



Policy Number: 15.002		Total Number of Pages		2
Community:	Department: Corporate Administration	Date Issued: 01/14/2015	Date Reviewed/Revised 4/20/2022	
Title: Compliance Program: Reporting Process and Investigation			Approval Required: None	

I. Introduction

As part of our on-going effort to detect and eliminate neglect, fraud and abuse, we have established the Transforming Age Compliance Program and Reporting Process. This Process may be used by Transforming Age employees, residents, family members, and the public to report any suspected fraud and abuse in our health care programs. In addition, due to our commitment that the privacy of our residents and their health information be protected, HIPAA concerns may also be reported.

II. Policy

A. Who?

Transforming Age's Compliance Officer is Ashlee Gray (agray@transformingage.org or 502-435-5351).

B. What to Report and Who is Required to Report

Every Transforming Age employee is obligated to report violations and suspected violations of applicable federal and state laws and regulations. This can be done through anonymous, retaliation-free reporting systems.

C. Ways to Report

1. Transforming Age has established an anonymous 24-hour hotline to receive such reports, which can be reached by dialing: **1-800-275-9575**.
2. An individual may log onto the internet and access this website:

transformingage.ethicspoint.com



The internet website allows Transforming Age and its affiliates to establish an anonymous back and forth communication with the reporter.

3. An individual may scan the QR Code below.



4. In addition to the hotline, any individual may contact their immediate supervisor or the Compliance Officer directly at (502) 435-5351 or email the Corporate Compliance Officer at agray@transformingage.org . The Compliance Officer will keep all information confidential and there will be no retaliation.

When reporting suspected violations to the hotline, website, the Compliance Officer or supervisor, please include as much information as possible including who, what, when, where, how. We need this information to investigate the situation.

D. Investigation

Transforming Age, through the Compliance Officer, will investigate all reported violations in a prompt and confidential manner. The result of an investigation will be evaluated by the Compliance Officer and the corporate compliance committee who will establish the recommended plan of action with the appropriate legal guidance. The Compliance Officer may also review the information with the governing board or board members.



If reporting indicates the existence of fraud and abuse, law enforcement and/or the appropriate agencies will be notified. Upon completion of an investigation, the Compliance Officer, along with necessary legal and executive management support, will take corrective and/or disciplinary action. All files pertaining to investigations will be maintained in a locked file cabinet or secured electronic storage location accessible only to the Compliance Officer, and appropriate legal counsel.