

| | | |
|---------------------------------------|------------------------|------------------|
| Policy/Procedures | POLICY NO: | UOP ACO-COMP-003 |
| REPORTING OF COMPLIANCE ISSUES | SECTION/OWNER: | CCO |
| | EFFECTIVE DATE: | 01/01/2017 |
| | DATE TO QIC: | 01/15/2017 |
| | DATE TO BOARD: | 01/31/2017 |

1.0 PURPOSE

To provide a detailed process by which UOP ACO employees, directors and contractors can report issues of potential non-compliance to the appropriate internal department for review and investigation.

2.0 ACRONYMS

| ACRONYM | DESCRIPTION |
|---------|-------------------------------|
| UOP | Untied Outstanding Physicians |
| ACO | Accountable Care Organization |
| CCO | Chief Compliance Officer |

DEFINITIONS

| TERM | DEFINITION |
|------|---|
| ACO | A healthcare organization that ties payments to quality metrics and the cost of care. ACOs in the USA are formed from a group of coordinated health care providers. |
| | |

3.0 ACCOUNTABLE

Chief Compliance Officer, Chief Executive Officer, Executive Director, Chief Operating Officer, Chairman of the Board, Board Members.

4.0 POLICY

UOP ACO employees are required to report any potential compliance concerns internally to the UOP ACO Compliance Officer for investigation and follow-up. UOP ACO provides anonymity when requested and confidentiality of all reported cases or potential or suspected non-compliance. UOP ACO does not retaliate, discriminate against, threaten or coerce any UOP ACO employee, director, or contractor who reports a case of potential or suspected non-compliance. UOP ACO promotes and maintains an “open-door policy” at all levels of

management to foster a work environment that enables UOP ACO employees to report potential or suspected compliance concerns without fear of retaliation.

5.0 PROCEDURE

Reporting Process—UOP ACO Employees

- 5.1 The UOP ACO Compliance Department informs the employees of the channels of communications available to report any potential or suspected non-compliant activity. The UOP ACO Compliance Department promotes awareness of the channels of communication through the following methods:
 - 5.2 Annual compliance training
 - 5.3 Distribution of the UOP ACO Compliance Plan via the UOP ACO Website;
 - 5.4 Emails to UOP ACO employees;
 - 5.5 Compliance pieces in the employee newsletter
- 5.6 All UOP ACO employees including management and directors are required to report any potential issues of UOP ACO non-compliance or fraud, waste or abuse to the UOP ACO Compliance Officer, within ten (10) days of discovery of the potential compliance issue.
- 5.7 In the event that the compliance issue has the potential for harm to UOP ACO patients, the issue must be reported within one (1) working day of discovery.
- 5.8 UOP ACO employees are educated about UOP ACO requirements through annual UOP ACO training, which is provided for each department
- 5.9 UOP ACO employees may report issues of potential noncompliance through any of the following channels, though it is recommended to report compliance issues to the UOP ACO Compliance Officer:
 - i. Their immediate supervisor or manager
 - ii. The Human Resources Department
 - iii. The UOP ACO Compliance Officer (via telephone, email, or in person)
 - iv. The UOP ACO Compliance Hotline: email: compliance@UOP ACO aco.com
Ph. 866-665-4626; Fax 877-665-4620
- 5.10 UOP ACO employees who report potential or suspected compliance concerns in good faith are not subject to UOP ACO disciplinary action based on the act of reporting the compliance concern, unless the UOP ACO Compliance Officer determines that the employee was involved in wrongdoing, or knowingly reported false information.

6.0 CONFIDENTIALITY & ANONYMITY

- 6.1 The confidentiality of UOP ACO employees who report compliance concerns, as well as those who are the subject of the allegation, is protected by the UOP ACO Compliance Officer and any other UOP ACO staff that is assigned to investigate and/or follow up on the compliance concern.
- 6.2 Any documentation related to the reporting and investigation of the compliance concern is kept in a locked, confidential file for a minimum of ten (10) years.
- 6.3 If the UOP ACO employee or director wishes to provide an anonymous report of a compliance concern, they may submit the concern through the UOP ACO Compliance

hotline, without leaving their name or other identifying information. They may also report the compliance concern through the other methods described above, requesting that the receiving party maintains their anonymity.

- 6.4** The UOP ACO Compliance Officer informs the employee that, as the investigation progresses, if CMS, the OIG or other government authorities become involved, they may ask to speak with him/her and his/her identity may become known as part of the investigation.

7.0 NON-RETALIATION

- 7.1** Neither the UOP ACO Compliance Officer, nor any other UOP ACO employee involved in the receipt, investigation, and/or follow up of a compliance concern, will intimidate, threaten, coerce, discriminate against, or take any other retaliatory action against any UOP ACO employee or director who reports a compliance concern.
- 7.2** The UOP ACO Compliance Office informs any employee who reports potential or suspected compliance concerns that he/she should report any retaliation to the UOP ACO Compliance Officer immediately if he/she becomes aware of any such action.
- 7.3** Any UOP ACO employee who retaliates against another UOP ACO employee who reports a compliance concerns or who refuses to participate in a violation of law, regulations, or policy, is subject to UOP ACO disciplinary policy, up to and including termination.

8.0 REPORTING PROCESS-CONTRACTORS(FIRST-TIER, DOWNSTREAM, & RELATED ENTITIES)

- 8.1** UOP ACO educates contractors of the requirement to report any cases of potential or suspected non-compliance to UOP ACO.
- 8.2** UOP ACO Compliance training is provided annually to contractor staff. The UOP ACO Compliance training includes a section on reporting potential or suspected instances of non-compliance.
- 8.3** If the contractor wishes to use its own internal Compliance training, it must be submitted to the UOP ACO Compliance Department for approval prior to use.
- 8.4** If the contractor's internal training does not indicate the requirement to report instances of potential or suspected non-compliance to UOP ACO, the UOP ACO Compliance Department provides supplemental training materials about this requirement to be used in conjunction with the contractor's internal training materials.
- 8.5** UOP ACO contractors are required to report any potential issues of UOP ACO non-compliance or fraud, waste or abuse to the UOP ACO Compliance Officer, within ten (10) days of discovery of the potential compliance issue.
- 8.6** In the event that the compliance issue has the potential for harm to UOP ACO patients, the issue must be reported within one (1) working day of discovery.
- 8.7** UOP ACO contractors may report issues of potential noncompliance through any of the following channels, though it is recommended to report compliance issues to the UOP ACO Compliance Officer or through the Compliance Hotline:

Their immediate supervisor or manager
The Human Resources Department
The UOP ACO Compliance Officer (via telephone, email, or in person)
The UOP ACO Compliance Hotline: email: compliance@UOP ACO aco.com

Ph. 866-665-4626; Fax 877-665-4620

- 8.8** If the UOP ACO Compliance Officer determines that the contractor, including any of its employees, was involved in wrongdoing or knowingly reported false information, UOP ACO may take disciplinary action against the contractor, up to and including contract termination.

9.0 CONFIDENTIALITY & ANONYMITY

- 9.1** The confidentiality of UOP ACO contractors or their employees who report compliance concerns, as well as those who are the subject of the allegation, is protected by the UOP ACO Compliance Officer and any other UOP ACO staff that is assigned to investigate and/or follow up on the compliance concern.
- 9.2** Any documentation related to the reporting and investigation of the compliance concern is kept in a locked, confidential file for a minimum of ten (10) years.
- 9.3** If staff at a UOP ACO contractor wishes to provide an anonymous report of a compliance concern, they may submit the concern through the UOP ACO Compliance hotline, without leaving their name or other identifying information. They may also report the compliance concern through the other methods described above, requesting that the receiving party maintains their anonymity.
- 9.4** The UOP ACO Compliance Officer informs the contractor that, as the investigation progresses, if CMS, the OIG or other government authorities become involved, they may ask to speak with the contractor's employee who reported the noncompliant activity and that individual's identity may become known as part of the investigation.

10. NON-RETALIATION

- 10.1 Neither the UOP ACO Compliance Officer, nor any other UOP ACO employee involved in the receipt, investigation, and/or follow up of a compliance concern, will intimidate, threaten, coerce, discriminate against, or take any other retaliatory action against any UOP ACO contractor who reports a compliance concern.
- 10.2 The UOP ACO Compliance Office informs any contractor who reports potential or suspected compliance concerns that he/she should report any retaliation to the UOP ACO Compliance Officer immediately if he/she becomes aware of any such action.
- 10.3 Any UOP ACO employee who retaliates against a UOP ACO contractor who reports a compliance concerns or who refuses to participate in a violation of law, regulations, or policy, is subject to UOP ACO's disciplinary policy, up to and including termination.

REFERENCES

CMS: https://www.cms.gov/Medicare/Medicare-Fee-for-Service-Payment/sharedsavingsprogram/Quality_Measures_Standards.html

DOCUMENT HISTORY (examples)

| DATE | DESCRIPTION OF CHANGE | Accountable |
|------------|-----------------------|--|
| 01/01/2017 | Original document | AC Director of Clinical Outcomes & Improvement |
| | | |

