

**The Arc of Madison Cortland
Corporate Compliance Plan**

Detecting and Responding to Violations; Voluntary Disclosure

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I. POLICY

The Arc of Madison Cortland will respond appropriately to violations of law, regulations and its' Corporate Compliance Plan to protect The Arc of Madison Cortland and to continue to improve upon its' reputation as a reliable and trustworthy organization.

II. SCOPE

This policy shall apply to actions taken in response to identification of violations of applicable law, regulations and The Arc of Madison Cortland Corporate Compliance Plan.

III. PROCEDURE

A. Identification of a Violation

If the CO, and/or the Compliance Oversight Committee confirms that a violation of the Corporate Compliance Plan or an applicable state or federal law or regulation has taken place, then the CO shall discuss the violation with the COC and legal counsel, as appropriate to determine the proper response to the violation. Violations may be identified through various avenues, including but not limited to: voluntary disclosures by employee; calls to the Corporate Compliance Hotline; self-auditing and monitoring; outside investigations by consultants, government agencies or accrediting bodies; and any other means.

The CO shall coordinate The Arc of Madison Cortland's response to a violation by evaluating each violation and promptly implementing action consistent with the following:

- √ Development and implementation of a Corrective Action Plan;
- √ Prompt notification to the Compliance Oversight Committee of the violation;
- √ Disclosure to state or federal regulatory agencies, if applicable, upon consultation and recommendations of legal counsel;
- √ Making restitution of any overpayments to the appropriate payer (e.g., a commercial health plan, a government payor or an individual or their family)

B. Development of a Corrective Action/Prevention Plan

The Department Manager shall provide input to the development of an appropriate Corrective Action Plan; however, final approval shall be made by the CO, Compliance Oversight

Committee, Executive Director or Board of Directors, depending on the scope and severity of the violation.

Corrective Action/Prevention Plans will be stated in measurable terms with progress monitored on a monthly or quarterly basis, as appropriate. The Corporate Compliance Officer is responsible for ensuring that the Corrective Action/Prevention Plans are followed and that feedback is provided to the area or department manager on the plan progress.

Elements that may be included in a Corrective Action/Prevention Plan include, but are not limited to: disciplinary action against employees and independent contractors responsible; revising or developing policies and procedures in response, or training specific to the violation.

The Corporate Compliance Officer will present progress reports on Corrective Action/Prevention Plans to the Corporate Compliance Committee during their regularly scheduled meetings with a copy to the Board and the Executive Director. Upon request by the Board, the Corporate Compliance Committee or the Executive Director more frequent updates may be submitted.

C. Voluntary Disclosure of Violations

The CO, in consultation with the Executive Director and the Compliance Oversight Committee, will evaluate the violation to determine if a voluntary self-disclosure of the violation is appropriate. The CO will consult with legal counsel on the notification of appropriate government officials, private payors or other entities in the event of a violation where voluntary disclosure of the violation may be appropriate. Notification shall be made within a reasonable period after discovering the violation and may include the restitution of monies paid by the applicable state or federal agency, payor or other entity.

D. Documentation of Corrective Action

Documentation should reflect every effort by The Arc of Madison Cortland to comply with applicable statutes, regulations, and federal healthcare program requirements.