



# COMPLIANCE AND INTEGRITY CODE OF CONDUCT

Adopted by CGHC Board of Directors as revised on  
February 21, 2024

Reviews Since Last Adopted: 11/18/2021, 1/26/2023

Adopted Revisions: 6/17/2013, 12/20/2016, 10/27/2020, 2/21/2024

# TABLE OF CONTENTS

TABLE OF CONTENTS .....	2
COMPLIANCE AND INTEGRITY CODE OF CONDUCT OVERVIEW.....	4
PRINCIPLE 1 - LEGAL COMPLIANCE .....	4
STANDARD 1.1 - FRAUD, WASTE AND ABUSE .....	4
STANDARD 1.2 - KICKBACKS .....	5
STANDARD 1.3 - QUALIFIED HEALTH PLAN ISSUANCE.....	5
STANDARD 1.4 - CGHC CONTRACTS .....	5
STANDARD 1.5 - INVESTMENT AND FINANCIAL RELATIONSHIPS .....	5
STANDARD 1.6 - PARTICIPATION IN GOVERNMENTAL PROGRAMS.....	5
STANDARD 1.7 - DEALINGS WITH GOVERNMENTAL AGENCIES.....	5
STANDARD 1.8 - ANTITRUST .....	5
STANDARD 1.9 - LICENSURE .....	6
STANDARD 1.10 - DISCRIMINATION.....	6
STANDARD 1.11 - FINANCIAL REPORTING .....	6
PRINCIPLE 2 - BUSINESS ETHICS.....	6
STANDARD 2.1 - HONEST COMMUNICATION .....	6
STANDARD 2.2 - ACTIVITIES .....	6
PRINCIPLE 3 - PROFESSIONAL ETHICS .....	7
STANDARD 3.1 - PROFESSIONAL RESPONSIBILITY.....	7
STANDARD 3.2 - COMPETITION .....	7
PRINCIPLE 4 - CONFIDENTIALITY.....	7
STANDARD 4.1 - MEMBER INFORMATION.....	7
STANDARD 4.2 - PROPRIETARY INFORMATION .....	7
STANDARD 4.3 - THIRD PARTY CONFIDENTIAL INFORMATION .....	8
STANDARD 4.4 - NON-EMPLOYEE PERSONNEL AND CONTRACTS .....	8
PRINCIPLE 5 - CONFLICTS OF INTEREST .....	8
STANDARD 5.1 - OUTSIDE FINANCIAL INTERESTS AND ACTIVITIES .....	8
STANDARD 5.2 - LIMITATIONS ON PERSONNEL AND CONTRACTOR FINANCIAL INTERESTS AND ACTIVITIES.....	9
PRINCIPLE 6 - BUSINESS AND MEMBER RELATIONSHIPS.....	9
STANDARD 6.1 - GIFTS AND GRATUITIES.....	10
STANDARD 6.2 - CONTRACTS .....	10
STANDARD 6.3 - BUSINESS INDUCEMENTS .....	10
STANDARD 6.4 - MARKETING PRACTICES.....	11
PRINCIPLE 7 - DOCUMENTATION AND REIMBURSEMENT PRACTICES .....	11
STANDARD 7.1 - [RESERVED FOR FUTURE USE].....	11
STANDARD 7.2 - RECORD INTEGRITY.....	11
STANDARD 7.3 - MONITORING .....	11
PRINCIPLE 8 - PERSONNEL AND CONTRACTOR SCREENING .....	11
STANDARD 8.1 - PERSONNEL.....	11

STANDARD 8.2 - VENDORS AND CONTRACTORS .....	12
<b>PRINCIPLE 9 - INVESTIGATION AND RESPONSE .....</b>	<b>12</b>
STANDARD 9.1 - LINES OF COMMUNICATION .....	12
STANDARD 9.2 - REPORTING .....	12
STANDARD 9.3 - PURPOSE AND CONTROL OF INVESTIGATIONS.....	13
STANDARD 9.4 - INVESTIGATIONS .....	13
STANDARD 9.5 - MONITORING.....	14
STANDARD 9.6 - RESOLUTION .....	14
<b>PRINCIPLE 10 - PERSONNEL DISCIPLINE AND EVALUATION.....</b>	<b>14</b>
STANDARD 10.1 - DISCIPLINE.....	14
STANDARD 10.2 - EVALUATION .....	15
<b>PRINCIPLE 11 - VENDOR &amp; CONTRACTOR SANCTIONS AND EVALUATION .....</b>	<b>15</b>
STANDARD 11.1 - SANCTIONS .....	15
STANDARD 11.2 - EVALUATION .....	15
<b>DEFINITIONS.....</b>	<b>15</b>

## COMPLIANCE AND INTEGRITY CODE OF CONDUCT OVERVIEW

The Compliance and Integrity Code of Conduct (“Code of Conduct”), which is part of the Compliance Program, is intended to inform and educate all CGHC directors, committee members, officers, managers, supervisors, and staff members (i.e., “Personnel”) who handle or participate in any of our lines of business, such as our individual and small group commercial products. In addition, the Code of Conduct applies to all Delegated and Downstream Entities (“DDE”) and subcontractors that contract with CGHC to perform a core service.

1. The Compliance and Integrity Code of Conduct consists of 11 Principles articulating the policy of CGHC and Standards that are intended to provide additional guidance to Personnel. Conduct not specifically addressed by the Standards must be consistent with the Principles.
2. CGHC expects all Personnel to abide by the Code of Conduct and to conduct the business and affairs of CGHC in a manner consistent with the Code of Conduct. Failure to abide by the Code of Conduct may result in disciplinary action. In CGHC’s sole discretion, discipline may range from verbal correction to termination.
3. CGHC reserves the right to modify, amend or alter the Code of Conduct without advance notice to any Personnel, Vendors or Contractors. CGHC will make reasonable efforts to timely communicate such changes.

## PRINCIPLE 1 - LEGAL COMPLIANCE

CGHC’s goal is to comply with all applicable Laws and other legal obligations.

CGHC is subject to a wide variety of legal requirements that govern our day to day business. These requirements relate to areas including, but not limited to fair trade and claims practices, licensing, product and rate filings, advertising, financial and other reporting obligations, privacy, and fair employment.

Personnel are required to comply with all applicable Laws, whether or not specifically addressed in these Standards. The following Standards are intended to provide guidance to Personnel to assist them in their obligation to comply with applicable Laws and other legal obligations. The following Standards are neither exclusive nor complete.

### [Standard 1.1 - Fraud, Waste and Abuse](#)

Personnel will refrain from conduct which may constitute fraud, waste and abuse; or violate Laws relating to fraud, waste and abuse. Fraud is defined as an intentional deception, false statement or misrepresentation made by a person with the knowledge that the deception could result in unauthorized benefit to oneself or another person. It includes any act that constitutes fraud under applicable federal or state law. Waste is defined as failure to control costs or regulate payments associated with federal program monies. Abuse is defined as practices that are inconsistent with professional standards of care; medical necessity; or sound fiscal, business, or medical practices. Intent is the key distinction between fraud and waste/abuse. An allegation of waste and abuse can escalate into a fraud investigation if a pattern of intent is determined.

### Standard 1.2 - Kickbacks

Personnel will not offer, give, solicit, or receive payments or gratuities, in cash or in kind, except as is compliant with company policies. This includes, but is not limited to, compensation intended to: induce the referral of Members to CGHC or to any health care provider; induce Members to utilize a particular prescription drug; encourage CGHC to contract with or utilize a particular provider or Vendor.

### Standard 1.3 - Qualified Health Plan Issuance

CGHC will comply in good faith with laws and regulations related to its status as a Qualified Health Plan.

### Standard 1.4 - CGHC Contracts

CGHC will comply in good faith with Laws and other obligations relating to contracts. All CGHC contracts and arrangements involving the expenditure of money will be in writing and will be subject to review and approval as provided in the Compliance policy and procedures (P&Ps).

### Standard 1.5 - Investment and Financial Relationships

Personnel's investments in or financial relationships with Contractors, Vendors, or Sponsors will comply with applicable Laws, the Conflict of Interest provision of the Bylaws, and CGHC Policy and Procedure. Personnel must disclose to CGHC their investments in or financial relationships with Contractors, Vendors or CGHC Insured Employers. Each such relationship will be investigated and resolved under the provisions of the Bylaws and Policy and Procedure. Payment of Board Compensation pursuant to the CGHC Board Compensation Policy shall not constitute a financial relationship, nor shall any approved reimbursement for mileage or other expenses.

### Standard 1.6 - Participation in Governmental Programs

Personnel will not receive any compensation from CGHC or provide any service to Members while Personnel are debarred, excluded, suspended, or otherwise ineligible for participation in any governmental health care program, including without limitation, Qualified Health Plans, Medicaid and Medicare. CGHC will not knowingly do business with, or provide any compensation to, a Contractor or Vendor, or will not knowingly permit a Contractor or Vendor to provide services to Members, if the Contractor or Vendor is debarred, excluded, suspended, or otherwise ineligible for participation in any governmental health care program.

### Standard 1.7 - Dealings with Governmental Agencies

CGHC has dealings with governmental agencies in the normal course of its business. All such dealings with governmental officials and agencies will be conducted in an honest and ethical manner. Any attempt to influence the decision-making process of governmental officials or agencies by an improper offer of any benefit is absolutely prohibited. Any requests or demands by any governmental representative for any improper benefit should be immediately reported to the Compliance Officer (CO).

### Standard 1.8 - Antitrust

Personnel will comply with applicable Laws concerning antitrust and unfair competition. Examples of conduct prohibited by these Laws include: (1) agreements to fix prices, bid rigging, and related activities intended to facilitate these practices; (2) boycotts, certain exclusive dealing and price discrimination

agreements; and (3) unfair trade practices including bribery, misappropriation of trade secrets, deception, intimidation and similar unfair practices.

#### Standard 1.9 - Licensure

Personnel will obtain and continuously maintain all permits, certifications, registrations, and licenses required under applicable Laws for the performance of the management or administrative services they perform for CGHC.

#### Standard 1.10 - Discrimination

Personnel will not unlawfully discriminate against Members on the basis of race, color, national origin, age, disability, sex (including pregnancy, sexual orientation, gender identity, and sex characteristics), or any other classification prohibited by Law.

#### Standard 1.11 - Financial Reporting

All financial reports, accounting records, expense accounts, time sheets, and other documents will accurately and clearly represent the relevant facts or the true nature of a transaction. Improper or fraudulent accounting, documentation or financial reporting is contrary to the policy of CGHC, and may violate applicable Laws or other legal obligations. CGHC shall maintain internal controls to reinforce and verify our own compliance with these policies. Personnel are responsible for accurate recording of transactions by following appropriate procedures and obtaining appropriate management authorization.

## **PRINCIPLE 2 - BUSINESS ETHICS**

CGHC will strive to maintain high standards of business ethics and integrity.

The following Standards are designed to provide guidance to Personnel to ensure that CGHC's business activities reflect high standards of business ethics and integrity.

#### Standard 2.1 - Honest Communication

CGHC expects candor and honesty from Personnel in the performance of their responsibilities and in communications with CGHC attorneys and auditors. Personnel will not make false or misleading statements to each other, any Member, Contractor, or Vendor about CGHC, other Members, Contractors or Vendors. Personnel will not misrepresent CGHC's services or the services of CGHC's competitors.

#### Standard 2.2 - Activities

Personnel will accurately and honestly represent CGHC in dealings with third-persons and will not engage in any activity or scheme intended to defraud anyone of money, property or services.

## PRINCIPLE 3 - PROFESSIONAL ETHICS

Personnel will perform their jobs in accordance with codes and standards of professional conduct and ethics that may be applicable to Personnel, and/or consistent with the Code of Conduct.

### Standard 3.1 - Professional Responsibility

All licensed professionals employed by CGHC will follow the Code of Conduct of their respective disciplines. All Personnel are expected to adhere to the Code of Conduct.

### Standard 3.2 - Competition

It is our responsibility to maintain and enhance CGHC's reputation for honesty and integrity. Therefore, we compete vigorously, but fairly. Every action we take reflects on the reputation of CGHC. We sell our products and services on their merits, not by manipulation, concealment, or disparaging competitors, their products or their services.

## PRINCIPLE 4 - CONFIDENTIALITY

CGHC will strive to maintain the confidentiality of Member and other confidential information in accordance with applicable Laws and ethical standards.

Personnel possess and have access to a broad variety of confidential, sensitive, and proprietary information. The inappropriate disclosure of such information could be injurious to Members, CGHC, and other persons. The following Standards are intended to inform Personnel of their obligation to actively protect and safeguard confidential, sensitive and proprietary information in order to prevent the unauthorized disclosure of information.

CGHC contracts with Vendors or Contractors will include confidentiality provisions consistent with these Standards, as appropriate. If Personnel receive information that they know or suspect was wrongfully obtained, they shall not use or further disclose that information.

All Personnel shall be trained on the legal requirements of HIPAA privacy and security Laws upon hire and annually thereafter. Each Personnel shall sign the CGHC Confidentiality Agreement to reinforce CGHC's commitment to confidentiality.

### Standard 4.1 - Member Information

Personnel will not disclose any confidential information, including Protected Health Information, concerning Members unless disclosure of such information is permitted under CGHC's privacy policies and procedures or is required by Law.

### Standard 4.2 - Proprietary Information

CGHC's business methods, business strategies, business or financial information, mailing lists, policy holder lists, payment and reimbursement information, trade secrets, know-how, inventions, technical data or specifications, testing methods, manuals, research and development activities, product and marketing plans, customer and supplier information, Personnel information, methodology for providing products and services, techniques, strategies, forecasts, information relating to negotiations with

Personnel, Contractors, and Vendors, intellectual property, including patents, trademarks, copyrights and software, and all other information concerning the property, business and affairs of CGHC are valuable and proprietary information and will be kept confidential. Personnel will not disclose any proprietary information to any unauthorized person unless disclosure is permitted under CGHC's confidentiality policies and procedures, under the terms of a CGHC contract, or is required by Law. Personnel and Contractors will exercise care to ensure that proprietary information is carefully maintained and managed to preserve and protect its value.

In performing responsibilities, Personnel may learn of material information about CGHC or other companies before the information is made public. This information is considered to be inside information. Personnel shall not use inside information for financial or other personal benefit or convey this information to others.

#### [Standard 4.3 - Third Party Confidential Information](#)

Personnel will not disclose to any unauthorized person any information which CGHC is legally obligated to keep confidential under a written agreement with a third party.

#### [Standard 4.4 - Non-Employee Personnel and Contracts](#)

Persons who are not employees of CGHC (including, but not limited to Board Members, Committee Members, and other Non-Business Associate Personnel), but who may come into possession of PHI or proprietary information shall read and sign the Common Ground Healthcare Cooperative Confidentiality Agreement. CGHC shall not enter into any contractual agreements that may include the use or disclosure of PHI on behalf of CGHC unless a signed Business Associate Agreement is in place.

## **PRINCIPLE 5 - CONFLICTS OF INTEREST**

Personnel owe a duty of undivided and unqualified loyalty to CGHC. Personnel will not use their positions to profit personally or to assist others or others with whom they have a relationship in profiting without first disclosing any real or potential conflict of interest. The CO shall review the Disclosure forms of all incoming Board Members and annually review those of incumbent Board Members pursuant to the CGHC P&P on required disclosures for board members and key employees.

The following Standards are intended to provide guidance to Personnel so as to avoid actual impropriety or the appearance of impropriety which might arise from the influence of outside activities on business decisions of CGHC, or from disclosure or private use of business affairs or plans of CGHC.

#### [Standard 5.1 - Outside Financial Interests and Activities](#)

Personnel will disclose to CGHC any of the following financial interests or activities of themselves, friends or their Family Members:

1. Ownership in or employment by any health care provider or third party payer. This does not apply to stock or other investments held in a publicly held corporation, provided the value of the stock or other investments does not exceed 5% of the corporation's stock. CGHC may, following a review of the relevant facts, permit ownership interests which exceed this amount if the Board



concludes that such ownership interests will not adversely impact CGHC's business interest or the judgment of the individual;

2. Conduct of any material or substantial business not on behalf of CGHC, with any third-party payer, governmental agency, Contractor, Vendor, any of their directors, officers, employees or agents; or any person to whom or from whom CGHC receives or might receive, directly or indirectly, money or Member or Sponsor referrals. For purposes of the foregoing, business conducted by any Personnel on his or her own behalf which is immaterial need not be disclosed;
3. Representation of CGHC in any transaction in which Personnel, a friend or a Family Member has a substantial personal interest;
4. Membership on the Board of Directors or serving as Trustees of, or an officer or management position with, any Contractor, Vendor or Sponsor;
5. Disclosure or use of proprietary or other confidential, special or inside information of or about CGHC, including, but not limited to, personal profit or advantage of the Personnel, friend or Family Member;
6. Competition with CGHC by Personnel, directly or indirectly, in the purchase, sale, or ownership of property or property rights or interests, or in any business investment opportunity;
7. The performance of work or services for any Sponsor, Contractor, Vendor, or governmental agency.

#### Standard 5.2 - Limitations on Personnel and Contractor Financial Interests and Activities

In its sole discretion, the Board may: (a) request Personnel to terminate or decline to accept a position as a director, trustee, officer, manager, employee, contractor, or agent for or on behalf of any Contractor, Vendor, Sponsor or governmental agency; (b) require Personnel to obtain prior approval before acquiring a financial interest in or engaging in any outside activity for or on behalf of any such persons; (c) impose conditions on Personnel financial interests in or outside activities for or on behalf of any such persons; (d) prohibit Personnel from acquiring a financial interest in or engaging in any outside activity for or on behalf of any such persons; or (e) terminate or modify an agreement with a Contractor if the Contractor acquires a financial interest in or engages in any activity for or on behalf of any such persons.

## **PRINCIPLE 6 - BUSINESS AND MEMBER RELATIONSHIPS**

Personnel will transact CGHC business and provide services for Members without offering, giving, soliciting, or accepting gifts, favors, entertainment or other gratuities of greater than nominal value. Personnel will not offer, solicit, or accept gifts, gratuities, or other improper inducements in exchange for, or as a condition of, influence or assistance in a business transaction or providing services.

The following Standards are intended to guide Personnel in determining the appropriateness of their activities or behaviors within the context of CGHC business and Member relationships. These Standards should be construed broadly to avoid even the appearance of improper activity. These Standards do not

prohibit appropriate and authorized marketing activities on behalf of CGHC by authorized Personnel, Vendors or Contractors. These Standards do not prohibit CGHC from offering or accepting contractual consideration under contracts that comply with CGHC P&Ps. If there is any doubt or concern about whether specific conduct or activities are ethical or otherwise appropriate, Personnel should contact the CO.

### Standard 6.1 - Gifts and Gratuities

**6.1.1 Gifts to and from Members.** Personnel will not offer or give Members or Members' Family Members monetary gifts or other gratuities. Personnel will not solicit or accept monetary gifts or other gratuities from Members or Members' Family Members. Personnel may offer, give or accept a non-monetary gift of nominal value (as defined in the CGHC P&P) to or from a Member or a Member's Family Member, if in compliance with applicable Laws, standards of care, and ethical obligations, that is for a proper business purpose.

**6.1.2 Gifts Influencing Decision-Making.** Personnel will not accept gifts, favors, services, entertainment or other things of value to the extent that decision-making or actions affecting CGHC might be influenced. Personnel will not offer or give money, services or other things of value with the expectation of influencing the judgment or decision making process of any Member, Contractor, Vendor, or government official or agency.

**6.1.3 Gifts to or from Contractors or Vendors.** Personnel will not offer, give or accept money, gratuities or gifts to or from Contractors or Vendors, except gifts, meals or entertainment of nominal value. Personnel will not solicit money, gifts or gratuities from Contractors or Vendors. To the extent possible, gifts of nominal value from Contractors or Vendors should be shared with co-workers.

**6.1.4 Workshops, seminars and training sessions.** Attendance at local workshops, seminars and training sessions sponsored by Contractors or Vendors is permitted in accordance with guidelines set forth in the CGHC P&P. Attendance at Contractor or Vendor expense, at out-of-town seminars, workshops or training sessions is permitted only with the prior approval of their leader, with optional consultation with the CO, and in accordance with guidelines set forth in the CGHC P&P.

### Standard 6.2 - Contracts

Personnel will conduct all business relations with Contractors and Vendors at arm's length both in fact and in appearance and in compliance with CGHC P&Ps and applicable Laws. Personnel will disclose personal relationships and business activities with Contractors or Vendors which may be construed by an impartial observer as influencing Personnel's performance or duties.

### Standard 6.3 - Business Inducements

Personnel will not seek to gain any advantage through the improper use of payments, business or professional courtesies or other inducements. Offering, giving, soliciting or receiving any form of bribe or other improper payment is prohibited. Appropriate commissions, rebates, discounts and allowances by or on behalf of CGHC are customary and acceptable business inducements provided that they are approved in advance by the CO and are not illegal or unethical payments.

### Standard 6.4 - Marketing Practices

CGHC will market its services on the basis of quality and cost-effectiveness in accordance with CGHC's approved marketing policies and procedures that comply with applicable Laws and Sponsor Contracts. Personnel will not engage in marketing activities prohibited under CGHC's marketing policies and procedures.

## **PRINCIPLE 7 - DOCUMENTATION AND REIMBURSEMENT PRACTICES**

CGHC will strive to ensure that its services and the services provided by Vendors and Contractors are fully documented and that all claims and other submissions for reimbursement for services rendered by CGHC or by any Contractor comply with applicable Laws, Sponsor Contracts, and other third-party payer requirements.

### Standard 7.1 - [Reserved for Future Use]

### Standard 7.2 - Record Integrity

Personnel will retain records in compliance with CGHC P&Ps. Personnel shall not destroy or alter Member or business records, or permit to be altered or destroyed, and will not copy or remove such records from CGHC's offices, or permit to be copied or removed, except in accordance with CGHC P&Ps.

### Standard 7.3 - Monitoring

CGHC will monitor documentation and data in a manner which will enable CGHC to promptly identify deficiencies in process which may result in inaccurate claims and/or billings. CGHC will conduct monitoring activities in accordance with the procedures contained in the applicable monitoring tool or protocol identified in the CGHC P&P. CGHC will devote such resources as are reasonably necessary to ensure that monitoring activities are adequately staffed by individuals with appropriate knowledge and experience to conduct the activities. CGHC will ensure that monitoring tools and protocols are periodically updated to reflect changes in applicable Laws and third-party payer requirements.

## **PRINCIPLE 8 - PERSONNEL AND CONTRACTOR SCREENING**

It is the policy of CGHC to make reasonable inquiry into the background of all Personnel. It is also the policy of CGHC to make reasonable inquiry into the background of Vendors or Contractors, including those who render medical services or whose activities may materially impact financial accounting or reporting, the claims/billing development and submission process, or CGHC's relationship with Sponsors or government agencies.

### Standard 8.1 - Personnel

Personnel will be screened to determine whether they have been (a) convicted of a felony or any criminal offense related to health care; or (b) listed by a federal or state agency as debarred, excluded, suspended or otherwise ineligible for federal or state health program participation.

## Standard 8.2 - Vendors and Contractors

CGHC will not knowingly contract with a Vendor or Contractor who has been (a) convicted of a felony or any criminal offense related to healthcare (unless such Vendor or Contractor has implemented a compliance program as part of an agreement with the federal or state government); (b) listed by a federal or state agency as debarred, excluded, suspended, or otherwise ineligible for federal or state program participation; or (c) otherwise sanctioned by a court or governmental agency under the Medicare, Medicaid, or other federal or state health care program (unless such provider has implemented a compliance program as part of an agreement with the federal government).

## **PRINCIPLE 9 - INVESTIGATION AND RESPONSE**

It is CGHC's policy to respond promptly and appropriately to: (a) reports by Personnel or others that Personnel are engaging in activity which may violate or be contrary to applicable Laws or other third-party payer requirements, or CGHC's Compliance Program; (b) reports by Personnel or others that Members or Contractors are engaging in activities that may violate fraud, waste and abuse Laws; and (c) respond promptly and appropriately to problems or concerns which are discovered in the course of monitoring activities to ensure timely, consistent and effective enforcement of the defined standards when non-compliance or unethical behavior occurs.

### Standard 9.1 - Lines of Communication

CGHC is committed to creating and maintaining open lines of communication between the CO, the internal Compliance Committee (CC), the Board Compliance and Integrity Committee (CIC), Personnel, Providers, Members, Contractors, and Vendors. CGHC will provide independent reporting paths for Personnel, Providers, Members, Contractors, and Vendors to report fraud, waste and abuse (FWA), potential compliance issues, or other potential misconduct as they are identified. Reporting paths will allow for anonymity and confidential good faith reporting and may include a one-on-one meeting, telephone hotline, email, or another form of written correspondence.

CGHC will provide channels to maintain open lines of communication for all Personnel, Providers, Members, Contractors, and Vendors, as required. CGHC may use phones, the website, written memoranda, electronic newsletters, posters, bulletin boards, or other forms of information exchange to maintain open lines of communication.

### Standard 9.2 - Reporting

All CGHC P&Ps are made available to all Personnel, including confidentiality and non-retaliation policies to encourage reporting of potential incidents of FWA, non-compliant or unethical behavior, safety, confidentiality, and quality of care issues. The CGHC P&P clarifies when and how a suspected violation of non-compliance or unethical behavior should be reported. It is the responsibility of all Personnel, Providers, Members, Contractors, Vendors, and other plan stakeholders to report any incident of non-compliance, any potential or actual FWA, and any violation of CGHC's Compliance Program, other third-party payer requirements and/or applicable Laws to CGHC for evaluation.

The methods available for reporting compliance or FWA concerns, and the non-retaliation policy, are publicized throughout the company both internally and externally for awareness. CGHC's reporting mechanisms for parties to refer suspicious activity include the following:

- i. Confidential Compliance Hotline (supports anonymous reporting): Phone (855) 358-3898
- ii. Email: [CommonGroundHealthcare@GetInTouch.com](mailto:CommonGroundHealthcare@GetInTouch.com)
- iii. Web Form: [www.lighthouse-services.com/commongroundhealthcare](http://www.lighthouse-services.com/commongroundhealthcare)
- iv. Email to the Legal & Compliance Department: [BeEthical@CommonGroundHealthcare.org](mailto:BeEthical@CommonGroundHealthcare.org)
- v. In person to Plan FWA Investigator, Compliance Officer and/or Chief Compliance Officer
- vi. Via Mail:

Common Ground Healthcare Cooperative  
Attention: Compliance Department  
PO Box 1630, Brookfield, WI 53008-1630

Reporting mechanisms are provided to plan stakeholders for use in reporting such as through CGHC's COC, policies, manuals, posters, intranet, and internet sites, etc.

Members, health care providers, and Contractors are also instructed of the need to report noncompliance and FWA to CGHC and how to report to CGHC. CGHC, at the request of the reporting person, will provide such anonymity to the reporting person as is possible under the circumstances in the judgment of CGHC, consistent with its obligations to investigate the concerns and take necessary corrective action. CGHC has adopted, publicized, and enforces a no-tolerance policy for intimidation, retaliation, or retribution against any party who in good faith reports suspected FWA or non-compliance. CGHC will not retaliate against any reporters for good faith reporting of a suspected violation. CGHC's reporting system is described in the CGHC P&P. CGHC ensure the availability and accessibility of the CO.

### Standard 9.3 - Purpose and Control of Investigations

The purpose of an investigation will be to: (a) identify those situations in which the Compliance Program or other third-party payer requirements, or applicable Laws may not have been followed; (b) identify individuals who may have knowingly or inadvertently engaged in non-compliant or unethical behavior; (c) facilitate the correction of any non-compliant practices; and (d) implement those procedures necessary to ensure future compliance; Legal counsel will be engaged as approved by the CO, CEO or Board of Directors to direct the investigation of the alleged problem or incident. Legal counsel may engage persons with knowledge of the applicable requirements or standards that relate to the specific problem in question, as approved by the CO, CEO or Board of Directors.

### Standard 9.4 - Investigations

An investigation will be conducted in accordance with the steps set forth in the CGHC P&P upon receipt of a report or other information, including a monitoring result, which suggests conduct in violation of the Compliance Program or other third-party payer requirements, or applicable Laws.

### Standard 9.5 - Monitoring

CGHC shall routinely perform monitoring activities pursuant to CGHC P&Ps, to identify compliance risks, detect and eliminate non-compliant activity, including fraud, waste, and abuse, eliminate unethical behavior, and ensure HIPAA privacy and security requirements are met. Routine monitoring will include a process of ongoing evaluation, including regular, periodic compliance audits by internal or external evaluators with the necessary expertise in federal and state requirements. Auditing will be designed to identify problem areas and resolve them.

### Standard 9.6 - Resolution

If CGHC finds what appears to be criminal or other improper activity on the part of any Personnel, Vendor or Contractor, CGHC will undertake reasonable and appropriate steps to promptly resolve the problem. Such steps may include, but not be limited to, initiating an appropriate corrective action plan, taking disciplinary action against the individual or individuals whose conduct violates the Compliance Program or other third-party payer requirements, or applicable Laws, notification of government agencies, and requiring repayment of improper payments.

## **PRINCIPLE 10 - PERSONNEL DISCIPLINE AND EVALUATION**

It is CGHC's policy to discipline any Personnel who willfully or negligently fails to comply with the Compliance Program other third-party payer requirements, or applicable Laws. It is further CGHC's policy to evaluate Personnel based in part on their efforts to ensure CGHC's compliance with the Compliance Program or other third-party payer requirements, and applicable Laws. Notwithstanding any of the principles, standards, or policies adopted as part of the Compliance Program, any employment relationship is terminable at the will of either CGHC or the Personnel, at any time, for any reason or no reason, without advance notice.

### Standard 10.1 - Discipline

Personnel may be subject to discipline for failing to participate in compliance efforts, including, but not limited to:

1. Failing to perform any obligation required of the Personnel relating to the Compliance Program or other third-party payer requirements, or applicable Laws;
2. Failing to report to CGHC suspected violations of the Compliance Program or other third-party payer requirements, or applicable Laws; or
3. Failing to implement and/or follow policies and procedures reasonably necessary to ensure compliance with the Compliance Program or other third-party payer requirements, or applicable Laws.

These examples are not comprehensive or exclusive. The decision as to what action or inactions constitute a failure to comply with the Compliance Program or other third-party payer requirements, or applicable Law, and the decision as to appropriate discipline are at the sole discretion of CGHC.

### Standard 10.2 - Evaluation

Personnel will be evaluated based, in part, on their compliance performance. CGHC will take appropriate action in response to evaluations.

## **PRINCIPLE 11 - VENDOR & CONTRACTOR SANCTIONS AND EVALUATION**

It is CGHC's policy to impose corrective action measures or sanctions against any Vendor or Contractor who willfully or negligently fails to comply with applicable Laws or other third-party payer requirements. It is further CGHC's policy to evaluate Vendors and Contractors based in part on their efforts to ensure compliance with applicable Laws or other third-party payer requirements.

### Standard 11.1 - Sanctions

The Board, CIC, CC, CO, or their designee, will impose corrective actions or sanctions against noncompliant Vendors or Contractors. Corrective actions or sanctions may include, but are not limited to, financial penalties, mandated training relative to compliance issues, and termination of their Contractual Agreement. CGHC's contracts will include provisions regarding corrective actions or sanctions for Vendor or Contractor non-compliance.

### Standard 11.2 - Evaluation

Vendors and Contractors will be evaluated based, in part, on their compliance performance. CGHC will take appropriate action in response to evaluations.

## **DEFINITIONS**

Definitions provided in the Compliance Program document also apply to this Code of Conduct unless the context clearly indicates otherwise.