

### OFFICIAL

# Compliance Report

Approval Date: \_\_\_\_\_

Expiration Date:

To confirm this agency's rating is in good standing, go to www.homecarestandards.net or call 855-374-9076



# Home Care Standards Bureau Ethics and Standards of an A+ Rated Agency

We Pledge to uphold the Ethics of the Home Care Standards Bureau:

- Honesty
- Competency
- Safety
- Kindness

We have met the Standards of the Home Care Standards Bureau:

- Fully and properly licensed by the state.
- Professional staff qualified in the field of aging
- Caregivers are properly licensed
- Caregivers complete a minimum of 12 ongoing educational courses each year
- Caregivers are fluent in your language
- Agency Leadership is experienced in the field of Aging
- Caregivers must pass a multi-tiered background check including a 50 state multijurisdictional, criminal, sex offender registry and driving record.
- No unresolved complaints with state licensing agencies
- Agency abides by the HCSB Code of Standards and Ethics
- Agency agrees to scheduled and unannounced on-site audits
- Agency completes an annual disclosure form
- Agency maintains all appropriate insurance including workers' compensation, general liability and non-owned auto insurance



### Home Care Standards Bureau Board of Directors



Ed Pittock, CSA - Founder and CEO of HCSB

In 1997 Ed Pittock founded the Society of Certified Senior Advisors (SCSA), which grants the Certified Senior Advisor (CSA) designation and served as President from April 1997 until November 2011 when SCSA was sold.

### Dorcas Hardy, MBA, CSA - President DRHardy and Associates

The Honorable Dorcas R. Hardy is President of DRHardy & Associates, a government relations and public policy firm serving a diverse portfolio of clients. After her appointment by President Ronald Reagan as Assistant Secretary of Human Development Services, Ms. Hardy was appointed Commissioner of Social Security and later chaired the Policy Committee of the 2005 White House Conference on Aging.





### Gail Hunt - President and CEO of the National Alliance for Caregiving

Gail Hunt is President and CEO of the National Alliance for Caregiving, a non-profit coalition dedicated to conducting research and developing national programs for family caregivers and the professionals who serve them.

### Regulatory Board



### Dr. David Fraser, Chairman - Vitality Home Healthcare

As the founder of Vitality, David has devoted his professional career to healthcare and the care of others. A Colorado native and graduate of the University of Colorado, David has a Ph.D. in the health sciences and has an MBA from the esteemed Institute for Management Development based in Lausanne Switzerland.

### David Geras, Secretary - Gold Leaf Caregivers

David Geras is President & CEO of GoldLeaf CareGivers, a leading home healthcare company based in Denver, Colorado. Prior to starting GoldLeaf CareGivers, Mr. Geras had a successful 27-year international career in the technology business at industry leaders, IBM, BMC, FTP, Sun Microsystems, Sony & NEC.





### Michael Doepke, CSA

Home Helpers Michael Doepke, CSA, is the co-founder of Home Helpers of Hinsdale, IL., currently one of the top 5 offices in the H.H. franchise system. The success of Michael's agency is due to their focus on providing excellent care, tailored to each client's individual needs.



Roger was CEO of two high-technology companies serving the Healthcare industry, and joined Homewatch International as part of their Executive team in 2003. He serves on three other Boards including two Nursing Schools and was appointed by Colorado's Chief Medical Officer, Dr. Christopher Urbina, to the Colorado Department of Public Health and Environment's Advisory Board on Home Care in 2011.





### Harry R. Moody, Ph.D. - Member At Large

Harry is the Former Director of Academic Affairs for AARP in Washington, DC. He serves as Senior Associate with the International Longevity Center-USA and Senior Fellow of Civic Ventures. Dr. Moody previously served as Executive Director of the Brookdale Center on Aging at Hunter College and Chairman of the Board of Elderhostel.

Certificate of A+ Rating



CERTIFIES THAT ON NOVEMBER 07, 2013

## YOUR AGENCY!

MET OR EXCEEDED ALL REQUIRED CRITERIA, AND AGREED TO ABIDE BY THE CODE OF ETHICS AND STANDARDS SET FORTH BY THE HOME CARE STANDARDS BUREAU REGULATORY

BOARD, AND THEREFORE HAS BEEN APPROVED FOR THE A+ RATING.

SIGNATURE:

EDWIN L PITTOCK, CEO

Valid Thru: <u>Sept. 01, 2017</u>



## Bureau of Workers' Compensation

30 W. Spring St. Columbus, OH 43215

### **Certificate of Ohio Workers' Compensation**

This certifies that the employer listed below participates in the Ohio State Insurance Fund as required by law. Therefore, the employer is entitled to the rights and benefits of the fund for the period specified. This certificate is only valid if premiums and assessments, including installments, are paid by the applicable due date. To verify coverage, visit www.bwc.ohio.gov, or call 1-800-644-6292.

This certificate must be conspicuously posted.

Policy number and employer

1510469-0

HOME CARE PARTNERSHIP LLC YOUR HOME CARE AGENCY 123 ANY STREET, SUITE A YOURTOWN, OH 12345

www.bwc.ohio.gov Issued by:



Period specified below

07/01/2015 through 06/30/2016

Stephen Buchen Administrator/CEO

You can reproduce this certificate as needed.

### Ohio Bureau of Workers' Compensation

### **Required Posting**

Effective Oct. 13, 2004, Section 4123.54 of the Ohio Revised Code requires notice of rebuttable presumption. Rebuttable presumption means an employee may dispute or prove untrue the presumption (or belief) that alcohol or a controlled substance not prescribed by the employee's physician is the proximate cause (main reason) of the work-related injury.

The burden of proof is on the employee to prove the presence of alcohol or a controlled substance was not the proximate cause of the work-related injury. An employee who tests positive or refuses to submit to chemical testing may be disqualified for compensation and benefits under the Workers' Compensation Act.



Bureau of Workers' Compensation

You must post this language with the Certificate of Ohio Workers' Compensation





### CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY) 8/5/2015

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to

		rms and condi					policies may require an er	ndorse	ment. A stat	ement on th	is certificate does not c	onfer r	ights to the	
PRODUCER								CONTACT NAME: PHONE (ADDITION FAX						
SilverStone Group 11516 Miracle Hills Drive								(A/C, No, Ext) (987)654-3210 (A/C, No)						
Om	aha	NE 68154						E-MAIL ADDRESS: you@yourhomecare.com						
								INSURER(S) AFFORDING COVERAGE					NAIC#	
INS	JRED				6631								23850	
		Como Dombo			1 600			INSURER B:						
		Care Partn Your Home		-										
dba: Your Home Care Agency 123 Any Street, Suite A								INSURER D: INSURER E:						
Y	our	town, OH 12	345	i				INSURER E : INSURER F :						
COVERAGES CERTIFICATE NUMBER: 123857919						E NUMBER: 1238579199								
11 C	NDICA ERTI XCLU	ATED. NOTWIT FICATE MAY BI	HST.	ANDING ANY RE SUED OR MAY	EQUIF PERT POLI	REMENTAIN, CIES.	RANCE LISTED BELOW HAY NT, TERM OR CONDITION THE INSURANCE AFFORDI LIMITS SHOWN MAY HAVE	OF AN' ED BY	Y CONTRACT THE POLICIE REDUCED BY	OR OTHER I S DESCRIBEI PAID CLAIMS	DOCUMENT WITH RESPE D HEREIN IS SUBJECT TO	CT TO	WHICH THIS	
INSR LTR		TYPE OF II	NSUR	ANCE	INSR	ADDL SUBR INSR WVD POLICY NUMBER			POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMIT			
A	GEN	NERAL LIABILITY							8/1/2015	8/1/2016	EACH OCCURRENCE \$1,000		000	
	X	COMMERCIAL GENERAL LIABILITY									DAMAGE TO RENTED PREMISES (Ea occurrence) \$1,000		000	
		CLAIMS-MAD	DE [	OCCUR							MED EXP (Any one person)	\$20,000	)	
											PERSONAL & ADV INJURY	\$1,000,	000	
											GENERAL AGGREGATE	\$3,000,		
	GEN X	N'L AGGREGATE LIN POLICY PR JEI									PRODUCTS - COMP/OP AGG	\$3,000, \$	000	
A		POLICY JE		LOC					8/1/2015	8/1/2016	COMBINED SINGLE LIMIT (Ea accident)	\$1,000,	000	
		ANY AUTO									BODILY INJURY (Per person)	\$		
	X	ALL OWNED SCHEDULED AUTOS V NON-OWNED									BODILY INJURY (Per accident) PROPERTY DAMAGE (Per accident)	\$		
		HIRED AUTOS AUTOS						(Fer accident)						
		UMBRELLA LIAB	Т	OCCUR							EACH OCCURRENCE	\$		
		EXCESS LIAB CLAIMS-MADE								AGGREGATE \$				
DED RETENTION\$												\$		
WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below									WC STATU- OTH- TORY LIMITS ER					
			N/A						E.L. EACH ACCIDENT	\$				
									E.L. DISEASE - EA EMPLOYEE	\$				
									E.L. DISEASE - POLICY LIMIT	\$				
Α	Property Crime Professional Liability							8/1/2015		Limit Per S Limit \$50,0 Limit \$1M/				
							ACORD 101, Additional Remarks Svith respects to the Com				essional Liability and A	uto Lia	bility.	
	DTIE	ICATE HOLDI	EP					CANO	CELLATION					
CERTIFICATE HOLDER  Home Care Partnership LLC 123 Any Street, Suite A Yourtown, OH 12345						SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.								
						authorized representative  Je Schaffner								

Contact Name	Your Name					
Corporate Company Name	Your Corporate Name					
Agency DBA Name	Agency Name					
Street Address	Address					
Street Address line 2						
City	City					
State	State					
Zip	Zip Code					
Phone Number	Telephone Number					
Email Address	email address					
Website	website address					
Shipping Address Street	shipping address					
Shipping Address Street line 2						
Shipping City	shipping city					
Shipping State	shipping state					
Shipping Zip Code	zip code					
Qualified Agency Personnel						
Name, Qualification, Certification, License						
Does the owner or person in control have more						
than 1 year in the home care industry?	yes					
Percent of care that is Non-Medical	100%					
Caregivers are proficient in the language of the						
population being served?	yes					
Are 90% of the agency caregivers W2 employees?	ves					
Is your agency licensed by the state?	obtaining licensing now					
Do your caregivers hold license/ certifications to	non-medical license not required in NE, obtaining					
provide non-medical home care?	license for medical home care now					
Background Checks						
Social Security Number Verification	yes					
Company name that provides this service	C3 Intelligence					
National Criminal Database Search	yes					
Company name that provides this service	C3 Intelligence					
Sex Offender registry check	yes					
Company name that provides this service	C3 Intelligence					
Criminal real-time, county records search	yes					
Company name that provides this service	C3 Intelligence					
Annual Motor vehicle record search	yes					
Company name that provides this service	C3 Intelligence					
Social Security Trace does not verify	??					
Any of the following within 7 years prior Any felony						
conviction. Specific misdemeanor convictions, and	Do not hiro					
any active warrants.	Do not hire.					
Drivers' license suspended/revoked if providing transportation to clients	Do not hire.					
נומווסףטונמנוטוז נט טוופוונס	טט ווטג וווויד.					

Auto Liability - If vehicles are owned, \$1,000,000 Minimum combined bodily injury and property damage coverage; if hired/ non- owned \$500,000 Minimum combined single limit Does your agency carry the above coverage?	Hired/non-owned auto coverage (obtaining coverage now)
Agency provides Workers Compensation	yes
Name of Insurance Company and policy numbers. HCSB will request documents on your behalf -OR-	obtaining coverage now (thru Patriot National)
Education and Training	
HCSB will provide access to an educational program at no additional charge.	
Training source	HCSB
Different training source name	
Agency Complaint Procedure	
Does your agency have a complaint resolution	
policy and a log of outcomes?	yes
Disclosure Questionnaire	
Have any owner(s) or active managers of this	
agency ever been accused or convicted of a felony?	No
Are any owner(s) or active managers of this agency currently, or within the past ten years, been a defendant or respondent in any criminal proceeding relating to professional or business conduct, or currently named as a party in any such action?	
Within the last ten years, have any owner(s) or active managers of this agency been a defendant or respondent in a civil action, which includes, but is not limited to, a lawsuit, arbitration, or mediation relating to your professional or business conduct, or are you currently named as a part in any such action?	No
Within the last ten years, have any owner(s) or active managers or the agency ever had a license, permit, certificate, registration, or membership denied, suspended, revoked or restricted by any governmental, regulatory, or administrative body, or has any such body issued a censure, fine, restriction or reprimand?	No

No
No
DJ

### **Home Care Standards Bureau Onsite Audit**

Agency Name:		Date:					
	Auditor:						
During the last 7 years have any owner(s) or active mar	nagers	or caregivers of this agency:					
Been accused or convicted of a felony that has not been	n repo	rted to HCSB?					
Yes	No						
Been a defendant or respondent in any criminal proconduct, or currently named as a party in any such action		ng relating to professional or business					
Yes	No						
Been a defendant or respondent in a civil action, wh arbitration, or mediation relating to your professional or party in any such action?							
Yes	No						
Had a license, permit, certificate, registration, or nestricted by any governmental, regulatory, or administration, restriction or reprimand?		• • • • •					
Yes	No						
Been named as a subject of an investigation or complain	nt rela	ted to the home care industry?					
Yes	No						
Been censured, fined, reprimanded, or otherwise donganization to which it did or does belong, or has such of an investigation or complaint?	-						
Yes	No						
Has any family member asked that a caregiver not return	rn?						
Yes	No						
Provide an explanation for any "Yes" answers in the spa	ice pro	ovided below:					

### ARE THE FOLLOWING DOCUMENTS CURRENT AS REQUIRED BY HCSB:

Caregiver Background Checks* -	Yes		No					
12 courses annual caregiver education* -	Yes		No					
90% of agency caregivers are W2 employees* -	Yes		No					
All complaints are resolved* -	Yes		No					
Liability Insurance* -	Yes		No					
Workers Compensation* -	Yes		No		N/A			
Agency Licenses* -	Yes		No		N/A			
Caregiver Licenses* -	Yes		No		N/A			
*Application and applicable documents are attached in representation of the above information when an agency is approved for the A+ Rating with the Home Care Standards Bureau. HCSB requires that these documents be updated annually.								
Provide an explanation for any "No" answers in	the space p	orovide	d belov	v:				
I understand and have answered truthfully all of Code of Ethics and Standards that I was provide		questi	ions an	d agree	e to abi	de by t	he HCSB	
code of Ethics and Standards that I was provide								
Printed Name			Title				_	
Signature			Ager	ncy Nar	ne		-	
 Date								



# HOME CARE STANDARDS BUREAU Regulatory Board

### **CODE OF ETHICS AND STANDARDS**

2016/2017

# HOME CARE STANDARDS BUREAU COMPLIANCE REPORT

### Code of Ethics and Standards

- I. Introduction
- II. Purpose
- III. Mission Statement
- IV. The Ethics
- V. The A+ Rating Standards
- VI. The Rules
- VII. The Disciplinary Procedures
- VIII. Disciplinary Actions Imposed

### I. Introduction

The Home Care Standards Bureau Regulatory Board created the Code of Ethics and Standards (Code) to provide rules of conduct for all A+ agencies and their employees. The Regulatory Board investigates any formal complaints lodged against an A+ agency, staff, or caregivers for alleged violations of the Code, and disciplines when appropriate. An A+ agency is required to comply with the Standards and Rules set forth in this Code. A+ agencies and their employees must also follow all rules and regulations for their profession that are dictated by state and federal law, licensing boards, state agencies, companies, and industry organizations of which the A+ agency is a member.

### II. Purpose

The Home Care Standards Bureau Regulatory Board was created to provide a method of rating non-medical home care agencies. The Regulatory Board grants only an A+ rating to those agencies that are willing to vigilantly uphold the Home Care Standards Bureau Code of Ethics and Standards. By providing a rating for non-medical home care agencies, The Regulatory Board is helping to ensure that the clients, patients and their family members are fully confident in the ability of these agencies and their employees to provide ethical and compassionate service while complying with all applicable laws and regulations.

### III. Mission Statement

The Mission of The Home Care Standards Bureau Regulatory Board is to raise the standards for professional caregiving.

### IV. The Ethics

The Ethics define the professional conduct to which A+ agencies must adhere while carrying out their business activities.

### 1. Honesty

All persons representing the agency will adhere to a standard of honesty and integrity. All representatives must accurately and completely communicate to their potential clients, patients, and their family members both orally and in business materials of their qualifications and credentials. All representatives must ensure that their potential clients, patients, and their family members fully comprehend any and all proposed services or products.

### 2. Competency

All persons representing the agency have an obligation to keep their professional training, skills, and knowledge current and comprehensive in order to competently provide professional services to clients, patients, their family member, and any other individuals in contact with the agency.

### 3. Safety

All persons representing the agency will ensure their actions are to protect and in no way do harm or foul to any individual in contact with the agency.

#### 4. Kindness

All persons representing the agency will adhere to a standard of kindness, and will treat each patient, client, and their family members with compassion and respect.

### V. The A+ Rating Standards

In order to obtain and maintain the prestigious Home Care Standards Bureau A+ Rating, agencies must adhere to the following criteria:

- ✓ The agency must be fully and properly licensed by their states regulatory
  office for non-medical home care agencies
- ✓ The agency must have someone associated, or on staff, that is a qualified person in the field of aging that meets the HCSB requirements. Examples that meet the HCSB requirements include the following:
  - Gerontologist
  - Registered Nurse
  - Geriatric Care Manager
  - Certified Senior Advisor
- ✓ All caregivers employed or contracted by the agency must have all applicable licenses
- ✓ The caregivers employed or contracted by the agency must be fluent in the language of the clients being served
- ✓ The agency owner or operating manager or an associated person must have been in the paying home care business for at least one year
- ✓ All caregivers employed or contracted by the agency must have passed a multi-tiered background check, including but not limited to a 50 state multijurisdictional, criminal, sex offender registry and driving record
- ✓ The agency must have no unresolved complaints with state licensing agencies
- ✓ The agency must agree to sign and abide by the Home Care Standards

  Bureau Code of Ethics and Standards
- ✓ The agency must agree to both scheduled and unannounced on-site audits by the Home Care Standards Bureau
- ✓ The agency must complete an annual disclosure form verifying they continue
  to meet the standards of the Home Care Standards Bureau
- ✓ The agency must provide updated and current copies of Insurance, Licensing, and other required documentation
- ✓ All agency caregivers will complete a minimum of 12 classes or hours of caregiver education every twelve months

### VI. Rules

The Rules are derived from the Standards

The Rules establish requirements for professional behavior that an A+ agency can readily apply to business situations.

Rule 101: The A+ agency will ensure that its staff members and employees comply with the aforementioned Ethics and Standards.

Rule 102: The A+ agency, its staff and employees, shall hold each client and the client's family members in the highest esteem and will refrain from disrespecting, offending or degrading the client and the client's family members by remarks or actions.

Rule 201: The A+ agency, its staff and employees, shall not solicit clients through false or misleading communications or advertisements, whether written, oral or electronic. This includes misrepresentation via an incomplete description of a product or service.

Rule 202: The A+ agency, its staff and employees, shall not represent the views of the Home Care Standards Bureau or Regulatory Board, or purport to represent such views unless the agency has been expressly authorized by the Home Care Standards Bureau or Regulatory Board to do so in writing.

Rule 301: The A+ Agency, its staff and employees, shall ensure that the safety of the client and the client's family members is maintained, and will be mindful to ensure the client and the client's family members are free from injury, danger or loss at all times.

Rule 401: The A+ agency holding professional licenses or credentials will comply with the rules, regulations, and ethical codes that govern the holders of such licenses or credentials.

Rule 402: The A+ agency shall stay current with governmental, regulatory, administrative, and professional standards or requirements that affect, or have the potential to affect, such agencies skill set and professional competence. These professional development steps include, but are not limited to, completing any Continuing Education (CE) requirements as mandated by such agencies professional licensing authority, credentialing body.

### VII. The Disciplinary Procedures

The Home Care Standards Bureau Regulatory Board has original jurisdiction over all such complaints and is solely and exclusively responsible for imposing any sanctions on A+ rated agencies as a result of complaint case review. (Disciplinary actions are listed as part VII of this document).

In addition to all the other powers and authority expressly granted and fairly implied by the other provisions of this Code, The Home Care Standards Bureau and The Home Care Standards Regulatory Board are authorized to:

- 1. Adopt amendments to the disciplinary procedures as presented in this Code.
- 2. Adopt such other rules, procedures, and policies, including any changes to The Home Care Standards Bureau Regulatory Board Code of Ethics and Standards, as may be necessary or appropriate to govern the internal operations of The Bureau or to interpret or establish an accepted interpretation of this Code.
- 3. Impose sanctions against and discipline A+ agencies as provided for in this Code.

### VIII. Disciplinary Actions Imposed

The Home Care Standards Regulatory Board (Board) is empowered to impose a range of sanctions, which include:

- 1. Administrative Suspension: The Board may suspend an A+ agency's right to use The Home Care Standards Bureau Credential. The administrative suspension can be put in place prior to notifying the A+ agency that they have been named as the subject of a complaint and in advance of the complaint hearing. The administrative suspension, suspends and agency's right to use the A+ credential if such agency is named as an associate to the subject of a complaint or investigation by any governmental, licensing, or certifying agency. This may further be applied to any body authorized to instigate such action that charges, alleges, or investigates conduct of the agency, which would, if proven, establish a violation of this Code by the agency.
- 2. Private Censure: The Board may order private censure of an A+ agency. This form of censure shall be an unpublished written approach sent by The Bureau to a censured agency. The Home Care Standards Bureau may publish the case without naming parties involved.
- Public Censure: The Home Care Standards Bureau Regulatory Board may order that public letter of censure be issued against an agency, which letter shall be a publishable written reproach of the agency's behavior.
- 4. Suspension: The Board may order suspension of the right of the agency to use the credential for a specified period of time, not to exceed three (3) years, for the agencies whose violations of the Code are deemed less egregious. The Board may assign these agencies certain educational or other tasks, completion of which is required in order to lift the suspension. The Home Care Standards Bureau reserves the right to publish the fact of suspension together with identification of the agency in a press release or by another method, although the fact of an administrative suspension is not published. After a suspension has been lifted, the agency may be required to reinstate or recertify under terms prescribed by The Home Care Standards Bureau Regulatory Board.
- 5. Revocation: The Home Care Standards Bureau Regulatory Board may order permanent revocation of an A+ agency's right to use the credential. In the event of a permanent revocation, The Bureau reserves the right to publish the fact of the revocation together with identification of the agency on The Home Care Standards Bureau's website, or by another method. Unless otherwise mandated by The Home Care Standards Bureau Regulatory Board, revocation of an agency's right to use the credential shall be permanent.