

COMPLIANCE PROGRAM: PURPOSE AND OVERVIEW

The Arc Jefferson - St. Lawrence, its Governing Board, and its administration are committed to high standards of ethical and professional conduct; and full compliance with all applicable federal and state laws affecting the delivery of quality services, including those that prohibit fraud and abuse or waste of Medicaid resources.

The purpose of this Compliance Program and its component policies and procedures is to establish and maintain a culture within The Arc Jefferson - St. Lawrence that promotes quality, high standards of ethical and business conduct; and the prevention, detection and resolution of conduct that does not conform to The Arc Jefferson - St. Lawrence's standards and policies and applicable laws and regulations. The Compliance Program applies to all The Arc Jefferson - St. Lawrence affected individuals. (Affected individuals include all persons who are affected by our risk areas including employees, the CEO, other senior administrators, managers, contractors, agents, subcontractors, independent contractors, the governing body, corporate officers, and Medicaid recipients.) The Compliance Program includes the following elements:

1. Written standards, policies and procedures that promote The Arc Jefferson - St. Lawrence's commitment to comply with applicable laws and regulations.
2. The designation of a Compliance Officer and Compliance Committee charged with the responsibility of implementing and monitoring the Compliance Program.
3. Regular, effective education and training programs for all affected individuals of The Arc Jefferson - St. Lawrence.
4. A process to receive complaints concerning possible Compliance Program violations, procedures to protect the anonymity of complainants to the extent possible, and policies that protect complainants from retaliation - reporting Compliance Concerns: Whistleblower/Anti-Retaliation/Non-Intimidation.
5. A process to respond to allegations of improper activities and the enforcement of appropriate disciplinary action against The Arc Jefferson - St. Lawrence affected individuals who have violated policies, laws, or regulations.
6. Periodic audits or other methods to monitor compliance and assist in the reduction of problems in any identified areas.
7. A process for investigating and resolving any identified problems.

The Arc Jefferson – St. Lawrence conducts thorough risk assessments and has identified the following areas of risk that are being addressed: documentation and Medicaid billing; communication; Compliance Training; and HIPAA/Protected Health Information.

The Arc Jefferson - St. Lawrence is committed to prompt, complete and accurate billing of all services provided. All persons who are affected by our risk areas, "affected individuals," shall not make or submit any false or misleading entries on any bills or claim forms; and no affected individual shall engage in any arrangement or participate in such an arrangement at the direction of another person, including any supervisor or manager, that results in such prohibited acts.

Further, it is the policy of The Arc Jefferson - St. Lawrence to detect and prevent fraud, waste and abuse in federal healthcare programs. This agency's False Claims policy explains the Federal False Claims Act (31 U.S.C. §§ 3729 – 3733), the Federal Program Fraud Civil Remedies Act (31 USC §§3801-3812), the Patient Protection and Affordable Care Act (Pub. L. No. 111-148, 124 Stat. 119), the New York State False Claims Act (State Finance Law §§187-194), other New York State Laws concerning false statements or claims as well as, protections against retaliation. This policy also sets forth the procedures The Arc Jefferson - St.

Lawrence has put into place to prevent any violations of federal or New York State laws regarding fraud or abuse in its health care programs.

All persons who are affected by our risk areas must know, understand, and follow The Arc Jefferson - St. Lawrence Standards of Conduct. The standards of conduct are an integral component of our Corporate Compliance Plan, provide guidance, and assist us to carry out our daily activities with ethical and legal standards.

STANDARDS OF CONDUCT FOR AFFECTED INDIVIDUALS

Policy:

It is the policy of The Arc Jefferson - St. Lawrence that Affected Individuals of The Arc Jefferson - St. Lawrence will conduct business with the highest ethical standards and comply with all regulations and laws. (Affected individuals include all persons who are affected by our risk areas including employees, the CEO, other senior administrators, managers, contractors, agents, subcontractors, independent contractors, the governing body, corporate officers, and Medicaid recipients.)

Values:

Person-Centered, Responsiveness, Involvement, Dignity, Excellence (PRIDE)

Procedure/Explanation

The Arc Jefferson - St. Lawrence has developed a Corporate Compliance Plan that states that the organization and its affected individuals will adhere to applicable federal, state, and local laws and regulations and internal policies and procedures.

Our Corporate Compliance Plan is a summary of policies and procedures that assist our organization to monitor, detect, and correct actions that are not in compliance with applicable laws or our own policies and procedures.

As an affected individual, we expect that you will act in compliance with the laws that are applicable to our organization and to your organization, and in compliance with our policies and procedures, particularly our Standards of Conduct that set forth the overarching principles for conducting our business with integrity based on sound ethical and legal standards.

As an affected individual, we also expect you to report any suspected or potential violations of law or our policies and procedures of which you become aware by contacting our Chief Executive Officer (CEO) at (315) 379-9531 or (315) 836-1230, or our Corporate Compliance Officer at (315) 764-0267, or our Corporate Compliance Helpline at (315) 379-0340. The helpline is untraceable and enables affected individuals to report anonymously.

As our agent, we expect you to understand your role in the Corporate Compliance Plan of The Arc Jefferson - St. Lawrence and we expect you to request any policies and procedures that are applicable to you and your organization. You may contact the CEO or the Corporate Compliance Officer for any questions or clarifications of your responsibilities.

By conducting business with The Arc Jefferson - St. Lawrence, you are acknowledging the following:

- On behalf of you and your organization, you have read and understand The Arc Jefferson - St. Lawrence Standards of Conduct and the policies and procedures of our agency Corporate Compliance Plan that are applicable to the services that you and/or your organization provide to The Arc Jefferson - St. Lawrence.
- You understand and agree that you and all those in your organization who provide services to The Arc Jefferson - St. Lawrence must comply with The Arc Jefferson - St. Lawrence Corporate Compliance Plan and the agency Standards of Conduct and all laws, regulations, policies, procedures, and other guidance applicable to the services that are provided.
- You agree, on behalf of you and your organization, to fully cooperate with the implementation of The Arc Jefferson - St. Lawrence Corporate Compliance Plan, to participate in any auditing or monitoring processes, and to report any instances of possible violations of laws, regulations, or policies that are applicable to The Arc Jefferson - St. Lawrence of which you become aware.
- You acknowledge that The Arc Jefferson - St. Lawrence maintains a helpline for the purpose of receiving notifications of possible violations of law, regulation, and the agency's Corporate Compliance Plan.
- You understand that your failure to report any concerns regarding possible violations of law, regulations, or the Corporate Compliance Plan may result in corrective action, up to and including termination of your agreement with The Arc Jefferson - St. Lawrence.
- You agree, on behalf of you and your organization, to avoid conflicts of interest to assure representation of the organization in a positive and ethical manner.
- You agree, on behalf of you and your organization, to protect confidential information, including Protected Health Information (PHI). If you become aware of a potential breach, it is your responsibility to report to the CEO or Corporate Compliance Officer.

****You may find the Notice of Employee Rights, Protections, and Obligations Under Labor Law Section 740 Prohibited Retaliatory Personnel Action by Employers on our website: www.thearcjslc.org.***