

**KENDAL AT HANOVER**

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Compliance and Ethics Program

# Code of Conduct



## Code of Conduct

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**KENDAL<sup>®</sup> at Hanover**

*Together, transforming the experience of aging.<sup>®</sup>*

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# KENDAL AT HANOVER

## Scope of our Program

Our Compliance and Ethics Program Code of Conduct covers the laws and regulations and the guidelines that are relevant to a care provider of senior services. This includes but is not limited to those from state regulatory agencies, the Internal Revenue Service, and the Occupational Safety and Health Administration. It also covers other federal and state regulatory and business issues. The program fosters a culture of compliance that promotes legal and ethical behavior in the workplace by creating processes that detect and prevent fraud, waste, abuse, and policy violations. **The Code of Conduct is supported by our compliance policies and procedures and should be read and understood jointly with those policies and procedures.**

We use the term Staff Member to define the various individuals who are associated with **Kendal at Hanover**. All individuals, including employees, contractors, volunteers, directors, and officers are members of our team in providing care and services to our residents. We use the term Resident to refer to individuals who receive the various types of healthcare and other services that we provide.

Any questions regarding the policies in this Code of Conduct, compliance policies, or related references should be directed to your immediate supervisor, the Compliance Official, a member of the Compliance Committee, or the Compliance Officer.

Kendal at Hanover is a service provider licensed under the laws of New Hampshire to provide the following services:

- Supported Residential Care
- Home Care

## **Compliance Officer**

The Friends Services Alliance (FSA) Vice President of Compliance serves as our Compliance Officer. She/he has the responsibility to assist the Compliance Official, the Chief Executive Officer (CEO), and the Board of Directors in designing and overseeing efforts in establishing, maintaining, and monitoring compliance within our organization.

The Compliance Officer works with our CEO and our Compliance Official and has direct reporting responsibility to the Board of Directors. The Compliance Officer is responsible for continued coordination with the Compliance Official for the development, implementation, training, monitoring, and enforcement activities related to the overall compliance program. The Compliance Officer is assisted by the FSA Compliance Managers and Compliance Specialists in providing services to our organization.

## **Compliance Program Management**

Our Board of Directors, through the CEO, carries the overall responsibility for creating a culture that values and emphasizes compliance and conduct.

The Chief Operating Officer has been appointed by the CEO and Board of Directors as the Compliance Official and is responsible for coordinating the day-to-day compliance activities in conjunction with the Compliance Officer. These activities include audits, responses to hotline calls, and leading the organization's Compliance Committee. As a function of this role, the Compliance Official also functions as the Privacy Officer.

The Kendal at Hanover Compliance Committee is comprised of members of the management team and other key staff positions. The Compliance Official is the chairperson for this Committee. The Committee meets at least twice a year, and more frequently as needed.



## FROM THE CHIEF EXECUTIVE OFFICER

Dear Staff Members:

We have a long tradition of providing healthcare services to older adults in a way that demonstrates love and compassion. We strive to follow our heritage of ethical and moral decision-making in the care we provide. This heritage enables us to share our values with the residents we serve.

The health care industry is constantly changing and being impacted by numerous laws and regulations. In our desire to establish a workplace that complies with these laws and regulations, we have developed a Compliance and Ethics Program that supports Kendal at Hanover Staff Members in making the right decisions. This document, called the Code of Conduct, represents the primary focus for our Compliance and Ethics Program. The Code of Conduct not only reflects our heritage and values but also serves as a bold statement that influences how we enhance a resident's quality of life.

The Compliance and Ethics Program and the Code of Conduct exist to guide our normal decisions that are both ethical and compliant with applicable laws, statutes, and regulations. Our Code of Conduct does not replace each person's obligation to make wise, fair, and honest decisions. It is intended to explain our personal and organizational responsibility and to reflect those areas in which improper or unwise decisions can harm our entire organization and impair our commitment to extending love and compassion to those we serve.

We value your contribution to the residents and appreciate your support in properly maintaining the most ethical workplace possible. We commend you for your commitment to honesty and professional conduct, which are also part of Kendal at Hanover's values. Each staff member is responsible for helping to protect our work environment and its compliance with laws and regulations. I thank you for your commitment and contribution to Kendal at Hanover's mission, values, and most importantly, our residents.

Sincerely,  
Beth Vettori  
Chief Executive Officer

# Kendal at Hanover Code of Conduct

## Introduction

The Code of Conduct is the foundation of the Compliance and Ethics Program. The Code of Conduct is a guide to appropriate workplace behavior; it will help you make the right decisions if you are not sure how to respond to a situation. All staff members must comply with both the spirit and the letter of all federal, state, and local laws and regulations that apply to the services that our organization provides, as well as all laws that apply to our business dealings. Violations of these laws and regulations can result in severe penalties for us and the individuals we do work with including financial penalties, and, in some cases, imprisonment.

As staff members, we share a commitment to legal, ethical, and professional conduct in everything that we do. We support these commitments in our work each day, whether we care for residents, order supplies, prepare meals, keep records, pay invoices, or make decisions about the future of our organization.

***The success of Kendal at Hanover as a provider of services depends on you, your personal and professional conduct, your responsibility to act in good faith, and your obligation to do the right things for the right reasons.***

The Compliance and Ethics Program provides principles and standards to guide you in meeting your legal, ethical, and professional responsibilities. As a staff member, you are responsible for supporting the Compliance and Ethics Program in every aspect of your workplace behavior. Your continued working relationship with our organization includes understanding and adhering to the Compliance and Ethics Program.

The Code of Conduct discusses the importance of:

***Care Excellence*** – providing quality, compassionate, respectful, and clinically appropriate care.

***Professional Excellence*** – maintaining ethical standards of healthcare and business practices.

***Regulatory Excellence*** – complying with federal and state laws, regulations, and guidelines that govern health care, housing services, and other services we provide.

## A Shared Responsibility

Because we are in the business of caring for and providing services for others, it is critical that each of us adheres to appropriate standards of behavior. As individuals and as an organization, we are responsible to many different groups. We must act ethically and responsibly in our relations with:

- Residents and their families
- Colleagues and co-workers
- Volunteers and affiliated colleagues
- Regulators, surveyors, and monitoring agencies
- Physicians, Nurse Practitioners, Physician Assistants
- Vendors and contractors
- The communities we serve

Any compromise in our standards could harm our residents, our co-workers, and our organization. Like every organization that provides services to residents, we do business under very strict regulations and governmental oversight. Sometimes even an innocent mistake can have significant consequences that could result in substantial penalties to Kendal at Hanover.

All Staff Members are required to complete training on the Code of Conduct and the Compliance and Ethics Program as a condition of employment or business relationship. The Code of Conduct sets forth mandatory standards.

***There is no justification for departing from the Code of Conduct, no matter what the situation may be.***

Every Staff Member is responsible for ensuring that he or she complies with the Code of Conduct and all policies and procedures. Any Staff Member who violates any of these standards and/or policies and procedures is subject to discipline up to and including termination.

## A Personal Obligation

As we are each responsible for following the Code of Conduct in our daily work, we are also responsible for enforcing it. This means that you have a duty to report any problems you observe or perceive, regardless of your role.

As a Staff Member, you must help ensure that you are doing everything practical to comply with our policies and procedures and applicable laws. If you observe or suspect a situation that you believe may be unethical, illegal, unprofessional, or wrong, or if you have a clinical, ethical, or financial concern, you must report it. You are expected to satisfy this duty by complying with the **Three Step Reporting Process**. If you fail to report noncompliance with the Code of Conduct, policies and procedures, or applicable federal or state laws, you will be subject to discipline up to and including termination. We have zero tolerance for retaliation. No one may retaliate against a member who reports a concern in good faith.

## Reporting Compliance Concerns

### The Three-Step Reporting Process

**First**, talk to your supervisor.

He or she is most familiar with the laws, regulations, and policies that relate to your work.

**Second**, if you do not want to talk to your supervisor, seek out another member of the Leadership Team or someone from Human Resources.

**Third**, if you still have a concern, contact the Compliance Official, a member of the organization's Compliance Committee, or the Compliance Officer.

**You may also call the toll-free FSA Compliance Hot Line number at any time.**

## **FSA Compliance Hot Line**

### **FSA Compliance Hot Line 800-211-2713**

**All calls are confidential, and you may call *ANONYMOUSLY* if you choose.**

The FSA Compliance Hot Line is available 24 hours a day, 7 days a week, for callers to report compliance-related issues. Concerns that are reported to the FSA Compliance Hot Line are taken seriously.

You can make calls to the FSA Compliance Hot Line without fear of reprisal, retaliation, or punishment for your actions. Anyone, including a supervisor who retaliates against a Staff Member for contacting the FSA Compliance Hot Line or reporting a compliance issue in any other manner, will be disciplined.

## Care Excellence

Our most important job is providing quality care to our residents. This means offering compassionate support to our residents and working toward the best possible outcomes while following all applicable rules and regulations.

## Resident Rights

Residents receiving our services have clearly defined rights. A document describing these rights is provided to each resident upon admission and is posted in conspicuous locations throughout the organization for the residents' and your reference. To honor these rights, we must:

- Make no distinction in the admission, transfer, or discharge of a resident, or in the care we provide on the basis of race, gender, age, religion, national origin, disability, color, marital status, veteran status, medical condition, sexual orientation, or other protected class status, insurance, or financial status.
- Treat all residents in a manner that preserves their dignity, autonomy, self-esteem, and civil rights.
- Protect every resident from physical, emotional, verbal, or sexual abuse or neglect.
- Protect all aspects of resident privacy and confidentiality.
- Respect residents' personal property and money and protect it from loss, theft, improper use, and damage.
- Respect the right of residents and/or their legal representatives to be informed of and participate in decisions about their care and treatment.
- Respect the right of residents and/or their legal representatives to access their medical records.
- Recognize that residents have the right to consent to or refuse care and the right to be informed of the medical consequences of such refusal.
- Protect residents' rights to be free from physical and chemical restraints.
- Respect the residents' right to self-determination and autonomy.

## Abuse and Neglect

We will not tolerate any type of resident abuse or neglect – physical, emotional, verbal, financial, or sexual. Residents must be protected from abuse and neglect by Staff Members, family members, legal guardians, friends, or any other person. This standard applies to all residents at all times.

New Hampshire defines “Abuse” as any one of the following:

- (1) “Emotional abuse” means the misuse of power, authority, or both, verbal harassment, or confinement which results or could result in the mental anguish or emotional distress of residents;
- (2) “Physical abuse” means the misuse of physical force which results or could result in physical injury to residents;
- (3) “Sexual abuse” means contact or interaction of a sexual nature involving residents without his or her informed consent.

*Any Staff Member who abuses or neglects a resident is subject to termination. In addition, legal or criminal action may be taken. Abuse and neglect **MUST BE REPORTED IMMEDIATELY** to your supervisor or another member of management.*

## Resident Confidentiality

All Staff Members must use and disclose a resident’s medical, financial, or personal information only in a manner consistent with the New Hampshire Privacy Policies and Procedures. You are responsible for keeping resident protected health information (PHI) confidential. PHI is defined as individually identifiable health information that is transmitted or maintained in any form or medium, including electronic health information.

Any unauthorized exposure of PHI which compromises the security or privacy of information is a potential breach.

**If you become aware of a breach of any protected or sensitive information, it is important that you report it immediately to your supervisor or the Privacy Officer.**

If the disclosure results in a breach, **Kendal at Hanover** must investigate and comply with all New Hampshire state regulations for breach notification.

## Resident Property

Staff Members must respect residents' personal property and protect it from loss, theft, damage, or misuse. Staff Members who have direct access to resident funds (e.g., resident trust funds) must maintain accurate records and accounts.

## Providing Quality Care

As a senior-care service provider, our primary commitment is to provide the care, services, and resources necessary to help each resident reach or maintain his or her highest possible level of physical, mental, and psychosocial well-being. **Kendal at Hanover** has policies and procedures and provides training and education to help each Staff Member strive to achieve this goal.

Our care standards include:

- Accurately assessing the individual needs of each resident and developing plans that meet those assessed needs.
- Reviewing goals and plans of care to ensure that the residents' ongoing needs are being met.
- Providing only medically necessary, physician-prescribed services and products that meet the residents' clinical needs.
- Confirming that services and products (including medications) are within accepted standards of practice for the resident's clinical condition.
- Ensuring that services and products are reasonable in terms of frequency, amount, and duration.
- Measuring clinical outcomes and resident satisfaction to confirm that quality-of-care goals are met.
- Providing accurate and timely clinical and financial documentation and record-keeping.
- Ensuring that residents' care is given only by properly licensed and credentialed providers with appropriate background, experience, and expertise.
- Reviewing resident care policies and procedures and clinical protocols to ensure that they meet current standards of practice.



## **Medical Services**

We are committed to providing comprehensive, medically necessary services for our residents. The Medical Director, who is contracted through Dartmouth Hitchcock Clinic, provides oversight to physicians and other medical providers and services as defined by state regulations. The Medical Director oversees the care and treatment policies for the services provided.

## **Professional Excellence**

The professional, responsible, and ethical behavior of every Staff Member reflects on the reputation of our organization and the services we provide. Whether you work directly with residents or in other areas that support resident services, you are expected to maintain our standards of honesty, conduct, and professional excellence, every day.

## **Hiring and Employment Practices**

Kendal at Hanover is committed to fair employment practices. When hiring and evaluating, we:

- Comply with federal, state, and local Equal Employment Opportunity laws, hiring the best qualified individuals regardless of race, color, age, religion, national origin, creed, marital status, physical or mental disability, or sexual orientation. All promotions, transfer evaluations, compensation, and disciplinary actions also follow this policy.
- Conduct employment screenings to protect the conduct of our workforce and welfare of our residents and Staff Members.
- Require all who need licenses or certifications to maintain their credentials in compliance with state and federal laws. Documentation of licenses or certifications must be provided.

## **Employee Screening**

Employees are screened in accordance with state law to ensure the safety of our residents. Screening procedures have been implemented and are conducted prior to hire and at a minimum quarterly thereafter.

As long as you are employed or affiliated with Kendal at Hanover, you must immediately report to your supervisor:

- If you are arrested or indicted for a criminal offense.
- If you are convicted of an offense that would preclude employment in a healthcare facility.
- If action has been taken against your license or certification.
- If you are excluded from participation in a federal or state healthcare program.

## **Licensure, Certification and Exclusion Screening**

We are committed to ensuring that only qualified professionals provide care and services to residents. Practitioners and other professionals treating residents must abide by all applicable licensing, credentialing and certification requirements. In addition, every effort is made to validate licenses and certification through the appropriate state or federal agency.

Kendal at Hanover follows the best practice of not employing, retaining, or contracting with anyone who is excluded from any federally funded programs. Screening of all Staff Members through the Office of Inspector General's List of Excluded Individuals and Entities, and GSA's System of Award Management is conducted prior to hire and at a minimum quarterly thereafter.

## **Employee Relations**

To maintain an ethical, comfortable work environment, staff must:

- Refrain from any form of sexual harassment or violence in the workplace.
- Treat all colleagues and co-workers with equal respect, regardless of their national origin, race, color, religion, sexual orientation, age, gender identity, (specific to organization policy) or disability.
- Protect the privacy of other Staff Members by keeping personal information confidential and allowing only authorized individuals access to the information.
- Not supervise or be supervised by an individual with whom they have a close personal relationship.
- Behave professionally and use respectful communication at all times.

## **Workplace Safety**

Maintaining a safe workplace is critical to the well-being of our residents, visitors, and co-workers. That is why policies and procedures have been developed describing the organization's safety requirements. Every Staff Member should become familiar with safety regulations and emergency plans regarding fire and disaster in his or her work area.

In addition to organizational policies, we must abide by all environmental laws and regulations. You are expected to follow organizational safety guidelines and to take personal responsibility for helping to maintain a secure work environment. If you notice a safety hazard, you must take action to correct it if you can or report it to your supervisor immediately.

## **Substance Use**

We are committed to maintaining a team dedicated and capable of providing quality resident services. To that end, you are prohibited from consuming any substance that impairs your ability to provide quality services or otherwise perform your duties.

You may not use, sell, or bring on our property alcohol, illegal drugs, and/or narcotics or report to work under the influence of alcohol, illegal drugs, and/or narcotics. However, at an organization-sponsored or business-related event during working or non-working time, the moderate consumption of alcohol served during the function is permitted, provided that staff members act responsibly and professionally and do not become impaired or unable to exercise sound and professional judgment.

For a Staff Member who appears to have work performance problems related to drug or alcohol use, a drug and alcohol screening will be conducted and appropriate action will be taken, if necessary.

Illegal, improper, or unauthorized use of any controlled substance that is intended for a resident is prohibited. If you become aware of any improper diversion of drugs or medical supplies, you must immediately report the incident to your department supervisor, the Compliance Official, the Compliance Officer, or use the FSA Compliance Hot Line. Failure to report a known instance of noncompliance with this policy may result in disciplinary action against the Staff Member, up to and including termination.

## **Organizational Relations**

Professional excellence in organizational relations includes:

- Complying with federal tax law to maintain tax exempt status under section 501(c)(3) of the Internal Revenue Code.
- Maintaining company privacy and keeping proprietary information confidential.
- Avoiding outside activities or interests that conflict with responsibilities to Kendal at Hanover and reporting such activity or interest prior to and during employment.
- Allowing only designated management staff to report to the public or media.
- Requiring that Kendal at Hanover complies with the licensing and certification laws that apply to its business.

## Proprietary Information

In the performance of your duties, you may have access to, receive, or may be entrusted with confidential and/or proprietary information that is owned by Kendal at Hanover and that is not presently available to the public. This type of information should never be shared with anyone outside the organization without authorization from a member of the Leadership Team.

Examples of proprietary information that should not be shared include:

- Resident and Staff Member data and information.
- Details about clinical programs, procedures, and protocols.
- Policies, procedures, and forms.
- Training materials.
- Current or future charges or fees or other competitive terms and conditions.
- Current or possible negotiations or bids with payers or other clients.
- Compensation and benefits information for staff.
- Stocks or any kind of financial information.
- Market information, marketing plans, or strategic plans.

## Gifts

You may not accept any tip or gratuity from residents and you may not receive individual gifts from residents. You may not give gifts to residents.

Staff Members may accept gifts from “gift funds” established from resident funds as long as the gifts provided to employees are of equal value and the contributions by residents to the “gift fund” are voluntary and anonymous so there is no way for an employee who benefits from the fund to determine whether a resident contributed to the fund.

You may not borrow money from nor lend money to residents; nor may you engage with residents in the purchase or sale of any item. No Staff Member may accept any gift from a resident under a will or trust instrument except in those cases where they are related by blood or marriage.

Staff Members may not serve as a resident’s executor, trustee, administrator, or guardian or provide financial services or act under a power of attorney for a resident except in those cases where they are related by blood or marriage unless otherwise allowed by state law.

## **Business Courtesies**

Kendal at Hanover prohibits any Staff Member from offering, giving, soliciting, or accepting business or professional courtesies including entertainment and gifts that could be interpreted as attempts to influence decision-making. Under no circumstances will a Staff Member solicit or accept business courtesies, entertainment or gifts that depart from the Business Courtesies policy.

## **Conflict of Interest**

A conflict of interest exists any time your loyalty to the organization is, or even appears to be, compromised by a personal interest. There are many types of conflict of interest, and these guidelines cannot anticipate them all; however, here are some examples:

- Financial involvement with vendors or others that would cause you to put their financial interests ahead of ours.
- Staff Member/Officer participation in public affairs, corporate or community directorships, or public office.
- Having an immediate family member who works for a vendor or contractor doing business with the organization and who is in a position to influence your decisions affecting the work of the organization.
- Participating in transactions that put your personal interests ahead of Kendal at Hanover or cause loss or embarrassment to the organization.
- Taking a job outside of Kendal at Hanover that overlaps with your normal working hours or interferes with your job performance.
- Working for Kendal at Hanover and another vendor that provides goods or services at the same time.

All Staff Members must seek guidance and approval from our CEO or Compliance Official before pursuing any business or personal activity that may constitute a conflict of interest.

## **Use of Property**

We must protect the assets of the organization and ensure their authorized and efficient use. Theft, carelessness and waste have a direct impact on the organization's viability. All assets must be used solely for legitimate business purposes.

Everyone must make sure that they:

- Only use property for the organization's business, not personal use.
- Exercise good judgment and care when using supplies, equipment, vehicles, and other property.
- Respect copyright and intellectual property laws.
- If unable to assess the copyright or intellectual property laws, never copy material and/ or download software.

## **Computers /Internet**

Staff Members are expected to use computers, email, and internet/intranet systems appropriately and according to the established policy and procedure. You are not permitted to use the Internet for improper or unlawful activity or download any games or music without prior approval.

Internet use can be tracked and how you use your time on the Internet may be monitored. You should have no expectation of privacy when you use our computers, email, and internet/intranet system. Our organization has the right to sanction or discipline employees who violate the Code of Conduct in a digital, cyber, or other non-face-to-face environment. You should be familiar with our Social Media policy and abide by it.

## **Vendor Relationships**

We take responsibility for being a good client and dealing with vendors honestly and ethically. We are committed to fair competition among prospective vendors and contractors for our business. Arrangements between Kendal at Hanover and its vendors must always be approved by management. Certain business arrangements must be detailed in writing and approved by management. Contractors and vendors who provide resident care are subject to the Code of Conduct and must:

- Maintain defined standards for the products and services they provide to us and our residents.
- Comply with all policies and procedures as well as the laws and regulations that apply to their business or profession.
- Maintain all applicable licenses and certifications and provide evidence of sanction screening, current workers compensation, and liability insurance as applicable.
- Require that their employees comply with the Code of Conduct and the Compliance and Ethics Program and related training as appropriate.

## **Marketing and Advertising**

We use marketing and advertising activities to educate the public, increase awareness of our services, and recruit new Staff Members. These materials and announcements, whether verbal, printed, or electronic, will present only truthful, informative, non-deceptive information.

## **Regulatory Excellence**

Because we are a service provider, we must follow the many federal, state, and local laws that govern our business. Keeping up with the most current rules and regulations is a big job – and an important one. We are all responsible for learning and staying current with the state and local laws, rules, and regulations, as well as the policies and procedures that apply to our job responsibilities.



## Billing and Business Practices

We are committed to operating with honesty and conduct. Therefore, all Staff Members must ensure that all statements, submissions, and other communications with residents, prospective residents, the government, suppliers, and other third parties are truthful, accurate, and complete.

We are committed to ethical, honest billing practices and expect you to be vigilant in maintaining these standards at all times. We will not tolerate any false or inaccurate billing. Any Staff Member who knowingly submits a false bill or provides information that may contribute to submitting a false bill, such as falsified clinical documentation, is subject to termination. In addition, legal or criminal action may be taken.

Prohibited practices include, but are not limited to:

- Billing for services or items that were not provided or costs that were not incurred.
- Duplicate billing - billing items or services more than once.
- Billing for items or services that were not medically necessary.
- Providing false or misleading information about a resident's condition.
- Failing to identify and refund credit balances.
- Submitting bills without supporting documentation.
- Untimely entries into medical records.

## **Referrals and Kickbacks**

Staff Members and related entities often have close associations with local healthcare providers and other referral sources. To demonstrate ethical business practices, we must make sure that all relationships with these professionals are open, honest, and legal.

Resident referrals are accepted based solely on the clinical needs and our ability to provide the services. Kendal at Hanover never solicits, accepts offers, or gives anything of value in exchange for resident referrals. Anything of value includes any item or service of value including cash, goods, supplies, gifts, “freebies,” improper discounts or bribes.

Accepting kickbacks is against our policies and procedures. A kickback is anything of value that is received in exchange for a business decision such as a resident referral. To assure adherence to ethical standards in our business relationships, you must:

- Verify all business arrangements with physicians or other healthcare providers or vendors in a written document.
- Comply with all state and federal regulations when arranging referrals to physician-owned businesses or other healthcare providers.

## **Copyright Laws**

Most print and electronic materials are protected by copyright laws. Staff Members are expected to respect these laws and not reproduce electronic print or printed material without obtaining permission as required by the writer or publisher. When in doubt, ask your supervisor.

## **Financial Practices and Controls**

Ensuring that financial and operating information is current and accurate is an important means of protecting assets. Each one of us must make sure that all information provided to bookkeepers, accountants, internal and external auditors, and compliance staff are accurate and complete. This includes ensuring the accuracy of clinical documentation which supports our billing. We must also comply with state regulations when maintaining clinical records, accounting records and financial statements, and cooperate fully with internal and external audits.

## Fair Dealing

All Staff Members must deal fairly with residents, suppliers, competitors, and one another. No Staff Member, manager, or director shall take unfair advantage of anyone through manipulation, concealment, abuse of privileged information, misrepresentation of material facts, or any other unfair dealing practice.

## Document Creation, Use and Maintenance

Every Staff Member is responsible for the conduct and accuracy of documents, records, and e-mails including, but not limited to, resident medical records, billing records, and financial records. No information in any record or document may ever be falsified or altered.

You must not disclose, internally or externally, either directly or indirectly, confidential information except on a **need to know** basis and in the performance of your duties. Disclosure of confidential information externally must follow organization policies.

Upon termination of employment, you must promptly return all confidential information, medical and/or business, to the organization. Examples of confidential business information include potential or threatened litigation, litigation strategy, purchases or sales of substantial assets, business plans, marketing strategies, organizational plans, financial management, training materials, fee schedules, department performance metrics, and administrative policies.

## **Government Investigations**

Kendal at Hanover is committed to cooperating with requests from any governmental inquiry, audit, or investigation. You are encouraged to cooperate with such requests, conscious of the fact that you have the following rights:

- You have the right to speak or decline to speak.
- You have the right to speak to an attorney before deciding to be interviewed.
- You can insist that an attorney be present if you agree to be interviewed.

In complying with our policy you must not:

- Lie or make false or misleading statements to any government investigator or inspector.
- Destroy or alter any records or documents.
- Attempt to persuade another Staff Member or any person to give false or misleading information to a government investigator or inspector.
- Be uncooperative with a government investigation.

If you receive a subpoena or other written or oral request for information from the government or a court, contact your supervisor, the Compliance Official, or the Compliance Officer before responding.

## **Disciplinary Action**

Disciplinary action will be taken against anyone who fails to act in accordance with this Code of Conduct, the Compliance and Ethics Program, supporting policies and procedures, and applicable federal and state laws. Disciplinary action may be warranted against violators of the Compliance and Ethics Program and those who fail to detect violations or who fail to respond appropriately to a violation, whatever their role in the organization. When taking disciplinary action against a Staff Member, we will utilize standard disciplinary processes which may lead to the termination of business relationships and agreements. The Compliance Officer may initiate and recommend corrective or disciplinary action against a Staff Member through the Compliance Official and CEO and may also monitor appropriate implementation of the disciplinary process. We will discipline anyone who engages in prohibited retaliatory conduct.

## Compliance Questions

The laws applicable to our operations are numerous and complicated. When you are not sure whether a particular activity or practice violates the law or the Compliance and Ethics Program, you should not guess the correct answer. Instead, you should immediately seek guidance from your department supervisor or the Compliance Official. You will not be penalized for asking compliance-related questions. In fact, we are intent on creating a culture in which you should feel comfortable asking questions to ensure you understand the duties that are imposed upon you under this Code of Conduct, the Compliance and Ethics Program, and other applicable laws.

## Conclusion

The Compliance and Ethics Program is critical to Kendal at Hanover's continued success. You are crucial in ensuring the conduct of Kendal at Hanover. The Code of Conduct and the Compliance and Ethics Program set standards for the legal, professional, and ethical conduct of our business. Some key points to remember are:

- Kendal at Hanover and all of our Staff Members are committed to personal and organizational conduct, to acting in good faith, and to being accountable for our actions.
- The Code of Conduct and the Compliance and Ethics Program prepare us to deal with the growing complexity of ethical, professional, and legal requirements of delivering services.
- The Compliance and Ethics Program is an ongoing initiative designed to foster a supportive work environment, provide standards for clinical and business conduct, and offer education and training opportunities for Staff Members.

The success of the Kendal at Hanover's Compliance and Ethics Program depends on our commitment to act with conduct, both personally and as an organization. As a Staff Member, your duty is to ensure that the organization is doing everything practicable to comply with applicable laws. You are expected to satisfy this duty by performing your responsibilities in accordance with professional standards, the regulations guiding our business practices, and our policies and procedures.

Your Compliance Official  
David Urso  
603-643-7013

Your Compliance Officer  
Karla Dreisbach, CHC, CHPC  
215-646-0720

Toll-Free FSA Compliance Hot Line  
1-800-211-2713

### **FSA Compliance Services**

Friends Services Alliance (FSA) has established a collaborative Compliance and Ethics Program known as the FSA Compliance Program.

FSA  
670 Sentry Parkway  
Suite 120  
Blue Bell, PA, 19422-2325  
215-646-0720



Adopted May 2021



