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Approved By: *Chief Financial Officer*
Owner: *Compliance Officer*
Policy Area: *Compliance*

MONITORING AND REPORTING

SCOPE: This policy applies to McGregor PACE, including all its providers, caregivers, employees, staff, contractors, vendors, students, trainees, and any other individual or entity acting under, for, or on behalf of McGregor PACE and/or its affiliates.

PURPOSE: The purpose of this policy is to establish a framework and provide a process for monitoring and reporting both aggregate and individual PACE quality data to CMS in accordance with the requirements of Title 42 of The Code of Federal Regulations, §§460.140, 460.200(b)(1), 460.200(c) and 460.202.

POLICY: In order to maintain its commitment to assuring compliance with all state, federal, and local laws and state and federal regulatory requirements, it is the policy of McGregor PACE to timely report all PACE quality data to CMS through the PACE Quality Monitoring Module in the Health Plan Management System in accordance with the requirements of Title 42 of The Code of Federal Regulations, §§460.140, 460.200(b)(1), 460.200(c) and 460.202.

Protections are provided in two important areas for those who make reports of non-compliance: confidentiality and no retaliation. Circumstances permitting, the confidentiality of the individual making the report will be maintained. However, identity may have to be disclosed to conduct a thorough investigation, comply with the law, and/or to provide the accused individual(s) their legal right of defense. McGregor will not retaliate against any individual making a report of non-compliance. This includes, but is not limited to, protection from retaliation in the form of an adverse employment action such as termination, compensation decreases, or poor work assignments and threats of physical harm. Any individual who believes that he or she is being retaliated against must contact the Director of Human Resources or the Compliance Officer immediately. The right of an individual to make a report of non-compliance for protection against retaliation does not include immunity for bad faith or any personal wrongdoing that is alleged and investigated.

PROCEDURE:

- A. If an employee has knowledge of or a concern of illegal or dishonest, fraudulent activity, the employee is to contact his or her immediate supervisor, the Compliance Officer, the

Compliance Hotline at (216)268-8400, or the Compliance e-mail at compliance@mcgregoramasa.org.

- B. The employee must exercise sound judgment to avoid baseless allegations. An employee who intentionally files a false report of wrongdoing will be subject to discipline up to and including termination.
- C. All reports of illegal and dishonest or fraudulent activities will be promptly reported to McGregor's Compliance Officer who is responsible for investigating the report and coordinating corrective action when appropriate.
- D. The Compliance Hotline serves as a reporting option for parties with information about suspected misconduct. The phone number for the **Compliance Hotline is: (216)268-8400.**
 - 1. Questions about compliance standards and legal duties will be forwarded to the Compliance Officer who will respond or direct a response from the appropriate person within the Organization.
 - 2. The Compliance Officer, or his or her designee, will investigate all reports of suspected misconduct received through the hotline.
 - 3. The Compliance Officer will refer legal issues to legal counsel when appropriate.
 - 4. Compliance Hotline reports will be assured confidentiality to the extent permitted by law.
- E. Employees with any questions regarding this policy should contact the Compliance Officer.
- F. Under no circumstances will the reporting of any concerns or possible impropriety serve as a basis for any retaliatory action to be taken against any employee, participant, resident, or other person making the report; however, employees and agents will be educated not to make an intentionally false statement.

OVERSIGHT/RESPONSIBILITY: The Compliance Officer, in conjunction with the Director of Human Resources, is responsible for the interpretation and application of this policy.

RELATED POLICIES: Non-Retaliation for Reports of Non-Compliance; Fraud, Waste, and Abuse Prevention; Investigating Compliance Reports; and Discipline for Compliance Violations.