

## DAUGHTERS OF SARAH SENIOR COMMUNITY

### DAUGHTERS OF SARAH NURSING CENTER, INC.

#### COMPLIANCE PROGRAM

##### Purpose

Daughters of Sarah Nursing Center, Inc is sponsored by the Jewish community of the Capital District. Its mission, to enhance the quality of life of those it serves by assuring maximum independence and dignity, is rooted in, and defined by, the ethical values and teachings of Judaism.

Daughters of Sarah Nursing Center, Inc subscribes to the highest standards of care, ethical behavior and regulatory compliance. This plan is intended to outline the policies and procedures Daughters of Sarah Nursing Center, Inc has implemented, and will continue to implement, to insure that all laws, rules and regulations are complied with and that those ethical standards are met.

##### Written Policies

Daughters of Sarah Nursing Center, Inc has implemented a number of written policies to provide for ethical and legal compliance. These include, without limitation: Fraud and Abuse Prevention Policy; Board Conflict of Interest Policy/Code of Conduct; Staff Conflict of Interest Policy and Principles; Code of Ethics/Conduct; Fiscal Internal Control Policies; Whistleblower Policy; Document Retention and Destruction Policy; Mandatory Reporting Policies; Credentialing Policy; Privacy Policy; Procurement Policies; and Prohibition of Harassment Policy.

All Board members, employees, contractors, vendors, volunteers and consultants shall be governed by, and are expected to comply with, these various policies while engaged in any dealings with Daughters of Sarah Nursing Center, Inc. It is also their obligation to report (either in person or anonymously) in good faith any valid suspicion of misconduct or violation of any policy. Failure of any staff member to so report can be construed as condoning misconduct, and may lead to disciplinary action.

## **Oversight Responsibility – Compliance Officer**

Daughters of Sarah Nursing Center, Inc has designated its Chief Operating Officer (“COO”) as the Compliance Officer, responsible for overseeing the Compliance Program. The Compliance Officer shall report directly to the Chief Executive Officer (“CEO”) on all aspects of the Compliance Program, and periodically to the Daughters of Sarah Nursing Center Corporate Compliance Committee (and, through the committee, to the Board of Directors) on the program activities.

The responsibilities of the Compliance Officer shall be to:

- Oversee the education and training steps taken to communicate the Compliance Program and its objectives to staff and others;
- Oversee the day-to-day operation of the Compliance Program and the implementation of the component policies, including the coordination of specific audits or other evaluations;
- Oversee and coordinate the investigation and follow through on any detected or reported incidents of possible misconduct or Compliance Program violation;
- Report any and all compliance activity immediately to the CEO, and periodically to the Board and the Corporate Compliance Committee.

## **Education**

To insure that there is awareness of the Compliance Program, Daughters of Sarah Nursing Center, Inc has implemented a training and education program:

- Information on the Compliance Program and its component policies will be included in the Employee Handbook;
- The Facility will prepare and distribute to employees and contractors a Compliance Manual outlining the Code of Ethics/Conduct expected of staff and other information relative to addressing/reporting compliance issues;
- Information on Daughters of Sarah Nursing Center, Inc ‘s compliance standards and procedures will be included in new employee orientation programs;
- The Facility’s standards and procedures will be communicated during periodic in-service training programs and/or through periodic notices disseminated to employees, including specific training that may be targeted to employees whose jobs warrant relevant information;

- The Facility will, as necessary, provide remedial training when implemented as a part of any corrective action taken by the Facility;
- Vendors and consultants will be made aware of Daughters of Sarah Nursing Center, Inc's standards and procedures, and contracts executed will comply with the Compliance Program;
- Members of the Board of Directors will be kept informed as to the expectations and operations of the Compliance Program, and the orientation of new Board Members will include training as to the Program's standards and procedures.

### **Reporting Procedures**

Daughters of Sarah Nursing Center, Inc shall insure that all staff, vendors, contractors, consultants, Board members and volunteers have open lines of communication to report, in good faith, suspicions of misconduct, illegal behavior or policy violations. Reporting may be made to any Supervisor, Department Head, the Compliance Officer (COO), the CEO, or the Board President. Anyone who receives a report shall promptly notify the Compliance Officer, unless a conflict involving the Compliance Officer exists, in which case the CEO shall be notified.

In addition, to preserve a reporter's ability to remain anonymous, Daughters of Sarah Nursing Center, Inc. has contracted with Senior Crimestoppers to maintain a 24 hours a day, 7 days a week toll-free Hotline to receive reports. Reporters can elect whether or not to disclose their identity to the Hotline. Hotline reports will be forwarded to the Compliance Officer, or, in the case of a conflict, to the CEO.

### **Enforcement and Discipline**

Daughters of Sarah Nursing Center, Inc maintains disciplinary policies, as set forth in the Employee Handbook, to encourage proper and ethical behavior by its employees. Such policies implement fair and progressive disciplinary proceedings for violations of Daughters of Sarah Nursing Center, Inc's policies, including expectations for good faith reporting of compliance issues. Sanctions include counseling, warning, suspension, and discharge. The Employee Handbook and Compliance Manual shall be distributed to all employees, and the Handbook and Manual provisions, including the disciplinary standards, shall be reviewed with new employees during orientation and regularly discussed with staff during in-service training sessions.

## **Monitoring and Auditing**

Daughters of Sarah Nursing Center, Inc shall engage in a program of monitoring and auditing its legal and regulatory obligations to detect misconduct. By so doing, the Facility intends to meet and comply with its ethical standards.

The monitoring program includes:

- All staff, contractors, consultants, and lay volunteers should be aware of Daughters of Sarah Nursing Center, Inc's ethical compliance expectations and should report suspected violations;
- Supervisors shall monitor the activities of their co-workers to insure compliance with legal and ethical standards and procedures;
- The Board Finance Committee shall oversee and review financial practices and perform an Audit/Finance Committee Checklist evaluation of financial practices at each meeting, in accordance with its Charter;
- Daughters of Sarah Nursing Center, Inc shall have an annual audit performed by a certified public accounting firm;
- Daughters of Sarah Nursing Center, Inc shall conduct annual reviews of its contractual agreements to reasonably insure that activities are in compliance;
- Daughters of Sarah Nursing Center, Inc shall periodically conduct audits of particular areas of potential for compliance risk identified from reviews of the violation reporting to the Compliance Officer, from concerns raised and areas identified by the Compliance Committee, the Finance Committee, or the Board of Directors, or from issues highlighted by regulatory agencies.
- The Corporate Compliance Committee shall meet on not less than an annual basis to review compliance reporting and monitoring activity.

## **Response and Prevention**

Daughters of Sarah Nursing Center, Inc will take all reasonable steps to investigate and respond appropriately to compliance issues as they arise. Immediate investigation of reports will be made by the Compliance Officer, or other appropriate party as designated by the Compliance Officer or the CEO. Valid problems disclosed (either from reported instances or from internal evaluations) shall be promptly and thoroughly addressed by implementing corrective procedures, policies or systems as warranted structured to reduce and eliminate the potential for a recurrence. Such corrective steps may include, without limitation:

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- Refunding overpayments received by the Facility to the appropriate payor;
- Providing additional training and education to staff on compliance issues and the Facility's policies and procedures;
- Disciplining staff for violations of applicable laws, rules, regulations, or the Facility's policies, up to and including termination;
- Suspension of billing for a given provider or for a particular service unless and until relevant issues and concerns are adequately addressed;
- Modification of the Facility's business practices, procedures or other policies to adequately address concerns raised;
- Modification of the Facility's Compliance Program to ensure continuing compliance with applicable laws and regulations.

When appropriate, validated issues -- whether intentional or unintentional -- will be reported to the relevant governmental agencies or authorities having jurisdiction (such as the voluntary Provider Self Disclosure Program maintained by the New York State Office of the Medicaid Inspector General), and any overpayments improperly received will be repaid.

### **Non-Retaliation**

In keeping with its mission, Daughters of Sarah Nursing Center, Inc encourages staff, contractors, consultants and lay volunteers to act in a strictly ethical manner, and to report suspected violations of policy or law. To facilitate that reporting, Daughters of Sarah Nursing Center, Inc has adopted Whistleblower policies that, in accordance with law, insure that any staff member who submits a good faith report will not be subject to intimidation or retaliation for so reporting. These policies also permit the institution of disciplinary proceedings against any other staff member who engages in intimidation or retaliation against an employee who has filed a report.