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Corporate Compliance Program

Code of Ethics, Corporate Compliance Plan, Whistle Blower Policy,
Code of Conduct, Document Retention Policy

Mission

*To provide essential transportation to health, social,
and other destinations for North Country residents
who have no other transportation alternatives.*

VOLUNTEER TRANSPORTATION CENTER, INC.

203 N. Hamilton Street Watertown, New York 13601

19 Hodskin Street, Canton, New York 13617

Watertown - (315) 788-0422 Canton – (315) 714-2034

Approvals

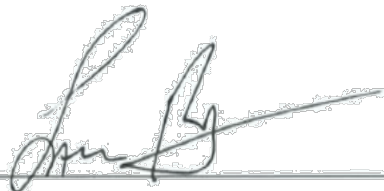
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Date Last Amended: March 17, 2015

Date Last Reviewed: March 17, 2015

This plan must be approved by the Volunteer Transportation Center, Inc. (hereafter known as the VTC) leadership and its board of directors. The VTC Board of Directors must approve and adopt as per the organization's by-laws. The Board President must affix his or her signature below indicating the Board's approval of the document.

The Board of Directors of the Volunteer Transportation Center, Inc. has reviewed this Corporate Compliance Plan and approves its adoption by the VTC.



Executive Director



Board President

CODE OF ETHICS

The nature of our business requires careful observation of applicable legal regulations, general a Compliance/Quality Coordinator , principles and procedures, and regard for maintaining the high standards of conduct and personal integrity that are essential if we are to merit the confidence of clients and clients and their families, staff, and the general public.

A written policy cannot answer all questions raised in the context of business relationships; therefore, as a staff member of the VTC, you are expected to accept responsibility for recognizing and responding to specific situations as they arise.

You should be aware of and adhere to the following components regarding business ethics:

- a. Confidential information regarding clients and clients and their families, staff, and the corporation's business should be safeguarded and communicated on a "need to know" basis only through the course of your assigned work at the VTC.
- b. The discussion of confidential or proprietary information in public places, or where others may overhear it, must be avoided.
- c. Materials, including all forms, documents, programs, etc. are proprietary and for the exclusive use of the VTC only.
- d. Staff members are not to, directly or indirectly, solicit or accept any gifts of value as a "quid pro quo" (something received or given as a personal reward for preferential action or service by a consumer) or as a gratuity, in connection with agency business, such as referrals.
- e. An employee shall not accept gifts of money in any amount.
- f. Gifts may be accepted from outside sources (including but not limited to consumers and vendors) only if it is not intended to influence or give the appearance of influencing a business decision, is unsolicited, is infrequent, is of a nominal value (less than \$70), and is reasonable and customary.
- g. Staff members are not to borrow from or lend money to other staff members, clients, clients and their families.
- h. Staff members must report actions taken against professional licenses to their supervisor.
- i. Staff members must not engage in partisan activities while acting as VTC employees.
- j. Staff members are expected to conduct their relationships with those doing business with the VTC in a professional manner and should avoid becoming involved with the personal affairs of those doing business with the VTC.

Administrative Responsibility

The VTC Board of Directors is responsible for governing the VTC as a knowledgeable body regarding compliance expectations, practices, identified risk issues and plans for corrective action. The primary responsibility for managing and monitoring the VTC compliance effort is assigned to the Compliance/Quality Coordinator. The Compliance/Quality Coordinator will report all compliance efforts and identified issues directly to the Executive Director. The VTC Executive Director has responsibility for implementation of the Corporate Compliance Plan.

- a. Board members have a *fiduciary responsibility*: an expectation of stakeholders regarding oversight of corporate affairs. Board members must exercise their *duty of care* in executing this responsibility. Embedded in the duty of care is the concept of *reasonable inquiry*. Board members are expected to make inquiries of management to obtain information necessary to satisfy their duty of care.
- b. In terms of corporate compliance the Board member's duty of care arises in two contexts:
 - Decision-making – application of duty of care principles to a specific decision or a particular board action.
 - Oversight – application of duty of care principles with respect to the general activity of the Board in overseeing the day-to-day business operations of the corporation; i.e. the exercise of reasonable care to assure that corporate executives carry out their management responsibilities and comply with the law.
- c. Again, narrowing the duty of care with respect to corporate compliance, it is the Board member's responsibility to ensure that:
 - Corporate information and reporting systems exist
 - The reporting system is adequate to assure the Board that appropriate information as to compliance with applicable laws will come to its attention in a timely manner as a matter of ordinary operations.
- d. The Board's duty is to reasonably question things when suspicions are aroused or should be aroused. An example of this would be when the Board member is presented with indications of financial improprieties, self-dealing or fraud, or when the agency is the subject of a governmental investigation. However, Board members are entitled to rely on the senior leadership team in the performance of its duties when no impropriety is suspected.
- e. Over the last decade the government has dedicated substantial resources, including the addition of criminal investigators and prosecutors, to respond to health care fraud and abuse. In addition to government investigators, private whistleblowers play an important role in identifying allegedly fraudulent billing schemes and other abusive practices. Providers found guilty of participating in these schemes can be excluded from receiving Medicaid or Medicare or other federal health care programs.
- f. The VTC has embraced efforts to improve compliance with federal and state health care program requirements and developed an active compliance program tailored to our circumstances.

- g. Board members bring diverse backgrounds and business experiences and assist us by asking practical questions and contributing their experience from other industries. They are expected to participate on committees with staff. This gives them exposure to the framework of our operations and contact with staff to learn how we implement our Code of Conduct in operations.
- h. Board members are the bedrock of the health care delivery system. The oversight activities provided by Board members help form the corporate vision and at the same time promote an environment of corporate responsibility that protects the mission of the corporation and the health care consumers it serves.

With the oversight of the Executive Director the Compliance/Quality Coordinator is responsible for the following activities:

- Assist the Administrative Team in the review, revision and formulation of appropriate policies and procedures to guide all activities and functions of the VTC that involve issues of compliance;
- Ensure that processes for compliance integrate with and support the VTC Quality Coordination monitoring and system self-assessment processes;
- Assist administrative, operations and quality coordination with the review and amendment, as necessary, of the Business Code of Conduct for all the VTC employees and contract providers or affiliate providers or external providers;
- Assist the program directors with developing methods to ensure that employees and contract providers, affiliate providers or external providers are aware of the VTC Business Code of Conduct and understand the importance of compliance.
- Develop and deliver educational and training programs;
- Receive and review instances of suspected compliance issues, communicate findings, and review action plans with the program suspected of noncompliance and the VTC Compliance Committee, as set forth in this Plan;
- Prepare a compliance summary quarterly each year and present to the Board of Directors, as set forth in this Plan;
- Prepare the annual Corporate Compliance Work Plan, as set forth in this Plan, with the VTC Quality Improvement/Corporate Compliance Committee;
- Ensure the goals within the annual Work Plan are considered in the VTC Local/Strategic Plan and Quality Management Plans, as appropriate;
- Coordinate with appropriate staff to disseminate and ensure understanding of policies defining compliance initiatives;
- Prepare revisions to the VTC Corporate Compliance Plan with the Quality Improvement/Corporate Compliance Committee, as set forth in this Plan; and
- Provide other assistance with initiatives regarding corporate compliance, as directed by the Executive Director.

CORPORATE COMPLIANCE PLAN

Introduction

Volunteer Transportation Center, Inc. (the VTC) seeks to operate in accordance with the highest level of business and community ethics and in compliance with all applicable laws and regulations. The VTC is committed to preventing, detecting and correcting any unintentional or deliberate conduct that is inconsistent with these principles.

The VTC Corporate Compliance Plan (the “plan”) has been developed in compliance with applicable law, with guidance from state and federal authorities when available, including the Federal Sentencing Guidelines, and model compliance programs issued by the U.S. Department of Health and Human Service Office of the Inspector General (the “OIG”). While the Plan places a strong emphasis on the prevention of fraud, abuse and waste in federal, state and private health care plans, the scope of the Plan is not limited to this issue and covers other areas of compliance to which the VTC is subject. With this Plan, the VTC will seek to promote full compliance with all legal duties applicable to it, foster and assure ethical conduct, and provide guidance to each employee and contractor of the VTC for his /her conduct. The procedures and standards of conduct contained in this Plan are intended to generally define the scope of conduct which the Plan is intended to cover and are not to be considered as all inclusive.

This plan is intended to:

- 1) prevent accidental and intentional noncompliance with applicable laws
- 2) detect such noncompliance as it occurs
- 3) discipline those involved in noncompliant behavior
- 4) remedy the effects of non-compliance and
- 5) prevent future noncompliance

This Compliance Plan is a “living document” and will be updated periodically to keep the VTC employees and volunteers informed of the most current information available pertaining to compliance requirements in the health care industry.

Expectations

We ensure that all aspects of consumer care and business conduct are performed in compliance with our mission and vision statements, policies and procedures, professional standards and applicable governmental laws, rules and regulations and other payer standards. The VTC expects every person who provides services to our clients to adhere to the highest ethical standards and to promote ethical behavior. Any person whose behavior is found to violate ethical standards will be disciplined in accordance with our VTC policy and procedure.

Employees may not engage in any conduct that conflicts – or is perceived to conflict – with the best interest of the VTC. Employees must disclose any circumstances where the employee or his or her immediate family member is an employee, consultant, owner, contractor or investor in any entity that:

1. Engages in any business or maintains any relationship with the VTC;
2. Provides to or receives referrals from the VTC; or
3. Competes with the VTC. Employees may not without permission from the Compliance/Quality Coordinator accept, solicit or offer anything of value from anyone doing business with the VTC.

Employees are expected to maintain complete, accurate and contemporaneous records as required by the VTC. The term “records” includes all documents, both written and electronic, that relates to the provision of VTC services or provides support for the billing of VTC services. Records must reflect the actual service provided. Any records to be appropriately altered must reflect the date of the alteration, the name, signature and title of the person altering the document and the reason for the alteration if not apparent. No person shall ever sign the name of another person to any document. Backdating and predating documents is unacceptable and will lead to discipline up to and including termination.

All documentation errors will warrant a documentation of noncompliance in the staff member’s personnel file. The staff member’s documentation will be monitored for no less than one (1) month following the discovery of the documentation of errors.

When any person knows or reasonably suspects that the expectations above have not been met, this must be reported to the immediate supervisor, the Compliance/Quality Coordinator, and/or the Executive Director, so each situation may be dealt with appropriately. The Compliance/Quality Coordinator may be reached at 315-788-0422.

Written Standards and Procedures

The VTC has created a compliance policy and procedure that articulate the VTC's commitment to comply with all Federal, and State regulations. Many of these policies/procedures are designed to prevent fraud and abuse by providing guidelines for individuals working in certain "at-risk" areas. Our compliance standards apply equally to ALL employees regardless of tenure or rank within the organization. It is the responsibility of each employee to become familiar with the standards and procedures that apply to their day-to-day activities and to comply with such policies at all times. In addition, acceptance of the Code of Conduct is a mandatory aspect of employment which must be reaffirmed annually by each employee. In particular, and without limitation, each employee is prohibited from directly or indirectly engaging or participating in any of the following:

- Improper Claims - Presenting or causing to be presented to the U.S. government or any other healthcare payer a claim:
 - Item or Service Not Provided as Claimed - For a medical or other item or service that such person knows or should know was not provided as claimed, including a pattern or practice of presenting or causing to be presented a claim for an item or service that is based on a code that such person knows or should know will result in a greater payment to the claimant than the code such person knows or should know is applicable to the item or service actually provided;
 - False Claim - For a medical or other item or service and such person knows or should know the claim is false or fraudulent;
 - Excluded Provider - For a medical or other item or service furnished during a period in which such person knows or should know the claimant was excluded from the program under which the claim was made;
 - Not Medically Necessary - For a pattern of medical or other items or services that such person knows or should know are not medically necessary;
- False Statement in Determining Rights to Benefits - Making, using, or causing to be made or used any false record, statement, or representation of a material fact for use in determining rights to any benefit or payment under any healthcare program;
- Conspiracy to Defraud - Conspiring to defraud the U.S. government or any other healthcare payer by getting a false claim allowed or paid;
- Healthcare Fraud/False Statements Relating to Healthcare Matters - Executing or attempting to execute a scheme or artifice to defraud any healthcare benefit program or to obtain, by means of false, fictitious, or fraudulent pretenses, representations or promises, any of the money or property owned by, or under the custody or control of, any healthcare benefit program;
- Failure to Report Violations to Compliance/Quality Coordinator - Failing to promptly report to the Compliance/Quality Coordinator (as defined below) any instance of noncompliant conduct, including without limitation violations of the standards described above, with respect to the VTC or any of its employees which is known to such person.

Appointment of Compliance/Quality Coordinator & Compliance Committee

To oversee and implement the VTC's Compliance Program, the VTC has appointed Luanne VanBrocklin as its Compliance/Quality Coordinator. The VTC has chosen its Compliance/Quality Coordinator based on her outstanding record of commitment to honesty, integrity, and high ethical standards, and on the officer's knowledge and understanding of the applicable laws and regulations. The Compliance/Quality Coordinator will provide education and training programs for employees/volunteers/Board of Directors respond to inquiries from any employee regarding appropriate billing, documentation, coding, and business practices; and investigate any allegations of possible impropriety.

- Maintain current knowledge of applicable federal and state privacy laws.
- Develop, oversee and monitor implementation of the VTC's Privacy Policy and ensure that the integrity of the Privacy Policy is maintained at all times.
- Report regularly to the VTC governing body and officers (as applicable) regarding the status of the Privacy Policy.
- Work with legal counsel, management and committees to ensure that the VTC maintains appropriate privacy consent and authorization forms, notices and other administrative materials in accordance with VTC management and legal requirements.
- Establish and administrate a process for receiving, documenting, tracking, investigating and taking action on all complaints concerning the VTC 's privacy policies and procedures in coordination and collaboration with other similar functions, and, when necessary, with legal counsel.
- Establish and oversee VTC policies for addressing client requests to obtain or amend client records or to obtain accountings of disclosures; ensure compliance with VTC policies and legal requirements regarding such requests and establish and oversee grievance and appeals processes for denials of requests related to client access or amendments.
- Oversee, direct, deliver, or ensure the delivery of privacy training and orientation to all employees, volunteers, medical and professional staff, and other appropriate personnel and maintain appropriate documentation of privacy training.
- Monitor attendance at all Privacy Policy training sessions and evaluate participants' comprehension of the information provided at training sessions.
- Monitor compliance with Privacy Policy including periodic privacy risk assessments.
- Establish benchmarks to evaluate, on no less than an annual basis, the Privacy Policy's success in meeting the VTC's goal for protection of PHI.
- Coordinate and participate in disciplinary actions related to the failure of VTC workforce members to comply with the VTC Privacy Policy and/or applicable law.
- Monitor technological advancements related to protected health information protection and privacy for consideration of adaptation by the VTC.
- Coordinate and facilitate the allocation of appropriate resources for the support of and the effective implementation of the Privacy Policy.

- Initiate, facilitate and promote activities to foster privacy information awareness within the VTC.
- Cooperate with the Office of Civil Rights, other legal entities, and VTC officers in any compliance reviews or investigations.
- Perform periodic risk assessments and ongoing compliance monitoring activities at each VTC location.
- Act as point of contact for VTC legal counsel in an ongoing manner and in the event of a reported violation.
- Maintain all business associate agreements and respond appropriately if problems arise.
- Act as the VTC -based point of contact for receiving, documenting and tracking all complaints concerning privacy policies and procedures of the VTC.

Corporate Compliance Team (CCT)

The VTC has established a Corporate Compliance Team made up of key personnel whose responsibility it is to identify areas of concern within the VTC and act as the first line of defense in enhancing the appropriate security posture.

All members identified within this policy are assigned to their positions by the Compliance/Quality Coordinator. This committee will consist of the positions within the VTC most responsible for the overall security policy planning of the organization (where applicable). The current members of the CCT are:

Compliance/Quality Coordinator—Luanne VanBrocklin

Executive Director—Sam Purington

Billing Coordinator—Jan Wainwright

Finance Director—Kathy Birth

Program Directors—John Exford, Linda Scagel

Fundraising/Development Manager—Jennifer Cross-Hodge

The CCT will meet quarterly to discuss security issues and to review concerns that arose during the quarter. The CCT will identify areas to be addressed during annual training and review/update security policies as necessary.

The CCT will address security issues as they arise, recommend and approve immediate security actions to be undertaken. It is the responsibility of the CCT to identify areas of concern within the VTC and act as the first line of defense in enhancing the security posture of the VTC.

The CCT is responsible for maintaining a log of security concerns or confidentiality issues. This log must be maintained on a routine basis, and must include the dates of an event, the actions taken to address the event, and recommendations for personnel actions, if appropriate. This log will be reviewed during the quarterly meetings.

The Compliance/Quality Coordinator or other assigned personnel is responsible for maintaining a log of security enhancements and features that have been implemented to further protect all sensitive information and assets held by the VTC. This log will be reviewed during the quarterly meetings.

Mechanism for Voicing Concerns

One function of the Compliance Program is to proactively identify issues and prevent compliance problems from developing.

All employees/agents are expected to report in *good faith*, any activity that could reasonably be perceived to be in violation of the law, ethical standards, or any the VTC policies.

One does not need to be certain that a violation has occurred in order to report it. When a suspected violation is reported, this allows the Compliance/Quality Coordinator to investigate along with the Corporate Compliance team. This allows them to take prompt action to resolve it.

- 1) These reports can be made in several ways:
 - a) In person to the Compliance/Quality Coordinator
 - b) In writing to the Compliance/Quality Coordinator or your supervisor
 - c) Via telephone. This method can be anonymous as well by calling 315-788-0422 x239.
- 2) The employee/agent is protected by the Whistle Blower policy which *prevents* any retaliation by the provider, for someone making a report. Some of the areas that may be affected include but are not limited to:
 - a) Billing---do charges accurately reflect services provided?
 - b) Payments---is there accuracy with recording of payments?
 - c) Credentialing---are all required background checks up-to-date?
 - d) Any risk areas that with due diligence could be identified---are confidentiality, professionalism and equal opportunities practiced?
- 3) Employees should raise concerns before problems develop. This is one of their *most important responsibilities as an employee of the VTC*
- 4) Employees should first discuss a concern with their immediate supervisor, who is closest to the situation and best able to help.
- 5) If an employee is uncomfortable discussing a concern with their immediate supervisor, the employee should report the concern to someone in an appropriate position, such as Compliance/Quality Coordinator; Billing/Finance
- 6) Employees should never undertake to investigate an issue themselves. The Compliance/Quality Coordinator will review the matter and if there is a reason for concern.
- 7) All employees, volunteers and vendors are also encouraged to contact the Compliance/Quality Coordinator to ask questions or seek guidance regarding specific activities or policies and procedures.
- 8) The VTC will treat calls about compliance concerns in a manner that is confidential, but also consistent with the need to investigate, cooperate with the government, and comply with legal obligations. A log will be maintained by the Compliance/Quality Coordinator that records all calls to the hotline, including the nature of the call, and the resolution of the issue identified. The Corporate Compliance/Quality Coordinator will respond promptly to all concerns received on the Compliance Hotline by carefully evaluating each potential issue before it is referred for investigation or other appropriate follow-up. A

summary of the hotline activity will be included in the periodic reports from the Compliance/Quality Coordinator to the executive director/board of directors.

- 9) The VTC recognizes that employees may be reluctant to report concerns if they believe that doing so may result in retaliation or harassment. **The VTC's Compliance Plan is to protect employees from retaliation and maintain confidentiality in respect to all concerns raised. The VTC's managers, supervisors and employees must *not* engage in retaliation, retribution or any form of harassment directed against an employee who has reported, or is considering reporting, a compliance concern.** Any manager, supervisor or employee who engages in such retribution, retaliation or harassment is subject to discipline, up to and including termination. For volunteers, such actions may lead to the termination of the contract under which their services are provided to the VTC.

Training and Education

Training and education is an essential component of an effective compliance program. The amount of training provided to employees will be directly related how much their job requires them to be involved with the provision of services, or in the coding and billing of services. All employees will receive mandatory compliance training as part of their new employee orientation. In addition, mandatory subject specific training will be provided based on the employees' position and responsibilities within the organization. Attendance and participation in mandatory training is a condition of continued employment and failure to comply with training requirements will result in disciplinary action. Adherence to the provisions of the compliance program and attendance and participation in compliance training will be a factor in the annual performance evaluation of each employee.

1. Training Topics – General

All personnel and members of the Board of Directors shall participate in training on the topics identified below:

- a. Governmental reimbursement principals
- b. Government initiatives
- c. History and background of Corporate Compliance
- d. Legal principles regarding compliance and Board responsibilities related thereto
- e. General prohibitions on paying or receiving remuneration to induce referrals and the importance of fair market value
- f. Prohibitions against submitting a claim for services when documentation of the service does not exist to the extent required or is not medically necessary
- g. Prohibitions against signing for the work of another employee
- h. Prohibitions against alterations to the records and the use of appropriate methods of alteration to correct errors
- i. Prohibitions against rendering services without a signed physicians order or other prescription, if applicable
- j. Proper documentation of services rendered
- k. Duty to report misconduct

2. Training Topics – Targeted

In addition to the above, targeted training will be provided to all managers and any other employees whose job responsibilities include activities related to compliance topics. Managers shall assist the compliance/quality coordinator in identifying areas that require specific training and are responsible for communication of the terms of the Compliance Plan to all staff members and independent contractors doing business with the agency.

3. Orientation

As part of their orientation, each employee and contractor shall receive a written copy of the Compliance Plan, policies and specific Code of Conduct that affect their position.

4. Attendance

All education and training relating to the Compliance Plan will be verified by attendance and a signed acknowledgement of receipt of the Compliance Plan and standards. Attendance at compliance training sessions is mandatory and is a condition of continued employment. Record of attendance is filed in the employee personnel file.

Auditing and Monitoring

Ongoing auditing and monitoring is an essential part of any effective compliance program. Auditing and monitoring activities shall be conducted on an ongoing basis under the direction of the Corporate Compliance Coordinator. These auditing and monitoring activities will be designed to address compliance with laws governing reimbursement. In addition, the auditing activities will focus on compliance with specific rules and policies that have been identified by Medicaid, the OIG, or the Fiscal Intermediary as high risk areas. Any overpayments discovered as a result of our auditing activities shall be promptly refunded to the applicable payer with appropriate documentation and an explanation of the reason for the refund. As part of the monitoring process, the Compliance/Quality Coordinator will utilize techniques such as:

- On-site visits.
- Review of billing edit reports generated by the VTC and discussions as to how such edits are resolved prior to billing an account.
- Interviews with personnel involved in management, operations, billing, dispatching, driving, and other relevant activities.
- Questionnaires developed to solicit information from a broad cross-section of VTC staff.
- Reviews of financial records, trip vouchers, and payment remittance notices
- Trend analyses that seek to identify deviations, positive or negative, in specific risk areas over a given time period.

Response and Prevention

Violations of the VTC's compliance program threaten our status as a reliable, honest and trustworthy provider and may result in our being excluded from participating in Federal healthcare programs. For this reason, the Compliance/Quality Coordinator will promptly respond to any and all reports of non-compliance. Records of such investigations will contain documentation of the alleged violation, a description of the investigative process, copies of interview notes and key documents, and the results of the investigation.

If the Compliance/Quality Coordinator discovers credible evidence of misconduct and, after a reasonable inquiry, has reason to believe that the misconduct may violate criminal, civil or administrative law, then the Compliance Coordinator shall promptly report the existence of such misconduct to the appropriate governmental authority, demonstrating good faith and willingness to work with government authorities to correct and remedy the problem.

In the event of a compliance report, the procedure is as follows:

- Report should include as much detailed information as possible (i.e.: who, what, and any known contributing factors when available).
- All incidents and reports given to the compliance/quality coordinator are investigated regardless of their outcome. Reports are tracked by the compliance/quality coordinator and reported to the board quarterly.
- Corrective Action must reflect a plan established to decrease the likelihood that the incident will reoccur or to correct the incident that did occur. This plan could include:
 - Education or Re-education– individual/group
 - Review or Change of Policy/Procedure
 - Rebilling/repaying a claim paid in error

Enforcement and Discipline

The VTC conducts reasonable and specific background and reference checks for those seeking employment.

The VTC's Compliance Plan requires that all staff/agents will promote and adhere to the elements of the Compliance Plan. This knowledge is an integral part of the evaluation process of the VTC employees/agents. Employees/agents will be trained yearly and periodically updated in new compliance policies and procedures.

In addition, supervisors and managers will:

- a. Discuss with all supervised employees/agents the compliance policies and legal requirements applicable to their function;
- b. Instruct all supervised employees/agents that strict adherence to these policies and legal requirements are a condition of employment; and,
- c. Inform all supervised employees/agents that the VTC will take disciplinary action up to and including termination of employment for a violation of these policies and legal requirements.

The Compliance/Quality Coordinator will keep a record of all disciplinary actions related to Corporate Compliance in a locked file.

CODE OF CONDUCT

VTC employees shall abide by the following VTC policies and procedures:

- 1) **ACT IN ACCORDANCE WITH THE VTC'S MISSION**
 - a) Demonstrates knowledge of and carries out the agency's Mission Statement.
 - b) Acts in a manner that supports and enforces the VTC Mission.

- 2) **DEMONSTRATE ETHICAL PERSONAL BEHAVIORS**
 - a) Adheres to the highest ethical standards professionally and personally thereby protecting the VTC's resources and reputation inside and outside the organization.
 - b) Personal appearance and dress is neat, clean and appropriate.
 - c) Maintains confidentiality in full compliance with HIPAA regulations.
 - d) Declares any real or potential conflicts of interest.
 - e) Is always courteous and professional to other staff, clients, members of the community and members of the Board of Directors.
 - f) Complies with agency hours of work and attendance requirements.
 - g) Uses time in an efficient manner, completing duties timely and safely.
 - h) Demonstrates initiative for personal growth by participating in recommended trainings, continuing education, and in-house, employee meetings.

- 3) **MAINTAIN A SAFE ENVIRONMENT FOR VISITORS AND STAFF.**
 - a) Demonstrates an understanding of and adheres to all VTC safety policies and procedures.
 - b) Completes all annual training and education mandates.
 - c) Recognizes potential safety problems and corrects or reports to supervisor immediately.

- 4) **USE APPROPRIATE INTERPERSONAL SKILLS.**
 - a) As part of the team, willingly cooperates with fellow VTC staff to accomplish tasks.
 - b) Demonstrates a willingness to help when needed for additional tasks.
 - c) Resolves conflicts with fellow employees constructively.

- 5) **PARTICIPATE AND SUPPORT PERFORMANCE IMPROVEMENT ACTIVITIES**
 - a) Actively seeks opportunities for process improvement and initiates as appropriate.

WHISTLE BLOWER POLICY

Objective: The VTC is committed to fostering a workplace conducive to open communication regarding the agency's business practices and to protecting employees from unlawful retaliation and discrimination for having properly disclosed or reported illegal or unethical conduct. In an effort to further this commitment, this policy:

1. Establishes guidance for the receipt, retention, and treatment of verbal or written reports received by the VTC regarding accounting, internal controls, auditing matters, disclosure, fraud and unethical business practices, whether submitted by VTC employees or third parties ("reports")
2. Establishes guidance for providing VTC employees a means to make reports in a confidential and anonymous manner
3. Makes clear the VTC's intention to discipline, up to and including termination of employment, any person determined to have engaged in retaliatory behavior.

Policy: This policy is for reporting suspected illegal activities in relation to accounting, internal accounting controls, auditing matters, and the billing of any federal health program. This procedure is for incidents that are illegal or unethical. This policy does not circumvent the organizational structure (chain of command) for operations, nor does it address issues that can be resolved through the agency Grievance Policy and Procedure.

Reporting Mechanisms:

1. Anonymous Reporting - Dial the number (315) 788-0422 X239.
2. Tell your supervisor or the VTC Executive Director
3. Contact the Compliance/Quality Coordinator.

Retaliation

Retaliation against any employee that files a report or voices a concern under this policy is strictly prohibited. Employees determined to have engaged in retaliatory behavior or who fail to maintain an employee's anonymity if requested may be subject to discipline, which could include termination of employment. Any employee who feels that he or she has been subjected to any behavior that violates this policy should immediately report such behavior to his or her supervisor, the CCO or the Executive Director.

Please note however, that employees who knowingly file misleading or false reports, or without a reasonable belief as to truth or accuracy, will not be protected by this policy and may be subject to discipline, including termination of employment.

RECORD RETENTION/DESTRUCTION

All VTC information pertaining to a client is centralized in the client's VTC record. Records are retained for at least:

- The period determined by the respective state statute, or the statute of limitations in state;
or
- In the absence of a state statute
 - Seven (7) years after the date of discharge; or
 - In the case of a minor, three (3) years after the client becomes of age (18 years old) under state law or seven (7) years after the date of discharge, whichever is longer.

1. Retention of documents and Records

- a. Thirty (30) days:
 - Unimportant letters and notes, which require no acknowledgement or follow up, letters of transmittal, and notices of meetings
 - Form letters that require no follow-up
 - Other documents of inconsequential subject matter or to which no further reference will be necessary
 - Copies of interdepartmental or other internal correspondence where another copy of the same letter will be in the file
 - Transitory email
- b. One (1) year:
 - Letters of general inquiry and replies that have no value after possible reference from the correspondent within a reasonable period of time.
 - Other letters that might be referred to shortly after they are received or written but which soon cease to have value unless further immediate correspondence ensues.
- c. Two to three (2-3) years:
 - Letters applying for employment with the company
 - Duplicate deposit slips
 - Purchase orders
 - Employment applications
 - General correspondence
 - Insurance policies (expired)
 - Miscellaneous internal reports
 - Petty cash vouchers
 - Bank Reconciliations
- d. Seven (7) years:
 - Expense account records
 - Letters/memos explaining policies

- Collection letters after the account is paid
- Documents which constitute all or a part of a contract or which clarify certain points in a contract
- Letters denying liability
- Other documents which the VTC may need to produce in court
- Accounts payable and receivable ledgers, trial balances
- Bank statements
- Contracts and leases (expired)
- Expense analysis and expense distribution schedules
- Inventory record
- Vendor Invoices
- Payroll records and summaries (including records of worker's compensation)
- Personnel records after termination, including all training records
- Subsidiary ledgers to general ledger and trial balances
- Travel expense reports and supporting documentation
- Vouchers for payment to vendors, employees, etc. (including allowances and reimbursement of employees/agents for travel and other expenses)
- Incident Reports
- Records and documentation (including, but not limited to, records and claims documentation) required by any federal or state health program (Medicare, Medicaid, etc.)
 - Cost reports
 - Compliance Committee Minutes
- e. Ten (10) years
 - Staff Committee Minutes
- f. Thirty (30) years
 - Employee Records with exposure to hazardous materials
- g. Permanent Records:
 - Audit reports of Certified Public Accountant
 - Board of Director's minutes (bylaws and articles of incorporation)
 - Canceled checks for important payments i.e. taxes, property purchase, special contracts, etc. (checks should be filed with papers pertaining to underlying transaction)
 - Charts of accounts
 - Correspondence (legal and important matters)
 - Deeds, mortgages, contracts and leases still in effect
 - End of year financial statements
 - Fixed asset records and depreciation schedules
 - General ledgers and year end trial balances
 - Insurance records, accident reports, claims, policies
 - Financial journals
 - Tax returns

Location and facilities

The VTC maintains adequate facilities and equipment, conveniently located, to provide efficient **processing of VTC records (reviewing, indexing, filing, and prompt retrieval).**

Destruction

Compliance/Quality Coordinator and Executive Director are responsible for the maintenance of this protocol. All VTC staff has a responsibility to assist in the maintenance of this protocol. Records in all programs/departments will be reviewed at least annually to identify those that need to be transferred to storage to await final disposition or destruction and those that will be moved to permanent storage. Destruction of records shall consist of shredding such records. In no circumstances will records be disposed with recyclable paper or regular garbage. The Corporate Compliance/Quality Coordinator will oversee this procedure ensuring that all records have met the necessary requirements for destruction:

- Their retention periods have expired.
- All audit requirements have been satisfied.
- There are no pending requests for the information.
- There is no reasonably foreseeable investigation or other legal hold.

The VTC has a duty to protect the confidentiality and integrity of confidential medical/dental information as required by law, professional ethics, and accreditation requirements. Protected Health Information may only be disposed of by means that assure that it will not be accidentally released to an outside party.

References:

Adopted as §405.1723, 35 FR 10511 (June 27, 1970); amended and redesigned as §405.1722 at 41 FR 20863 (May 21, 1976, effective June 21, 1976); coded from 20 CFR 405.1722 at 42 FR 52826 (Sept. 30, 1977); redesigned from §405.1722 and amended at 60 FR 2325 (Jan. 9, 1995, effective Feb. 8, 1995).

Appendix C. California Health and Safety Code §1232221 (January 1, 2003) California Welfare and Institutions Code § 14124.1 Health Insurance Portability and Accountability Act (HIPAA) Privacy & Security Rule, 45 CFR 160-164.524

Section 13101 - 13424 of Title XIII (Health Information Technology for Economic and Clinical Health Act) of the American Recovery and Reinvestment Act of 2009

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ATTESTATION STATEMENT

In signing, I acknowledge receipt of the VTC Corporate Compliance Program. I understand that it is my responsibility to read these documents and be familiar with the VTC’s policies and procedures, and adhere to them at all times.

I understand that all VTC employees are hired at-will and as a result either the VTC or the employee has the right to terminate employment at any time. Unless otherwise stated, each employee is hired for no specific term. I understand that nothing in these documents should be construed as a contract or guarantee of continued employment or service.

I understand that the VTC’s Board of Directors may change these policies at any time. I also understand that the Corporate Compliance Committee and the Board of Directors will review these policies at two-year intervals. At those times, the agency will offer me an opportunity to suggest changes to these policies.

I understand these documents are the property of the VTC and must be returned to the Personnel Office upon termination of employment or service.

I further understand that the following policies must also be followed and are held in high regard by the VTC. I understand that it is my responsibility to read and adhere to these guidelines.

- Code of Ethics
- Corporate Compliance Plan
- Whistle Blower Policy
- Code of Conduct
- Document Retention Policy

Signature _____
 employee *volunteer* *board member* _____
Date

Signature _____
Executive Director _____
Date