



Policy Title:	Compliance, Ethics, and Fraud Hotline	Effective Date:	1.1.2023
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I. POLICY STATEMENT and PURPOSE

It is the Company’s policy to provide an anonymous Compliance, Ethics, and Fraud Hotline (the Hotline) for reporting suspected or actual compliance violations, such as non-compliance with the Company’s Code of Conduct, fraud, waste, and abuse, HIPAA privacy and security violations, criminal activity, or illegal or unethical conduct occurring within the Company, and to promptly investigate any such reports. The purpose of this policy is to provide guidelines and responsibilities relating to the implementation and use of the Hotline.

II. DEFINITIONS

Downstream Entity – Any party that enters into a written arrangement, acceptable to CMS, with persons or entities involved with the Medicare Advantage (MA) benefit or Part D benefit, below the level of the arrangement between an MAO or applicant or a Part D plan sponsor or applicant and a first tier entity. These written arrangements continue down to the level of the ultimate provider of both health and administrative services.

First Tier Entity – Any party that enters into a written arrangement, acceptable to CMS, with an MAO or Part D plan sponsor or applicant to provide administrative or health care services to a Medicare-eligible individual under the MA program or Part D program.

Related Entity – Any party that is related to an MAO or Part D sponsor by common ownership or control and performs some of the MAO or Part D plan sponsor’s management functions under contract or delegation; furnishes services to Medicare enrollees under an oral or written agreement; or leases real property or sells materials to the MAO or Part D plan sponsor at a cost of more than \$2,500 during a contract period.

Workforce – For purposes of this policy, the full- and part-time employees, contingent workers (consultants and contractors), trainees, and governing body of the Company, and other persons whose conduct in the performance of work for the Company is under the direct control of the Company, whether or not they are paid by the Company.

III. OWNERSHIP & TRAINING

The Corporate Compliance Officer (CCO) is responsible for administration, oversight, and training with regard to performance under this policy and procedure. This policy is presented as part of new hire orientation as well as captured through annual compliance training deployment. It is highly encouraged that all members of management reinforce this message with workforce members and FDRs on a regular basis.



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IV. PROTOCOLS

- a. Workforce members and external parties, including first tier, downstream and related entities (FDRs) have a responsibility and are required to report known or suspected violations of laws, regulations, or Company policies, including the Code of Conduct, so the Company can promptly investigate such reports. One means of reporting such issues is by utilizing the Compliance, Ethics, and Fraud Hotline.
- b. The Company contracts with an external, independent vendor to provide an anonymous and confidential Hotline, which can be accessed by telephone or website and used for reporting any compliance concerns, at any time. The Hotline telephone number **833-247-8283**. The Compliance Department manages Hotline vendor contracting, monitoring, and service.
- c. There is no form of retaliation or discipline for any individual who reports a concern in good faith. Individuals shall not intentionally use the Hotline to make false allegations. The Hotline should be used only for reporting compliance concerns; it is not a means for reporting general complaints.
- d. Individuals using the Hotline are not required to disclose their identity and will be assured of anonymity. The Company makes no attempt to identify any individual who reports anonymously. If the individual does disclose his/her identity, the Company will attempt to maintain confidentiality to the fullest extent permissible by law. However, disclosure of the individual’s identity may be necessary in order to fully investigate the concern. Workforce members who have access to Hotline reports shall act with utmost discretion, integrity, and confidentiality in the handling of such information.
- e. The Company has established compliance allegation categories (for example, fraud waste and abuse, patient/beneficiary care or rights, discrimination or harassment, theft, confidentiality, privacy, and security, conflicts of interest, etc.) for the Hotline vendor to use to classify and prioritize each incoming Hotline call or website submission.
- f. For those calling the Hotline, operators elicit the most complete information possible from the caller about the issue, appropriately document the caller’s reported information, categorize the call per the established allegation category, and assign a priority level. The operator also informs the caller of how to access the Hotline system to obtain the status of the reported allegation.
- g. Intake, Investigation, and Resolution of Issues
 - i. The Compliance Department is responsible for the intake, processing, and resolution of all issues reported via the Hotline, and works in conjunction with



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the other departments as deemed necessary to investigate and resolve reported allegations in a timely manner.

- ii. The Health Plan Compliance Manager is notified via email from the vendor when a Hotline report is received. Upon receipt, the Compliance Manager (or designee) accesses the vendor’s Hotline database system and assigns the case for investigation, based on the allegation.
 - 1. The case may be assigned to an SIU Investigator, Human Resource staff member, compliance staff, or other individual as deemed appropriate.
 - 2. Any case regarding HIPAA Privacy or Security requirements is referred to the Privacy Officer for investigation and will be handled in accordance with Privacy and Security policies and procedures.
- iii. The assigned investigator will conduct a thorough investigation into the allegation. All investigations are conducted in a fair and impartial manner. Appropriate disciplinary action is taken for founded allegations, in accordance with Company policy. Any matter that is deemed to be potentially unlawful is referred to the CCO (or designee) for advice and guidance.
- iv. Investigation notes, the final determination regarding the allegation, and any corrective actions are documented by the respective investigator and the case is closed in the Hotline database system to provide outcome information for the reporting individual.
- v. The Compliance Department maintains a record of each allegation received via Hotline. The record contains, at a minimum, the following information:
 - 1. Report Date and Number
 - 2. Caller Name (if revealed)
 - 3. Allegation Category
 - 4. Case Status (open/closed)
 - 5. Summary of Allegation
 - 6. Determination and Corrective Action(s)
- h. Monitoring, Reporting, and Record Retention
 - i. The Compliance Department periodically monitors the operations of the Hotline to verify proper functioning. This may include, but is not limited to, annual testing of the Hotline telephone number, assessing the performance of the



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Hotline vendor, and reviewing corrective actions taken in response to Hotline calls or submissions.

- ii. The CCO (or designee) reviews each investigation to monitor the quality and timeliness of the investigation conducted. In the event the CCO (or designee) is not satisfied that a matter was appropriately addressed and resolved, the CCO (or designee) is responsible for and authorized to take the matter to other persons in positions of authority, or to investigate the matter individually or jointly with others as deemed appropriate.
- iii. The CCO reports Compliance Hotline activity to the Compliance Committee on at least a quarterly basis.
- iv. Any matter requiring external reporting to a regulatory, law enforcement, or other agency, will be properly disclosed. The CCO has the responsibility and authority to communicate such an issue to legal counsel (or designee) for proper reporting. The CCO may also bring such an issue to the attention of other senior executives of the Company in cases where it is deemed appropriate to do so. The CCO also has the responsibility and authority to communicate Hotline matters to the Board of Directors.
- v. Documentation to support actions taken in response to Hotline calls or submissions is maintained in the Compliance SIU Department in accordance with the corporate record retention policy and federal and state regulations.
- i. The availability of the Compliance Hotline is communicated, at least annually, to all employees through the Company’s mandatory Compliance training program. New employees are informed of the Hotline during new employee orientation. This Hotline Policy and information about the Hotline are provided as part of the Company’s FDR education program. Additional means of communication may include newsletters, policies, the Intranet, email, employee handbook, bulletin boards, the corporate website(s), educational materials, and any other means deemed appropriate.

V. REGULATORY REFERENCES / CITATIONS

42 CFR §423.505(d) – Record Retention
Centers for Medicare & Medicaid Services’ Medicare Managed Care Manual, Chapter 21



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VI. RELATED POLICIES / PROCEDURES

- Compliance Education and Training
- Compliance Violations Reporting and Investigation
- Referral of Investigations to Regulatory Agencies
- Non-Retaliation

VII. ATTACHMENTS

None

Owners of Sunshine Senior Services:

Jess Frit, Jemel Frit, Robert L. Anderson