



CAPITOL DENTAL CARE

POLICY

Name:	Zero Tolerance Policy – Response to Retaliation from Reporting Misconduct.
Date of Origin:	10/26/2014
Current Effective Date:	04/20/2017
Scheduled Review Date:	04/19/2019

I. ZERO TOLERANCE POLICY IN RESPONSE TO RETALIATION OR RETRIBUTION FOR REPORTING MISCONDUCT

This policy applies to all CDC employees and affiliates.

II. POLICY OVERVIEW

CDC has a zero-tolerance policy for retaliation or retribution against any employee, affiliate or related entity who, in good faith, reports suspected misconduct or Fraud, Waste and Abuse (“FWA”). Intimidation or retaliation against any employee who cooperates in a compliance investigation is strictly prohibited and will lead to disciplinary action, up to and including, termination. A zero-tolerance policy means that, irrespective of an employee or supervisor’s past performance, a finding of retaliation or retribution by an employee or supervisor against another that, in good faith, reports a potential issue of misconduct can result in non-progressive disciplinary action including termination.

CDC strictly prohibits any adverse action/retaliation against an employee who in good faith participate in an investigation of any alleged wrongdoing in the workplace. Retaliation or retribution may take many forms including, isolation from department meetings and/or correspondence, covert efforts to downgrade employee performance where it is not warranted, talking negatively about the employee to others, holding the employee to different standards on the part of supervisors or co-workers, sabotaging, damaging or interfering with the employee’s work, discharge, demotion or other discipline of the employee or any other action that veers from work environment standards existing prior to reporting of the alleged unlawful misconduct. The False Claims Act and other applicable regulations also protect employees and affiliates from retaliation for complaints.

III. POLICY AGAINST RETALIATION EXAMPLES

CDC is committed to prohibiting retaliation against those who in good faith report, oppose, or participate in an investigation or alleged wrongdoing in the workplace. By way of example only, participating in an investigation or alleged wrongdoing in the workplace, includes, but is not limited to:

- Filing a complaint with a federal or state enforcement or administrative agency or CCO partner or CCO-retained external auditor;
- Participating in or cooperating with a federal or state enforcement agency or CCO partner or external auditor retained by the CCO partner that is conducting an investigation of CDC regarding alleged unlawful activity;
- Testifying as a party, witness, or accused regarding alleged unlawful activity;
- Making or filing an internal complaint with CDC regarding alleged unlawful activity;
- Providing informal notice to the company regarding alleged unlawful activity.

IV. TRAINING AND PUBLICIZING

CDC's general compliance training program emphasizes confidentiality, anonymity and non-retaliation for compliance related questions or reports of suspected or detected noncompliance FWA. Additionally, FWA training emphasizes the confidentiality, anonymity and anti-retaliation for all compliance related questions or reports of potential noncompliance or FWA. General compliance training is administered within thirty (30) days of hire and yearly thereafter.

General compliance training teaches employees that they are required to report all actual or perceived violations of the Medicaid program or state rules and regulations to CDC. To ensure protection of an employee, CDC strives to protect the identity of the reporting party whenever possible.

When an issue is reported, CDC will investigate the issue and provide the complainant with information regarding expectations for a timely response, confidentiality, and non-retaliation progress reports.

The methods available for reporting compliance or FWA concerns and the anti-retaliation policy are discussed during compliance training. They are also publicized in CDC's Standards of Conduct. These methods include:

- **Compliance Hotline** – The Compliance Hotline (1-877-794-1112) is a telephone line and voice mailbox that can be reached 24 hours a day, from any location, for reporting concerns or violations without fear of retaliation.
- **Email** – The Compliance Department has a dedicated email box to which anyone may submit a complaint or concern: compliance@interdent.com. **(set-up pending)**

V. RESPONSIBILITY OF EMPLOYEES

Whether the employee is a manager, supervisor, or non-supervisory employee, all employees have the responsibility to make this Zero Tolerance policy work by taking all of the following actions:

- If you believe you are the target of harassment or retaliation, to the extent you feel comfortable doing so, tell the person to stop.
- Immediately report any violation of this Policy to your supervisor or the Compliance Officer or Human Resources department.
- Cooperate with any investigation of a harassment or retaliation complaint, whether brought by the employee or someone else, by providing factual information to CDC's investigating personnel.
- If other employees tell you they find your behavior or conversation unwelcome and ask you to stop, honor their request, even if you feel they are being oversensitive.

Special Responsibilities of Managers and Supervisors –

If you are a manager or supervisor, CDC expects you to:

- Set an example for your employees and follow the highest ethical standards,
- Discuss this Zero Tolerance policy with all employees under your supervision,
- Monitor your work area for indications of any type of harassment or retaliation,
- Immediately intervene to stop harassment, retaliation, or conduct that could be interpreted as such,
- Caution employees who appear to be engaging in such behavior and take appropriate action if actual harassment or retaliation exists,
- Report all complaints of harassment or retaliation to the Compliance Officer or Human Resources personnel, regardless of your opinion or whether the complaint is well-founded. It is not for the investigating team to determine the viability of the complaint.
- After reporting the incident or complaint to the Compliance Officer or Human Resources department, cooperate to assure that the problem does not recur or that retaliation does not ensue.

VI. POLICY ENFORCEMENT

Employees may ask compliance questions and report in good faith any suspected and/or actual misconduct, potential instances of Medicaid or Compliance Program noncompliance, and potential FWA confidentiality or anonymously (if desired) without fear of retaliation.

CDC's reporting system will maintain confidentiality (to the greatest extent possible) allow anonymity if desired (e.g. through telephone hotlines or mail drops), and emphasize CDC's policy of non-intimidation and non-retaliation for good faith reporting of compliance concerns and participation in the Compliance Program.

Employees who feel they are being retaliated against should immediately contact the Compliance Officer or the Human Resources department. In addition, employees who observe retaliation by other employees, supervisors, managers or non-employees should report the incident immediately to the individuals listed above.

Disciplinary Action - Employees who violate this policy will be subject to appropriate disciplinary action, up to and including termination. Moreover, any employee, supervisor,

manager who condones or ignores potential violations of this policy will be subject to appropriate disciplinary action, up to and including termination.

VII. REVISION ACTIVITY

Modification Date	Change or Revision and Rationale	Effective Date of Policy Change
10/30/2014	Original policy submitted.	
11/04/2015	Scheduled review date.	
04/20/2017	Bi Annual Review/Update	

VIII. AFFECTED DEPARTMENTS:

All CDC Staff and affiliates

IX. REFERENCES:

CDC- Employee Handbook
CDC – Standards of Conduct and Code of Conduct.