

Corporate Compliance Plan

Purpose

The Corporate Compliance Plan is to adopt, implement, and maintain an effective Compliance Program, consistent with Jordan Health's Code of Conduct. The Compliance Plan outlines and demonstrates Jordan Health's commitment to comply with applicable Federal and New York State standards that include:

1. Written Policies, Procedures, and Standards of Conduct that outline the operation of the compliance program and be reviewed at least annually and modified, as necessary;
2. Appointment of a Compliance Officer who must carry out the primary responsibilities of the compliance program, including the development of an annual compliance work plan;
3. Effective compliance training and education for all Affected Individuals;
4. Established effective lines of communication for all Affected Individuals;
5. Disciplinary standards that are implemented and enforced to address potential violations and encourage good faith participation in the Compliance Program by Affected Individuals;
6. Auditing and monitoring systems that are effective to identify compliance risks; and
7. Responding and taking prompt actions to address compliance issues.

DESCRIPTION:

Written Policies, Procedures, and Code of Conduct

Jordan Health is committed to providing high-quality healthcare services to our patients and to carrying out our mission while conducting ourselves ethically and legally. These standards can only be achieved and sustained through the actions and conduct of all Affected Individuals who are covered by Jordan Health's Compliance Program and Code of Conduct.

1. Affected Individuals are defined as all persons who are affected by Jordan Health's risk areas, including employees, the chief executives and other senior administrators, managers, contractors, agents, vendors, subcontractors, independent contractors, the governing body and corporate officers.
2. Affected individuals must be aware of the existence of applicable federal and state laws and regulations that apply to Jordan Health. Where any question or uncertainty regarding these or any requirements exists, each Affected Individual is required to seek guidance from a knowledgeable officer or the Compliance Officer of Jordan Health.
3. It is the Policy of Jordan Health to comply with all applicable federal, state, and local laws and regulations. In particular, this policy prohibits Jordan Health and each of its Affected Individuals from directly or indirectly engaging or participating in any of the following:
 - i. False claims for a medical or other item or service and such person knows, or should know, the claim is false or fraudulent.
 - ii. Improper claims: Presenting or causing to be presented to the United States Government, New York State, or any other health care payer, a claim for a medical or other item or service that such person knows or should know was not provided as claimed.
 - iii. Service by an unlicensed Physician or Provider, or Excluded persons
 - iv. Service Not Medically Necessary Making a False Statement in the treatment of any patient or the preparation and submission of any claims for medical or other items or services.
 - v. Conspiracy to Defraud the United States government, any federal or state health care program, or any other health care payer by submitting, causing to be submitted, or receiving payment on a false claim.
 - vi. Anti-Referral: Presenting or causing to be presented a claim for reimbursement to any individual, third-party payer, or other entity for designated health services that were furnished under a referral by a Physician who has a financial relationship with Jordan Health as such is defined in 42 U.S.C. 1395nn without meeting a regulatory exception or safe harbor.
 - vii. Anti-Kickback: Knowingly and willfully soliciting or receiving any remuneration (including any kickback, bribe, or rebate) directly or indirectly, overtly or covertly,

in cash or in kind either:

- (a) in return for referring an individual to a person for the furnishing or arranging for the furnishing of any item or service for which payment may be made in whole or in part under a federal or state health care program; or
 - (b) in return for purchasing, leasing, ordering, or arranging for or recommending purchasing, leasing, or ordering any good, facility, service, or item for which payment may be made in whole or in part under a federal or state health care program;
 - a. offers or pays any remuneration (including any kickback, bribe, or rebate) directly or indirectly, overtly or covertly, in cash or in kind to any person to induce such person -
 - (c) to refer an individual to a person for the furnishing or arranging for the furnishing of any item or service for which payment may be made, in whole or in part, under a federal or state health care program, or;
 - (d) to purchase, lease, order, or arrange for or recommend purchasing, leasing, or ordering any goods, facility, service, or item for which payment may be made in whole or in part under a federal or state health care program.
 - (e) Antitrust: Engaging in any activity including, without limitation, being a member of a multi-provider network or other joint venture or affiliation, which is in restraint of trade or which monopolizes, or attempts to monopolize, any part of interstate trade or commerce.
- viii. Failure to Report Violations to Compliance Officer: Failing to promptly report to the Compliance Officer (as defined below) any unethical or illegal conduct, including, but not limited to any instance described in this Section concerning Jordan Health or any of its Affected Individuals which is known to such person.

Appointment of Compliance Officer

1. The Compliance Officer is accountable to the Chief Executive Officer and has access to the governing body. The Compliance Officer is vested with the responsibility for the day-to-day activities of the compliance program.
2. Duties and Responsibilities of the Compliance Officer:
 - i. overseeing and monitoring the adoption, implementation and maintenance of the compliance program and evaluating its effectiveness;
 - ii. Drafting, implementing, and updating no less frequently than annually or, as otherwise necessary, to conform to changes to Federal and State laws, rules, regulations, policies and standards, a compliance work plan that shall outline Jordan Health's proposed strategy for meeting the requirements Title 18 New York Codes Rules and Regulations Subpart 521-1.4 (a) written policies and procedures, (d) training and education, (g) auditing and monitoring, and (h) responding to compliance issues;
 - iii. Reviewing and revising the compliance program, and the written policies and procedures and standards of conduct, to incorporate changes based on Jordan Health's experience and promptly incorporate changes to Federal and State laws, rules, regulations, policies and standards.
 - iv. Reporting directly, regularly, but no less frequently than quarterly, to Jordan's Health governing body, chief executive, and compliance committee on the progress of adopting, implementing, and maintaining the compliance program;
 - v. Assisting Jordan Health in establishing methods to improve Jordan Health's efficiency and quality of services, and reducing Jordan's Health's vulnerability to fraud, waste and abuse;
 - vi. Investigating and independently acting on matters related to the compliance program, including designing and coordinating internal investigations and documenting, reporting, coordinating, and pursuing any resulting corrective action with all internal departments, contractors, and the State; and
 - vii. The Compliance Officer and appropriate compliance personnel shall have access to all records, documents, information, facilities, and Affected Individuals that are relevant to carrying out their Compliance Program responsibilities.

Corporate Compliance Committee

Jordan Health has a dedicated compliance committee which shall be responsible for coordinating with the Compliance Officer to ensure that Jordan Health is conducting its business ethically and responsibly, consistent with its compliance program.

1. The duties and responsibilities of the Compliance Committee shall include, but not be limited to, the following:
 - (i) Coordinating with the Compliance Officer to ensure that the written policies and procedures, and standards of conduct are current, accurate and complete and that the training topics required are timely completed.
 - (ii) Coordinating with the Compliance Officer to ensure communication and cooperation by affected individuals on compliance related issues, and internal or external audits.
 - (iii) Advocating for the allocation of sufficient funding, resources and staff for the compliance officer to fully perform their responsibilities
 - (iv) Ensuring that Jordan Health has effective systems and processes in place to identify compliance program risks, overpayments and other issues, and effective policies and procedures for correcting and reporting such issues; and
 - (v) Advocating for adoption and implementation of required modifications to the compliance program.
2. Membership in the committee shall, at a minimum, be comprised of senior managers.
3. The Compliance Committee shall meet no less frequently than quarterly and shall, no less frequently than annually, to review and update the Compliance Committee charter.
4. The Compliance Committee shall report directly and be accountable to the Chief Executive Officer and governing board.

Training and Education Program

Jordan Health will make available appropriate educational and training programs and resources to ensure that the Compliance Officer and all Affected Individuals are thoroughly familiar with the topics included in the training and education program set out in this section of the Compliance Plan, and those areas of law that apply to and impact upon the conduct of their respective duties including, but without limitation, the relevant areas of documentation, coding, billing and Health Insurance Portability and Accountability Act (HIPAA).

1. Each education and/or training program conducted here shall reinforce that compliance with regulatory laws and standards is a condition of employment.
2. The training and education program shall include but not be limited to, the following topics:
 - (i). Jordan Health's risk areas

- (ii) Jordan Health's written policies and procedures
 - (iii) The role of the compliance officer and the compliance committee
3. How Affected Individuals can ask questions and report potential compliance-related issues to the Compliance Officer and senior management, including:
- a. the obligation of Affected Individuals to report suspected illegal or improper conduct and the procedures for submitting such reports, and
 - b. the protection from intimidation and retaliation for good faith participation in the Compliance Program;
- ii. Disciplinary standards, with an emphasis on those standards related to Jordan Health's Compliance Program and prevention of fraud, waste, and abuse;
 - iii. How Jordan Health responds to compliance issues and implements corrective action plans;
 - iv. Requirements specific to New York State's Medicaid Program and Jordan Health's Designated Health Services in which Jordan Health is enrolled in the Medicaid Program to provide;
 - v. Coding and billing requirements and best practices; and
 - vi. claim development and the claim submission process
4. Education Program Timing and Frequency:
- i. The Compliance Officer and All Affected Individuals shall complete the Education and Training Program described in this Section no less frequently than annually.
 - ii. Education and Training as described in this Section shall be part of the orientation of any new Compliance Officer and any Affected Individuals. Orientation Education and Training shall occur promptly upon hiring. The orientation for new employees will include discussions of the Compliance Program and an employee's obligation to maintain the highest level of ethical and legal conduct and standards.
5. Training Methods: Different methods may be utilized to communicate information about applicable laws and regulations to employees and other Affected Individuals as determined by the Compliance Officer. Jordan Health may conduct specialized training sessions regarding corporate compliance which may be mandatory for selected employees and other Affected Individuals
- i. Education and training shall be provided in a form and format

accessible and understandable to all Affected Individuals, consistent with Federal and New York State language and other access laws, rules, or policies.

- ii. Jordan Health shall develop and maintain a training plan which shall:
 - a. outline the subjects or topics for training and education,
 - b. the timing and frequency of the training,
 - c. which Affected Individuals are required to attend,
 - d. how attendance will be tracked, and
 - e. how the effectiveness of the training will be periodically evaluated

Lines of Communication

Jordan Health shall establish and implement effective lines of communication that ensure confidentiality for Affected Individuals and meet the following requirements:

1. The lines of communication shall be accessible to all Affected Individuals which allow for questions regarding compliance issues to be asked and compliance issues to be reported.
2. The lines of communication to the Compliance Officer shall be publicized and shall be available to all Affected Individuals and all patients who receive service from Jordan Health.
3. The lines of communication shall include a method for anonymous reporting of potential fraud, waste, abuse, and compliance issues directly to the Compliance Officer. The telephone number for the confidential reporting hotline is 866-880-0007.
4. The confidentiality of persons reporting compliance issues shall be maintained unless the matter is:
 - i. Subject to a disciplinary proceeding, or
 - ii. Referred to or under investigation by law enforcement, OIG, the New York State Attorney General's Medicaid Fraud Control Unit, or the New York State Office of the Medicaid Inspector General, or
 - iii. Required to be disclosed during a legal proceeding.
5. Any person making a disclosing under this section shall be protected under Jordan Health's policy for non-intimidation and non-retaliation.
6. Information concerning Jordan Health's Compliance Program, including its Health Care Code of Conduct shall be available on Jordan Health's website.
7. The Compliance Officer shall have an "open door" policy concerning receiving reports of violations, or suspected violations, or the law or policy.

8. Affected Individuals must immediately report to a supervisor, director, officer, or the Compliance Officer any suspected or actual violations (whether or not based on personal knowledge) of applicable law or regulations by Jordan Health or any of its Affected Individuals. Any Affected Individual making a report may do so anonymously if they choose to do so.

Disciplinary Standards

Jordan Health has established disciplinary standards and implemented procedures for the enforcement of disciplinary standards to address potential violations of the Compliance Program and to encourage good faith participation in the Compliance Program by all Affected Individuals. In enforcing its disciplinary standards, Jordan Health shall meet the following:

1. Written policies and procedures shall specify Jordan Health's disciplinary standards.
2. The procedures for taking disciplinary action shall be:
 - i. published and disseminated to all Affected Individuals
 - ii. Incorporated into Jordan Health's training plan
3. Disciplinary standards shall be fairly and consistently enforced with the same disciplinary action applied to all levels of personnel that are engaged in the same or similar action that violated the disciplinary standards.

Auditing and Monitoring

Jordan Health has established and implemented an effective system for the routine monitoring and identification of compliance risks. This system includes internal monitoring and audits and, as appropriate, external audits, to evaluate Jordan Health's compliance with the requirements of the State of New York's Medicaid Program, Medicare, and other Federal Health Care Programs and the overall effectiveness of Jordan Health Compliance Program.

The auditing and monitoring program shall meet the following requirements:

1. Auditing – Routine audits shall be performed by internal or external auditors who have expertise in Medicare and Medicaid Program requirements and applicable laws, rules, and regulations, or have expertise in the subject areas of the audits. The audits shall meet the following requirements:
 - i. internal and external compliance audits will address the Risk Areas as identified in the definitions,
 - ii. the results of all internal or external audits, or audits conducted by the state or federal government of Jordan Health shall be reviewed for Risk Areas that can be included in updates to the Jordan Health's

Compliance Program and compliance work plan,

- iii. the design, implementation, and results of any internal or external audits shall be documented, and the results of those audits will be shared with the Compliance Committee and the Board of Directors,
 - iv. any Medicare or Medicaid Program overpayments identified shall be reported, returned and explained in accordance with applicable federal and state statutory and regulatory requirements. Jordan Health shall promptly take corrective action to prevent recurrence,
 - v. any overpayments identified under any other payer program shall be returned in accordance with applicable contractual requirements. Jordan Health shall promptly take corrective action to prevent recurrence.
2. Annual Compliance Program Review – Jordan Health shall develop and operate a process for reviewing, on at least an annual basis, whether Jordan Health operates an Effective Compliance Program, is meeting New York State Medicaid, Medicare and other Federal Health Care Programs regulatory requirements, and whether any revisions or corrective action is required.
 - i. The reviews required by this section may be carried out by the Compliance Officer, Compliance Committee, external auditors, or other staff designated by Jordan Health, provided that such other staff have the necessary knowledge and expertise to evaluate the effectiveness of the components of the Compliance Program being reviewed and are independent from the functions being reviewed.
3. The reviews required by this section should include on-site visits, interviews with Affected Individuals, review of records, surveys, or any other comparable method Jordan Health deems appropriate, provided that such other comparable method does not compromise the independence or integrity of the reviews.
4. Jordan Health shall document the design, implementation and results of the reviews required by this section and any corrective action implemented.
5. The results of the reviews required by this section shall be shared with the Chief Executive Officer, Senior Management, Compliance Committee, and the Board of Directors.
6. Exclusions- Jordan Health shall confirm the identity and determine the exclusion status of Affected Individuals
 - i. In determining the exclusion status of an Affected Individual, Jordan Health shall review the following databases at least every thirty (30) days:
 - (a) New York State Office of the Medicaid Inspector General’s

- Exclusion List; and
 - (b) United States Department of Health and Human Services, Office of Inspector General's List of Excluded Individuals and Entities
 - (c) All other States with available exclusion lists.
7. Jordan Health requires its contractors, agents, subcontractors, and independent contractors to determine the exclusion status of their Affected Individuals, at least every thirty (30) days:
- (a) New York State Office of the Medicaid Inspector General's Exclusion List; and
 - (b) United States Department of Health and Human Services, Office of Inspector General's List of Excluded Individuals and Entities
 - (c) All other States with available exclusion lists.
8. Jordan Health shall promptly share the result of any audit or monitoring activities required by this section with the Compliance Officer and appropriate compliance personnel.

Responding to Compliance Issues

1. Jordan Health has established and implemented procedures and systems for promptly:
 - i. Responding to compliance issues as they are raised,
 - ii. Investigating potential compliance problems as they are identified in the course of internal auditing and monitoring
 - iii. Correcting compliance problems promptly and thoroughly to reduce the potential for recurrence, and
 - iv. Ensuring ongoing compliance with New York State and Federal laws, rules, regulations and the requirements of State and Federal health care programs that Jordan Health participates in.
2. In developing its system for responding to Compliance Program issues, Jordan Health meets the following requirements:
 - ii. Upon the detection of potential compliance risks and compliance issues, whether through reports received or as a result of the auditing and monitoring conducted. Jordan Health shall take prompt action to investigate the conduct in question and determine what, if any, corrective action is required, and promptly implement such corrective action.
3. Jordan Health shall document its investigation of the compliance issue which shall include any alleged violations, a description of the investigative process, copies of interview notes and other documents essential for demonstrating that the required

provider completed a thorough investigation of the issue. Jordan Health may retain outside experts, auditors, and/or counsel to assist with the investigation.

4. Jordan Health shall document any disciplinary action taken and the corrective action implemented.
5. If Jordan Health identifies credible evidence or credibly believes that a state or federal law, rule or regulation has been violated, Jordan Health shall promptly report such violation to the appropriate governmental entity where such reporting is otherwise required by law, rule or regulation. The Compliance Officer shall receive copies of any reports submitted to government entities for matters in which the Compliance Officer is responsible for investigating and resolving.

Affected Individuals Obligations

1. Affected Individuals have duties and responsibilities under the Jordan Health Compliance Program, Code of Conduct, applicable policies and procedures, and contract terms, if applicable. Failure to perform according to those duties and responsibilities may subject Affected Individuals to Sanctions as detailed in the Compliance Program, Code of Conduct, applicable policies and procedures and contract terms, if applicable.
2. Acknowledgment Statement: Each employee/Affected Individual must complete and sign an acknowledgment statement, at the beginning of employment/contract or relationship with Jordan Health, stating that the employee/Affected Individual has received, read, and understands the Code of Ethical Conduct and acknowledges their commitment to comply with the Code of Ethical Conduct as an employee. Each acknowledgment statement shall form a part of the personnel file of each employee. The Code of Conduct will be distributed following any revisions, and the employee will be asked to confirm that they have received, read, and understood it by executing another acknowledgment statement.

Definitions:

Affected Individual - includes persons who are affected by Jordan Health's Risk Areas including employees, the chief executive officer and other senior administrators, managers, contractors, agents, subcontractors, independent contractors, and Board members and corporate officers. Affected individuals may also include students, volunteers, and certain vendors.

Compliance Program – the Compliance Plan and all policies, procedures, processes that are referenced in the Compliance Plan or are relevant to the implementation and operation of the Compliance Plan.

Effective Compliance Program – Jordan Health's adopted and implemented Compliance Program that, at a minimum, meets the Medicaid Program's requirements for a Compliance Program.

Medicaid Program – New York's medical assistance for needy persons provided under Title 11 of Article 5 of New York's Social Services Law.

Risk Areas: Jordan Health's compliance risk areas include, but may not necessarily be limited to the following which are those areas of Jordan Health's operation affected by the Compliance Program and apply to:

1. Billing and coding;
2. Payments
3. Grievances
4. Medical Necessity
5. Quality of Care
6. Governance
7. Mandatory Reporting
8. Credentialing
9. Healthcare fraud, waste and abuse
10. Contractor, subcontractor, agent, or independent contract oversight; and
11. Other risk areas that are or should be reasonably identified by Jordan Health

This Corporate Compliance Plan addresses the following regulations:

False Claims Act (FCA), 31 U.S.C. §§ 3729 – 3733

Anti-Kickback Statute (AKS) (See 42 U.S.C. § 1320a-7b.

18 NYCRR Part 521 Fraud, Waste and Abuse Prevention

18 NYCRR Subpart 521-1 Effective Compliance Program

New York State Social Services Law (SOS) §363-d