extension 2 – Employee Concerns	Extension 1 – Patient Concerns
What is its purpose?	<ul style="list-style-type: none"> • Employees can ask employment-related questions anonymously. • Employees can report employment policy grievances and request an investigation. • Employees can report suspected breaches of HomeCentris policy, 	Patients, family members, legal representatives, healthcare professionals, etc. can safely report: <ul style="list-style-type: none"> • Ethical concerns • Legal concerns • Care or service concerns.

	<p>breaches of state or federal laws or ethical violations.</p> <ul style="list-style-type: none"> • Employees can track open investigations 	
<p>What are some examples of issues to be addressed?</p>	<ul style="list-style-type: none"> • Fair treatment (pay, hours, job duties) • Healthy/safe workplace • Harassment-free and discrimination-free workplace 	<ul style="list-style-type: none"> • Patient abuse • Fraud • Compliance violations (OSHA, HIPAA)
<p>Do callers have to give their names?</p>	<p>We handle all calls with care and confidentiality. However, we may request personal information from you if you are asking us to take action on your behalf. Supervisors or other individuals receiving compliance reports or questions shall report any information received to the Compliance Officer. Supervisors or other individuals will otherwise keep such information confidential. The Compliance Officer will keep the identity of reporting employees and/or other personnel and the confidentiality of their reports confidential to the fullest extent permitted by law. However, confidentiality cannot be guaranteed in all situations. Under certain circumstances, the individual's/entity's identity may become apparent as HomeCentris' investigation of the allegations progresses or may have to be revealed in the event governmental authorities become involved. HomeCentris will strive to maintain as much confidentiality as possible.</p>	
<p>Who answers the Hotline?</p>	<p>The Hotline will be answered by voice mail. After you leave a message, the hotline sends a transcript of the call to the Company's Compliance Officer email.</p>	

8. Response: The Compliance Officer will assure that the following steps are taken, whenever possible, in response to each report:
- A written record of the report will be made using the appropriate form. The report must be as complete as possible.
 - HomeCentris cannot make any promises to the party reporting a potential violation until an investigation is complete.
 - The Compliance Officer, after completing the written record of the reported violation, will perform an investigation, as fully described in the HomeCentris Compliance Plan, to determine the truth and accuracy of the report and will contact Management and legal counsel as necessary to determine steps to be taken in response to the report.
 - If the investigation reveals a violation has occurred, the Compliance Officer will proceed as specified in the HomeCentris Compliance plan with steps including:

- a. Correcting the violation,
 - b. Amending policies and procedures,
 - c. Training and education,
 - d. Disciplinary action of the employees involved, up to and including termination,
 - e. Notifying the appropriate authorities, and
 - f. Ensuring any overbilled amounts are paid back.
 - The Compliance Officer's periodic reports to Management will include a report on all allegations of violations, including the results of investigations and any subsequent enforcement or remedial actions taken. The Compliance Officer will periodically report the status of compliance activities to the Board.
9. All records related to reports of suspected violations will be preserved in accordance with the Provider's document management policies.

POLICY NAME:	FALSE CLAIMS ACT / WHISTLE BLOWING ACT		POLICY NO:	HR - 51
Department:	Human Resources	<input checked="" type="checkbox"/> New <input type="checkbox"/> Revised	Original Approval Date:	09/01/2015
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POLICY

Below is the policy of the Company for its employees, contractors and agents regarding the federal and state false claims acts and the remedies available under these acts including whistleblower protections.

1. The Federal False Claims Act:

- Allows a civil action to be brought against a health care provider who:
 - a. Knowingly presents, or causes to be presented, a false or fraudulent claim for payment or approval to any federal employee;
 - b. Knowingly makes, uses or causes to be made or used a false record or statement to get a false or fraudulent claim paid; or
 - c. Conspires to defraud the government by getting a false or fraudulent claim allowed or paid (31 USC sec. 3729(a)).

2. Remedies:

- A federal false claims action may be brought by the U.S. Department of Justice Civil Division, the United States Attorney.
- An individual may bring a qui tam action; an individual files an action on behalf the government.
- Violation of the federal False Claims Act is punishable by a civil penalty of between \$5,500 and \$11,000 per false claim, plus three times the amount of damages.

3. Federal Program Fraud Civil Remedies Act:

- The Program Fraud Civil Remedies Act, 31 U.S.C. 3801 et seq., provides that any person who submits a claim that the person “knows or has reason to know is false fictitious or fraudulent is subject to civil monetary penalties of up to \$5,000 per false claim.

4. Federal Whistleblower Protections:

- Federal law prohibits an employer from discriminating against an employee in the terms or conditions of his or her employment because the employee initiated or otherwise assisted in a false claims action.
- The employee is entitled to all relief necessary to make the employee whole. 31 USC 3730 (h)

5. State False Claim Act:

- The state in which your agency is located may have a False Claims Act, and it may have criminal and civil laws that prohibit Medicaid fraud.

- State information is available from the agency Administrator, General Manager or Compliance Officer upon request.

6. State Whistleblower Protections:

- The state in which your agency is located may have regulations that prohibit retaliatory action by a company against an employee who in good faith brings evidence of unlawful practices, including, but not limited to reporting a false claim under a Federal Act listed above or a State False Claim Act, to the attention of the proper authority.
- Further, an employee who believes he or she is the victim of retaliation may file a complaint with their state's Bureau of Labor and Industries or equivalent governing agency.

7. What you should do if you think the agency may have made a false claim:

- If you see something that may violate the laws above, the Company encourages you to report it to the Administrator, General Manager or Compliance Officer for further investigation.
- If you are not comfortable doing this or do not see action in response in your report, report it to the Company's Regulatory Hotline at 888-739-0965.
- You are not required to report a possible false claims act violation to the facility first.
- You may report it directly to the appropriate governmental agency.

8. Training Policy:

- We will train all new members of our workforce, contractors and agents regarding federal and state false claims acts and also provide periodic updates for existing members of our workforce, contractors and agents.
- All members of our workforce are required to participate in training.
- All contractors and agents are required to accept educational information offered by the agency or to participate in scheduled training, as determined by the Company.