

SECTION: 2.4.3.1
SUBJECT: Corporate Compliance
TOPIC: Element II – Corporate Compliance Structure
Corporate Compliance Officer

POLICY

Arc of Onondaga is committed to establishing and maintaining high standards of ethical conduct related to its business and operational practices. The agency delegates responsibility and authority to Corporate Compliance Officer and the Corporate Compliance Committee for the oversight of implementation and operation of the Corporate Compliance program.

The Corporate Compliance Officer is responsible for the day-to-day operation of the Compliance Program and shall foster an environment of compliance. The Corporate Compliance Officer oversees and monitors the development and implementation of the agency's compliance policies, the achievement and maintenance of compliance standards, including audits, training, and the investigation and response to employee compliance complaints/reports. The Corporate Compliance Officer reports directly to the Executive Director and, as necessary, to the Board of Directors.

Duties of the Corporate Compliance Officer include:

- Maintenance and improvement of the written standards and policies.
- Liaison to the Board, the Compliance Committee and agency management and employees. Three times per year, the Compliance Officer presents information related to the Compliance Program to the Board of Directors. On at least an annual basis, the Compliance Officer meets privately with the Board of Directors in Executive Session in which no other employees are present. During the first quarter of the year, the Compliance Officer will prepare and present to the Board of Directors a written report on the operation of the Compliance Program during the preceding year.
- Liaison with the NYSARC Corporate Compliance office
- Background/Exclusion Checks. The Compliance Officer will work with the Human Resources and Finance departments to ensure the agency does not hire or contract with an individual or entity who has been excluded or debarred from participation in Federal and state health programs, including Medicaid.
- Education and Training. The Corporate Compliance Officer is responsible for overseeing the development of training seminars on Corporate Compliance. The Compliance Officer also serves as a resource regarding the implementation of the Corporate Compliance Plan.
- Audit Responsibilities. The Corporate Compliance Officer is responsible for overseeing compliance audits conducted by either internal staff or outside consultants. As directed by the Corporate Compliance Officer or as detailed in policy, agency supervisory staff and employees will assist with the audits.
- Investigations and Receipt of Complaints and Concerns. The Corporate Compliance Officer will pursue and promptly investigate any employee concerns or complaints received via the Corporate Compliance Hotline or other methods of reporting. The Compliance Officer will document all compliance complaints or

reports brought by the Board, by employees, by independent contractors or by clients.

- Discipline/Enforcement of the Corporate Compliance Plan. Working with the HR Director, the Corporate Compliance Officer is responsible for ensuring that the agency imposes appropriate sanctions against an individual employee or independent contractor for failure to comply with the Corporate Compliance Plan, the Code of Conduct and/or laws and regulations applicable to the agency. The Compliance Officer will also evaluate whether misconduct is based on a lack of awareness or understanding of a regulatory obligation, policy or procedure and will institute a program of education and training for staff, as needed.
- Disclosure and Internal/External Corrective Action. The Corporate Compliance Officer will coordinate and oversee the detecting, correcting and preventing non-compliant behaviors. When an internal investigation or report results in the identification of a violation of law, regulations or policy/procedure, the Compliance Officer is responsible for working, as necessary, with the Board, the Executive Director, the Compliance Committee and the management team to ensure that the agency conducts the appropriate corrective action, such as making prompt restitution, notifying the appropriate governmental agency and instituting whatever action is necessary. The Compliance Officer must also ensure that the agency identifies and implements changes to its day-to-day policies and procedures to prevent a similar violation from recurring in the future.
- Annual Workplan. The Compliance Officer is responsible for preparing an annual work plan for the agency to follow to address key areas of risk. The Corporate Compliance Officer will update and report progress on an annual basis. The Corporate Compliance Committee will approve and assist the Compliance Officer in achieving the goals of the workplan.

The Compliance Officer has the authority to review all documents and other information relevant to compliance activities, including but not limited to work product and records concerning agency's arrangement with independent contractors, governmental agencies, third party payors, suppliers and agents.

The Compliance Officer is vested with full authority to stop work on a project that is believed to be problematic until such time as the issue in question has been resolved.

The Compliance Officer is authorized to recommend disciplinary action for employees and independent contractors, in accordance with policy.

DATE: 7/2007

REVISED: 12/2010, 4/2012, 12/2016

Executive Director

Date

President, Board of Directors

Date