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- Layoff or termination;
 - Facilities of all types; and
 - All other terms, conditions, and privileges of employment.

10 This policy reflects a firm commitment by UCP to comply with the letter and spirit of all local, state, and federal laws prohibiting discrimination in employment. All Supervisors and employees are responsible for maintaining strict compliance with UCP's *Equal Employment Opportunity Policy*.

15 UCP will make reasonable accommodations to an employee's or applicant's religious beliefs or practices as required by law, so long as the accommodation does not present an undue hardship.

FEDERAL FALSE CLAIMS ACT

Policy Statement

20 Under the Deficit Reduction Act of 2005, UCP must make its employees aware of the Federal False Claims Act, and the rights of employees as whistleblowers, and the policies for detecting and preventing fraud, waste, and abuse. A report of Medicaid fraud, waste, or abuse can be reported by telephone, face to face, email, or a written note. Any person reporting suspected Medicaid fraud, waste, or abuse will be protected from retaliation.

Purpose

25 The purpose of this policy is to meet the requirements of the Federal False Claims Act by encouraging and enabling employees and others to raise serious concerns internally so that UCP can address and correct inappropriate conduct and actions.

Procedures

Definitions

30 The *False Claim Act* is a federal law that makes it a crime for any person or organization to knowingly make a false record or file a false claim regarding any federal health care program which is funded directly, in whole or in part, by the United States Government or any state healthcare system.

The Office of the Inspector General defines *fraud, waste, and abuse* as follows:

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- Fraud is defined as the wrongful or criminal deception intended to result in financial or personal gain. Fraud includes false representation of fact, making false statements, or by concealment of information.
 - Waste is defined as the thoughtless or careless expenditure, mismanagement, or abuse of resources to the detriment (or potential detriment) of the U.S. government. Waste also includes incurring unnecessary costs resulting from inefficient or ineffective practices, systems, or controls.
 - 40 • Abuse is defined as excessive or improper use of a thing, or to use something in a manner contrary to the natural or legal rules for its use. Abuse can occur in financial or non-financial settings.

Examples of Fraud, Waste, and Abuse

The following examples of fraud, waste, and abuse represent opportunities for reporting:

45 *Falsifying Claims/Encounters*

- Billing for services not rendered

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- 5 • Billing separately for services in lieu of an available combination code
- Misrepresentation of the service/supplies rendered (upcoding to more expensive service than was rendered, billing for more time or units of service than provided)
- Altering claims
- Submission of any false data on claims, such as date of service, provider, or prescriber of service
- 10 • Duplicate billing for the same service
- Billing for services provided by unlicensed or unqualified persons

Administrative/Financial

- Falsifying credentials
- Fraudulent enrollment practices
- 15 • Fraudulent third-party liability reporting
- Offering free services in exchange for a recipient's Medical Assistance identification number
- Providing unnecessary services/overutilization
- Kickbacks-accepting or making payments for referrals
- Concealing ownership of related companies

20 *Recipient Fraud and Abuse*

- Forging or altering prescriptions or orders
- Using multiple ID cards
- Loaning his/her ID card
- Reselling items received through the Medical Assistance program
- 25 • Intentionally receiving excessive drugs, services, or supplies

Abuse of Recipients

- Physical, mental, emotional, or sexual abuse
- Discrimination
- Neglect
- 30 • Providing substandard or inappropriate care

Denial of Services

- Denying access to services
- Limiting access to services
- Failure to refer to needed specialist
- 35 • Underutilization

Reporting Fraud, Waste, and Abuse Internally

It is the responsibility of all board members, officers, employees, and volunteers to report concerns about violations of UCP's code of ethics or suspected violations of law or regulations that govern UCP's operations.

40 UCP has an open-door policy and suggests that employees share their questions, concerns, suggestions, or complaints with their supervisor. If you are not comfortable speaking with your supervisor or you are not satisfied with your supervisor's response, you are encouraged to speak with any member of the Leadership Team. Employees with complaints or concerns about suspected ethical and legal violations may also submit their concerns as follows:

45 Suspicions of fraud, waste, or abuse in the operations at UCP, should be reported to the Manager, Quality and Compliance by calling the UCP Compliance Hotline at 877-410-9091, by email at Compliance@ucpcentralpa.org, or by submitting a compliance concern at www.ucplistens.com. The

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5 Manager, Quality & Compliance is responsible for ensuring that all complaints about unethical or illegal conduct are investigated and resolved. The Manager, Quality & Compliance will advise the President/CEO and/or the Board of Directors of all complaints and their resolution.

10 UCP maintains Non-Retaliation and Protection from Retaliation policies. It is contrary to the values of UCP for anyone to retaliate against any board member, officer, employee, or volunteer who in good faith reports an ethics violation, or a suspected violation of law, such as a complaint of discrimination, or suspected fraud, or suspected violation of any regulation governing the operations of UCP. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment.

15 Depending on the outcome of the investigation of the reported fraud/abuse, the result could be termination, a warning, job suspension, and/or recovery of any lost money. The investigator will make a report to the CEO and Board of Directors and include: the issue, findings, corrective action, and timeframe for correction. If after UCP has acted the employee feels that UCP has failed to adequately address the issue internally, he/she must follow the grievance procedures presented within the Open-Door policy.

Reporting Fraud, Waste, and Abuse Externally

20 The MA Provider Compliance Hotline, established by and located in the DHS [Bureau of Program Integrity](#), is designed to provide easy access for reporting suspected fraudulent and abusive practices by providers in fee for service and managed care within the Pennsylvania MA Program.

25 If you have knowledge of suspected MA provider noncompliance, or of substandard quality of care for services paid for under the Pennsylvania Medical Assistance Program, please contact the MA Provider Compliance Hotline by:

- Telephone (includes TTY service): 1-866-379-8477
- Fax: (717) 772-4655 — "Attention: MA Provider Compliance Hotline"
- Electronically submit the MA Provider Compliance Hotline Response Form:
<https://expressforms.pa.gov/apps/pa/DHS/MA-Provider-Compliance-Hotline>
- 30 • U.S. Mail:
Bureau of Program Integrity
MA Provider Compliance Hotline
P.O. Box 2675
Harrisburg, PA 17105-2675

35 The hotline number is 1-866-379-8477 and operates between the hours of 8:30 AM and 3:30 PM, Monday through Friday. Voice messaging is available outside these hours. Non-English-speaking interpreter services are available to help callers and TTY services for persons with hearing impairment are also available.

- Callers to the Hotline are not required to identify themselves.
- If a caller does not wish to speak to a Hotline representative directly, please leave a message outside
40 the hours of operation.
- You may report suspected fraudulent and abusive practices through this Web site without disclosing your identity by completing and submitting the response form which follows.

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5 Prepare the following information for your call:

- Provider's name and address
- Description of the suspected fraudulent and abusive activity, including the time, frequency of the events, recipient name, and recipient ID number
- Telephone number where you can be reached if you want to be contacted

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Employee Education

As part of the New Employee Orientation, employees receive information on appropriate claim and service documentation, UCP's Compliance Plan, Non-Retaliation Policy, Protection from Retaliation Policy, and Code of Ethics and Conflict of Interest policy, and Open Door Policy.

15 UCP Billing Expectations

Managers and Supervisors are required to verify that participants are authorized to receive services and that services rendered are accurate and valid. Through detailed internal controls, UCP practices sound fiscal and business practices and ensures the accuracy and integrity of the data collected for billing and other operational needs.

20 The Fiscal Department at UCP handles all billing and is ultimately responsible for the accuracy and validity of claims submitted for payment. The Fiscal Department is audited once a year by representatives of the various programs funded by the Department of Human Services of the Commonwealth of Pennsylvania. The Fiscal Department is also audited once a year by an outside independent auditing agency.

25 **IMMIGRATION LAW COMPLIANCE (I-9 and E-Verify)**

Policy Statement

UCP is committed to employing only United States citizens and foreign nationals who are authorized to work in the United States.

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Purpose

In compliance with the Immigration Reform and Control Act of 1986, new hires (and rehires), as a condition of employment, must complete the Employment Eligibility Verification Form (I-9) and present acceptable documentation or a receipt for the application of such documents, verifying their identity and employment eligibility within three (3) business days of their start date.

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Procedures

All new hires (and rehires) are provided the Form I-9 list of acceptable documents when they receive their offer of final employment, prior to their start date.

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All new hires (and rehires) will be required to complete the Form I-9 and supply necessary employment verification document(s) as required on the form.

If a new hire (or rehire) is unable to present the required employment verification document(s) within three (3) business days of their start date, they may be subject to termination.

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UCP will use E-Verify (provided by the US Department of Homeland Security) to verify all Form I-9 documents. Processes will be followed as established by E-Verify guidelines.