



University of Florida, Pediatric Integrated Care System

Compliance Program

Policy: Responsibilities for Reporting Suspected Misconduct **Number:** CD-0008

Programs: Title XIX and Title XXI

Effective Date: Title XIX January 24, 2008

Title XXI August 1, 2013

(Revisions are effective 45 days after AHCA approval for Title XIX and after CMS approval for Title XXI.)

Approved by:

Title	Name	Signature	Ped-I-Care Approved	CMS Approved	AHCA Approved
Compliance Officer	Mark Hudak, M.D.	<i>Mark J. Hudak M.D.</i>	1/30/2008, 9/2/2008, 8/30/2010, 9/24/2012, 9/6/2013, 3/17/2016	3/2/2011	3/2/2011
Revised	1/8/2009, 7/7/2010, 8/2/2010, 8/9/2011, 11/22/2012, 8/8/2013, 3/11/2016				

Responsible Party: Compliance Director, Compliance Department, CMS/Ped-I-Care Departments, Organizational Administration, and all employees

Purpose

Ped-I-Care’s Program Integrity Compliance Plan has established a process to encourage its employees to report their compliance concerns and issues. Reporting of possible nonconformity is considered by the organization to be critical. Noncompliance with rules, regulations, and laws (which have been set forth by State of Florida Medicaid Office of Program Integrity [MPI] governing agents, CMS, and internal policies) may have an undesired effect upon the Plan’s day-to-day operations as well as the quality of services being rendered to members.

Policy

All Ped-I-Care employees are obligated to report in good faith any suspected, actual, or potential violations of governing rules, regulations, laws, policies, and/or the UF Code of Conduct, including healthcare fraud and abuse.

Procedures

1. Employee Responsibilities

- a. Employees shall immediately report knowledge of suspected, actual, or potential violations to:
 - (1) Their manager/director or other management staff within the employees' chain of command. In the event that the employee is uncomfortable reporting to his/her supervisor, or if the employee has already reported and believes his/her concerns have not been adequately addressed, the employee should initiate one of the following options:
 - i. Call the Chief Compliance Officer, Compliance Director, or Compliance Department staff.
 - ii. Email the Chief Compliance Officer, Compliance Director, or Compliance Department staff.
 - iii. Call the Ped-I-Care Fraud and Abuse Hotline, 866-787-4557, 24 hours a day/7 days a week. Messages are left in a confidential voice mail.
 - iv. Submit a written report to the Compliance Department including a description of the violation, dates, names, facilities, and/or departments.
- b. Any employee who wishes to remain anonymous may utilize the Ped-I-Care Fraud and Abuse Hotline (866-787-4557) for reporting. Reports which are received via any of the above options are handled as confidentially, expediently, and practically as allowable by law.
- c. No employee is subject to retaliation, retribution, or harassment for reports made in good faith.
- d. Employees, providers, and members may also contact an outside agency such as AHCA's Reporting Hotline at 888-419-3456, the OIG Reporting Hotline at 800-447-8477, and/or the Florida Attorney General's Hotline for Reporting Medicaid Fraud at 866-966-7226.

2. Management Responsibilities

- a. Ped-I-Care managers/directors take appropriate measures to support reporting employees. Management ensures that employees understand that they:
 - (1) Have an obligation to raise compliance concerns and issues to the appropriate parties;
 - (2) May seek clarification and guidance on compliance related issues from management and/or the Compliance Department staff; and
 - (3) May report compliance related issues without fear of retaliation, retribution, or harassment.
- b. Ped-I-Care management:
 - (1) Maintains an “open door” policy to support and encourage employee reporting of compliance-related/potential misconduct issues and concerns;
 - (2) Ensures that reports of actual or potential violations are handled as expeditiously, confidentially, and practically as possible;
 - (3) Takes issues which cannot be resolved at their level of management, to a higher level of management for investigation and resolution; and
 - (4) Places a high priority on issues which have been referred to them by the Compliance Department.

3. Compliance Department Responsibilities

- a. The Ped-I-Care Compliance Department implemented and publicizes a reporting process which encourages employees to report compliance-related/potential misconduct via:
 - (1) A manager/director, or other management staff within their chain of command;
 - (2) The Compliance Officer;
 - (3) Email to the Compliance Officer, Compliance Director, or Compliance Department staff;
 - (4) The Ped-I-Care Fraud and Abuse Hotline 866-787-4557; and/or
 - (5) Written report.
- b. Furthermore, Ped-I-Care’s Compliance Department:
 - (1) Maintains a system to document, track, and trend reports;
 - (2) Coordinates prompt reviews and investigations of all reports;

- (3) Ensures follow-up of compliance misconduct resolutions;
- (4) Documents all actions; and
- (5) Reports directly to Ped-I-Care's Compliance Committee on a regular basis regarding compliance reporting activities.

For additional information or clarification for any remaining questions, contact the Compliance Officer at his or her number/email address or other designated Compliance personnel.

References

Accreditation Association for Ambulatory Health Care, Inc. *Accreditation Guidebook for Managed Care Organizations*, Chapters 2 and 3, (2004)

Agency for Health Care Administration, *Interpretive Guidelines*, (July 2004), 59A-12.004(1)(a), F.A.C.

Center of Medicaid and Medicare Services Managed Care Manual, Chapter 11; 20.2 and 120, (December 2004, March 2002 respectively)

Health Care Compliance Association, *Evaluating and Improving A Compliance Program*, (April 2003)

Office of Inspector General's *Model Compliance Program for Medicare+Choice Organizations*, (November 1999)