Holisticare
HOSPICE

**CODE OF CONDUCT**
**RECEIPT AND ACKNOWLEDGEMENT**

I acknowledge that I received a copy of the Holisticare Hospice Code of Conduct and understand that the information contained in the Code of Conduct represents set standards for the legal, professional and ethical conduct of our business

I am committed to personal and organizational integrity, to act in good faith, and to be accountable for my actions..

Furthermore, I acknowledge I understand that it is my responsibility to read and comply with the standards contained in the Code of Conduct and any revisions made to it.

Associate's Name:_____ (printed)

Associates's Signature_____

Date:_____

HOLISTICARE HOSPICE

Compliance Program

# Code of Conduct

# Table of Contents


Scope ..... 1
Structure and Organization ..... 2
Compliance Officer ..... 2
Management ..... 3
Welcome ..... 4
Introduction ..... 5
A Shared Responsibility ..... 6
A Personal Obligation ..... 6
Compliance Line ..... 7
Care Excellence ..... 8
Patient Rights ..... 8
Abuse and Neglect ..... 9
Patient Confidentiality ..... 10
Patient Property ..... 10
Providing Quality of Care ..... 10
Medical Services ..... 11
Professional Excellence ..... 12
Hiring and Employment Practices ..... 12
Employee Screening ..... 12
Employee Relations ..... 13
Workplace Violence ..... 13
Workplace Safety ..... 13
Drug and Alcohol Abuse ..... 13
Organizational Relations ..... 14
Proprietary Information ..... 14
Business Courtesies and Gifts ..... 14
Conflict of Interest ..... 15
Use of Property ..... 15
Computers and the Internet ..... 15
Vendor Relationships ..... 16
Marketing and Advertising ..... 16
Regulatory Excellence ..... 17
Billing and Business Practices ..... 17
Referrals and Kickbacks ..... 18
Copyright Laws ..... 18
Financial Practices and Controls ..... 18
Fair Dealing ..... 18
Protection and Proper Use of Assets ..... 19

## Scope

Our Compliance Program Plan covers the compliance issues, laws and regulations and guidelines that are relevant to a provider of senior services including hospice organizations that may provide a wide range of healthcare services. This includes but is not limited to Medicare and Medicaid regulatory issues, guidelines from the Office of Inspector General, Internal Revenue Service and the Office of Civil Rights of the Department of Health and Human Services, Occupational Safety and Health Administration as well as other regulatory and business issues.

The term Associate defines the various individuals who are associated with Holisticare Hospice. All individuals, including employees, contracted vendors, contractors, volunteers, directors and officers are members of our team in providing care and services to our patients.

The scope of the program includes:

Policies and procedures that guide our organization in appropriate business practice and promote compliance with laws and governmental regulations

Recommendations and resources for training programs that are mandatory for Associates to ensure understanding of the Code of Conduct;

Distribution of a copy of the Code of Conduct to all Associates and with a written acknowledgment of its receipt by the Associate;

Structures that include appropriate disciplinary monitoring and review of potential fraud and abuse issues conducted to identify need for corrective action as well as additional training;

Mechanisms established to provide Associates with a means to report potential noncompliance issues or other areas of concern without fear of retribution;

A process for corrective action that includes appropriate disciplinary measures, to address any issues of noncompliance;

Guidelines that have been developed for prevention of and, when required, response to identified compliance issues. This includes an annual review of the Compliance Program and modifications to the Program as appropriate;

Designation of a Compliance Officer and other appropriate bodies such

The Compliance Officer works with the Chief Executive Officer and Chief Operating Officer and has periodic reporting responsibility to the Governing Board. The Compliance Officer is responsible for the development, implementation, training, monitoring and enforcement activities within the organization.

## Management

The Chief Executive Officer carries the overall responsibility for creating a culture that values and emphasizes compliance and integrity and ensures privacy.

Compliance activities include quarterly audits, responses to hotline and overseeing the organization's Compliance Committee. As a function of this role, the Compliance Officer also functions as the Privacy Officer.

The Organization's **Compliance Committee** is comprised of members of the management team. The Compliance Officer is the chair for this committee. The committee meets on a quarterly basis.

# HOLISTICARE HOSPICE

## CodeofConduct

## Introduction

The Code of Conduct is the foundation of the Compliance 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. This Code of Conduct applies to everyone including all staff, management, Governing Board, volunteers, contractors and vendors. Our staff must comply with both the spirit and the letter of all federal, state and local laws and regulations that apply to the healthcare and other services that the 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, exclusion from participation in government programs and in some cases imprisonment.

As an Associate, 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 patients, order supplies, prepare meals, keep records, take physician orders, pay invoices or make decisions about the future of our organization.

> **The** ***success of Holisticare Hospice as a provider of healthcare and other services depends on you, your personal and professional integrity, your responsibility to act in good faith and your obligation to do the right things for the right reasons.***

The Compliance Program provides principles, standards, training and tools to guide you in meeting your legal, ethical and professional responsibilities. As an Associate, you are responsible for supporting the Compliance Program in every aspect of workplace behavior. Your performance review and continuous working relationship includes understanding and adhering to the compliance plan as it applies to your job responsibilities and all your interactions.

This handbook describes our Code of Conduct. It supplements the Employee Handbook and the specific Policies and Procedures that apply to departmental job responsibilities. As a business partner or contracted partner it provides guidelines and expectations for our continued relationship. 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 healthcare, housing services and other services we provide.

## A Shared Responsibility

Because we are in the business of caring 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:

Patients and their families; Colleagues and coworkers; Volunteers and affiliated colleagues;
Healthcare payers, including the federal and state governments;
Regulators, surveyors and monitoring agencies; Physicians, Nurse Practitioners, Physician Assistants;
Vendors and suppliers; Business associates; and
The Communities we serve.

Any compromise in our standards could harm our patients, our coworkers and our organization. Like every organization that provides healthcare, we do business under very strict regulations and close governmental oversight. Fraud and abuse are serious issues. Sometimes even an innocent mistake can have significant consequences that could result in substantial penalties to Holisticare Hospice.

All Associates are required to complete training on the Code of Conduct and the Compliance Program as a condition of employment and business relationship and you must follow the Code of Conduct to remain employed. The Code of Conduct sets forth mandatory standards. **There is no justification for departing from the CodeofConduct no matter what the situation may be.** Every Associate is responsible for ensuring that they comply with the Code of Conduct and all policies and procedures. Any Associate who violates any of these standards and/or policies and procedures is subject to discipline up to and including termination of employment.

## 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 an Associate, you must help ensure that you are doing everything practical to comply with applicable laws. If you observe or suspect a situation that you believe may be unethical, illegal, unprofessional or wrong, or 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 and Pennsylvania required reporting obligations.

## COMPLIANCE LINE

There is a specific communication process for reporting compliance issues.

**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 are not able to talk to your supervisor, seek out another member of the management team or someone from human resources.
**Third,** if you still have a concern, contact the Compliance Liaison or member of the organization's Compliance Committee.

**If none of the above steps resolve your questions or concerns, or if you prefer, call the toll free Compliance Line at 855-897-2878 for assistance. All calls are confidential and you may call *ANONYMOUSLY* if you choose.**

You can make a report in good faith to the Compliance Line without fear of reprisal, retaliation or punishment for your actions. Anyone, including a supervisor who retaliates against an Associate for contacting the Compliance Line or reporting compliance issues in another manner will be disciplined.

The Compliance Line is staffed by an outside agency and is available 24 hours, 7 days a week. Each call is investigated and kept confidential to the highest degree possible.

# Care Excellence

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

## Patient Rights

Patients receiving healthcare and other services have clearly defined rights. To honor these, we must:

Make no distinction in the admission, transfer or discharge of a patient, 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 patients in a manner that preserves their dignity, autonomy, self-esteem and civil rights; protect every patient from physical, emotional, verbal or sexual abuse or neglect; Protect all aspects of patient privacy and confidentiality;

Respect patient's personal property and money and protect it from loss, theft, improper use and damage;

Respect the right of patients and their legal representatives to be informed of and participate in decision about their care and treatment; Respect the right of patients and/or their legal representatives to access their medical records as required by the Health Information Portability and Accountability Act (HIPAA);

Recognize that patients have the right to consent or refuse care and the right to be informed of the medical consequences of such refusal;

Protect patient's rights to be free from physical and chemical restraints; and

Respect the patients' right to self-determination and autonomy.

## Abuse and Neglect

We will not tolerate any type of patient abuse or neglect physical, emotional, verbal or sexual. Patients must be protected not only from Associate but also family members, legal guardians, friends or any other person. This standard applies to all patients at all times.

The definition of abuse is the following:

Abuse – the infliction of injury, unreasonable confinement, intimidation or punishment with resulting physical harm or pain or mental anguish, or deprivation by an individual, including a care taker of goods or services that are necessary to attain or maintain physical, mental and psychosocial well-being. This presumes that instance of abuse of all patients, even those in a coma, cause physical harm, or pain or mental anguish. The term includes the following:

Verbal Abuse - Any use of oral, written, or gestured language that willfully includes disparaging and derogatory terms to patients or their families, or within their hearing distance, regardless of age, ability to comprehend or disability;

Sexual Abuse – includes sexual harassment, sexual coercion or sexual assault;

Physical Abuse – Includes hitting, slapping, pinching, kicking. The term also includes controlling behavior through corporal punishment or deprivation

Mental Abuse – include humiliation, harassment, and threats of punishment or deprivation;

Involuntary Seclusion – Includes separation of a patient from other patients from his or her room or confinement to his or her room against the patient's will or the will of the patient's legal representative;

Neglect – The deprivation by a caretaker of goods or service, which are necessary to maintain physical or mental health.

*Any Associate who abuses or neglects a patient is subject to termination. In addition, legal or criminal action may be taken. Abuse and neglect must be reported immediately to your supervisor or other member of management under the mandatory reporting requirements for the Commonwealth of Pennsylvania. DO NOT call the Compliance Line for issues of abuse or neglect.*

***Report them immediately!***

## Patient Confidentiality

Every Associate must treat all patient information, including any documents or records that contain patient- identifying information, medical records and charts as confidential. Associates must use and disclose medical, financial or personal information only in a manner consistent with the HIPAA Privacy policies and procedures and state and federal law.

## Patient Property

Associates must respect patients' personal property and protect it from loss, theft, damage or misuse. Associates who have access to property or funds must maintain accurate records and accounts.

## Providing Quality of Care

As a Hospice Organization, our primary commitment is to provide the care, services and products necessary to help each patient reach or maintain his or her highest possible level of physical, mental and psychosocial well-being. Our hospice has policies and procedures and provides training and education to help each Associate strive to achieve this goal. You will learn about policies and procedures specific to your job responsibilities as part of your employment orientation and training.

Our care standards include:

Accurately assessing the individual needs of each patient and developing interdisciplinary care plans that meet those assessed needs;

Reviewing goals and plans of care to ensure that the patients' ongoing needs are being met;

Providing only medically necessary, physician prescribed services and products that meet the patients' clinical needs;

Confirming that services and products (including medications) are within accepted standards of practice for the patient's clinical condition;

Ensuring that services and products are reasonable in terms of frequency, amount and duration;

Measuring clinical outcomes and patient satisfaction to confirm that quality of care goals are met;

Providing accurate and timely clinical and financial documentation and record keeping;

Ensuring that only properly licensed and credentialed providers with appropriate background, experience and expertise give patient's care;

Reviewing patient care policies and procedures and clinical protocols to ensure that they meet current standards of practice; and

Monitoring and improving clinical outcomes through a Quality Improvement Committee with established benchmarks.

## Medical Services

We are committed to providing comprehensive, medically necessary services for our patients. The Medical Director provides oversight to physicians and other medical services as defined by state and federal regulations. The Medical Director is compensated at a fair market value for the services he or she provides. The Medical Director oversees the care and treatment policies and is actively involved in the Quality Improvement Committee.

## Professional Excellence

The professional, responsible and ethical behavior of every Associate reflects on the reputation of our organization and the services we provide.
Whether you work directly with patients or in other areas that support patient services you are expected to maintain our standards of honesty, integrity and professional excellence, everyday.

## Hiring and Employment Practices

Holisticare Hospice 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, creed, national origin, age ancestry, nationality, marital or domestic partnership, civil union status, sex, gender identity or expression, disability, liability for military service or sexual orientation, atypical cellular or blood trait, genetic information (including the refusal to submit to genetic testing). All promotions, transfers evaluations, compensation and disciplinary actions also follow this policy.

Conduct employment screenings to protect the integrity of our workforce and welfare of our patients and Associates.

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

Holisticare Hospice is prohibited by federal law from employing, or retaining, or contracting with anyone who is excluded from any federal or state funded programs. Screening procedures have been implemented and are conducted prior to hire and a minimum of monthly thereafter, to identify such individuals. These standards also apply to temporary healthcare workers. These policies and procedures are intended to ensure that we do not contract with, employ or bill for services ordered, rendered or supervised by anyone:

Confirmed with a positive drug test; Convicted of a violent crime, including assault, abuse or rape;
Convicted of a criminal offense related to healthcare, including fraud, neglect or abuse of patients;
Convicted of a felony in the preceding seven years;
Convicted of an offense considered exclusionary by state statutes regulation or standard;
Excluded from or ineligible to participate in federal healthcare programs;
Disbarred or excluded by a duly authorized licensing agency.

As long as you are employed or affiliated with Holisticare Hospice, you must immediately report to your supervisor 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; or if you are excluded from participation in a federal or state healthcare program. Any Associate who is alleged to have committed a serious criminal act will be suspended or, if convicted of a felony, terminated.

## 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 coworkers with equal respect, regardless of their national origin, race, color, religion, sexual orientation, age, gender identity or disability;
Protect the privacy of other Associates by keeping personal information confidential and allowing only authorized individuals access to the information; and

## Workplace Violence

Every employee has the right to work in a safe environment. Violence, abuse or aggressive behavior will not be tolerated.

## Workplace Safety

Maintaining a safe workplace is critical to the well-being of our patients, visitors and coworkers. That is why policies and procedures have been developed that describes the organizations safety requirements. Every Associate should become familiar with safety regulations and emergency plans regarding fire and disaster in their 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.

## Drug and Alcohol Abuse

We are committed to maintaining a workforce dedicated and capable of providing quality patient services and performing other applicable duties. To that end, Associates are prohibited from consuming any substance that impairs their ability to provide quality services or otherwise perform their employment.

Associates may never use, sell or bring on company property, alcohol, illegal drugs and/or narcotics or report to work under the influence of alcohol, illegal drugs and/or narcotics. For an Associate 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 patient is prohibited. If an Associate becomes aware of any improper diversion of drugs or medical

supplies, the Associate must immediately report the incident to his or her department supervisor, the Compliance Liaison, the Compliance Officer or the Compliance Line.

## Organizational Relations

Professional excellence in organizational relations includes:

Maintaining company privacy and keeping proprietary information confidential;
Avoiding outside activities or interests that conflict with responsibilities to Holisticare Hospice and reporting such activity or interest prior to and during employment;
Allowing only designated management staff to report to the public or media; and
Requiring that Holisticare Hospice comply with the licensing and certification laws that apply to its' business.

## Proprietary Information

In the performance of their duties, Associates may have access to, receive or entrusted with confidential and/or proprietary information, Holisticare Hospice owns that 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 executive team.

Examples of proprietary information that should not be shared include:

Patient and Associate 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 patients;
Compensation and benefits information for staff; Stocks or any kind of financial information; and/or
Market information, marketing plans or strategic plans.

## Business Courtesies and Gifts

Associates are expected, as a basic requirement of employment, to display cheerfulness and willingness in the performance of their duties and to give every consideration and courtesy to patients, visitors, and business contacts. Whenever tips or gifts of any kind are offered, they must be graciously declined. Holisticare does allow associates to accept flowers, cake, candy or cookies from a patient as a token of appreciation. If an Associate cannot return the tip or gift to the patient, he/she is expected to report it to their supervisor and turn it in to their supervisor or, in their absence, to Human Resources. Acceptance of a tip or gift is grounds for dismissal.

## 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 the following provide some examples:

Financial involvement with vendors or others that would cause you to put their financial interests ahead of ours;

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 Holisticare Hospice or cause loss or embarrassment to the organization;

Taking a job outside of Holisticare Hospice that overlaps with your normal working hours at or interferes with your job performance;

or Working for Holisticare and another vendor that provides goods or services at the same time.

*All Associates must ensure that they remain free from actual or perceived conflicts of interest.*

## Use of Property

Property – everything from office supplies and computers to company vehicles – represents a significant expense and should only be used 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; and

Respect copyright and intellectual property laws;

Never copy or download software.

## Computers and the Internet

Associates are expected to use computers, email and Internet systems appropriately and according to the established policy and procedure. Associates are not permitted to use the Internet for improper or unlawful activity or download or play games on organization computers.

Internet use can be tracked and how Associates use their time on the Internet will be monitored.

## 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. Management must always approve arrangements between Holisticare Hospice and its vendors. Certain business arrangements must be detailed in writing, approved by management and the Compliance Officer or designee. Agreements with contractors and vendors who receive patient information, with the exception of care providers, will require a Business Associate Agreement with the organization as defined by Health Insurance Portability and Accountability Act. Contractors and vendors who provide patient care, reimbursement or other services to patient beneficiaries of federal and/ or state healthcare programs are subject to the Code of Conduct and must:

Maintain defined standards for the products and services they provide to this organization and the patients;
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 certification and provide evidence of current workers compensation and liability insurance as applicable; and
Require that their Associates comply with the Code of Conduct and the Compliance 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 Associates. These materials and announcements, whether verbal, printed or electronic will present only truthful, informative, non-deceptive information.

We abide by the HIPAA privacy rules in our marketing practices and provide individuals instructions on how to opt out of future communications.

## Regulatory Excellence

Because we are in healthcare, we must follow the many federal, state and local laws that govern our business. Keeping up with the most current rules and regulations are a big job – and an important one. We are all responsible for learning and staying current with the federal, 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 integrity. Therefore, all Associates must ensure that all statements, submissions and other communications with patients, prospective patients, the government, suppliers and other third parties are truthful, accurate and complete. We are committed to ethical, honest billing practices and expect every Associate to be vigilant in maintaining these standards at all times. We will not tolerate any deliberately false or inaccurate billing. Any Associate who knowingly submits a false claim, or provides information that may contribute to submitting a false claim such as falsified clinical documentation, to any payer – public or private – 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 for item or services more than once;
Billing for items or services that were not medically necessary;
Assigning an inaccurate code or patient status to increase reimbursement; providing false or misleading information about a patients' condition or eligibility; failing to identify and refund credit balances;
Submitting bills without supporting documentation;
Soliciting, offering, receiving or paying a kickback, bribe, rebate or any other remuneration in exchange for referrals; and/or
Unlawfully inducing business associates

**If you observe or suspect that false claims are being submitted or have knowledge of a prohibited practice, you must immediately report the situation to a supervisor, the Compliance Officer or the Compliance Hotline.**

## Referrals and Kickbacks

Associates 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.

Patient referrals are accepted based solely on the clinical needs and our ability to provide the services required by the patient and our ability to provide the identified services. Holisticare Hospice never solicits, accepts offers or gives kickbacks of any kind.

A "kickback" is an item or service of value including cash, goods, supplies, gifts, "freebie" or bribes that is received in exchange for a business decision such as a patient referral. Accepting kickbacks is not only against policies and procedures but also against the law. To assure adherence to ethical standards in our business relationships, associates must:

Verify all business arrangements with physicians or other healthcare providers or vendors in a written document; and

Comply with all state and federal regulations when arranging referrals to physician-owned businesses or other healthcare providers.

Associates cannot request, accept, offer or give any item or service that is intended to influence – or even appears to influence – a healthcare service paid for any private or commercial healthcare payer or federal or state healthcare program, including Medicare and Medicaid, or other providers.

## Copyright Laws

Copyright laws protect print and electronic materials. Associates are expected to respect these laws and not reproduce electronic print or print material without the permission from the writer or publisher.

## Financial Practices and Controls

Ensuring that financial and operating information is current and accurate is an important means of protecting assets. All Associates must make sure that all information provided by bookkeepers, accountants, and reimbursement staff, internal and external auditors and compliance staff is accurate and complete. We must also comply with federal and state regulations when maintaining accounting records and financial statements and cooperate fully with internal and external audits

## Fair Dealing

All Associates must deal fairly with patients, suppliers, competitors and other Associates. No Associate, 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.

## Protection and Proper Use of Assets

All Associates 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.

## Document Creation, Use and Maintenance

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

Associates must not disclose internally or externally, either directly or indirectly, confidential information except on a **need to know** basis and in the performance of their duties. Associates must never disclose confidential information externally unless expressly directed to do so by legal counsel. Upon termination of employment an Associate must promptly return all confidential information to the organization.

Examples of confidential business information includes 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.

## Licensure and Certification

We are committed to ensuring that only qualified professionals provide care and services to patients. Practitioners and other professionals treating patients 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 and screening of all employees through the OIG and GSA databases.

## Voluntary Disclosure

It is the policy of Holisticare Hospice to voluntarily report fraudulent conduct it uncovers that affects any federal or state healthcare program.

## Government Investigations

We are committed to cooperating with reasonable requests from any governmental inquiry, audits or investigations. Associates are encouraged to cooperate with such requests, conscious of the fact that Associate(s) have/has the following rights:

Associate has the right to speak or decline to speak, as all such conversation is voluntary;

Associate has the right to speak to an attorney before deciding to be interviewed; and
Associate can insist that an attorney be present if they agree to be interviewed.

In complying with policy you must not:

Lie or make false or misleading statements to any government investigator or inspector;
Destroy or alter any records or documents in anticipation of a request from the government or the court;
Attempt to persuade another team member or any person to give false or misleading information to a government investigator or inspector; or
Be uncooperative with a government investigation.

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

## Disciplinary Action

Disciplinary action will be taken against any Associate who fails to act in accordance with this Code of Conduct, the Compliance Program, supporting policies and procedures and applicable federal and state laws. Disciplinary action may be warranted in relation to violators of the Compliance Program and to those who fail to detect violations or who fail to respond appropriately to a violation, whatever their role in the organization. Disciplinary action will utilize standard disciplinary processes or termination of business relationships and agreements The Compliance Officer in conjunction with the Chief Executive Officer is empowered to initiate the disciplinary action through the immediate supervisor and to monitor appropriate implementation of the disciplinary process.

## Compliance Questions

The laws applicable to **our** operations are numerous and complicated. When an Associate is not sure whether a particular activity or practice violates the law or the Compliance Program, the Associate should not "guess" as to the correct answer. Instead, the Associate should immediately seek guidance from his or her department supervisor or the Compliance Officer. Associates will not be penalized for asking compliance-related questions. Indeed, we are intent on maintaining a culture in which every Associate is comfortable asking the questions necessary to ensure that he or she understands the duties imposed on him or her by this Code of Conduct, the Compliance Program and other applicable federal and state laws.

## Conclusion

**The Compliance Program is critical for**

**Holisticare's continued success. You are crucial to ensuring the integrity of this organization. The Code of Conduct and the Compliance Program set standards for the legal, professional and ethical conduct of our business. Some key points to remember are:**

> **Holisticare and all its Associates are committed to personal and organizational integrity, to act in good faith, and to be accountable for our actions.**

**The Code of Conduct and the Compliance Program prepare us to deal with the growing complexity of ethical, professional and legal requirements of delivering healthcare in the Hospice environment.**

**The Compliance 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 Associates.**

**The success of the Compliance Program depends on our commitment to act with integrity, both personally and as an organization.**

**As an Associate, your duty is to ensure that the organization is doing everything practical to comply with applicable laws. You are expected to satisfy this duty by performing your responsibilities in accordance with professional standards, the regulations and the policies and procedures.**

January 2012