

## INDEPENDENT CARE HEALTH PLAN

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| <b>Department: Compliance</b>                          | <b>Policy Name: Compliance Program</b> |
| <b>Policy Number: CO-001</b>                           | <b>Page: 1 of 2</b>                    |
| <b>Cross Reference: CO-002; CO-003; CO-004; CO-013</b> |  |

**Policy:** Independent Care Health Plan (*iCare*) has established a formal Compliance Program intended to prevent, detect and correct violations of federal and state regulations. The prevention, detection and correction of fraud, waste and abuse is integrated into each of the Compliance Program elements. Specific policies for the implementation of the Compliance Program are contained in various compliance policies and procedures posted on the *iCare* intranet site.

**Process:**

Independent Care's Compliance Program consists of the following elements:

- 1) Standards of Conduct and Policies and Procedures. Independent Care has established written standards of conduct and policies and procedures to be followed by employees, contractors, first tier and downstream entities that promote a commitment to compliance with all applicable state and federal laws and that are reasonably capable of reducing the prospect of wrongful conduct. Independent Care's code of conduct: (1) articulates *iCare*'s commitment to comply with applicable statutory, regulatory and other requirements; (2) delineates *iCare*'s expectations of employees and (3) provides ramifications for failure to comply with such requirements. The code of conduct is provided to all staff upon hire and annually thereafter. Written policies, procedures and standards of conduct are updated annually to incorporate any changes in applicable laws, regulations and other requirements.
- 2) Compliance Officer and Compliance Committee. Independent Care has established the position of Compliance Officer, a senior-level *iCare* employee, vested with the primary responsibility of overseeing and monitoring the effective implementation and maintenance of the Compliance Program. The Compliance Officer reports to the *iCare* CEO and is responsible for providing *iCare*'s CEO, the Audit and Compliance Committee of *iCare*'s Board of Directors and the Compliance Committee with periodic reports on the progress of the Compliance Program. Independent Care has also established a Compliance Committee responsible for overseeing the development and implementation of the program.
- 3) Effective Lines of Communications. Independent Care has established a system that allows for free and full communication, which can be anonymous, by *iCare* employees, contractors, first tier and downstream entities if there are questions, complaints or concerns relating to actual or potential noncompliance with *iCare* standards to the Compliance Officer and/or Committee. This system shall permit *iCare* employees, contractors, first tier and downstream entities to communicate these concerns without fear of retribution or reprisal.
- 4) Training and Education. Independent Care has developed and implemented procedures to effectively communicate compliance policies and procedures to all employees, contractors and agents, including mandatory participation in training programs and dissemination of related Compliance Program materials.

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| <b>Effective Date: 9/30/2009</b>  | <b>Responsible Department: Compliance</b> |
| <b>Revision Number: 10</b>  | <b>Last Review Date: December, 2020</b>   |
| <b>Sourced From: NA</b>   | <b>Version Sourced From: NA</b>           |
| <b>Last Revision Date: December, 2020</b>   | <b>Next Review Date: 12/31/2021</b>       |
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- 5) Auditing and Monitoring Systems. Independent Care has developed and implemented systems for auditing and monitoring compliance with applicable federal and state laws. These systems are designed to reasonably detect potential violations of those laws and regulations. The auditing and monitoring shall be performed in accordance with audit work plan established through a risk assessment created by the Compliance Department with input from the Compliance Committee.
- 6) Enforcement and Disciplinary Actions. Independent Care has developed appropriate disciplinary procedures in accordance with applicable requirements to enforce the Compliance Program including, where appropriate, discipline of individuals for engaging in wrongful conduct or for failing to detect or report noncompliance. Disciplinary actions related to violations of the Compliance Program will be applied fairly and consistently.
- 7) Prompt Responses to Detected Offenses and Corrective Actions. Independent Care has developed mechanisms for promptly responding to and investigating all reasonable questions, concerns or complaints regarding compliance and suspected noncompliance, for taking necessary corrective action to address wrongful conduct and to prevent any recurrence of similar conduct.

**Responsible Department: Compliance**

**Responsible Party: Director of Compliance**

**Reviewing Department(s): Compliance**

**References: 42 C.F.R. §422.503(b)(4)(vi), 42 C.F.R. §423.504(b)(4)(vi)**

**Recommended Distribution: All staff via Independent Care's SharePoint Site**

**Approvals:**

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|---------------------------------|-------------------------------|---------------------------------|
| <b>Approved By: Jill Fisher</b> | <b>DIRECTOR OF COMPLIANCE</b> | <b>Date: 12/17/2020 8:53 AM</b> |
| <b>Comments:</b>                |                               |                                 |
| <b>Approved By: Tom Lutzow</b>  | <b>President &amp; CEO</b>    | <b>Date: 1/6/2021 9:36 AM</b>   |
| <b>Comments:</b>                |                               |                                 |

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