

Otsego County Chapter NYSARC, Inc.

IV. POLICY TYPE: COMPLIANCE COMMUNICATION
POLICY TITLE: 3. Compliance Hotline
Adopted 5/16/02

It is the policy of this Chapter to maintain a telephone hotline to facilitate communication between every employee and agent subject to this plan.

Accordingly:

1. The hotline phone number will be readily available to all employees and agents who want to communicate compliance concerns or ask questions about regulations, the Compliance Plan, Code of Ethics, or Standards of Conduct.
2. Voice mail will pick up the number when the Compliance Officer is not available.
3. A log of calls will be maintained by the Compliance Officer, and will include the nature of the call and response or result of investigation as appropriate. The name of the caller, if given or known, will not be recorded.
4. Any caller who needs information unavailable to the Compliance Officer at the time of the call will either have to leave a way for the Compliance Officer to contact him/her, or will have to call back.
5. Any caller who wants to know the result of the investigation into his/her compliance concern will also have to leave a way for the Compliance Officer to contact him/her, or will have to call back.
6. All callers will be assigned identification numbers to use should they have additional information they want to provide regarding their original calls.
7. A poster promoting the hotline will be posted at each site with the required Department of Labor postings.