

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

Enforcement and Discipline Procedure

Date of First Issue: May 2005

Date of Last Revision: Jan 2015

I. POLICY

The Arc of Madison Cortland (the “Chapter”) is committed to providing high quality services that are compliant with the regulations and laws that are applicable to our mission. One of the tools we use to ensure that employees understand the importance of quality and compliance is the application of appropriate disciplinary/correction action for instances of non-compliance with regulations, policy, law, and the organization’s code of conduct. The primary purpose of these disciplinary actions is to offer employees an opportunity to learn, correct and improve their job-related performance. However, in all cases, The Arc of Madison Cortland reserves the right to take immediate action toward offenses found to be in gross, obvious, or serious violation. In addition to disciplinary action, there may be situations where the notification of necessary authorities including licensing agencies and law enforcement, may occur.

II. RESPONSIBLE PARTY

The *Director of the employee’s individual program* is responsible for enforcing discipline.

The *Director of Human Resources* is consulted, and serves in an advisory capacity in situations where the employee’s infraction may result in discipline or termination.

The *CO* will offer direction and influence to the Program Director when compliance infractions are evident.

III. DEFINITIONS and PROCEDURES

Verbal Warning: This is the step necessary for the areas that are minor infractions.

The supervisor should:

1. Explain the behavior/action that is contrary to expectations
2. Cite the regulations/policies involved
3. Describe steps the employee can take to correct their behavior/action. In addition the supervisor should inform the employee that repeated or more serious violations may result in further discipline up to and including dismissal and criminal prosecution

Written Warning: This serves as a formal notice that a serious infraction has occurred or that the directives outlined in a previous verbal correction were breached. The supervisor should:

1. Explain the behavior/action that is contrary to expectations
2. Cite the regulations/policies involved
3. Describe steps the employee can take to correct their behavior/action. In addition the supervisor should inform the employee that repeated or more serious violations may result in further discipline up to and including dismissal and criminal prosecution.

Final Written Warning: This serves as a last chance agreement. The above procedures will be followed. In addition, the supervisor should inform the employee that any further violations may result in dismissal.

All other procedures that are in effect for all employee discipline also prevail when compliance discipline is necessary.