

Allegany Arc Corporate Compliance Program

Code of Conduct Training

What is Corporate Compliance ?

- Arc's organized efforts to prevent any kind of unlawful activity in the course of our varied operations
 - Unnecessary care (waste)
 - Billing errors or overpayments (fraud/abuse)
 - Non-compliance with many laws
 - ...as an employer
 - ...as a provider of supports and services
 - ...as a community partner

Why 'do' Corporate Compliance?

- It's the law !
 - An organization of our size that accepts public funding (Medicaid) of \$500,000 or more/yr – MUST have an effective compliance program
- It's the right thing to do !
 - Arc's Board of Directors and leadership aim for Allegany Arc to be a first class service provider and corporate citizen

Who is the 'Compliance' Person?

The Compliance Officer at Allegany Arc is Joanne LaForge, a member of the senior leadership team.



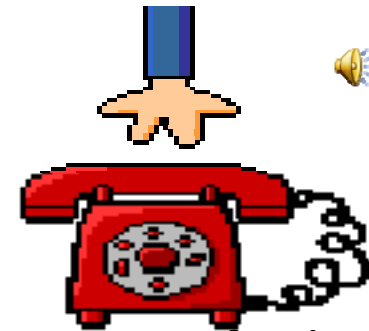
Joanne LaForge, CCO
VP for Corporate
Quality

Office is located at the Shine Building, 240 O'Connor Street, Wellsville, NY

Telephone number is 585-593-5700, ext. 570

**Hotline Number for Confidential calls:
585-593-5700, extension 700**

Confidential Compliance Hotline



- A confidential place to call to report wrong-doing or to find help for concerns about work.
- Hotline number: **585-593-5700, extension 700**
- The Compliance Officer (CCO) checks the voice mail regularly. When away or on a brief vacation🔔, the hotline is not answered by another person – but waits for the CCO return. In the event of prolonged absence, the hotline will be managed by the QA Director.
- If you call the hotline, you may leave your name and a message, or you may remain anonymous when you leave your message. The important thing is for your concern to be heard and looked into !

Compliance Risks

Here are some examples of compliance problems that can happen, even without us intending for it to:

- Services delivered but documentation quality doesn't meet minimal standards (missing signature, no date, no time of service noted)
 - Staff who haven't been properly trained or who are not aware of how to meet high documentation and service delivery standards
 - Human Error 😞 (wrong date, missed deadline, missing documentation of services delivered)
 - ISP and habilitation plan outcomes don't match
 - Outdated service plans
 - Staff who have not received required trainings or updates
- Unfortunately, we need to be cautious of intentional non-compliance too:
- Dishonesty of any type and/or at any level in the organization
 - Backdated documentation

We hope that if you identify or suspect any of the above situations, you will **report the problem** to your **supervisor** or to the **Compliance Officer** !

False Claims Act and Whistleblower Protections



The core of a false claim is that the government was cheated in one form or another. A false claim may take many forms:

- overcharging for a product,
- failing to perform a service,
- delivering less than the promised amount of goods or services,
- underpaying money owed to the government,
- charging for one thing but delivering another, to list just a few examples.

A whistleblower is someone with knowledge about a false claim being made. The whistleblower reports the wrong-doing to the government and can file a *qui tam* lawsuit against the company or individual in question. The law protects whistleblowers from harassment, discrimination and job loss when making a good faith report.

A company or individual that has made a false claim may be liable for triple damages, a civil fine of \$5,500 to \$11,000 per false claim, and the attorney's fees of the citizen whistleblower (called the "relator"). Individuals or companies that cause someone else to submit a false claim can also be found liable under the False Claims Act.

Federal or New York State money must be involved for the wrong-doing to be reported under the False Claims Acts.

The company or entity that submitted False Claims to the government must have done so knowingly. Deliberate indifference to the truth of a claim, or acting with reckless disregard of the truth counts as knowing.

This is what our policy and procedure headings look like. A Policy Manual is available for you to read at every Arc location--- Use it frequently !!!!!

Allegany Chapter NYSARC, Inc
240 O'Connor Street
Wellsville, NY
POLICY AND PROCEDURE

POLICY AND PROCEDURE #: 0006		REVISION #: 2
BOARD APPROVAL DATE: 6/20/07	DATE ISSUED: 2/7/07	EFFECTIVE DATE: 1/1/07
Revised: 5/30/07 Revised: 3/28/08		
TITLE: False Claims Act		PAGE Page 1 of 4

Policy: Allegany Arc is committed to prompt, complete and accurate billing for the services provided to the people we support. The Arc and its staff and contractors will not submit any false or misleading entries on any bill or claim form.

It is the policy of Allegany Arc to monitor against and prevent fraud, waste and abuse in federal and state healthcare programs. The Federal False Claims Act is a law enacted to prevent fraud, waste and abuse. Allegany Arc will use the following procedures to prevent any violations of the False Claims Act.

Scope: This policy pertains to all staff, including management, and all contractors and agents.

How we implement our policy about False Claims Act:

1. Training to all staff
2. Supply information to vendors and contractors
3. Provide a confidential hotline for reporting at
Arc: **593-5700**, extension **700**
4. Policy of non-retaliation protects all staff,
contractors or other agents for taking any lawful
action under the False Claims Act OR for
reporting any potential compliance concern.

You are required to verify you have read this policy and have had an opportunity to discuss any questions

POLICY AND PROCEDURE

Allegany Arc

POLICY AND PROCEDURE #: 0001		REVISION #: 1
BOARD APPROVAL DATE: 12/6/06 Revised 1/1/07	EFFECTIVE DATE: 1/1/07	
TITLE: Code of Conduct	Page Page 1 of 8	

Allegany Arc CODE OF CONDUCT


Code of Conduct:

The Allegany Arc Code of Conduct is a part of the agency's overall Corporate Compliance Plan. The Code is intended to give staff and contracted professionals a clear understanding of the agency's expectations to fulfill our corporate responsibilities. We are committed to complying with the rules and regulations of federal, state and local government. Allegany Arc seeks to maintain a work environment where high standards of ethical behavior are recognized and practiced.

Your responsibilities within the Arc Code of Conduct include:

- Comply with rules, regulations, laws and community standards
- Ask questions and learn the right way of doing things
- Honor our commitment to preventing fraud, waste and abuse
- Communicate honestly, making no misrepresentations either written or verbal.
- Document your work accurately and timely
- Never falsify records. Do not backdate, destroy, or alter documents.
- Commit to high quality work
- Treat others with honesty, dignity and respect
- Be aware of potential conflicts of interests and notify a supervisor when personal interests could conflict with the interests of the agency
- Maintain confidentiality about our business and the people you work with
- Read the agency Code of Conduct and ask any questions you may have
- Report any fraud, waste, or abuse that you might witness

Next steps !

1. Read your Code of Conduct, note any questions and ask for clarification. Talk with a supervisor or give the Compliance Officer a call.
2. Return to the Employee  page to complete your quiz.

The End