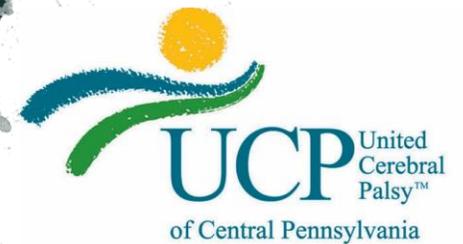


# Compliance Survey 2021

February 2021



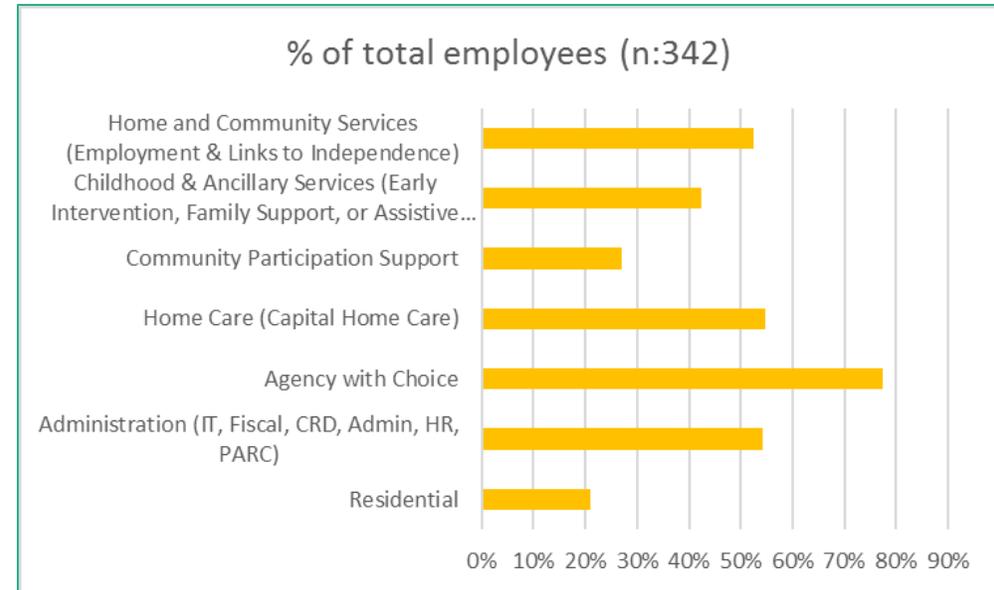
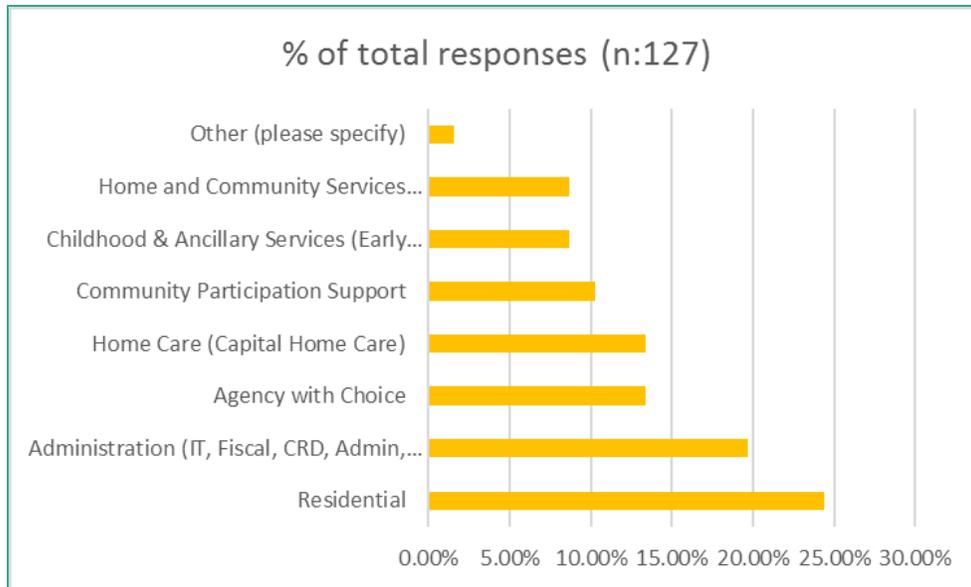
UCP United  
Cerebral  
Palsy™

of Central Pennsylvania

*Life without limits for people with disabilities™*

We want to promote a system of perpetual compliance so that our employees have confidence to report when something doesn't feel right.

# Who Participated?



37% of employees participated

# Where we Glow

(89% or greater)

- I understand that I am required to report any violation of company policies.
- I am aware of the policies and procedures that govern my job.
- UCP is an ethical organization and is committed to complying with the laws, rules, and regulations that govern its operations.
- In the event that I recognize a compliance concern, I feel confident that I would report it to a supervisory staff person, the Compliance Officer, or other appropriate areas.
- I am aware that UCP has a Compliance Program.
- I trust my immediate supervisor at UCP.
- I have never been asked to do something that violates company policies.
- I believe that UCP does not tolerate harassment, discrimination, safety violations, and ethical misconduct.
- I know where to locate the policies and procedures that I need.
- I am aware of UCP's Open Door Policy.
- My immediate supervisor places an emphasis on compliance and ethics.
- In the event I reported a compliance concern, I feel confident that UCP would address my concern.

# Areas to Grow

(less than 84%)

- I know how to make a report about unfair conduct, including anything related to harassment, discrimination, safety, or ethics .
- I feel I can report a potential violation without fear of retaliation.
- I feel that the same rules apply to all UCP employees.
- I am aware of UCP's process to monitor and audit operational compliance.
- I feel the compliance training I receive annually is effective and relevant.
- I am aware of the Compliance Hotline and how to access it.
- I see compliance posters displayed in the areas in which I work.
- I know the name of the Compliance Officer.
- I have referred to the Code of Ethics and Conflict of Interest policy to answer a question.
- I have referred to the Professional Conduct Expectation policy to answer a question.

# Perception of UCP's Compliance Program

- Does not seem to address issues. 0.80%
- It does not pertain to me. 1.60%
- What Compliance Program? 6.40%
- Good for reference, but not enough detail. 9.60%
- Good policies, but I have my doubts about enforcement. 15.20%
- Comprehensive and effective. 66.40%

# Most Important Emphasis of Compliance

- Other 2.38%
- Adhering to the requirements of our non-profit status. 11.11%
- Ensuring the protection of health information 19.84%
- Ensuring we follow Federal regulations surrounding fraud, waste, and abuse. 25.40%
- Regulatory compliance 41.27%

# Path Forward

- ✓ Review/revise/distribute Compliance Posters
- ✓ Promote Compliance Manager/Hotline
- ✓ Formalize Compliance Framework
- ✓ Review/revise Compliance Training
- ✓ Review/Revise Compliance Plan (last 2015)
- ✓ Reestablish Compliance Committee (last 2016)



Additional  
Thoughts or  
Questions