

<b>POLICY/PROCEDURE TITLE</b>	Incident Response Plan and Corrective Action Plan Policy
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<b>DEPARTMENT</b>	Corporate Compliance Department
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### **I. PURPOSE:**

ReachOut Healthcare America, LTD d/b/a Smile America Partners (hereinafter “Smile America Partners”) takes seriously its obligation to maintain the effective functioning of its business. Identifying and responding to known or suspected incidents of non-compliance is an important part of its effective business practice. This policy provides a consistent framework for implementing and tracking Corrective Action Plans. Corrective Action Plans are a tool that guides Smile America Partners employees in responding to and investigating detected offenses of federal, state, and local laws and regulations as they apply to the operations of the company, as well as Smile America Partners standards of conduct.

### **II. SCOPE:**

This policy applies to all incidents reported to the Smile America Partners Chief Compliance Officer or Corporate Compliance Department.

### **III. POLICY:**

All reports received through the Corporate Compliance Hotline or through any other monitoring mechanism will be initially screened by the Chief Compliance Officer. If the initial assessment indicates that there is a basis for believing that the conduct reported constitutes non-compliance with the Smile America Partners Code of Conduct, applicable state or federal law or other Smile America Partners policies, the matter will be fully investigated. When the investigation is complete, corrective action will be taken. Violations of federal, state, or local law will be reported to the appropriate governmental authorities, as required by law, and in accordance with this policy.

### **IV. PROCEDURE:**

#### Incident:

1. The Chief Compliance Officer and members of the corporate compliance department, as assigned, are responsible for directing compliance investigations. Outside counsel, auditors, or health care experts may be engaged to assist in an investigation. Advice from outside law firms may be sought to determine the extent of Smile America Partners’ liability.

2. If the alleged violation is suspected to be a felony or if criminal conduct may have occurred, outside counsel will be retained to conduct the investigation. Attorney-client privilege will apply. Outside counsel will meet with the Chief Compliance Officer and/or other Smile America Partners management prior to the investigation to determine: steps of the investigation, time frame for the investigation, and provision of periodic updates. Outside counsel will provide the final privileged report to the Chief Compliance Officer and Chief Executive Officer, who will share the information with the Board of Directors, if there is a verification of a felony.
3. In most instances, investigations will be commenced within five (5) office days following the receipt of a report, information, or complaint regarding potential non-compliance which requires investigation.
4. If reported conduct constitutes non-compliance with the Code of Conduct, applicable state or federal law or other Smile America Partners policy, the Board of Directors will be notified of the nature of the complaint as soon as reasonably possible.
5. The destruction of documents or other evidence related to the investigation is prohibited. The Chief Compliance Officer will take all reasonable and appropriate steps to prevent the destruction of evidence.
6. Persons involved in or having knowledge of the potential non-compliance will be interviewed. A review will be made of the statutes, regulations, and policies involved.
7. During investigations of any person for a violation, such person may be temporarily relieved of job responsibilities related to the alleged violation. When the investigation is complete, the employee will either be returned to work, terminated, or be subject to other disciplinary action, such as a suspension, in accordance with the results of the investigation.
8. All individuals and/or entities named in a report of potential non-compliance are subject to additional review for exclusion status from Medicaid.
9. Records of the investigation will include the following information: contact form (see Appendix A), documentation of the alleged violation (see Appendix B, Incident Reporting Intake Form), a description of the investigative process, copies of interview notes, copies of key documents, a log of the witnesses interviewed, a log of the documents reviewed, the results of the investigation, disciplinary action taken, and corrective action implemented.
10. All Smile America Partners personnel (including officers, directors, managers, employees, field staff and other professionals performing services for the company) will be subject to disciplinary action for failure to comply with ethical standards or legal requirements. Any violation of law or Smile America Partners policy or procedures related to the Code of Conduct will result in appropriate sanctions as outlined in the Discipline Policy (see HR-101 Discipline Policy).
11. A summary report of non-compliant conduct will be provided to the CEO and PC owner. The report will be prepared by the Chief Compliance Officer. This report will include: the initial report or complaint, the results of the investigation, recommended corrective actions, reports made to governmental agencies, and recommended disciplinary action. The Board of Directors will be provided with the summary report as a part of their regular Corporate Compliance Report.

Corrective Action:

1. Corrective action is determined based upon the findings of the incident investigation. Corrective action may include: referral to criminal and/or civil law enforcement authorities having jurisdiction over such matter, report to the Government, submission of any overpayments (if applicable), appropriate education or training, and/or appropriate disciplinary action.
2. Incident Reporting Forms and Corrective Action Plans are logged and tracked; the Corporate Compliance Department monitors Incident Reporting Forms and Corrective Action Plans for risk assessment, monitoring and control and program improvement purposes.

Reporting:

The Chief Compliance Officer, in collaboration with the dental PC, outside counsel and the Corporate Compliance Committee, or a subsection of the Corporate Compliance Committee, as appropriate to the matter, will review the facts of the incident and determine any reporting necessary pursuant to application laws and regulations or as otherwise deemed appropriate.

## Appendix A

### Internal Smile America Partners Contacts

Area/Office	Name	Email	Office Phone	Mobile Phone
Compliance				
Human Resources				
Information Technology				
Finance				
Credentialing				

### External Contacts for Third Parties

Role	Name	Email	Office Phone	Mobile Phone
Outside Counsel				
Outside Counsel				
Outside HR				

## Appendix B

### Smile America Partners Incident Reporting Intake Form

When reporting an incident, Smile America Partners (“SAP”) will use this form to collect and record the initial pertinent data to the extent applicable and/or available.

Contact Information of Person Making Report (Name, Phone, Email)	
	Name:
	Phone (direct and mobile):
	Email
Description of the Incident (include timeline and identification details)	
SAP Employee Handling the Incident (Name, Phone, Email)	
Outside Consultant	
Number of Patients Impacted	
State(s) Where Incident Occurred	
PC Entity Affected (if any)	