



**Community Care Plan (CCP)
Compliance Plan
MMA
2018-2019**

TABLE OF CONTENTS

Introduction and Program Objectives	3
The CCP Compliance Plan	4
CCP Fraud, Waste and Abuse (FWA) Plan	7
CCP Code of Conduct	14
Attachment A	22
Attachment B	23

INTRODUCTION AND PROGRAM OBJECTIVES:

Community Care Plan (CCP) is committed to establishing and maintaining an effective compliance program in accordance with the Compliance Program Guidance published by the Office of Inspector General, U.S. Department of Health and Human Services (the “HHIS-OIG Guidance”). The purpose of the CCP compliance program is to establish a culture that promotes prevention, detection, and resolution of instances of conduct that do not conform to both federal and state law, and Medicaid program contractual requirements.

The adoption of this compliance plan significantly advances the prevention of fraud, waste, and abuse while at the same time furthering the fundamental missions of CCP to provide the highest quality services to our Medicaid enrollees. This compliance plan applies to the entire CCP workforce. The workforce is defined to include all CCP employees, contractors, and vendors. Our compliance plan was established by our Compliance Officer.

CCP has designated an individual to serve as the Compliance Officer who has a senior position within CCP and reports quarterly to the Audit and Compliance Committee of the CCP Member Board. The Compliance Officer, together with the compliance committee of the Member Board, is authorized to implement all necessary actions to ensure achievement of an effective compliance program.

The Compliance Officer oversees the Corporate Compliance Program, functioning as an independent and objective body that reviews and evaluates compliance issues/concerns within CCP. The Compliance Officer ensures that management and employees are following State and Federal healthcare laws, as well as, following company rules, policies, and procedures are followed. Providers are kept abreast of State and Federal laws as needed through email communication from Provider Operations.

The Compliance Officer oversees the CCP Special Investigations Unit (SIU) and ensures that AHCA fraud, waste, and abuse contractual requirements are complied with.

CCP’s Compliance Officer:
JoAnn McDaniel-Chinn
Community Care Plan
1643 Harrison Parkway
Suite 200, Building H
Sunrise, FL 33323
Phone (954) 622-3234
Fax (954) 417-7022
Email: jmcdaniel-chinn@ccpcares.org

Audit and Compliance Committee:

The Audit and Compliance Committee of the CCP Member Board meets quarterly and is comprised of the following members:

- Beverly Capasso - President and Chief Executive Officer, Broward Health
- Aurelio M. Fernandez, III, President and Chief Executive Officer, Memorial Healthcare System
- Ken Resmini, Chief Compliance/Internal Audit Officer, Memorial Healthcare System

THE CCP COMPLIANCE PLAN:

The CCP Compliance Plan conforms with the Compliance Program Guidance published by the Office of Inspector General, U.S. Department of Health and Human Services (the “HHIS-OIG Guidance”), State of Florida laws, and CCP Medicaid contractual commitments.

CCP considers its Compliance Plan to be an essential tool for detecting and resolving non-compliant and illegal conduct, including fraud, waste and abuse whether committed by CCP Employees, contractors, vendors or healthcare providers that enter into contractual arrangement with CCP to provide health care services to Medicaid enrollees as part of the Florida Statewide Medicaid Managed Care (SMMC) – Managed Medical Assistance Program.

KEY ELEMENTS OF CCP’S COMPLIANCE PLAN:

- Written policies and procedures.
- Designating a Compliance Officer.
- Training and education for all employees.
- An effective line of communication within the organization including an anonymous reporting system dedicated to CCP business.
- Conducting internal monitoring and auditing.
- Enforcement of standards through well-publicized disciplinary guidelines.
- A protocol for responding promptly to detected problems and implementing corrective actions.

WRITTEN POLICIES AND PROCEDURES AND STANDARDS OF CONDUCT:

CCP has developed written compliance policies and procedures that are an integral part of the CCP compliance plan. The compliance policies and procedures articulate CCP commitment to comply with Federal and State laws and AHCA Medicaid contractual requirements. In addition, the CCP compliance policies and procedures describe CCP’s compliance expectations of all employees, contractors, and vendors. CCP policies and procedures are available to all employees on a company-wide shared drive. CCP Policies and Procedures are easy to read and comprehend and are updated as needed to keep current as laws and requirements change.

COMPLIANCE OFFICER:

The Compliance Officer is responsible for the day-to-day operations of the compliance plan, providing compliance guidance, and reporting incidents of suspected or identified non-compliance

to Senior Management and the Audit and Compliance Committee of the CCP Member Board. The Compliance Officer has primary responsibility for ensuring CCP compliance with State and Federal laws, rules and regulations, and State of Florida AHCA Medicaid contractual requirements. The Compliance Officer is responsible for reviewing the effectiveness of the Compliance Program through self-audits and monitoring of metrics and key indicators and to ensure prompt and effective corrective actions are taken where deficiencies are noted.

The Compliance Officer reports directly to the Member Board and CEO. The Compliance Officer is responsible for continually informing the Member Board of compliance issues that impact CCP operations. Please see organizational chart reference as Attachment A.

The CCP Compliance Officer responsibilities include, but are not limited to:

- Overseeing and monitoring the implementation of the compliance plan.
- Establishing methods, such as audits, to improve the organization's efficiency and quality and to reduce the practice's vulnerability and exposure to fraud, waste, and abuse.
- Periodically revising the Compliance Plan after reviewing changes or additions to law, needs of the organization, and requirements of Medicaid.
- Developing, coordinating and leading a compliance and HIPAA privacy training program focused on the components activities and goals of the organization, and ensuring that training materials are appropriate and readily available;
- Screening network providers, new and existing employees, and independent contractors against Federal exclusion databases to ensure they are authorized to participate in activities involving State and Federal health care programs.
- Investigating reports and allegations regarding possible unethical or inappropriate business practices.
- Monitoring subsequent corrective action and/or compliance.
- Reviewing compliance risk assessments
- Creating compliance dashboards, scorecards, self-assessment tools, and other evaluative tools.

EDUCATION AND TRAINING:

The Compliance Officer is responsible for training and education for all CCP employees, contractors, and first tier, downstream and related entities (FDRs). FDRs include any party or individual that enters contractual arrangement with CCP to provide health care services as part of a provider network. Compliance and HIPAA training and education occurs at least annually for all employees, and new CCP employees will receive compliance and HIPAA training within thirty days of hire. Compliance training includes training on the following:

1. Code of Conduct
2. Compliance
3. State and Federal health care laws
4. HIPAA/Privacy
5. HIPAA HITECH
6. Fraud, Waste, and Abuse

TRACKING REQUIRED COMPLIANCE TRAINING:

The Compliance Officer is responsible for ensuring that all CCP employees, contractors, and First-tier, downstream and related entities should (FDRs) complete the required compliance training. Failure to complete required compliance training subjects FDRs to termination of provider network contracts and employees to termination of employment.

EFFECTIVE LINES OF COMMUNICATION:

In order that CCP to be able to respond quickly, effectively and thoroughly to any potential compliance and/or fraud, waste, and abuse issues, it is critical to have effective lines of communication between the Compliance Officer and employees, contractors, vendors, and enrollees.

CCP requires all employees to report suspected instances of non-compliance and/or fraud, waste, and abuse to either the Compliance Officer or the CCP Compliance Hotline. CCP employees are informed of the compliance hotline via initial and annual compliance training and hotline posters located in the CCP corporate office.

CCP has established a hotline and online reporting system for use by employees to report any suspected fraud, waste or abuse. Employees are encouraged to report compliance issues to the Compliance Officer, or to use the online reporting system, hotline, to report any suspected fraud, waste, and abuse, ethical violation, code of conduct violation, etc.

Any employee found to have knowledge of suspected instances of non-compliance and/or fraud, waste, and abuse but who fails to report it may be subject to disciplinary action. To promote an environment of open communication and reporting, CCP has a policy of non-retaliation and non-retribution toward any party reporting suspected instances of non-compliance or fraud, waste, and abuse.

MONITORING AND AUDITING:

Monitoring and auditing are important elements in the CCP Compliance Program. The CCP compliance plan establishes and implements a system for monitoring and identification of compliance risks encountered by CCP. Compliance reviews are aimed at ensuring adherence to general compliance policies and applicable federal and state laws, and State of Florida AHCA Medicaid contractual requirements. Monitoring and auditing completed by the Compliance Officer include the following:

- Perform a risk assessment and determine the level of risk
- Understand State of Florida Medicaid laws and regulations
- Obtain and/or establish policies for specific issues and areas
- Educate employees on the policies and procedures and communicate awareness
- Monitor compliance with laws, regulations, and policies
- Audit the highest risk areas facing CCP
- Re-educate staff on regulations and issues identified in the audit

The CCP Special Investigations Unit (“SIU”) is responsible for investigating issues of possible Medicaid fraud, waste and/or abuse perpetrated by plan network providers and enrollees. Audit

risk areas for which improper Medicaid payments may be received are determined by the review of various resources, including:

- The Office of Inspector General (OIG) Annual Audit Work Plan
- Compliance industry publications
- Best practices

ENFORCEMENT OF STANDARDS THROUGH WELL-PUBLICIZED DISCIPLINARY GUIDELINES:

CCP employees must understand the consequence of non-compliance with the organization's policies and procedures. The CCP compliance plan includes procedures for timely, consistent and effective enforcement of discipline for employees who violate CCP policies, procedures, and standards of conduct. Violating the CCP Compliance Plan will result in disciplinary action, up to and including termination of employment. Fraudulent and other illegal activities will not be tolerated and will result in immediate termination of employment and reporting of the incident to the appropriate law enforcement agency.

RESPONDING TO PAST AND POTENTIAL VIOLATIONS:

CCP's Compliance Program requires that we respond promptly to potential violations of law or company policy, and to assess whether the violation is in part due to gaps in CCP's policies, practices, or internal controls. After a violation, has been detected and confirmed, the Compliance Officer shall institute steps to prevent the reoccurrence of the violation and make any necessary modifications to CCP policies and procedures. CCP will take appropriate corrective action, including prompt and proper restitution of any overpayment and the disposition of the proper disciplinary action. When appropriate, corrective action may include reporting suspected violations to appropriate government agencies.

CCP identifies incidents of non-compliance through a variety of sources, including employee self-reporting, internal audits, hotline calls, external audits, and regional collaborative workgroups or enrollee complaints.

Any time an incident of non-compliance is discovered or a department's process or system results in non-compliance, the Compliance Officer is required to create a Corrective Action Plan (CAP). A CAP represents a commitment from the business unit to correct the identified issue in a timely manner. Corrective actions may include revising processes, updating policies or procedures, retraining staff, reviewing systems edits and other root causes.

The status of open Corrective Action Plans is reported to the Audit and Compliance Committee on a quarterly basis. The Compliance Officer monitors CAP implementation and requires that the applicable department regularly report the completion of all interim action steps. Once a CAP is complete, the Compliance Officer validates the CAP by monitoring individual action items over a period to demonstrate sustained compliance was achieved, and the CAP was effective.

FRAUD, WASTE AND ABUSE PLAN

CCP maintains a fraud, waste and abuse Plan that demonstrates a commitment to prevent, detect and correct incidents that could lead to fraud, waste, and abuse. All CCP employees, contractors, and vendors are responsible for immediately reporting suspected fraud, waste and abuse to the Compliance Officer. CCP provides annual FWA training to its employees, contractors, and vendors as well as its network providers and first tier, downstream and related entities, who must attest annually to completing FWA Program. Upon hire or initiation of a contract, all individuals listed above must agree to comply with the CCP Code of Conduct and complete all mandatory FWA training courses. FWA includes laws and regulations related to Medicaid FWA (False Claims Act, Anti-Kickback Statute, etc.). Employees, including temporary workers and volunteers, are required to receive FWA training:

CCP maintains a hotline for anonymous reporting and a Special Investigations Unit (SIU) that investigates all reports of potential fraud, waste and/or abuse. Any potential fraud, waste and abuse allegations reported to the CCP hotline, or reported to the Compliance Officer, will be fully investigated by the CCP Compliance Officer.

Definitions of Fraud, Waste, and Abuse

Fraud:

An intentional deception or misrepresentation made by a person with the knowledge that the deception results in unauthorized benefit to that person or another person. The term includes any act that constitutes fraud under applicable federal or state law.

Waste:

Overutilization of services or other practices that, directly or indirectly, result in unnecessary costs to MMA. Waste is generally not considered to be caused by criminally negligent actions but rather the misuse of resources.

Abuse:

Provider practices that are inconsistent with generally accepted business or medical practices that result in an unnecessary cost to the Medicaid program or in reimbursement for goods or services that are not medically necessary or that fail to meet professionally recognized standards for health care; or recipient practices that result in unnecessary cost to the Medicaid Program.

The following are examples of Fraud, Waste, and Abuse:

- Falsifying Claims
- Denying or limiting access to services and benefits
- Failure to refer for needed services
- Incorrect Coding
- Double Billing
- Billing for services not rendered
- Misrepresentation of services or supplies
- Kickbacks and Stark violations
- Fraudulent credentials, Resource misrepresentation

- Fraudulent enrollment practices, Residency
- Member abuse, prescription alteration or forgery
- Physical abuse
- Mental abuse
- Misrepresentation of a medical condition
- Emotional abuse
- Sexual Abuse
- Neglect
- Discrimination
- Providing substandard care
- Financial exploitation

All CCP employees play an important role in the CCP fraud prevention program and are required to report suspected fraud, waste, and abuse through the channels provided. MMA plan members, providers, and staff are educated about fraud and abuse along with how to report any suspected fraud or abuse.

Reporting Structure:

CCP's Compliance Officer reports all suspected or confirmed instances of internal and external FWA related to the provision of, and payment for, Medicaid services within (15) calendar days of detection as specified in s. 42 CFR 438.608 and s. 409.91212, F.S. The online report can be found at <https://apps.ahca.myflorida.com/mpi-complaintform/>

The report shall contain at a minimum:

For Enrollees:

- a) The name of the Enrollee.
- b) The Enrollee's Medicaid identification number.
- c) A description of the suspected fraudulent activity.
- d) A narrative report of the suspected fraudulent activity.
- e) If fraud, waste or abuse is suspected or confirmed.
- f) Date of detection by the plan.
- g) Recipient Medicaid number.
- h) Current case status.

For Providers:

- a) The name of the Provider.
- b) The Provider's Medicaid identification number.
- c) The Provider's tax identification number.
- d) A description of the Provider is suspected fraudulent activity.
- e) A narrative report of the suspected fraudulent activity.
- f) If the fraud, waste or abuse is suspected or confirmed.
- g) Date of detection by the plan.
- h) Provider Medicaid number, Tax ID, and National Provider Identifier.
- i) Current case status.
- j) Overpayment identified.
- k) Amount of overpayment identified.

For Employees:

- a) The name of Employee.
- b) The Employee's organization ID Number.
- c) A description of the suspected fraudulent activity.
- d) A narrative report of the suspected fraudulent activity.
- e) If the fraud, waste or abuse is suspected or confirmed.
- f) Date of detection by the plan.
- g) Current case status.

Exclusion Monitoring:

It is the policy of CCP to not knowingly employ, contract with, or make payments to any individual or entity who is currently excluded from participating in Medicare, Medicaid, and any other Federal health care program.

All CCP employees, contractors, vendors, and network providers are vetted monthly in the following databases to ensure that they have not been excluded from participating in Medicare, Medicaid, and any other Federal health care program: If it is determined that a MMA network provider has been suspended or debarred, the individual or entity shall be removed from the provider network and payments will be immediately stopped.

1. The Department of Health and Human Services, Office of Inspector General (OIG) list of excluded individuals and entities, List of Excluded Individuals and Entities (LEIE). The LEIE is available at the following link: <https://exclusions.oig.hhs.gov/>.
2. The General Services Administration (GSA) System for Award Management (SAM), SAM contains debarment actions taken by various federal agencies, including the OIG including non-health care contractors with whom sponsors may not contract. The SAM is available at the following link: <https://www.sam.gov/portal/public/SAM/>. SAM is updated in real time.
3. Florida Agency for Health Care Administration (AHCA) list of Sanctioned, Terminated or Excluded Individuals or Entities.

The search results are kept in an electronic spreadsheet that is maintained by CCP's Compliance Officer. If a provider match is identified and verified on any of these lists, CCP will not contract with the provider and will notify AHCA MPI and the Compliance Officer.

CCP shall notify DHHS OIG and MPI within ten (10) business days of discovery of individuals who have met the conditions giving rise to mandatory or permissive exclusions per s. 1128, s. 1156, and s. 1892 of the Social Security Act. 42 CFR 455.106, 42 CFR 1002.3, 42 CFR 438.608 and 42CFR 1001.1.

CCP will disclose to DHHS OIG, with a copy MPI within five (5) business days after discovery, the identity of any person who:

- (1) Has ownership or control interest in CCP, or is an agent of CCP.
- (2) Has been convicted of a criminal offense related to that person's involvement in any program under Medicare, Medicaid or MMA.

Additionally, CCP discloses to the identity of any person described in 42 CFR 1002.3 and 42 CFR 100.101 (a)(1) who has ownership or control interest in a MMA plan participating provider, or subcontractor, or is an agent or managing employee of a MMA plan participating provider, or subcontractor, and meets at least one of the following requirements.

- (1) Has been convicted of a crime as identified in S. 1128 of the Social Security Act and/or convicted of a crime related to that person's involvement in any program under Medicare, Medicaid, or the MMA since the inception of those programs.
- (2) Has been denied entry into the MMA Plan's network for program integrity-related reasons; or
- (3) If a provider against whom AHCA or the MMA plans has taken any action to limit the ability of the provider to participate in the MMA Plan's provider network, regardless of what such an action is called. This includes, but is not limited to, suspension actions, settlement agreements, and situations where an individual or entity voluntarily withdraws from the program or MMA plan provider network to avoid a formal sanction.

CCP shall submit the required written notification to DHHS OIG via email to floridaexclusions@oig.hhs.gov and copy MPI via email to mpifo@ahca.myflorida.com. Documentation examples include court records, indictments, pleas agreements, judgments and conviction/sentencing documents.

Attention: Florida Exclusions
Office of the Inspector General
Office of Investigations
7175 Security Boulevard, Suite 210
Baltimore, MD 21244

CCP shall provide a copy of the written notification to the Medicaid Program Integrity (MPI) at:

Attention: Florida Exclusions
Office of the Inspector General
Medicaid Program Integrity
2727 Mahan Drive, M.S. #6
Tallahassee, FL 32308-5403

How to Report Fraud, Waste and Abuse:

CCP staff, providers, subcontractors, and enrollees can report suspected fraud, waste and abuse to:

- Agency for Health Care Administration (AHCA)

- The CCP Compliance Hotline 1-855-843-1106
- AHCA Consumer Complaint Hotline: (888) 419-3456
- Florida Attorney General Hotline: (866) 966-7226
- DHHS OIG Hotline: (800) 447-8477
- Online by filling out the Medicaid Fraud and Abuse Complaint Form (to report suspected fraud and abuse in the Florida Medicaid system) at https://apps.ahca.myflorida.com/InspectorGeneral/fraud_complaintform

Through the USPS by mailing it to:

Program Administrator, Intake Unit
Medicaid Program Integrity
Agency for Health Care Administration
2727 Mahan Drive, MS #6
Tallahassee, Florida 32308

CCP Staff will be informed during annual compliance training and new hire compliance training about how to report suspected fraud and abuse. In addition, posters announcing the CCP compliance hotline will be placed throughout the CCP corporate office.

Provider/Subcontractors will be informed as part of the online provider compliance training, during the initial in-services and annually thereafter via webinar and provider newsletters.

Enrollees will be informed upon receipt of the new enrollment packet and via our website.

FALSE CLAIMS ACT

Federal False Claims Act (also known as “The Whistleblower Law”)

Civil False Claims Act (31 U.S.C. §§ 3729-3733): The False Claims Act (“FCA”) is a federal statute that imposes civil penalties of up to \$21,916 per claim. False claims include:

- Knowingly submitting a false claim to the Federal government for payment;
- Knowingly making or using a false record or statement to obtain payment or approval of a claim by the Federal government; and/or
- Use of a false statement to decrease an obligation to the government.

When submitting claims to the federal government, all claims must be closely reviewed to assure accuracy. This covers all grants and contracts. Intent to defraud is not necessary for a violation of the law to occur. A false claim may be found if the party submitting the claim had knowledge of the information and acted in deliberate ignorance or reckless disregard of the truth or falsity of the information.

Whistleblower Provisions (also known as *qui tam*)

The FCA contains *qui tam* (or whistleblower) provisions. *Qui tam* is a unique mechanism in the law that allows citizens with evidence of fraud against government contracts and programs to sue, on behalf of the government, in order to recover the stolen funds. In compensation for the risk and

effort of filing a *qui tam* case, the citizen whistleblower or "relator" may be awarded up to 30% of the funds recovered. A *qui tam* suit initially remains under seal for at least 60 days during which time the Department of Justice ("DOJ") can investigate and decide whether to join the action.

Whistleblower Protection

The FCA contains language protecting whistleblower employees from retaliation by their respective employer. Employees that are discharged, demoted, suspended, threatened, harassed, or in any way discriminated against in the terms and conditions of employment by their employer for "blowing the whistle" are entitled to recover all relief necessary to make the employee whole. Damages available to an employee that proves retaliation include: reinstatement with the same seniority status, two times back pay, interest on the back pay, compensation for any special damages (i.e. emotional distress), litigation costs and attorney's fees.

CCP expects employees, vendors, contractors, and others to report, through appropriate channels, concerns regarding actual or potential non-compliance with applicable federal and state laws and/or CCP's internal policies and procedures. Appropriate channels mean that individuals are encouraged to make an initial report to their immediate supervisors. However, CCP realizes that individuals may be reluctant to report their concerns due to the threat of possible retaliation, retribution or harassment. Accordingly, to facilitate the reporting process, supervisors, managers, co-workers or those in a similar position are forbidden from engaging in knowing retaliation, retribution or harassment directed against an individual who in good faith reports a concern. Examples of retaliation include discharging, demoting, suspending, threatening or harassing an employee. Knowing retaliation, retribution or harassment means that the supervisor was motivated by his or her knowledge that the individual made a good faith disclosure of alleged non-compliance. Employees are trained to report suspected fraud, waste or abuse using the anonymous hotline if they are uncomfortable reporting to their supervisor.

State False Claims Statutes

The Florida False Claims Act ("FFCA") helps prevent fraud and allows the state to recover funds lost because of fraud in state programs, purchases, or contracts.

The actions that violate the FFCA include: (1) submitting a false claim for payment, (2) making or using a false record to get a false claim paid, (3) conspiring to make a false claim or get one paid, or (4) making or using a false record to avoid payments owed to the state government.

Penalties of \$5,500 to \$11,000 per claim plus three times the amount of damages to the state government for FFCA violations may be imposed.

The Stark law

Physicians (immediate family members) who have an ownership, investment or compensation relationship with an entity providing "designated health services" are prohibited from referring patients for these services where payment may be made by a federal health care program unless a statutory or regulatory exception applies.

The Anti-Kickback Statute

The Anti-Kickback Statute makes it a criminal offense to knowingly and willfully solicit, receive, offer or pay remuneration (including any kickback, bribe or rebate) in return for:

- Referrals for the furnishing or arranging of any items or service reimbursable by a Federal health care program.
- Purchasing, leasing, ordering or arranging for the purchasing or leasing of an item or service reimbursable by a Federal health care program

Closing

CCP believes that its Compliance Plan reflects a strong commitment to the highest standards of corporate conduct and ethics. CCP continually strives to prevent and detect violations of law or company policy and to encourage and promote ethical business conduct throughout all levels of CCP's organization.

CCP Compliance Plan will be revised annually to address concerns in the above areas and other identified areas and to ensure every possible effort to achieve maximum compliance in all areas.

CCP CODE OF CONDUCT:

Compliance with All Laws and Regulations

We comply with all federal, state and local laws and government regulations and must immediately and directly report to the Compliance Officer any actual or perceived violation of this Code of Conduct, the Corporate Compliance Program or any other Community Care Plan (CCP) policy.

The Corporate Compliance Program strives to summarize legal issues in general terms intended for a layperson. These general statements are intended to raise our awareness but are not intended to replace the advice of counsel or to address all situations and circumstances. They are also not intended to impose on us any standards greater than those required by law. Further, this Corporate Compliance Program is intended to summarize and supplement other standard practices

Compliance with All CCP Policies and Procedures

We comply with all CCP policies and procedures included in the Standard Practice and Policies and Procedures Manuals, including, but not limited to, all equal employment opportunity policies, Family Medical Leave Act policies, Americans with Disabilities Act policies, compensation policies, harassment policies and Fair Labor Standards Act policies.

Supervisors and Managers

CCP supervisors and managers are held to a higher standard and have a special responsibility to lead by example. They are responsible for making sure that their work areas reflect CCP's values. Supervisors and managers are expected to be open to employee concerns about ethics and compliance. They need to create a work environment in which concerns can be raised and openly discussed without fear of retaliation. Even if an employee has criticisms or raises an uncomfortable question, supervisors, and managers must welcome the communication, always remembering that openness is essential to a healthy work environment.

Non-Retaliation

When someone raises a good-faith concern, calls CCP's Compliance Hotline or cooperates with an investigation of possible ethics or compliance violations, retaliation against that person is prohibited. CCP takes reports of retaliation very seriously. If retaliation occurs, it will result in discipline, up to and including termination of employment.

Who is this Code of Conduct for?

This Code of Conduct establishes the general policies and procedures that all CCP employees, consultants, and vendors must follow.

Are these policies meant to cover all situations?

No. These policies and procedures are not meant to cover all situations. Questions as to the legality or ethics of conduct in a situation, whether the situation is described within this Code of Conduct should be submitted to the Compliance Officer.

What do we have to do?

As CCP's reputation is the sum of the reputations of its employees, it is critically important that all its employees perform their duties in accordance with legal and ethical standards. Every CCP employee is required to understand and comply fully with both the rules and approval procedures established by this Code of Conduct. The standards of conduct apply to all CCP employees regardless of rank or types of duties. In addition, promotion of and adherence to this Code of Conduct and to the Corporate Compliance Program will be one measure of performance of employees, supervisors, managers, directors, and officers. To the extent that any additional policies are set forth in any other CCP manual, those policies should be consistent with this Code of Conduct. In case of any inconsistency, this Code of Conduct shall govern.

What are the goals of CCP's Corporate Compliance Program?

The Compliance Program's goals are to:

- Safeguard CCP's tradition of strong moral, ethical and legal standards of conduct.
- Provide CCP with an accurate view of its employees' behaviors.
- Identify and ferret out criminal and unethical conduct.
- Create a compliance plan for efficient dissemination of information relating to changes in government requirements, and
- Establish an organizational structure, which encourages employees to freely report concerns.

What is CCP's responsibility?

CCP will exercise due diligence in attempting to deter, detect and correct improper conduct by its employees or managers. CCP will establish an environment or culture that promotes self-monitoring, detection, and resolution of problems.

Quality of Service

We are committed to providing services that meet all contractual obligations and CCP quality standards.

Confidential Information

We safeguard all confidential information as required by law. We protect the confidentiality of all patient records and the information contained in such records in accordance with CCP Privacy Program. In addition, we respect and protect the confidential nature of personal information of other employees, peer review information, trade secrets, and communications privileged as attorney/client or clergy information.

Just Culture

We foster a culture that rewards reporting and puts a high value on open communication – where risks are openly discussed between managers and staff. However, we also recognize that while we as humans are fallible, we generally have control of our behavioral choices, whether we are an executive, a manager or a staff member. We understand the concept of shared accountability – that good system design and good behavioral choices of staff together produce good results.

Respect

We support CCP's equal opportunity employment and other employee development programs. We embrace the diversity of our co-workers and never discriminate or harass based on race, ethnicity, religion, gender, sexual orientation, national origin, age, disability, veteran status or any other characteristic protected by law. If we need to access employee information as part of our jobs, we will do so only when necessary for our work.

Positive Work Environment

Each CCP employee has the right to work in a positive environment. We do not tolerate conduct that disrupts our work environment, including behavior that is disrespectful, hostile, violent, intimidating, threatening or harassing. Harassment can be particularly harmful to the work environment, and thus we have a special responsibility to report any instances of it that we may see or of which we become aware. Requests for sexual favors, sexual advances and other unwelcome verbal or physical conduct of a sexual nature are expressly prohibited. We should speak up if a co-worker's conduct makes us feel uncomfortable.

Standards of Behavior for Championship Customer Service

We recognize that exceeding the customer's expectations is central to the culture and operating philosophy of CCP Healthcare System. We acknowledge our role in providing "Championship Customer Service," and we accept responsibility for assuring that our behavior always complies with these standards.

Behaviors that undermine a culture of Compliance

Intimidating and disruptive behaviors include overt actions as well as passive activities.

Examples include:

- Intimidating and disruptive behaviors are unprofessional and will not be tolerated.
- Verbal outbursts
- Inappropriate loudness
- Physical threats
- Refusing to perform assigned tasks
- Quietly exhibiting uncooperative attitudes during routine activities
- Reluctance or refusal to answer questions or return phone calls
- Condescending or demeaning language or tone

- Profane or disrespectful language
- Impatience with questions
- Throwing objects
- Criticizing others in front of other employees
- Deliberate failure to adhere to organizational policies without adequate justification

Overt and passive behaviors undermine team effectiveness. Intimidating and disruptive behaviors are unprofessional and will not be tolerated.

We are committed to excellence in the provision of high-quality customer service. We recognize how important “Championship Customer Service” is to the success of CCP and our role as essential members of the organization.

At all time, we exhibit behavior that supports and upholds the Standards of Behavior for “Championship Customer Service.”

Health and Safety

We follow the health and safety policies and regulations that apply to our work. This includes following procedures for handling hazardous materials and related situations. If we see an injury or accident, or a dangerous situation, we will immediately report it to our supervisor or the Compliance Hotline. We may not use, possess or be under the influence of alcohol or illegal drugs on company property or during work time.

Legal Employment

We maintain all credentials, licenses, and certifications that are necessary to perform our jobs. We do not hire, contract with or bill for services rendered by persons or entities excluded from participating in the

Federal health care programs by the Department of Health and Human Services or the U.S. General Services Administration. If we become ineligible ourselves or are convicted of a crime that could lead to becoming ineligible (such as one related to the provision of healthcare), we will inform the Compliance Officer.

Charging of Costs/Time Reporting

We are careful to submit time reports, which are complete, accurate and timely. We are careful to ensure that hours worked and costs incurred are applied to the department and/or account for which the effort was required. When a supervisor approves of a time report or expense report, he or she represents that it has been reviewed and that steps have been taken to verify the validity of the hours or expenses reported and the correctness of the allocation of the hours or expenses. Supervisors must not tolerate or condone deviations from appropriate time reporting or cost-charging practices. Accordingly, supervisors must not set goals for subordinates that cannot be met through accurate, honest, and appropriate time reporting or cost charging practices.

Refraining from Substance Abuse

CCP is committed to providing employees and customers with a working environment that is free from problems caused by the use and abuse of controlled substances and the abuse of alcohol. The consumption, possession, sale or purchase of alcohol on CCP property is prohibited, except for events approved in advance by management in approved conference, meeting or recreational

facilities. CCP also prohibits the use of alcohol by employees either directly before or during the workday, whether about a business or on personal time. If an employee is found to be in violation of this policy, management will determine the appropriate disciplinary action, which may include termination.

Contract Negotiation

We are committed to disclosing current, accurate and appropriate information while negotiating contracts with our business partners. Employees involved in the pricing of contract proposals or the negotiation of contracts are committed to ensuring the appropriateness of all data generated and representations made to customers and suppliers, both government and commercial.

Antitrust and Trade Laws

We are committed to complying with applicable antitrust, trade and similar laws, which regulate competition.

Ineligible Persons

We will not employ, contract with, or bill for services rendered by an individual or entity that is excluded or ineligible to participate in federal healthcare programs; suspended or debarred from federal government contracts; or has been convicted of a criminal offense relative to the provision of health care items or services, if we are aware of such criminal offense. We understand our individual accountability to report if we become excluded, debarred or sanctioned by a federal healthcare program, or have been convicted of a criminal offense related to the provision of healthcare products or services.

False Claims Laws

We understand that there are federal and state laws that prohibit us from offering payments or items of value to induce a customer or potential customer to purchase services from us or to refer a patient to us. In addition, we understand that there are laws that prohibit the filing of false claims. As these are highly complex areas of the law, we take special care in this area and promptly refer any questions to the Compliance Officer.

Examples of the types of actions that could violate the federal, Florida False Claims Acts, and other federal false billing laws include:

- Filing a claim for services that were not rendered at all or were not rendered as described on the claim form.
- Filing a claim for services that were rendered, but were medically unnecessary.
- Submitting a claim containing information you know to be false, or
- Misusing Social Security or Medicare symbols, emblems or names in marketing.
-

We are committed to being knowledgeable of and complying with all the applicable laws, rules, and regulations of all governmental agencies.

Billing and Reimbursement

We are committed to ensuring that our billing and reimbursement practices comply with all federal and state laws, regulations, guidelines and policies and that all bills are accurate and reflect current

payment methodologies. We are committed to ensuring that all patients and customers receive timely bills and that all questions regarding billing are answered.

Acceptance of Business Courtesies

We do not solicit anything from someone doing business with us or someone whose services are subject to our review. We do not solicit meals, drinks or entertainment. We do not solicit reimbursement for lodging or travel expenses or free lodging or travel. We do not solicit payments, benefits or gifts on behalf of ourselves or our family members provided by a vendor. Please refer to the Standard Practice titled *“Business Ethics and Conflicts of Interest.”*

Providing Business Courtesies

CCP's success in the marketplace results from providing quality services at competitive prices. We do not seek to gain an improper advantage by offering business courtesies such as entertainment, meals, transportation or lodging to customers, referral sources or purchasers of our services. State, local and foreign governmental bodies may also have restrictions on the provision of business courtesies, including meals and refreshments. Those of us doing business with such governmental bodies are committed to knowing and respecting all such restrictions.

Charitable Contributions

We are committed to ensuring that all charitable contributions directly benefit CCP.

Disclose

The most important word to remember when it comes to conflicts of interest is disclosed. We are obligated to be transparent in our dealings on behalf of CCP. If we are ever in a situation where someone might wonder if our loyalty to CCP is questionable (even if it is not), we must disclose it. For example, let us say that you are tasked with buying all the office supplies in your unit. Your best friend from college happens to sell office supplies. Even if your friend offers the best deal, the appearance of a conflict triggers the requirement to disclose the relationship to your supervisor.

Accurate Books and Accounts

We are committed to ensuring that all payments and transactions are properly authorized and are accurately and completely recorded on our books and records in accordance with generally accepted accounting principles and established corporate accounting policies. We record all payments and transactions and do not record false or incomplete entries. We do not maintain undisclosed or unrecorded corporate funds, nor do we place CCP's funds in personal or non-corporate accounts.

Physical Assets

We protect all corporate assets, regularly compare them to corporate records and reconcile any variances. We do not use supplies or equipment for personal purposes or remove them from the premises, even just to “borrow” them.

Avoiding Abuses of Trust

We do not engage in any activity that might interfere or appear to interfere with the independent exercise of our judgment in situations where our personal interests might detract from or conflict with CCP's best interest or the interests of CCP's customers or suppliers.

Conflict of Interest

We do not work, consult or have any other business relationship with a competitor, customer or supplier, or invest in any competitor, customer or supplier (except for moderate holdings of publicly traded securities). We know that outside employment may constitute a conflict of interest if it places us in the position of appearing to represent CCP, involves services substantially like those CCP provides or is considering making available, or lessens the efficiency, alertness or productivity normally expected of us in our jobs. All outside employment that raises any question must be disclosed to CCP and approved in advance by the Compliance Officer.

Insider Trading

We do not trade in the securities of any company, or buy or sell any property or assets, based on nonpublic information acquired through employment at CCP, whether such information comes from CCP or from another company with which CCP has a relationship.

Safeguarding CCP Restricted Information

We do not disclose to any outside party any nonpublic business, financial, personnel, commercial or technological information, plans or data, and we protect these types of information from access by unauthorized personnel. Upon termination of employment at CCP, we will not copy, take or retain any documents containing CCP's restricted information. We will continue to protect the confidentiality of such information after the term of our employment ends because we consider this an important part of our obligation to CCP.

Intellectual Property

We do not engage in any activity that infringes or misappropriates the intellectual property rights of others including copyrights, trademarks, service marks, trade secrets, software piracy, and patents held by individuals, corporations or other entities. Examples of prohibited activities include photocopying magazine articles or excerpts from trade journals or textbook pages; playing radio station broadcasts

overhead or through public address systems; downloading MP3 content; using "Peer-to-Peer" file sharing software; and downloading non-CCP licensed software.

Financial Improprieties

If you ever become aware of or suspect any potential improprieties regarding CCP's accounting, internal controls or auditing, report it immediately. Contact your supervisor, the Compliance Officer or the Compliance Hotline. Contact information can be found on the resources page at the end of this document.

Marketing and Advertising Activities

We will provide honest information to the public in conducting all marketing and advertising activities.

Social Media Policy

We will provide honest information while using sound judgment and common sense. We will be transparent in every social media engagement. We will protect the privacy of our patients, co-workers, and CCP. We will be conscious when mixing our business and personal lives and never disclose nonpublic information.

Making Political Contributions

We do not contribute or donate CCP's funds, products, services or other resources to any political cause, party or candidate. However, we may make voluntary personal contributions to any lawful political causes, parties or candidates, if, we do not represent that those contributions come from CCP and do not use CCP's money to make these contributions.

Marketing and Advertising Activities

We will provide honest information to the public in conducting all marketing and advertising activities.

Social Media Policy

We will provide honest information while using sound judgment and common sense. We will be transparent in every social media engagement. We will protect the privacy of our patients, co-workers, and CCP. We will be conscious when mixing our business and personal lives and never disclose nonpublic information.

Giving Back to the Community

Our goals are to improve the health status of our enrollees and becoming a world-class model of quality, service, and efficiency.

Compliance and Audit Department

Compliance Department is led by a Compliance Officer who administers CCP's Compliance Program, which includes:

- Developing current compliance policies, procedures, and training
- Monitoring, auditing and reporting compliance issues
- Monitoring, auditing and reporting privacy issues
- Managing the Compliance Hotline and responding to employees' questions
- The Compliance Officer can be contacted directly at 954-622-3234

The Compliance Hotline

The Compliance Hotline is answered and staffed by an independent hotline company that specializes in healthcare compliance issues and is available 24 hours per day, 365 days per year. Callers may remain anonymous, and callers who give their names will be protected to the extent allowed by law. The Compliance Hotline may be reached in the following ways:

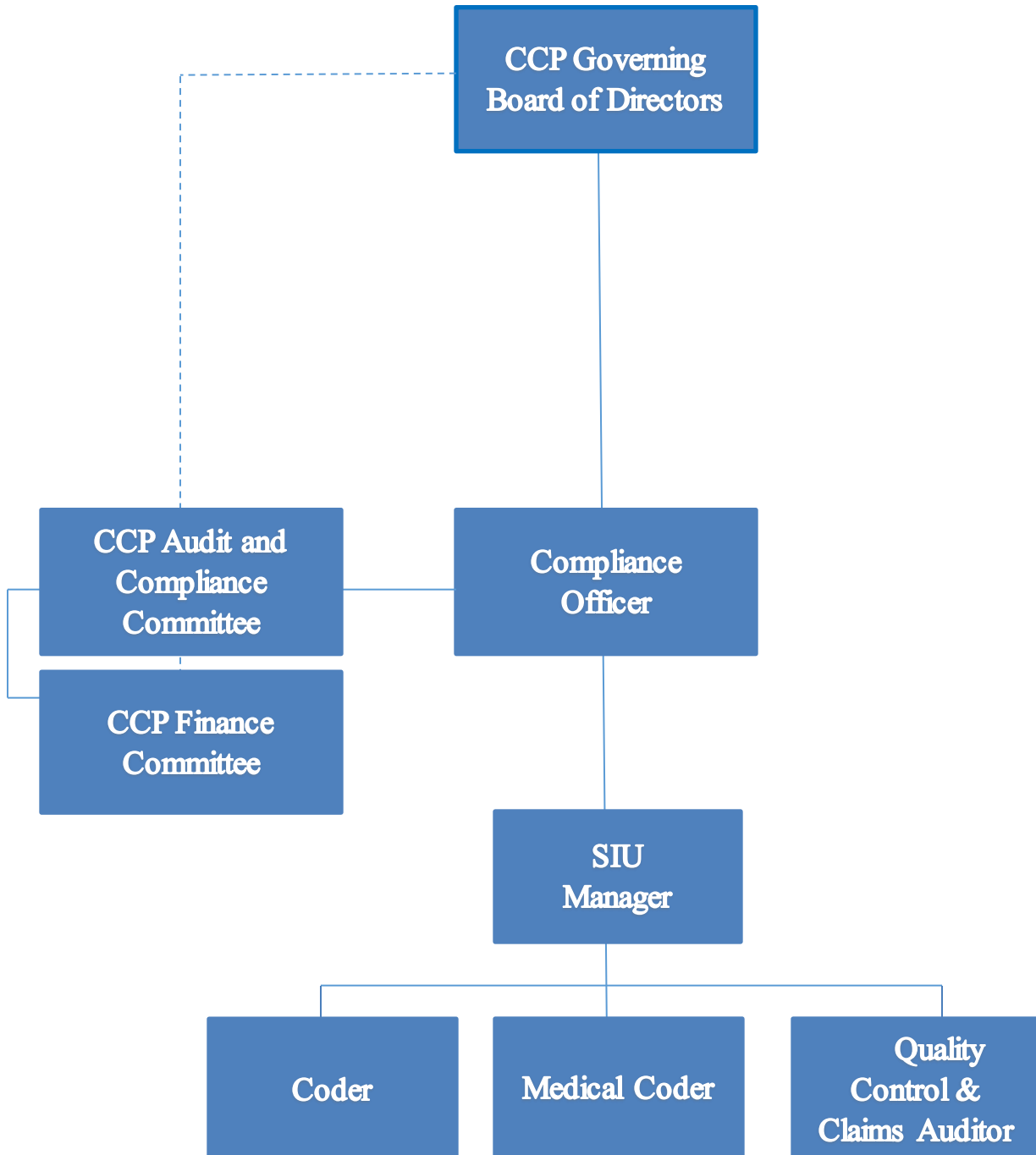
- **Hotline telephone number:** 855-843-1106
- **Hotline website:** <http://www.lighthouse-services.com/CCP>
- **E-mail:** reports@lighthouse-services.com

In addition, compliance issues and concerns or fraud, waste and abuse-related issues can be reported directly to CCP Compliance Officer at:

- Compliance Officer Phone: 954-622-3234
- Compliance Officer E-Mail: jmcdaniel-chinn@ccpcares.org

Attachment A:

Organizational Chart



Attachment B:

Internal Flow Chart from the First Point of Suspicious Activity through Reporting

