



DEPARTMENT: Compliance	POLICY DESCRIPTION: Certifying Employee Process
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REVISION DATES:	EFFECTIVE DATE: March 13, 2020

SCOPE

This policy is applicable to all Certifying Employees as defined below and in the Corporate Integrity Agreement (“CIA”).

PURPOSE

To explain the process required for Certifying Employees to complete so that they are able to sign the required certification for each of the five Reporting Periods of the CIA.

DEFINITIONS

Certifying Employees – Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Senior Vice President of Clinical Operations, Senior Vice President of Human Resources, Senior Vice President of Finance, Senior Vice President Chief Legal Officer, Senior Vice President & Chief Information Officer, Vice President of Revenue Cycle.

Reporting Periods – each of the five 12 month periods following the effective date of the CIA

Certification – the certification required to be completed for each of the reporting periods as defined in the CIA. The language of the certification states:

“I have been trained on and understand the compliance requirements and responsibilities as they relate to [insert name of department], an area under my supervision. My job responsibilities include ensuring compliance with regard to the [insert name of department] with all applicable Federal health care program requirements, obligations of the Corporate Integrity Agreement, and Diversicare policies, and I have taken steps to promote such compliance. To the best of my knowledge, the [insert name of department] of Diversicare is in compliance with all applicable Federal health care program requirements and the obligations of the Corporate Integrity Agreement. I understand that this certification is being provided to and relied upon by the United States.”

POLICY

Certifying employees will complete the Certification for each of the five Reporting Periods as required by the CIA. In order to complete the Certifications, all Certifying Employees must follow the procedure outlined in this policy. The completion of the Certifications is a condition of ongoing employment with the Company.



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PROCEDURE

- A. Certifying employees must submit completed Certifications to the Chief Compliance Officer no later than 15 business days after the end of each Reporting Period.
- B. If at any time during the reporting period a Certifying Employee becomes aware of any issue that would hinder their ability to complete the Certification, the Chief Compliance Officer must be notified immediately.
- C. In order to ensure the Certification is accurate and complete, the Certifying Employees should take the following steps for their areas of responsibility, as applicable:
 - a. Determine the individuals within your department for which you will require a sub-certification. At a minimum, sub-certifications should be obtained from those individuals with either departmental supervisory responsibilities or whose work has a more direct impact on any of the specific areas covered by the CIA, such as coding and billing. The sub-certification should state the following:

“I have been trained on and understand the compliance requirements of the Corporate Integrity Agreement as it relates to my job responsibilities. To the best of my knowledge:

- We are in compliance with all applicable Federal health care program requirements and the obligations of the Corporate Integrity Agreement; or,
- I have disclosed the following matters for investigation and follow-up:

I understand that this certification is being provided to and relied upon by [insert name and title of Certifying Employee].”

- b. Review reports to ensure employees are compliant with the training requirements of the CIA.
- c. Review the results of any internal or external audits along with corrective action plans, including refunding overpayments if necessary.
- d. Review any disciplinary actions taken related to compliance with the CIA.
- e. Review hotline reports and related corrective actions for any identified issues or questions associated with Diversicare’s policies, conduct, practices, or



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procedures with respect to a Federal health care program believed to be a potential violation of criminal, civil, or administrative law.

- f. Review for trends in billing denial rates.

REFERENCES

Corporate Integrity Agreement