



**Corporate Compliance Plan for
Mill Neck**

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I. Organization Overview

The Mill Neck Family of Organizations is comprised of four distinct but separate 501(c) (3) organizations:

- Mill Neck Manor School for the Deaf, which includes the elementary and high school as well as the Early Childhood Center, provides educational services from birth to 21 years;
- Mill Neck Services, which provides advocacy and community outreach, employment services, vocational training, family and individual support, service coordination, transitional services, interpreting, day habilitation and community habilitation opportunities and hearing health services;
- Mill Neck Foundation, Inc., which raises funds for projects, provides grants and offers support to Deaf communities domestically and overseas;
- Lutheran Friends of the Deaf, Inc., which was the founding organization, provides spiritual and religious opportunities domestically and internationally.

II. Mission Statement

The mission of Mill Neck Services Inc. is to provide individual designed habilitation, vocational, and social services to individuals who are Deaf and who may have other disabilities to enable them to live happy, successful and independent lives. By providing, DSP's or Direct Service Professionals, Service Coordinators and sign language interpreters in the community, we enable deaf people to participate in educational, medical, spiritual, vocational and recreation activities, which otherwise might not be available to them.

The purpose of this corporation shall be:

- To provide and advocate for services to the adult Deaf community and to establish programs which can serve as models for providing services for the betterment of the adult and community. These services may include, Service Coordination but not be limited to job training and vocational rehabilitation services, habilitation services, respite, day services, sign language instruction, interpreter training courses, secular and religious education, recreational activities, ministry, and interpretative services for businesses, churches, schools, medical establishments and others.
- To provide services to persons with developmental or intellectual disabilities, and to establish programs which can serve as models for providing services for the betterment of people with developmental or intellectual disabilities. These services may include, Service Coordination but not be limited to day programs, employment services, job coaching, individual support services apartments (ISS), respite care, interpreting, transition services and all ancillary services required to facilitate development and management thereof.
- To provide services to others with other mental, physical or developmental disabilities or needs and to establish programs which can serve as models for providing services for the betterment of people with mental, physical or developmental and intellectual disabilities or needs. These services, including religious and secular services, may include any program which the Board of Trustees in its discretion deems worthwhile.

MNS Inc. Center for Hearing Health

To provide quality and preferred practice standards of hearing health services to children and adults.

The mission of the Center for Hearing Health is to provide quality and preferred practice standards of audiological services to children and adults. The purpose of this corporation shall be to provide the following services:

Infant/Pediatric Testing

Specializing in infant/pediatric evaluations (birth to age 5), Results are attempted through every means possible not only behaviorally, but through objective measures. Infant/Pediatric testing utilizes the skill of two audiologists and is available on a private, fee basis, or through early intervention or school districts at no cost to parents.

Child/Adult Testing

Complete audiological services are also available to school age children and adults. Central Auditory Processing (CAP) testing is also provided to children ages 6 and over. In addition, hearing aid consultations, hearing aid follow-ups, counseling and hearing aid dispensing are provided.

Community Outreach

Hearing screenings are offered for people of all ages in communities throughout Nassau County and western Suffolk. A certified audiologist can bring equipment directly to a quiet room at your site. Recommendations are made for each patient if further evaluation is necessary. A phone call is all it takes to begin. Our staff will be happy to answer your questions and set up an appointment. In addition, one of our audiologists would be happy to come and speak to your group about hearing aids if there is a need. A mobile van is available, which is totally equipped with state of the art equipment and handicapped accessibility.

Rehabilitative Services

We offer **individual** aural rehabilitation sessions for adults who wear hearing aids. These sessions include speech reading and auditory training, and counseling. We also offer these sessions in a **group** format.

Additional Services

Center for Hearing Health offers the following:

- Custom ear molds, musician plugs, swim molds, hearing aid supplies, hearing aid batteries and accessories.
- In house hearing aid repairs
- Outside hearing aid repairs

We also have a “Complete Assistive Listening Device Room” where you can experience firsthand ALD devices at your fingertips.

We provide **FREE hearing screenings** at the center and **FREE hearing aid help** for anyone who is having difficulty with their hearing aid and needs assistance.

III. Vision Statement

Mill Neck Services, Inc. will continue to be the recognized leader in provision of services to people who are Deaf and hard of hearing by providing, service coordination, hearing health services, interpreting, habilitation and employment services on Long Island and within the New York Metropolitan Region, a regional, national and international leader in resources and partnerships throughout New York State.

IV. Corporate Compliance Overview

Mill Neck, (hereinafter “Mill Neck”) in cooperation with the Mill Neck Family of Organizations has established a Corporate Compliance Plan tailored to its goals. Mill Neck is dedicated to managing and operating its programs in keeping with the highest of business, ethical and moral principles. Each employee, agent, member of the Board of Directors, consultant, business associate, volunteer, and intern contributes to achieving these principles by conducting business activities for and with the agency with integrity and high ethical standards at home and abroad. Ethical standards shall be maintained despite possible prevailing contrary practices elsewhere.

Administrators, supervisors and managers also contribute to achieving these principles by exercising good leadership and being a good example in creating and promoting a workplace environment in which compliance and ethical business conduct are expected.

Mill Neck has adopted the following definition of Corporate Compliance:

"A Corporate Compliance plan is a system which is designed to detect and prevent violations of law, as well as the likelihood of unethical activity by agency, employees, volunteer, and interns, contractors, business associates, Officers and Directors."

Mill Neck will transact its business in compliance with the laws of the jurisdiction in which it does business, including local, state and federal jurisdictions. As a not-for-profit agency, Mill Neck will conduct business in compliance with all IRS regulations governing tax-exempt organizations and refrain from any private inurement and benefit issues. Instances where questions arise concerning interpretation or applications of laws and regulations should be referred to the CEO, Executive Director or Director of Corporate Compliance. Applicable law includes, but is not limited to, anti-kickback statutes, labor laws, tax code and regulations, antitrust laws, copyright laws, false claim laws, participant's rights laws and environmental laws.

As used in this Corporate Compliance Plan, the following definitions apply:

1. Representative(s): Employees, agents, board members, committee members, volunteers, interns, consultants, contractors, business associates and others working for or on behalf of Mill Neck.
2. Staff: Employees (including managers, supervisors and administrative personnel), volunteers, interns and any persons working directly under the control and supervision of a Mill Neck employee, supervisor, officer, or board member.
3. Agency: Mill Neck and its affiliated members of the Mill Neck Family of Organizations.

4. Participants: Individual persons, participants / participants, and business entities who receive or contract to receive services from Mill Neck.

V. Code of Business Conduct & Ethics

A. Overview

The Code of Business Conduct & Ethics provides Mill Neck employees, agents, members of the Board of Directors, consultants, business associates, volunteers and interns with information necessary to adhere to the high ethical principles the agency lives by. Mill Neck Family of Organizations is accountable for compliance not only with the Code of Business Conduct & Ethics, but also with all laws and regulations applicable to our activities, and other policies and procedures prepared by our agency and oversight bodies.

B. Honesty and Integrity

Honest and Integrity are what this Code of Business Conduct & Ethics is all about; they define our relationships with participants, outside agencies, business partners and business associates, and each other. By maintaining the highest level of corporate integrity through open, honest and fair dealings, we earn trust for our services and ourselves from everyone with whom we come in contact.

C. Standards of Conduct

Mill Neck has adopted the following standards and will advise all representatives that they are expected to comply with these standards:

1. Business Principles

A. Maintain the Confidentiality of Agency Records

The agency is responsible and accountable for the integrity and protection of its business information. All agency records and documents (in any form or media) are the sole property of the agency and thereby considered confidential by its nature, except as provided by law or regulation. No Mill Neck representative shall disclose to others any confidential information obtained during the course of employment, work (paid or unpaid) or receipt of reports, which have not been published or disclosed, to the public. Documents and electronic media containing sensitive information on participants, staff, consultants, volunteer, interns, board members and other representatives of the agency must be carefully handled and properly secured. If any Mill Neck representative observes or becomes aware of a breach of this policy including misuse of confidential information, or an unauthorized or unrecognized individual using a computer terminal in an area familiar to you, immediately contact a supervisor.

B. Avoid Unauthorized Use of Agency Assets

It is the obligation of all agency representatives to protect the assets of the agency. Agency property, such as office supplies, office equipment, and property, may not be used for personal reasons. Any misuse or misappropriations of agency funds, information, equipment, facilities or other assets may be considered criminal behavior and can bring severe employment and legal consequences.

C. Maintain the Corporate Image

The agency's reputation and identity are among its most valuable assets. All agency representatives are expected to conduct themselves in a manner that reflects positively on the agency's image and identity, both internal and external. No one should act in a way that adversely affects the reputation or image of the agency with employees, volunteers, interns, participants or with the community at large.

Each agency representative should endeavor to deal fairly with the agency's participants, consultants, suppliers, competitors and other employees. No one should take advantage of anyone else through manipulation, concealment, abuse of privileged information, misrepresentation of material facts, or other unfair- dealing practice.

D. Have Job Accountability

Each employee is responsible for knowing and executing the responsibilities of his or her job. This means the individual is held accountable for the quality of the work he or she produces. In addition, Management is responsible for ensuring that they have provided their employees with the necessary information to do their jobs.

E. Avoid Conflicts of Interests

The goal of Mill Neck is to avoid, where possible, even the appearance of impropriety by avoiding Conflicts of Interest. Therefore, it had adopted the following guidelines related to Conflicts of Interest and Related Party Transactions and shall include these guidelines in its advice to all representatives.

Each agency's representative has a primary business responsibility to the agency and is expected to avoid any activity that may interfere or have the appearance of interfering with their performance. A Conflict of Interest arises whenever the personal or professional interest of a representative is or may be at odds with the best interests of Mill Neck. A Conflict of Interest exists if a representative's outside business or other interests may affect adversely, or have the potential to affect adversely, his or her motivation, objectivity, loyalty or performance. In addition, a potential conflict of interest occurs when the representative's individual personal or private interests might lead an independent observer to reasonably question whether the representative's professional actions or decisions are influenced by significant personal interest, financial or otherwise.

A related party transaction exists when there is a transaction between Mill Neck or any affiliated member of the Mill Neck Family of Organizations and one or more of its directors or officers or any other corporation, firm, association or other entity in which one or more of its directors or officers are directors or officers or have a substantial financial interest. A related party transaction is always a Conflict of Interest under this policy, but a Conflict of Interest is not necessarily limited to related party transactions.

Representatives must avoid any relationship or activity that might impair, or even appear to impair, their ability to make objective and fair decisions when performing their jobs. At times, a representative may be faced with situations in which business actions taken on behalf of Mill Neck may conflict with the representative's own personal interests. Company property, information or business opportunities may not be used for personal gain.

Agency representatives shall not participate in the selection, award or administration of a contract supported by Federal or state funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when the representative or any member of his or her immediate family, his or her partner, or when the agency employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award.

Before engaging in any activity, transaction or relationship that might give rise to a conflict of interest, and if any matter exists that might be a conflict of interest or creates the appearance of a conflict of interest, representatives must seek review from their manager, agency business contact, or the Human Resource department. Employees with a conflict-of-interest question should seek advice from the Human Resources Department.

1. Procedure for Disclosing a Conflict of Interest

If, following review as required above, a conflict of interest, related party transaction, or the potential for either is recognized, the representative shall make immediate disclosure of the same as follows. Employees, (including interns, volunteers, and Board members), contractors, Business Associates and consultants shall disclose conflicts of interest or related party transactions to the Chief Executive Officer, Superintendent of Mill Neck Manor School for the Deaf and Early Childhood Center, President of the Foundation, and Executive Director of Mill Neck, who shall immediately report the disclosure to the Chairman of the Board. Disclosure shall be made in writing, describing the material facts related to the conflict of interests or related party transaction.

2. For Mill Neck Staff

Mill Neck has adopted and will advise its staff of the following policies:

Mill Neck staff are not permitted to enter into private agreements with existing Mill Neck participants and their families or other associates unless they receive special permission from the CEO or Executive Director. Employment relationships, barter agreements or other exchanges of services are all strictly prohibited. Staff must respectfully decline such requests and report such requests immediately to their supervisor.

This policy applies to all of the following services: Day Services, Medicaid Service Coordination, Interpreting, Community Habilitation, Employment Services, Respite or any other privately requested service.

Entering into private agreements creates a conflict of interest, confuses the participants and their families, undermines the agency's work and mission and will result in job termination.

If a participant or their family requests that staff provide private services, staff must explain that this is against policy and direct the participants or family members to their supervisor. Mill Neck will, in turn, arrange for services with the participants and/or family member through existing departments, if the request is deemed appropriate.

F. Adhere to the Agency Media Communication Policy

It is the agency's policy to provide open, accurate, and consistent communication with the public. To maintain the consistency and accuracy of the information, agency spokespersons are designated to respond to all inquiries. Only these designated spokespersons are authorized and responsible for releasing information at the appropriate time and for guarding against the inadvertent disclosure of confidential information. All inquiries regarding the Media Communication Policy should be directed to the Chief Executive Officer.

G. Quality of Care

Mill Neck has adopted the following standards and will advise all representatives that they are expected to comply with these standards:

1. Refrain from Abuse

Agency representatives shall not engage in any activities that constitute abuse of persons receiving services as defined in the regulations of the Commissioner of the NYS Office of People with Intellectual and Developmental Disabilities (OPWDD) Failure to exercise one's duty to intercede or to report any activity which may be considered abuse will constitute abuse.

2. Follow a Participant's Service Plan

Agency employees and staff are expected to comply with a participant's service plan and communicate any changes in the plan to the necessary parties in accordance with regulatory requirements and program policies and procedures.

It is not acceptable for participants to carry out the duties of employees unless such tasks are described in their plan of services by their program planning team and for the purpose of increasing their skills.

3. Maintain Appropriate Interactions with Participants

Agency representatives must maintain professional relationships with the participants they serve. There shall be no personal financial transactions between agency representatives and participants or their family/responsible party. Financial transactions, which may be construed as exploitation or result in greater benefit to the employee or agency representative than the person receiving services will be considered abuse.

The receipt of any personal gift by any agency representative from any participants receiving services or their family member/responsible party is discouraged and needs to be avoided. Depending on the circumstances a gift of nominal value (\$50.00 or less) may be allowed. Any gift must be disclosed to the supervisor to determine whether the gift may or may not be accepted to avoid a conflict of interest. Should a family member/responsible party be interested in donating to the agency they should contact the Executive Director.

All agency representatives are expected to maintain a professional demeanor with participants. It is also expected that employees shall model appropriate and acceptable behavior while in the presence of participants.

4. Safeguard Participant Privacy

Agency representatives shall treat all participants and program information as confidential and utilize such information in a professional manner at all times. Access to participant information must be limited to the extent permitted by the agency policies and procedure pursuant to state and federal law. In addition, release of information pertaining to HIV/AIDS is subject to additional regulatory requirements and should not be released without proper authorization from the Director or Associate Director of Mill Neck. Any Mill Neck representative who engages in unauthorized disclosure, access to, or misuse of information in violation of the privacy rights of our participants, or others may be subject to disciplinary action in addition to civil or criminal sanctions. Any Mill Neck representative who becomes aware of such unauthorized disclosure should immediately report this to their supervisor, Executive Director or Director of Corporate Compliance.

H. Medical Practices

Mill Neck has adopted the following standards and will advise all representatives that they are expected to comply with these standards:

1. Follow Regulations Regarding Control of Medications

It is the agency policy that all Mill Neck representatives shall be diligent in discharging their obligations regarding prescription drugs and controlled substances in accordance with applicable laws, regulations and agency policies and procedures.

The agency is legally responsible for the proper distribution, handling of and prevention of unauthorized access to pharmaceutical products. The diversion of any prescription drug or controlled substance, including a drug sample, in any amount for any reason to an unauthorized individual or entity is forbidden.

Mill Neck representatives may not use drugs stored in agency programs intended for the use of participants.

I. Legal Obligations & Compliance

Mill Neck has adopted the following standards and will advise all representatives that they are expected to comply with these standards:

1. To Maintain a Safe and Healthful Workplace

The agency has a commitment to maintain a safe and healthful workplace for agency representatives and people receiving services. As part of this commitment, the agency maintains reasonable safety rules, practices and procedures for all employees. At the same time, the agency expects employees and staff to be efficient and productive in performing their job assignments.

The agency provides a safe and healthy work environment by adhering to the laws, regulations and commonly accepted safe practices in accordance with federal and state laws regarding occupational and environmental safety.

Laws and policies regarding hazardous materials, pollutants and medical waste must be strictly followed by Mill Neck representatives.

2. Refrain from Misrepresentation

Honesty based on clear communication is the cornerstone of ethical disclosure of information. The agency and representatives shall be honest and make no representation or dishonest statements in conducting agency business affairs. Representatives must report and record all information accurately and honestly including all marketing materials, participant records, and requests for payment, time sheets, financial reports and other similar documents, which relate to business activities. Marketing materials will accurately reflect certification, licensure and services available.

In addition, representatives must not make false statements with respect to the condition or operations of any program nor make false statements with respect to information regarding ownership and control of a facility or program.

3. Refrain from Engaging in Unfair Trade Practices

All agency representatives are expected to comply with all laws pertaining to the restraint of trade and fair competition. Such laws generally forbid any kind of understanding or agreement (written or verbal) between competitors to fix and control fees or payments for services or products, or to engage in any other conduct that results in restraints of competition.

Unfair methods of competition and deceptive acts or practices are also prohibited.

4. Adhere to Tax-Exempt Requirements

The Agency is a tax-exempt entity under the rules and laws of New York State and the Federal Internal Revenue Service. In order to comply with applicable law, the Agency must operate for the benefit of the community and avoid "private inurement" or "private benefit" as defined by these laws. Criminal penalties may be exercised if a violation of these tax laws is found and substantiated. In this regard, Mill Neck representatives shall be familiar with these restrictions:

- The agency sales tax exemption is used only for legitimate agency business and service transactions.
- Personal items cannot be purchased through the agency even if reimbursement is offered.
- All appropriate withholding taxes must be applied to staff wages.

5. Comply with Fundraising Standards

The agency adheres to acceptable fundraising standards. Only fundraising activities, which benefit the agency and the programs or services are allowed, and must be specifically authorized by the CEO, Executive Director or designee. Fundraising events must be consistent with the mission, vision, goals, mandates and values of the agency.

Any representative that obtains funds as a result of fundraising activities on behalf of the agency must promptly deposit the funds with the Business Office for appropriate record keeping and cash controls. A receipt for funds deposited must be obtained from the appropriate Business Office Personnel.

Fundraising reports are issued regularly and comply with applicable laws and regulations associated with the agency licenses and not-for-profit law.

6. Submit Accurate Billings and Financial Reports

The Agency shall ensure that all billing and reporting of services are documented and reported in accordance with all applicable federal and state laws, rules and regulations. Billing activities are to be performed in a manner consistent with Medicaid and other payers' regulations and requirements. The agency will comply with all pertinent regulations in billing practices,

including, but not limited to, specific program requirements, need for service, procedure codes, bad debt reporting, credit balances, and duplicate billing.

All billing and claims generated must accurately reflect that services rendered are supported by relevant documentation and are submitted in compliance with applicable laws, rules, regulations, and program requirements. Agency shall not knowingly make or present improper, false, fictitious or fraudulent claims to any government or private health care program, employee, department or agency, such as

- Misrepresentation of Services
- Duplicate Billing
- Multiple Coverage and Secondary-Payroll Fraud
- False Claims Statements
- Falsifying Dates on a Claim

The Agency shall ensure that those responsible for completing and submitting financial reports will do so in accordance with acceptable accounting practices and legal obligations. In furtherance of this policy, the agency has adopted those specific guidelines found in Attachment E hereof, which shall be included in staff training and in other advice given periodically to staff.

7. Refrain from Accepting Kickbacks

Agency policy prohibits acceptance of kickbacks. A kickback or bribe may be defined as any money, fee, commission, credit, gift, and gratuity, thing of value or compensation of any kind that is provided directly or indirectly, and that has as one of its purposes, the improper obtaining or rewarding or favorable treatment in a business transaction.

No representative shall solicit, receive, offer to pay, or pay remuneration of any kind in return for referring an individual for items or services, or purchasing, leasing, ordering or arranging for goods, facilities, services or items for which payment may be made under federal, state, or local health care programs.

All representatives should avoid the offering or receipt of a gift in circumstances where it could appear that the purpose of the gift is to influence the agency's relationship with a vendor, regulator or other person or entity. The receipt of any gift by any agency representative from a participant's representative, vendor, contractor, etc. must be disclosed to the supervisor to determine whether the gift may or may not be accepted to avoid a conflict of interest

8. Be Familiar with Regulations Governing Areas of Responsibility

The agency is licensed by a number of regulatory and accreditation organizations. Representatives are responsible for the compliance with these licenses as more fully set forth below:

- Be familiar with program regulations governing areas of responsibility, receive and understand new regulations and/or expectations and to inform the supervisor or appropriate agency administrator of any possible issues of noncompliance.
- Insure that a Certificate of Need, or similar documentation, is properly submitted to the respective licensing organization, as required, to establish and/or change service provisions.
- Insure that questions of training and compliance with the submission of a Certificate of Need or the application of regulations should be referred to the respective supervisor and/or administrator.

J. Human Resources Principles & Community Involvement

1. Comply with Labor & Employment Laws

The agency fully complies with all applicable labor laws and statutes regarding employee-employer relationships and workplace environment.

The agency employs only persons who are legally authorized to work in the United States consistent with federal laws. Individuals who are perspective candidates and who are U.S. citizens or who possess a “green card” or work visa are entitled to be hired. The appropriate documentation of citizenship status must be presented to the Human Resources Department at the time of hire.

3. Comply with Payroll Deductions

The agency fully complies with the salary basis requirements of the Fair Labor Standards Act (FLSA). Therefore, the agency prohibits all company Management Staff as well as the Payroll Office from making improper deductions from the salaries of employees.

4. Embrace Diversity

The agency respects and welcomes diversity in its employees, participants, contractors, and other representatives.

There shall be no discrimination activity against any person for any reason, including race, color, religion, national origin, creed, age, gender, ethnic background, sexual orientation, hearing status or disability except where a bona fide occupation qualification is involved.

The agency is committed to fostering, cultivating and preserving a culture of diversity and inclusion. We embrace and encourage our employees’ differences in age, color, disability, ethnicity, hearing status, family or marital status, gender identity or expression, language, national origin, physical and mental ability, political affiliation, race, religion, sexual orientation, socio-economic status, veteran status, and other characteristics that make our employees unique.

Our human capital is the most valuable asset we have. The collective sum of the individual differences, life experiences, knowledge, inventiveness, innovation, self-expression, unique capabilities and talent that our employees invest in their work represents a significant part of not only our culture, but our reputation and organizations’ achievement as well.

The agency’s diversity initiatives are applicable—but not limited—to our practices and policies on recruitment and selection; compensation and benefits; professional development and training; promotions; transfers; social and recreational programs; layoffs; terminations; and the ongoing development of a work environment built on the premise of gender and diversity equity that encourages and enforces:

- Respectful communication and cooperation between all employees.
- Teamwork and employee participation, permitting the representation of all groups and employee perspectives.
- Work/life balance through flexible work schedules to accommodate employees’ varying needs.

- Employer and employee contributions to the communities we serve to promote a greater understanding and respect for the diversity.

The agency is committed to equal employment opportunity.

5. Display Ethical Personal Conduct

Mill Neck has adopted the guidelines and standards to encourage the display of ethical personal conduct and to prevent harassment and bullying at the work place, as more fully set forth in the Employee Manual.

6. To Maintain Employee Privacy

Every employee has the right to confidentiality of certain employment records as well as the privacy of personal activities outside of business hours. In turn, the agency has rights of access to all agency property and communication, records and information created in the business setting. By using agency property and/or creating such records and information, the employee consents to such access.

The agency will not release information regarding our current employees without written consent unless it is required by a program surveyor subpoena. An internal investigation may at times require the review and/or release of certain personnel information to agency personnel, law enforcement, and/or oversight bodies.

7. Refrain from Substance Abuse and Unsafe Workplace Behavior

In order to provide a safe and healthful workplace for agency representatives and participants, and to promote an efficient and productive workforce representatives are prohibited from:

- Manufacturing, selling, purchasing, transferring, using or possessing illegal drugs, narcotics, or other unlawful substances or materials on the agency premises, or while conducting business for the agency;
- Manufacturing, selling, purchasing, transferring, using or possessing on the agency's premises, substance or materials not authorized by the agency (such as firearms, weapons, intoxicating beverages, drug paraphernalia, or medically authorized drugs used improperly or unsafely).
- Reporting to the workplace or working if their ability to perform their job is impaired by the use of alcohol, a controlled substance, an illegal substance, or prescribed medication.

VI. Board Member Code of Ethics

As the governing body of the agency the Board of Directors has responsibility for the care, management, and control of the agency and must be held to the highest of ethical and moral standards. The Board of Directors recognizes that established ethical standards of fairness, honesty and integrity are essential to the proper conduct of the Board of Directors in upholding its governance responsibilities. Due to this additional level of responsibility and accountability all Board Members are expected to:

- Serve as positive role models in the community.
- Listen carefully to other Board members, staff and participants.
- Respect the opinion of fellow Board members.
- Respect and support the majority decisions of the Board.
- Recognize that all authority is vested in the full Board when it meets in legal session and not with individual Board members.

- Keep well informed of developments that are relevant to issues that may come before the Board.
- Participate actively in Board meetings and actions.
- Call to the attention of the Board any issues that may have an adverse effect on the agency.
- Refer any complaints to the Board Chairperson and the Executive Director.
- Recognize that the Board member's job is to ensure that the agency is well managed, not to manage the agency.
- Vote to hire the best possible person to manage the agency.
- Represent all constituents of the agency and not a particular geographic area or special interest groups.
- Do their best to ensure that the agency is well maintained, financially secure, growing and always operating in the best of interest of constituents.
- Always work to learn more about the Board member's job and how to do the job better. Declare any conflicts of interest between their personal life and their position on the agency board, and avoid voting on issues that appear to be a conflict of interest.

In addition, Board Members will not:

- Be critical, in or outside of the Board meeting, of fellow Board members or their opinions.
- Use the agency or any part of the organization for personal advantage or the personal advantage of friends or relatives (other than for purposes of receiving services within the normal procedure of the agency).
- Discuss confidential proceedings of the Board outside the Board meetings.
- Vote on any issue without fully understanding the issue.
- Interfere with the duties of the Executive Director or undermine the Executive Director's authority.

The Board Member Code of Ethics is reviewed and signed by Board Members upon their assignment to the Board and annually thereafter.

VII. Standards & Expectations

In addition to the Code of Business Conduct and Ethics, the agency has established written standards and expectation for all employees and staff. Mill Neck believes that these standards and expectations define the personal characteristics and qualities, which contribute to the fulfillment of its mission. They were developed with the understanding that each person has strengths and weaknesses, not all employees will have every identified characteristic and quality, but all will work toward the acquisition and mastery of them. These standards and expectations are separate into the following:

- Staff Standards and Expectation (**Attachment A**)
- Management Standard and Expectations (**Attachment B**)

The appropriate Standards and Expectations are reviewed and signed by all new personnel during orientation.

VIII. Screening Applicants

The agency will require all job applicants who have been selected for employment to complete a series of background checks to assure that there are no historical/personal incidents involving the applicant, which would adversely affect their ability to carry out their job duties or call into question their personal character in performing their job. Current employees are required to inform their supervisor immediately

of any changes in their driving record, criminal background and child abuse history. Supervisors must inform the Director of Human Resources of any change reported.

IX. Director of Corporate Compliance & Compliance Committee

The Director of Corporate Compliance directs the Compliance Plan with the support of the Corporate Compliance Committee, and Sub Committee

The Corporate Compliance Committee is comprised of Administrative Management Staff appointed by the Director of Corporate Compliance. The Corporate Compliance Committee will meet at least quarterly to review the status of the Corporate Compliance Plan, present and discuss potential compliance concerns and issues, and recommend changes to the program and/or department. The Corporate Compliance Committee will report to the Corporate Compliance Board Committee at least quarterly. The Corporate Compliance Board Committee Chair will report any significant information to the Agency Board of Directors during regularly scheduled meetings. (**Attachment C**)

X. Outside Legal Counsel

Outside legal counsel is available to assist the Chief Executive Office, Executive Director, Board of Directors, Administrative Team, Director of Corporate Compliance and Corporate Compliance Committee as needed to identify and interpret federal and state laws and regulations in the Corporate Compliance Plan, assist in maintenance of the plan, and provide legal advice to Mill Neck Family of Organizations with respect to any aspect of the Corporate Compliance Plan.

Outside legal counsel may be notified at the discretion of the Chief Executive Officer, and Executive Director of incidents that have a reasonable cause to support the assertion of non-compliance, at which time the Director of Compliance will be responsible for facilitating an investigation. The results of the investigation will be used by legal counsel to provide legal advice to the Director of Compliance, Compliance Committee. Failure to report could lead to disciplinary measures.

XI. Reporting Suspected or Known Violation

All representatives have a responsibility to report in a timely fashion any violations of the Code of Business Conduct & Ethics. The Corporate Compliance Plan encourages individual responsibility for reporting any activity by any agency representative or affiliate that reasonably appears to violate applicable laws and regulations or Corporate Compliance requirements. Any notice regarding potential litigation against the Agency and/or suspected violations of law by the Agency must be reported to the Chief Executive Officer and the Executive Director.

The Agency has an open door policy that encourages agency representatives to share their concern questions, concerns, suggestions or complaints with someone who can address them properly. In most cases, an agency representative's supervisor is in the best position to address an area of concern. Supervisors and managers are required to notify the Director of Corporate Compliance of any reported violations of the Code of Business Conduct & Ethics. If the violation was reported verbally to the supervisor or manager, the reporting individual, with the assistance of the person they reported it to, shall write up the concern and forward it to the Director of Corporate Compliance.

When a representative is not satisfied with their supervisor's response, is not comfortable speaking with their supervisor, or if at any time the representative prefers he or she can contact the Director of Corporate Compliance directly. The agency has established a separate email account called the Coddo@millneck.org. This reporting system provides representatives the ability to report potential Corporate Compliance violations 24 hours a day. The email, may also be used to pose questions regarding any compliance issues. Should the sender leave their name and number the Director of Corporate Compliance will respond to any questions within 10 business days or less. Agency representatives can also contact the Director of Corporate Compliance directly at [516-353-3447](tel:516-353-3447).

Any concern about the Executive Director should be reported to the Director of Corporate Compliance, who will in turn notify the Board Chairperson. A concern involving the Director of Corporate Compliance actions or determinations should be brought directly to the Executive Director.

Questions or concerns about any ethical or legal issue may be raised without concern for disciplinary action as long as they are made in good faith. Representatives will not be subject to reprisals for reporting or supplying information about potential violations, except in cases where those employees are responsible for the violation or when deliberate false reporting has occurred. It is expected that all representatives will fully cooperate with any investigation of potential violation.

If any agency representative needs guidance on a legal or ethical question or has witnessed or has knowledge of an illegal or unethical activity, he or she should seek the counsel of the agency Director of Corporate Compliance. Failure to report could lead to disciplinary measures.

XII. Whistleblower Protection

The Whistleblower Protection is intended to encourage and enable representatives and others to raise serious concerns within the Agency prior to seeking resolution outside the Agency.

Questions or concerns about any ethical, legal, and/or regulatory issues may be raised without concern for disciplinary action as long as they are made in good faith and there is reasonable grounds for believing the information disclosed indicates a violation of the Code of Business Conduct & Ethics.

Representatives will not be subject to reprisals for reporting or supplying information about potential violations, except in cases where those representatives are responsible for the violation or when deliberate false reporting has occurred. Representatives may also protected under this provision and federal and state laws against any form of retaliation. .

Any allegations that prove not to be substantiated and that prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

Any representative who retaliates or harasses someone who has reported a violation in good faith is subject to disciplinary action up to and including termination of employment. It is expected that all representatives will fully cooperate with any investigation of potential violations. New York Labor Laws also protect employees from retaliatory practices.

XIII. Investigations & Corrective Action

Any suspected violations will be directly investigated by or overseen by the Director of Corporate Compliance. All investigations will be treated confidentially to the extent consistent with corporate interests and legal obligations. Investigations into suspected violations will be documented and submitted to the Chief Executive Officer and Executive Director for review. If the results of an

investigation indicate that corrective action is required, the agency will decide the appropriate steps to take, including employee discipline, dismissal and possible legal proceedings. If appropriate, the investigation may be turned over to applicable outside authorities, and outside investigators may assist in the inquiry.

XIV. Response & Discipline for Violations

Each representative is responsible for conducting him or herself according to legal and ethical standards. No one has the authority to make another person violate the Corporate Compliance Plan, and any attempt to direct or otherwise influence someone else to commit a violation is a violation in itself. Representatives who violate provisions outlined in this plan could be subject to appropriate disciplinary action, up to and including termination. In addition, violations identified in the "Zero Tolerance Statement" (**Attachment D**) will result in immediate termination.

Representatives who violate the Corporate Compliance Plan may also be subject to substantial criminal fines, prison terms and civil damages for violating laws and government regulations.

XV. Compliance Training

All new employees will be introduced to the Corporate Compliance Plan during Employee Orientation. This introduction will include the nature and scope of the Corporate Compliance Plan, methods to report violations, and disciplinary measures for violating the plan. This orientation will be supplemented by specific regulatory training geared toward the employee's responsibilities within the first three month of employment. Annually, at the beginning of the calendar year, all agency employees will receive a written correspondence summarizing the purpose of the Corporate Compliance Plan, the employee's responsibility, and any updates of regulatory information needed to ensure that employees are current in their knowledge.

All other representative i.e. volunteers, interns, consultants, committee members, and Board Members will be introduced to, and kept updated on any changes in the Corporate Compliance Plan through the manager who will provide direct oversight to him or her.

XVI. Compliance Auditing

The Director of Corporate Compliance and Corporate Compliance Committee are responsible for ensuring that internal and external corporate compliance auditing takes place on a regular basis. Compliance related audits are conducted as a result of an investigation or as a proactive means of monitoring compliance in areas of actual or potential risk.

The Director of Corporate Compliance is primarily responsible for auditing the Corporate Compliance Plan. This shall include periodic and regularly scheduled reviews of documentation, billing, claims processing and reimbursement procedures as well as practices that are mandated to ensure adherence to federal and state regulations.

Audit findings and recommendations are reported to the Chief Executive Officer, Executive Director, the Corporate Compliance Committee, and the appropriate agency administrator. As needed or requested response plans will be completed by the operational management and incorporated into the final audit report.

XVII. Wrongful Billing

It is agency policy that all service documentation will be an accurate reflection of services provided and that only those eligible to receive services per regulatory requirements will be billed for. Upon discovery or suspicion that the agency may have wrongly billed for services that were either not rendered or not allowable per regulatory requirements steps will be taken in a timely manner to investigate the situation when necessary void or adjust the billing per agency guidelines. This also includes situations where the billing was submitted correctly to the Business Office, however was not processed correctly and thus a billing error occurred. Should it become evident that an employee of the agency knowingly submitted a false claim it will be reported to the Office of the Medicaid Inspector General (OMIG) and Office of People with Intellectual and Developmental Disabilities (OPWDD), and the person's employment will be terminated. In addition, the agency will monitor for other situations which may be appropriate for self-disclosure to the OMIG and OIG including, but not limited to:

- Substantial routine error.
- Systematic errors.
- Patterns of errors.

XVIII. Certification

Upon the first day of employment or at the onset of the relationship with the Agency, each representative will receive a copy of the Agency Code of Business Conduct & Ethics for review and signature. In addition, all employees will upon completion of the Corporate Compliance Training, receive certification that the agency Corporate Compliance Plan has been reviewed with them.

XIX. Exclusion Screenings

Mill Neck, under the Sections 1128 and 1156 of the Social Security Act and 18 NYCRR 515.5, providers of Medicaid Services will not employ or be affiliated with excluded persons or entities. Mill Neck will conduct screenings of employees, affiliates, and contractors against the lists of disqualified providers on a monthly basis under the requirements of the New York State Office of Medicaid Inspector General and the U.S. Department of Health & Human Services. These screenings will also be conducted when an employee is first hired. (Exclusion Screening Lists: NYS Office of the Medicaid Inspector General's List of Restricted, Terminated or Excluded Individuals or Entities, Office of the Medicaid Inspector General List of Excluded Individuals/Entities, and the US General Services Administration's Excluded Parties Listing System)

XX. Conclusion

The Corporate Compliance Plan has been prepared to outline the broad principles of legal and ethical business conduct embraced by the agency and the Mill Neck Family of Organizations. It is not a complete list of legal or ethical questions that the agency may face in the course of business, and therefore this plan is intended to be used together with the common sense and good judgment of each representative, officer and board member. In addition, for specific guidance in certain areas covered by this plan, the agency are adopting detailed policy and procedure manuals. Employees and all representatives are encouraged to contact their supervisor or the agency Director of Corporate Compliance with any specific concerns or questions.



Attachment A: Staff Standards and Expectations

Mill Neck is committed to manage and operate its programs using the highest business, ethical and moral principles. All staff members contribute to achieving these principles by conducting business activities for the agency with integrity and high ethical standards. Exercising good judgment and being a good example to one's peers and participants assists in creating a positive workplace environment in which compliance and ethical business conduct are expected. All Mill Neck staff are expected to strive towards and comply with the following standards and expectations:

I. Ethical and Professional Conduct

Ethical and professional conduct is an essential element of a good employee. Ethical personal conduct means treating oneself and others with respect and fairness. By maintaining the highest level of corporate integrity through open, honest and fair dealings, we earn trust for our services and ourselves. Mill Neck Representative expects all staff to act in a way that positively affects the reputation of the Agency with employees, volunteer and interns, and participants and with the community at large.

A Mill Neck Representative:

- Maintains professional boundaries (Doesn't take participant behavior personally, maintains confidentiality of personal information and phone number, keeps personal life separate, sets boundaries on the first day of services, respects other's positions across the agency, values other's time and schedules)
- Upholds integrity (is fair, truthful, and honest)
- Respects people we serve (Doesn't talk in the presence of participants as if they are not there, encourages self-advocacy before intervening; communicates in sign language in front of sign language users)
- Is respectful of co-workers (treats others with positive regard)
- Adheres to Agency policies and procedures
- Demonstrates support of the Agency's philosophies and mission
- Treats all people equally
- Respectfully discusses confidential issues privately
- Does not engage in gossip

II. Effectively Working With Others

Teamwork is a key component of effectively working with others and creating a positive workplace. All staff are expected to be willing to not just work alongside others, but to actively support the Agency mission and positively find ways to fulfill that mission. Effectively working together means not thinking of yourself as having one narrow set of duties. It means actively pursuing ways of working together, it means listening to each other with a willingness to adjust how you do your job, and respecting the needs and opinions of others.

A Mill Neck staff member:

- Believes in teamwork (is a team player to ensure a participant is served, is a resource and a help to other staff; is willing at times to go beyond the job description when needed, recognizes we are all working towards a common goal)
- Communicates to all necessary parties to ensure best support for participants; gets feedback to ensure understanding
- Communicates clearly, consistently and in a timely manner
- Positively resolves conflict through proper channels
- Works to be a good problem solver (interjects ideas, provides opinions that are helpful; creates a positive solution)
- Openly recognizes other's achievements; acknowledges effort and accomplishments

III. Job Responsibility & Accountability

Each staff member is responsible for knowing and executing the responsibilities of his or her job. Each individual is held accountable for the quality of the work he or she produces. Staff should inform their supervisor if they are having difficulties completing their job responsibilities, are in need of assistance, and/or are uncertain regarding what their job responsibilities entail.

A Mill Neck staff member:

- Is flexible, within bounds, and finds a way to meet participant's needs (i.e. Doesn't give up just because it is "not a billable service", is willing to have a flexible schedule if possible)
- Recognizes their own limitations; asks for help when needed to avoid burnout
- Works to address problems (actively problem solves; doesn't just leave things at 'I didn't know what to do')
- Knows their job responsibilities and perseveres
- Is a good role model and teacher for participants and others
- Is able to work independently, is reliable and self-initiating
- Accepts change; views change as an opportunity (isn't resistant to new procedures)
- Recognizes participant behavior may be very difficult at times, and remains committed to service provision
- Creates systems to ensure smooth staff transitions, providing as much stability as possible for the participants
- Prioritizes workload; is time efficient; seeks supervisory feedback when having difficulty with *time* management
- Is a good planner; considers all possible outcomes, whether for work situations or participants behaviors
- Recognizes our focus is on the needs of the people we serve (doesn't conduct personal business at work and actively provides service)
- Pursues knowledge of individualized information for each participant (diagnosis, behaviors, past trauma, etc.) to have more understanding and sensitivity and to provide better service

IV. Personal Characteristics & Abilities

Being able to deal effectively with individuals or groups representing widely divergent backgrounds, interests, and points of view are personal characteristics and abilities desirable of all staff. A good staff member is someone who is empathetic, genuine, open, and flexible. They respect their peers and participants as persons and are sensitive to their individual differences (e.g., gender, race, and ethnicity). Staff should be able to identify their own strengths and limitations as a person, and be able to recognize how their approach may need to be adjusted when interacting with peers and participants.

A Mill Neck staff member:

- Is empathetic and caring for people served
- Demonstrates patience with others, allowing them to grow and learn at their own pace
- Is dedicated and wants to provide stability to participants
- Keeps a positive attitude even in difficult situations
- Creates a positive atmosphere
- Proactively seeks knowledge for tasks at hand
- Models acceptance of diversity

I understand that all Mill Neck staff are expected to comply with these Standards and Expectations and agree that it is important for me to uphold these Standards for my own benefit and the benefit of all staff at Mill Neck. I am, therefore, signing below to give my personal support to Mill Neck's commitment to manage and operate its programs using the highest business, ethical and moral principles.

Signed: _____

Print Name: _____

Date: _____



Attachment B: Management Standards and Expectations

Mill Neck is committed to manage and operate its programs using the highest business, ethical and moral principles. Supervisors and managers contribute to achieving these principles by exercising good leadership and being a good example in creating and promoting a workplace environment in which compliance and ethical business conduct are expected. All Mill Neck managers are expected to comply with the following standards and expectations:

I. Ethical and Professional Conduct

Ethical and professional conduct is an essential element of a good management. Ethical personal conduct means treating oneself and others with respect and fairness. By maintaining the highest level of corporate integrity through open, honest and fair dealings, we earn trust for our services and ourselves. In addition, it is expected that managers will conduct themselves in a professional manner that reflects positively on the Agency's image and identity. No one should act in a way that adversely affects the reputation or image of the Agency with employees, volunteers, interns and participants or with the community at large.

- Be professional in dress, language and image (within and outside of the workplace)
- Actively role-model appropriate behaviors
- Proactively address unethical or unprofessional conduct
- Be respectful of yourself and others
- Remain dedicated and loyal to the Agency and the people we serve
- Demonstrate support of the Agency's philosophies and mission
- Uphold integrity (be fair, truthful, and honest)
- Be highly credible and trustworthy
- Be willing to admit when they are wrong

II. Supervisory Abilities

The ability to effectively employ a variety of supervision interventions, and deliberately choose from these interventions based on the employees learning needs, learning style, and personal characteristics are important supervisory characteristics of a good manager. Managers must be able to function effectively in the roles of teacher, counselor, and consultant, making informed choices about which role to employ at any given time with a particular employee. Managers must also be comfortable with the authority and evaluation functions inherent in the supervisor role, giving clear and frequent indications of their evaluation of the employee's performance.

A. General Supervisory Skills:

- Clearly set realistic expectations and rules
- Give clear and concise directions
- Hold people accountable for performance
- Provide support to staff with actions, as well as words
- Apply your expectations and standards equally to all staff
- Adapt your supervisory style to how each individual best responds
- Have a vested interest in helping your staff succeed
- Be a team player (work side-by-side with staff)
- Hold yourself to the same standards you expect of other
- Be available to your staff when they need you
- Demonstrate leadership skills in all situations
- Be aware of your staffs needs and trends
- Be a good project manager; meet your own deadlines and expect staff to meet theirs
- Be sure you have, or learn, good organizational and planning skills

B. Communication Skills:

- Provide straight-forward communication; don't leave staff guessing
- Provide full, honest and accurate reasons and responses
- Actively listen to your staff
- Actively inform staff of all on-going issues and changes
- Respectfully discuss confidential issues privately

C. Mentoring/ Coaching Skills:

- Seize every opportunity to be a teacher
- Formally and informally act as a mentor
- Help your staff with their career aspirations
- Encourage success
- Recognize when an employee is struggling and provide guidance to overcome barriers Show your interest in staff as people
- Use strategies that are motivating and positive
- Allow staff the opportunity to balance their personal needs with work responsibilities
- Recognize and use all the talents and skills of your staff
- Encourage staff to feel ownership of their job
- Expect the best in others
- Help staff solve problems for themselves rather than providing them with solutions

D. Performance Feedback & Discipline Skills:

- Provide feedback for staff performance on a regular basis
- Regularly recognize good performance
- Positively address performance issues before discipline is needed
- Be willing to discipline staff when it's truly needed
- Directly address staff problem behaviors individually, don't avoid them by sending out general memos or directives

E. Problem Solving Skills:

- Be skillful at problem solving; learn to apply multiple strategies
- Actively address problems/concerns, don't avoid issues
- Be receptive to staff problems and solutions
- Do thorough research about a problem, investigating it before reacting
- Be willing to address staff conflicts

III. Job Knowledge

Each employee is responsible for knowing and executing the responsibilities of his or her job. This means the individual is held accountable for the quality of the work he or she produces. In addition, managers are expected to ensure their employees have the necessary information, direction, and support to do their jobs.

- Be aware of day-to-day happenings
- Be knowledgeable about your own job
- Be knowledgeable about your staffs jobs
- Be knowledgeable about other departments and programs
- Be willing to research, learn about and find answers for areas you don't understand

IV. Personal Characteristics

Managers are expected to deal effectively with individuals or groups representing widely divergent backgrounds, interests, and points of view. A good manager is someone who is empathetic, genuine, open, and flexible. They respect their employees as persons and as developing professionals, and are sensitive to individual differences (e.g., gender, race, and ethnicity) of the employee. Managers must have a clear sense of their own strengths and limitations as a supervisor, and be able to identify how their personal traits and interpersonal style may affect the conduct of supervision.

- Be resourceful; be open to suggestions and alternative methods of resolution
- Be accepting and sensitive to individual differences
- Act non-defensively, be level-headed and impartial
- Know your own strengths and weaknesses and work to compensate deficits
- Show a positive attitude; do not participate in damaging behaviors
- Be a team player, work well with other departments, colleagues and peers
- Always be approachable
- Take responsibility for your own behavior (Don't be a finger-pointer)
- Make decisions independently and swiftly
- Be invested in your job (Take your job seriously)

I understand the Standards and Expectations of all Management Staff and agree that it is important for me to uphold these Standards for my own benefit and the benefit of all staff at Mill Neck.

Signature _____

Print Name: _____

Date: _____



Attachment C: CORPORATE COMPLIANCE COMMITTEE

I. Role & Responsibilities

The role of the Corporate Compliance Committee is to provide oversight for regulatory and legal compliance issues and ensure Mill Neck meets or exceeds the highest standards of regulatory and legal accountability, as well as ethical activity by agency employees, volunteers, interns, contractors, officers and directors. In addition, the Corporate Compliance Committee's role is to advise the Director of Corporate Compliance and assist in the implementation of the Corporate Compliance Plan. The committee's responsibilities include:

- Analyzing the Agency's regulatory environment, the legal requirements with which it must comply and specific risk areas;
- Assessing existing policies and procedures that address these areas for possible incorporation into the compliance program;
- Working with appropriate departments to develop standards of conduct and policies and procedures that promote allegiance to the Agency's compliance program;
- Recommending and monitoring, in conjunction with the relevant departments, the development of internal systems and controls to carry out the Agency's standards, policies and procedures as part of its daily operations;
- Determining the appropriate strategy/approach to promote compliance with the program and detection of any potential violations, such as through the Corporate Compliance Hotline and other fraud reporting mechanisms;
- Developing a system to solicit, evaluate and respond to complaints and problems; and
- Monitoring internal and external audits and investigations for the purpose of identifying troublesome issues and deficient areas
- Implementing corrective and preventive action.

II. Statement of Confidentiality

Due to the extremely sensitive nature of certain Corporate Compliance Committee activities, i.e. employee discipline recommendations, etc., each member of the Corporate Compliance Committee will be held to the highest standards of confidentiality. Each Corporate Compliance Committee member will be expected to adhere to all Mill Neck Privacy Policies and Procedures. The information discussed at all Corporate Compliance Committee meetings will be considered confidential in nature. Mill Neck Board Chairperson reserves the right to investigate any instance of potential breach of confidentiality and take appropriate remedial action up to and including recommendation for termination or in the case of a Board Member, removal from the committee and Board of Directors.

III. Structure

The Compliance Committee will include:

Chief Executive Officer
Director of Corporate Compliance
Executive Director
Human Resources Director
Financial Directors, CFO and Controller
School Superintendent
Director of Audiology

IV. Expectations

Each Corporate Compliance Committee member will be expected to:

- Review the meeting agenda and any/all associated documents in advance of the Corporate Compliance Committee meeting (Agenda to be prepared by the Director of Corporate Compliance and submitted in writing and/or electronically.)
- Attend regularly scheduled meetings and be prepared to discuss the agenda items based on their area of expertise.

V. Meeting Minutes & Frequency

Meetings will be held quarterly. The Director of Corporate Compliance will notify committee members of the schedule at the beginning of the calendar year. In addition to regularly scheduled meeting Ad Hoc meetings may be necessary. The Director of Corporate Compliance is the only member of the Compliance Committee charged with calling an Ad Hoc meeting to address issues requiring immediate remediation.

Meeting minutes will be provided to each member of the committee in writing and/or electronically within one (1) week of the meeting. Any Corporate Compliance Committee Member wishing to make additions and/or changes to minutes must submit the requested additions and/or changes to the Director of Corporate Compliance in writing within one (1) week of receipt of the Corporate Compliance Committee meeting minutes. The Corporate Compliance Committee meeting minutes will be considered approved by all members as is if no request for changes are received within one (1) week.

The Director of Corporate Compliance will submit written documentation of all Compliance Committee activities, recommendations, and any/all other work product produced by the Committee to the Corporate Compliance Board Chairperson for review and/or approval as appropriate.

VI. Potential Compliance Committee Agenda Items

The following is a list of possible agenda items for discussion at Corporate Compliance Committee meetings:

1. Corporate Compliance Plan- review of the Corporate Compliance Plan
2. Progress toward implementation/revision of any Policies and Procedures associated with Corporate Compliance Plan.
3. Review of any Compliance issues at hand.
4. Review of previously discussed remediation items.
5. Review of any new and/or revised Policies and Procedures for adoption and approval.
6. Review of on-going monitoring/internal audit activities.

7. Review of any and all new laws, issues, guidelines, etc. which affect the on-going compliance of Mill Neck
8. Development of the Compliance Action Plan for the following year, as appropriate based on any trends and/or identified areas of vulnerability.

In the event that anyone (1) Corporate Compliance Committee member must discuss a compliance issue which may involve another Corporate Compliance Committee member a request may be made requiring the individual to be removed from the meeting until a full discussion of the issue can be conducted after which time the removed Corporate Compliance Committee member will rejoin the meeting.



Attachment D: Zero Tolerance Statement

Mill Neck continues to vigorously strive for the highest standards at all times. We are committed to maintaining a pleasant work environment that is a desirable and create a rewarding experience for employees. It is the responsibility of employees to maintain the highest standards of conduct for themselves. Every person has a responsibility to comply with and support our Zero Tolerance Statement and to behave in a manner that is respectable.

The intent of this policy is to set the expectation for those behaviors that Mill Neck has deemed as severe and unacceptable resulting in termination. When enforcing the zero tolerance standards the following should be considered: the intent of the offender, the effect of the transgression on others (both those directly and indirectly involved), and, finally the impact on the agency. The punishment should fit the "crime."

“Zero Tolerance essentially means that no intentional behavior will be tolerated that is deliberately perpetrated with the purpose of harming others or the agency, for personal gain or vengeance. Transgressions include but are not limited to: workplace violence, fraud, vandalism, theft of any kind, the use of any object as a weapon and/or conducting any type of illegal activity.”



Attachment E: False Claims Act and Whistleblower Act

I. Purpose:

Mill Neck is committed to prompt, complete, and accurate billing of all services provided to individuals. Mill Neck and its employees, contractors, and agents shall not make or submit any false or misleading entries, nor deliberately conceal any material fact, with respect to the proper administration of public assistance and care. It is the purpose of this policy to prevent any employee, contractor, or agent (as defined below) from engaging in any arrangement or participating in such arrangement at the direction of another person, including any supervisor or manager, that results in the submission of a false or misleading entry on claims forms or documentation of services, in order to obtain or attempt to obtain payment from public funds for services or supplies.

II. Policy:

It is the policy of Mill Neck to detect and prevent fraud, waste and abuse in federal, state and other public healthcare programs, as the same may be in violation of the Federal False Claims Act (31 U.S.C. §§ 3729-3733), the Administrative Remedies for False Claims (31 USC Chapter 38 §§3801-3812), the New York State False Claims Act, New York State Social Services Law, New York Labor Law, applicable Executive Orders, and any other federal or state laws, rules or regulations prohibiting the making of false statements or claims, health care fraud, and employee protections against retaliation. This policy also sets forth the procedures Mill Neck has put into place to prevent any violations of federal or New York State laws regarding fraud or abuse in its health care programs.

This policy applies to all employees, including management, contractors, and agents.

For purpose of this policy, a contractor or agent is defined as:

- Any contractor, subcontractor, agent, or other person which or who, on behalf of the Mill Neck, furnishes, or otherwise authorizes the furnishing of Medicare and/or Medicaid health care items or services, performs billing or coding functions; or
- Is involved in the monitoring of health care provided by the Mill Neck

It is further the policy of Mill Neck to prohibit discrimination against any employee for taking lawful actions to report violations of federal or state laws, rules or regulations pertaining to false claims, substantial and specific dangers to public health or safety, or health care fraud. Mill Neck will not take any retaliatory personnel action against an employee if the employee discloses information about policies, practices or activities of Mill Neck,

which policies, practices or activities violate any applicable law, rule or regulation provided such disclosure is to a regulatory, law enforcement or other government agency or public official having jurisdiction over the matter, including but not limited to providing information or giving testimony to any public body conducting an investigation, hearing or inquiry into any such alleged violations.

III. Procedures:

1. MILL NECK will provide training in this policy and procedure to all its employees, contractors, and agents. This training will be provided to all new employees; as part of the new employee orientation.
2. MILL NECK will perform billing activities in a manner consistent with the regulations and requirements of third party payers, including Medicaid and Medicare.
3. MILL NECK will conduct regular auditing and monitoring procedures as part of its efforts to assure compliance with applicable regulations.
4. Any employee, contractor, or agent who has any reason to believe that anyone is engaging in false billing practices or false documentation of services is expected to report the practice according to Mill Neck Reporting of Compliance Concerns and Non-Retaliation Policy and Procedure.
5. Any form of retaliation against any employee who reports a perceived problem or concern in good faith is strictly prohibited.
6. Any employee who commits or condones any form of retaliation will be subject to discipline up to and including, termination.

IV. Compliance with Policy and Procedures:

1. The Director of Corporate Compliance will ensure that all employees and agents receive training related to the contents of this policy and the False Claims Act. The Director of Corporate Compliance will ensure that records are maintained to document the receipt of training.
2. The Director of Corporate Compliance will assure that this policy and procedure is attached to any contract or agreement with outside contractors or agents (as defined by this policy).



Attachment F: Transparency, Accountability, Truthfulness and Legality

Mill Neck strives for openness, honesty, and truthfulness within the agency as well as with its dealings with the government, partners, beneficiaries, donors and members of the public.

The agency will give out accurate information to the public about its mission, policies, work, the origin and use of its resources, its basic financial information, its governance structure, strategies and activities, listing of officers and partnerships, on its website and will make its annual report open and accessible to the public. The annual report will demonstrate accountability to funding organizations, partners, the government, the beneficiaries, staff, and the public at-large.

Mill Neck will respect the laws of any jurisdiction in which it is active and will not be involved in financial improprieties, illegalities, corruption or bribery or partner with those that are. Quick action will be taken if any wrongdoing is found among its staff, governing body, volunteers, interns, contractors, or partners.

The agency will respect the obligations required by law within countries it works including, but not exclusive of, visa requirements, research permits, laws of incorporation, fundraising legislation, equal employment opportunity principles, health and safety standards, privacy rules, trademark and copyright legislation,

The organization is not to be part of, or controlled by, government or an intergovernmental agency. The organization shall not act as an instrument of government foreign policy, but act independently of governments. The agency shall not seek to implement the policy of any government, unless it coincides with the mission of the organization and the organization's own independent policy.



Attachment G: Record Retention Policy

The Mill Neck Family of Organizations takes seriously its obligations to preserve information relating to litigation, audits, and investigations.

The information listed in the retention schedule below is intended as a guideline and may not contain all the records the Mill Neck Family of Organizations may be required to keep in the future. Questions regarding the retention of documents not listed in this chart should be directed to the CEO.

From time to time, the CEO may issue a notice, known as a “legal hold,” suspending the destruction of records due to pending, threatened, or otherwise reasonably foreseeable litigation, audits, government investigations, or similar proceedings. No records specified in any legal hold may be destroyed, even if the scheduled destruction date has passed, until the legal hold is withdrawn in writing by the CEO.

File Category	Item	Retention Period
Corporate Records	Bylaws and Articles of Incorporation	Permanent
	Corporate resolutions	Permanent
	Board and committee meeting agendas and minutes	Permanent
	Conflict-of-interest disclosure forms	4 years
Finance and Administration	Financial statements (audited)	7 years
	Auditor management letters	7 years
	Payroll records	7 years
	Check register and checks	7 years
	Bank deposits and statements	7 years
	Chart of accounts	7 years
	General ledgers and journals (includes bank reconciliations)	7 years

	Investment performance reports	7 years
	Equipment files and maintenance records	7 years after disposition
	Contracts and agreements	7 years after all obligations end
	Correspondence — general	3 years
Insurance Records	Policies — occurrence type	Permanent
	Policies — claims-made type	Permanent
	Accident reports	7 years
	Safety (OSHA) reports	7 years
	Claims (after settlement)	7 years
	Group disability records	7 years after end of benefits
Real Estate	Deeds	Permanent
	Leases (expired)	7 years after all obligations end
	Mortgages, security agreements	7 years after all obligations end
Tax	IRS exemption determination and related correspondence	Permanent
	IRS Form 990s	7 years
	Charitable The Mill Neck Family of Organizations Registration Statements (filed with Minnesota Attorney General)	7 years
Human Resources	Employee personnel files, including required credentials	Permanent
	Retirement plan benefits (plan descriptions, plan documents)	Permanent
	Employee handbooks	Permanent
	Workers comp claims (after settlement)	7 years

	Employee orientation and training materials	7 years after use ends
	Employment applications	3 years
	IRS Form I-9 (store separate from personnel file)	Greater of 1 year after end of service, or three years
	Withholding tax statements	7 years
	Timecards	3 years
Technology	Software licenses and support agreements	7 years after all obligations End
Program Documents	Program and Participant Documents OPWDD	7 years or in the case of death- indefinitely
	Death Records	Indefinitely
	Program and Participant Documents ACCESS-VR	20 Years
Corporate Compliance Records	Compliance Plans, Policies and Procedures, Staff Training	2009 and on

1. **Electronic Documents and Records.**

Electronic documents will be retained as if they were paper documents. Therefore, any electronic files that fall into one of the document types on the above schedule will be maintained for the appropriate amount of time. If a user has sufficient reason to keep an e-mail message, the message should be printed in hard copy and kept in the appropriate file or moved to an “archive” computer file folder. Backup and recovery methods will be tested on a regular basis.

2. **Emergency Planning.**

The Mill Neck Family of Organization’s records will be stored in a safe, secure, and accessible manner. Documents and financial files that are essential to keeping the Mill Neck Family of Organizations operating in an emergency will be duplicated or backed up at least every week and maintained off-site.

3. **Document Destruction.**

The CEO is responsible for the ongoing process of identifying its records, which have met the required retention period, and overseeing their destruction. Destruction of financial and personnel-related documents will be accomplished by shredding.

Document destruction will be suspended immediately, upon any indication of an official investigation or when a lawsuit is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

4. **Compliance.**

Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against the Mill Neck Family of Organizations and its employees and possible disciplinary action against responsible

individuals. The CEO and Board Chair will periodically review these procedures with legal counsel or the Mill Neck Family of Organization's certified public accountant to ensure that they are in compliance with new or revised regulations.

(From Charities Review Council, 2016)