

**CEREBRAL PALSY ASSOCIATIONS
OF NEW YORK STATE**

CORPORATE COMPLIANCE PROGRAM

ADOPTED BY THE BOARD OF DIRECTORS

DECEMBER 2, 2004

Amended as of February 9, 2006

CEREBRAL PALSY ASSOCIATIONS OF NEW YORK STATE

Corporate Compliance Program

OVERVIEW

Our Commitment to Ethics and Integrity in Business

Cerebral Palsy Associations of New York State, (“CP of NYS”) prides itself on its over 50 year history of upholding the highest standards of quality in its programs and services on behalf of our consumers and their families. We strive to develop and maintain best practices in all areas of service. Consistent with this commitment to quality, CP of NYS establishes this Corporate Compliance Program to demonstrate and document our commitment to the highest level of professional integrity and ethics in the agency’s business dealings with consumers, contractors, vendors, employees, funding agencies and the general public.

This Corporate Compliance Program is established for the entire CP of NYS community, including its employees, contractors, agents, vendors, members and officers of the Board of Directors, volunteers, and employees and others working on behalf of other agencies and businesses doing business with CP of NYS and its related corporations. This Corporate Compliance Program is intended to benefit not only the members of the CP of NYS community, but those governmental and private agencies doing business with the agency, as well as the general public.

This Corporate Compliance Program demonstrates CP of NYS’s commitment to Integrity in all business dealings by the following eight elements:

Element 1. **Statement of CP of NYS’s Commitment**, by establishment of the Corporate Compliance Program and reinforcing the Board’s commitment to ethics and integrity in all of the agency’s business dealings.

This will be accomplished by:

(A) Adoption of a Board Resolution establishing this Corporate Compliance Program and reinforcing the corporation’s commitment to the principles of corporate compliance.

(B) Promulgation of a Code of Business Conduct for the CP of NYS community, upholding the agency’s commitment to ethics and integrity in all of its business dealings. Included in the program will be establishment and / or compilation of standards and procedures for business integrity, including promulgation of standards, and references to detailed procedures for business transactions.

(C). Compilation and Dissemination of Policies and Procedures addressing principles of business integrity and addressing compliance with applicable laws, regulations, and standards.

Element 2. **Designation of a Corporate Compliance Committee**, to develop and implement the Program. The Committee may designate subcommittees and work groups for aspects on development and ongoing monitoring of this Corporate Compliance Program. The Corporate Compliance Committee will jointly serve as the Compliance Officer.

Element 3. **Reinforcement of Compliance Principles** through an effective communication and training program for CP of NYS employees and other agents. This will be accomplished by:

(A) Initial and ongoing training on the Code of Business Conduct and Compliance Guidelines, as well as other aspects of the Corporate Compliance Program and policies, procedures, and standards for business integrity.

(B) Communication and publication of the Code of Business Conduct and Compliance Guidelines, as well as other aspects of the Corporate Compliance Program, and policies, procedures and standards, to all members of the CP of NYS community.

Element 4. **Ongoing monitoring** and detection of violations of CP of NYS's adherence to the commitment to business integrity, including a reporting system with a "hotline", and mandatory reporting for identifying and reporting of violations of standards, policies and procedures for business operations.

Element 5. **Procedures for Audits of Operations and Business Transactions**, to monitor compliance, identify problem areas, and assist in the reduction of identified problems.

Element 6. **Enforcement** of Corporate Compliance Program, including identification of violations of standards, policies, procedures, notification and disciplinary actions.

This will be accomplished by:

(A) Consistent enforcement of disciplinary policies that clearly set forth the consequences of violation of the Code of Business Conduct, or policies and procedures.

(B) Delegation of authority to individuals who are appropriately trained.

Element 7. **Prompt and Appropriate Response to Identified Violations.**

This will be accomplished by:

- (A) Internal investigation procedures.
- (B) Prompt and appropriate responses to identified violations.
- (C) Voluntary disclosure of noncompliance where appropriate.

Element 8. **Revisions** to the Corporate Compliance Program, including procedures for ongoing evaluation, monitoring and updating.

Finally, CP of NYS's Corporate Compliance Committee will work closely with CP of NYS's employees, and other members of the CP of NYS community, to make every effort to establish and implement systems which enhance each employee's ability to understand and adhere to the complex laws and regulations that govern our business. In doing so, the Corporate Compliance Committee will regularly report their activities directly to CP of NYS's Executive Director, who will, in turn, make reports to the Board of Directors annually, or more frequently as appropriate.

Element 1. Statement of CP of NYS's Commitment to Business Integrity

CEREBRAL PALSY ASSOCIATIONS OF NEW YORK STATE

BOARD OF DIRECTORS RESOLUTION

At a regular meeting of the Board of Directors of Cerebral Palsy Associations of New York State, on December 2, 2004, after proper notice and upon motion duly made and seconded, and passed, the following Resolution was enacted:

WHEREAS Cerebral Palsy Associations of New York State, ("CP of NYS") is committed to adherence to the highest standards of ethics and integrity in all of the business dealings of the agency, and

WHEREAS the Board of Directors of CP of NYS seeks to demonstrate, document and reinforce those high standards to the entire CP of NYS community, including its employees, contractors, agents, vendors, members of the Board of Directors, volunteers, and employees and others working on behalf of other governmental and private agencies and businesses doing business with CP of NYS and its related corporations, as well as to the general public,

IT IS HEREBY RESOLVED, the Board of Directors hereby establishes a Corporate Compliance Program to encompass all of the business dealings of CP of NYS, and

IT IS FURTHER RESOLVED, that the Corporate Compliance Program include items such as the following:

1. (A) Adoption of a Board Resolution reinforcing the corporation's commitment to the principles of corporate compliance.

(B) Promulgation of a Code of Business Conduct for the CP of NYS community, upholding the agency's commitment to ethics and integrity in all of its business dealings. Included in the program will be establishment and / or compilation of standards and procedures for business integrity, including promulgation of standards, and references to detailed procedures for business transactions.

(C). Compilation and Dissemination of Policies and Procedures addressing principles of business integrity and addressing compliance with applicable laws, regulations, and standards.

2. Designation of a Corporate Compliance Committee, to develop and implement the Program. The Committee may designate subcommittees and work groups for aspects on development and ongoing monitoring of this Corporate Compliance Program. The Corporate Compliance Committee will jointly serve as the Compliance Officer.

3. Reinforcement of Compliance Principles through an effective communication and training program for CP of NYS employees and other agents, to be accomplished by:

(A) Initial and ongoing training on the Code of Business Conduct and Compliance Guidelines, as well as other aspects of the Corporate Compliance Program and policies, procedures, and standards for business integrity.

(B) Communication and publication of the Code of Business Conduct and Compliance Guidelines, as well as other aspects of the Corporate Compliance Program, and policies, procedures and standards, to all members of the CP of NYS community.

4. Ongoing monitoring and detection of violations of CP of NYS's adherence to the commitment to business integrity, including a reporting system with a "hotline", and mandatory reporting for identifying and reporting of violations of standards, policies and procedures for business operations.

5. Procedures for Audits of Operations and Business Transactions, to monitor compliance, identify problem areas, and assist in the reduction of identified problems.

6. Enforcement of Corporate Compliance Program, including identification of violations of standards, policies, procedures, notification and disciplinary actions, to be accomplished by:

(A) Consistent enforcement of disciplinary policies that clearly set forth the consequences of violation of the code of conduct, or policies and procedures.

(B) Delegation of authority to individuals who are appropriately trained.

7. Prompt and Appropriate Response to Identified Violations to be accomplished by:

(A) Internal investigation procedures.

(B) Prompt and appropriate responses to identified violations.

(C) Voluntary disclosure of noncompliance where appropriate, and

8. Revisions to the Corporate Compliance Program, including procedures for ongoing evaluation, monitoring and updating, and reports by the Executive Director to the Board of Directors annually, or more frequently as appropriate.

IT IS FURTHER RESOLVED, that the Board of Directors delegates to the Executive Director the responsibility for establishment of appropriate committees to develop, implement, review and monitor the Corporate Compliance Program on an ongoing basis, and that the Executive Director allocate appropriate funds for purposes of implementing this Corporate Compliance Program.

Adopted: December 2, 2004

Secretary

Code of Business Conduct

CP of NYS requires all members of the CP of NYS community, including its employees, contractors, agents, vendors, members of the Board of Directors, volunteers, and employees and others working on behalf of other governmental and private agencies and businesses doing business with CP of NYS and its related corporations, to conform to the highest ethical standards and to meet or exceed legal obligations in the performance of their efforts on behalf of CP of NYS. To this end, we have developed a Code of Business Conduct for the entire CP of NYS community. The appointment and retention of all members of the CP of NYS community is contingent upon acceptance and compliance with this Code of Business Conduct.

Cerebral Palsy Associations of New York State enjoys a reputation of integrity and excellence in its programs and services. This reputation is one of our strongest assets. It is expected that all members of the CP of NYS community whose actions could be attributed to the work of CP of NYS will adhere to the Code of Business Conduct and to the policies, standards and procedures outlined in this program.

The Cerebral Palsy Associations of New York State Code of Business Conduct encompasses commitments by CP of NYS, coupled with related commitments by each member of the CP of NYS community to uphold the highest standards of ethical behavior and practices on behalf of CP of NYS.

1. Our commitment to compliance with the law.

Cerebral Palsy Associations of New York State is committed to conducting its programs and services in a lawful and ethical manner, in full compliance with all federal, state and local laws and regulations. All members of the CP of NYS community will adhere to the highest standards of conduct through strict observation of all applicable legal and regulatory requirements.

CP of NYS will only employ or contract with individuals or entities with proper credentials, experience and expertise. All business communications on behalf of CP of NYS with outside individuals or entities, including claims for payment or reimbursement of any kind, will be truthful and, where appropriate, substantiated by accurate and complete records.

Neither CP of NYS, its employees or agents shall pay employees, physicians, or other health care professionals, directly or indirectly, in cash or by any other means, for referrals of patients. Every payment to a referral source must also be supported by proper documentation that the services contracted for were in fact provided.

Employees or agents who perform billing and/or coding of claims must take every reasonable precaution to ensure that their work is accurate, timely, and in compliance

with federal and state laws and regulations and CP of NYS 's policies.

No claims for payment or reimbursement of any kind that are false, fraudulent, inaccurate or fictitious may be submitted. No falsification of medical, time or other records that are used for the basis of submitting claims will be tolerated.

CP of NYS will bill only for services actually rendered and which are fully documented in patients' medical records/consumer's chart. If the services must be coded, then only billing codes that accurately describe the services provided will be used.

CP of NYS shall act promptly to investigate and correct the problem if errors in claims that have been submitted are discovered.

2. Our commitment to ethical behavior.

Cerebral Palsy Associations of New York State is committed to ethical business dealings. All members of the CP of NYS community will adhere to the highest ethical standards of behavior while performing CP of NYS business, including preparing and maintaining accurate and complete records, and truthful communications with other members of the CP of NYS community, and with government and private agencies and individuals doing business with CP of NYS.

CP of NYS seeks positive relationships with government programs and third party payers. Positive relationships require ongoing communication about patient progress and billing.

Employees or agents shall not use or reveal any confidential information concerning CP of NYS or use, for personal gain, confidential information obtained as an employee or agent of CP of NYS.

No employee or agent should subordinate his or her professional standards, judgment or objectivity to any individual. If significant differences of opinion in professional judgment occur, then they should be referred to management for resolution.

Employees and agents should be honest and forthright in any representations made to patients, vendors, payors, other employees or agents, and the community.

All reports or other information required to be provided to any federal, state or local government agency shall be accurate, legible, complete, and filed on time.

Employees and agents must perform their duties in a way that promotes the public's trust in CP of NYS.

Employees and agents shall be honest in doing their jobs.

3. Our commitment to continuous training and improvement.

Cerebral Palsy Associations of New York State is committed to the professional development of the entire CP of NYS community. All members of the CP of NYS community will have access to all applicable laws, rules, regulations policies and procedures necessary for them to perform on behalf of CP of NYS, and will be regularly trained on those laws, rules, regulations, policies and procedures, as well as this corporate compliance program.

4. Our commitment to continuous monitoring and enforcement.

Cerebral Palsy Associations of New York State is committed to full and ongoing enforcement of this Code of Business Conduct and of the standards contained in the corporate compliance program. As a condition of employment or appointment, all members of the CP of NYS community are expected to rigorously comply with all applicable laws, rules, regulations policies and procedures.

All members of the CP of NYS community will report suspected violations of these standards of conduct to their supervisor, an appropriate departmental head, an appropriate staff member of the Human Resources Department or to the Corporate Compliance Committee. CP of NYS assures the entire CP of NYS community that reports of suspected violations may be made without fear of reprisal or retaliation, and that confidentiality will be protected within the limits of the law.

All reports of suspected violations will be fairly, thoroughly and promptly investigated by appropriate individuals, and will be promptly resolved.

5. Our commitment to our ethical obligations, mission and purposes free of conflicts of interest.

Cerebral Palsy Associations of New York State is committed to clarity of our mission and purposes, free of any appearance of conflict or impropriety. CP of NYS itself will not pursue any business opportunity or take any other action that will require it to engage in illegal or unethical behavior, or is reasonably likely to fall outside of CP of NYS's mission, purposes or powers.

In all of their activities on behalf of CP of NYS, all members of the CP of NYS community will act in a manner consistent with the agency's mission, purposes, powers, and consistent with the agency's reputation for integrity and excellence. Each member of the CP of NYS community will ensure that no activity takes place that in any way jeopardizes the tax exemption, licenses, or governmental authorizations of CP of NYS.

All members of the CP of NYS community will accomplish their business on

behalf of CP of NYS without engaging in any business, professional or personal activity that would create a conflict of interest, or an appearance of a conflict of interest, without appropriate disclosure and advance approval by the Board of Directors or the Executive Director or their / his / her designee.

Placing business with any firm in which there is a family relationship may constitute a conflict of interest. Advance disclosure and approval are required in such a situation.

Employees and agents should not become involved, directly or indirectly, in outside commercial activities that could improperly influence their actions. For example, an employee or agent should not be an officer, director, manager or consultant of a potential competitor, customer, or supplier of CP of NYS without first disclosing that relationship to management.

Employees and agents should not accept or provide benefits that could be seen as creating conflict between their personal interests and CP of NYS's legitimate business interests.

Employees and agents should report any potential conflicts of interest concerning themselves, co-workers or family members to management.

Program and other staff should not have direct contact with vendors unless their input is required in the process of determining choice of vendors. CP of NYS will notify vendors and employees of this policy.

Please refer to the Rules Relating to Gifts, and Conflict of Interest Policy, which appear on the following pages.

6. Our commitment to respecting property rights.

Cerebral Palsy Associations of New York State is committed to respecting the property rights of all those with which we do business, including consumers and outside businesses. In their actions on behalf of CP of NYS, all members of the CP of NYS community will act in a manner consistent with this respect of the property of others.

Each member of the CP of NYS community will ensure that all applicable laws, standards and policies regarding the confidentiality of agency records are upheld.

Each member of the CP of NYS community will ensure that all private information owned by others, but in the custody and possession of CP of NYS, be held in confidence and not utilized outside of the use contemplated by the owner of the information without the express permission of the owner. This includes prohibition against unauthorized use and / or copying of computer software not contained in the license granted to CP of NYS, and installation of unauthorized software on agency computers. Employees shall take all reasonable steps to protect computer systems and software from unauthorized access or intrusion.

All employees and agents are personally responsible and accountable for the proper expenditure of CP of NYS funds and for the proper use of company property.

All employees and agents must obtain authorization prior to committing or spending CP of NYS's funds.

Employees and agents may not use CP of NYS's or a patient's/consumer's resources for personal or improper purposes, or permit others to do so.

Surplus, obsolete or junked property shall be disposed of in accordance with CP of NYS's procedures. Unauthorized disposal of property is a misuse of assets.

Any improper financial gain to the employee, or agent, through misconduct involving misuse of CP of NYS's or a consumer's/patient's property is prohibited, including the outright theft of property or embezzlement of money.

CP of NYS's confidential and proprietary information is valuable, and should be protected from unauthorized use or exploitation. Employees and agents are expected to respect the intellectual property rights of others with whom we do business.

Employees and agents are expected to report any observed misuse of CP of NYS's property to management.

RULES RELATING TO GIFTS:

The following rules apply to all employees and agents of Cerebral Palsy Associations of New York State:

1. Employees and agents may never accept gifts in the form of cash or cash equivalents from any individual or business entity that does business with CP of NYS.

2. Employees and agents may never accept gifts of any kind from individuals or business entities who are in the process of competitive bidding for a contract with CP of NYS, or whose contracts are under review as to whether the contract should be continued.

3. Employees or agents may accept a non-cash gift from a vendor not subject to paragraphs 1 or 2 above; however, any gift with a value in excess of \$50.00 must be reported to the President / CEO or Executive Vice President / CAO/CFO.

4. Outside vendors will be notified on an annual basis, in advance of the winter holiday season, of CP of NYS's policies with regard to gifts. In that notice, outside vendors will be requested to refrain from giving gifts to individual CP of NYS employees or agents. The notice will also suggest that if the vendor wishes to make a gift, it be done to the agency's "holiday fund" ; alternately, an in-kind gift can be made for a consumer or staff holiday party.

5. All CP of NYS staff will be notified on an annual basis, in advance of the winter holiday season, of CP of NYS's policies with regard to gifts.

CONFLICT OF INTEREST POLICY

1. No member of the Board of Directors of Cerebral Palsy Associations of New York State shall be employed by the State of New York in any capacity related to provision of services to individuals with disabilities, or public policy matters related to persons with disabilities, without first obtaining approval pursuant to paragraph 5 below.

2. No member of the Board of Directors of Cerebral Palsy Associations of New York State shall be a paid employee or consultant to an agency that primarily provides services to individuals with disabilities in programs or services or under license issued by New York Office of Mental Retardation and Developmental Disabilities or Office of Mental Health, or their successors, where the individual's work on behalf of the other agency involves formation or communication on issues of public policy, without first obtaining approval pursuant to paragraph 5 below.

3. No person who is an employee of Cerebral Palsy Associations of New York State shall serve as a Director or Officer of another agency that primarily provides service to individuals with disabilities in programs or services under license issued by New York Office of Mental Retardation and Developmental Disabilities or Office of Mental Health, or their successors, without first obtaining approval of the President / Chief Executive Officer.

4. No person who is an employee of Cerebral Palsy Associations of New York State shall also be a paid employee or consultant to an agency that primarily provides services to individuals with disabilities in programs or services or under license issued by New York Office of Mental Retardation and Developmental Disabilities or Office of Mental Health, or their successors, where the individual's work on behalf of the other agency involves formation or communication on issues of public policy, without first obtaining approval of the President / Chief Executive Officer.

5. Members of the Board of Directors may seek prior approval for paid employment or consultancy referenced in this policy by making a written request for approval to the Chairman. In the event that the member is dissatisfied with the decision of the Chairman, the member may seek approval from the entire Board of Directors.

6. All such employment listed in 1 and 2 above, regardless of capacity or title, shall require the individual Board member to recuse himself or herself on all votes of the Board involving their agency, and shall be responsible for disclosing any actual, possible or apparent conflicts of interest that may arise to both the CP of NYS Board and the board of the other organization, if appropriate.

Note that compliance with this Code of Business Conduct, as well as other codes of conduct established by CP of NYS, is mandatory for all employees, volunteers and consultants of CP of NYS. However, these codes of conduct are not, and shall not be construed as, a contract of employment or any other type of contract. Unless specifically governed by a collective bargaining agreement that states otherwise, employment with Cerebral Palsy Associations of New York State is at all times strictly “at will”, as defined by New York law, and either the employee or CP of NYS has the right to terminate the employment relationship at any time for any reason or for no reason.

The Corporate Compliance Committee will ensure that this Code of Business Conduct is posted in appropriate locations, and that each member of the CP of NYS community is provided with a copy, and has certified that a copy has been received and read.

The Corporate Compliance Committee will periodically review this Code of Business Conduct and make appropriate modifications to reflect developments in applicable legal requirements.

Element 2. Designation of a Corporate Compliance Committee, to develop and implement the Corporate Compliance Program.

CP of NYS hereby designates the Corporate Compliance Committee. The Corporate Compliance Committee has overall responsibility to oversee development, implementation and compliance with the Corporate Compliance Program. The Corporate Compliance Committee will function within the organizational structure reporting to the Executive Director, providing him / her with regular reports.

The Corporate Compliance Committee will be appointed by the Executive Director and will be comprised of personnel from Administrative, Financial, Clinical, and Program service departments, representative of employees at different levels within the organization.

The Corporate Compliance Committee will work closely with the department leaders to foster and enhance compliance with all applicable program service regulations, operational policies and procedures and billing requirements. The authority of the Corporate Compliance Committee shall extend to all billing functions, clinical service and program service practices, whether on a fee-for-service basis or otherwise, provided by Cerebral Palsy employees.

The Corporate Compliance Committee will, with the assistance of counsel when appropriate, perform responsibilities described in the Corporate Compliance Committee charge.

The Corporate Compliance Committee may designate such subcommittees as it sees necessary and proper. Additionally, the committee may designate certain individuals to act as a Corporate Compliance Officer for certain programs of CP of NYS.

The Executive Director will allocate such funds to the Corporate Compliance Committee to ensure that it can successfully perform all of its functions under this Corporate Compliance Program.

The Corporate Compliance Committee will report to the Executive Director, who will, in turn, make periodic reports to the Board of Directors.

Corporate Compliance Committee Charge

The Corporate Compliance Committee is responsible for overseeing the administration and implementation of the Corporate Compliance Program for CP of NYS. The Corporate Compliance Committee shall report to the Executive Director on the operation of the Corporate Compliance Program. The Corporate Compliance Committee should seek advice from legal counsel when appropriate.

Principal Responsibilities:

Develop a written Code of Business Conduct and Compliance Guidelines to be followed by CP of NYS's employees, agents, contractors, vendors, Officers, Directors, volunteers, and others working on behalf of the agency or other businesses doing business with CP of NYS; oversee and monitor the updating of all aspects of the program as necessary. The Compliance Guidelines will set forth CP of NYS's standards of conduct, conduct that CP of NYS considers prohibited, the manner in which CP of NYS will monitor compliance and the mechanisms by which prohibited conduct will be reported to the Corporate Compliance Committee.

Communicate CP of NYS's Corporate Compliance Program to employees, agents, contractors, vendors, Officers, Directors, volunteers, and others working on behalf of the agency or other businesses doing business with CP of NYS through training programs, newsletters, memoranda, and through other appropriate means. Establish a regular training process and document the regularity and consistency of training regarding the Corporate Compliance Program.

Assist CP of NYS's supervisory staff in establishing multi-level mechanisms to monitor compliance with the standards set forth in the Code of Business Conduct and Compliance Guidelines. Receive periodic reports documenting the implementation of such mechanisms and their results.

Assist with the development and communication of a confidential system for employees and others to seek guidance on business conduct issues and to report suspected violations of law, standards, guidelines or other CP of NYS policies and procedures. This system will include a confidential telephone "hot line" for reporting.

Investigate alleged violations; work with appropriate parties to handle violations promptly, properly and consistently.

Conduct regular review of the Corporate Compliance Program functioning in order to propose modifications, if necessary, to prevent recurrence of a problem.

Establish a record-keeping system designed to document the ongoing operation of the Corporate Compliance Program. Analyze specific risk areas and existing policies and procedures that address those risk areas for possible incorporation into the Corporate Compliance Program.

Work with appropriate departments to develop standards of conduct and policies and procedures to promote compliance with legal and ethical requirements.

Recommend and monitor the development of internal systems and controls to carry out the agency's standards, guidelines, policies and procedures.

Develop a reporting system to solicit, investigate and respond to complaints and problems.

Monitor internal and external reviews for the purpose of identifying potential non-compliant issues, and review recommendations from the Corporate Compliance Committee for implementing corrective and preventative action.

Make recommendations for the revision of the Corporate Compliance Program as needed.

The Corporate Compliance Committee will ensure that meeting minutes are recorded and maintained in a secure area.

Compilation of Legal Requirements and Policies and Procedures.

The Corporate Compliance Committee will oversee the establishment or compilation of policies and procedures governing business dealings of CP of NYS.

The Corporate Compliance Committee shall also oversee the compilation of all laws, regulations, rules, policies and procedures affecting the business of CP of NYS, and the distribution of appropriate relevant information to each members of the CP of NYS community. The Corporate Compliance Committee will oversee CP of NYS's commitment to ensure that each member of the CP of NYS community will have access to all relevant information necessary and appropriate for that individual to act on behalf of CP of NYS.

The Corporate Compliance Committee will establish a record-keeping system designed to document the ongoing operation of the Corporate Compliance Program, including documentation of annual certification of compliance by all employees. Such record keeping system will encompass the following:

1. Establish policies and procedures regarding the creation, distribution, retention and destruction of documents;
2. Ensure complete and accurate documentation of all business transactions;
3. Include all records and documentation required for participation in federal and state, and private health care financing programs, and all records and documentation, and audit data that support and explain cost reports and other financial activity;
4. Preserve all records necessary to demonstrate the integrity of CP of NYS's corporate compliance program and confirm the effectiveness of the program.

Element 3. Reinforcement of Compliance Principles Through an Effective Communication and Training Program for CP of NYS Employees and Other Agents.

As part of the Corporate Compliance Program, all members of the CP of NYS community will have unimpeded access to the corporate compliance program, and all appropriate laws, rules, regulations, policies and procedures that affect each members' actions on behalf of CP of NYS. Regular and ongoing training will be provided on this information, as well as new developments and information relevant to the members' actions on behalf of CP of NYS.

TRAINING POLICY

1. All staff will be trained in the contents of the corporate compliance program. Training will be tailored to the level of participation that staff have in the material to which the corporate compliance pertains.

2. Senior level managers will be trained in all aspects of the program, and be given a copy of the corporate compliance program, together with relevant policies and procedures. Managers will also be directed to the location of appropriate laws, regulation and standards governing the materials to which they are being trained. Such training will initially occur with all senior managers, and will be updated periodically for new managers, and for inclusion of new or revised material. Initial senior level managerial training will be done by the Training Department, and relevant members of the Corporate Compliance Steering Committee.

3. Senior managers will then train staff that report to them, tailoring the training to materials directly relevant to the staff being trained. Staff will be provided with relevant excerpts of the corporate compliance program, together with applicable policies and procedures. Staff will also be directed to the location of appropriate laws, regulation and standards governing the materials to which they are being trained. Such training will be updated periodically for new staff, and for inclusion of new or revised material.

4. Clinic Directors and the Training Department, where appropriate, will ensure that contractors are trained on the contents of the corporate compliance program. Contractors will be provided with relevant excerpts of the corporate compliance program, together with applicable policies and procedures. Contractors will also be directed to the location of appropriate laws, regulation and standards governing the materials to which they are being trained. Such training will be updated periodically for new contractors, and for inclusion of new or revised material.

5. The Director of Purchasing, or other senior managers, where appropriate, will

provide relevant information on aspects of the corporate compliance program to appropriate vendors, to ensure that they are knowledgeable of relevant aspects of the corporate compliance program. Such training will be updated periodically for new vendors, if appropriate, and for inclusion of new or revised material.

6. Other members of the CP of NYS community, including volunteers, will be appropriately trained by senior staff, supervisors, or the Training Department, as appropriate, on aspects of the corporate compliance program relevant to their activities on behalf of CP of NYS.

7. Training will ensure that every employee knows and understands the policies, procedures, laws and regulations that govern the agency's operations and the employee's specific job. Training will occur at the start of employment as part of Agency Orientation, and incorporated into employee Annual Training Review. Training will also occur upon changes in the program, and upon request of supervisor or Corporate Compliance Committee.

The education provided will include:

- Code of Business Conduct
- Purpose of Compliance Guidelines
- Agency Policies and Procedures
- Ethical Standards
- Federal and State laws, regulation and guidelines
- Reporting System and Procedure
- Consequences of non-compliance

Documentation of each employee's completion of the training will be maintained in the employee's personnel file.

Human Relations Policies and Procedures

The Corporate Compliance Committee will recommend modifications to other CP of NYS policies and procedures, including those contained in Human Relations Department manuals and policies, including modifications of the employee evaluation procedures to ensure compliance with this corporate compliance program.

Element 4. Ongoing Monitoring and Detection of Violations of CP of NYS's Adherence to the Commitment to Business Integrity.

CP of NYS has established a mandatory reporting policy which requires all members of the CP of NYS community to report any suspected violations of the Corporate Compliance Program, including the Code of Business Conduct, and appropriate laws, regulations, rules, policies and procedures. Reports can be made to an appropriate supervisor, Human Resources Representative, or to the Corporate Compliance Committee.

To this end, a telephone "hot line" will be established through the agency's voice mail system to provide for anonymous, confidential reporting by any member of the CP of NYS community.

The Corporate Compliance Committee will oversee CP of NYS's efforts to ensure that reports of suspected violations do not result in reprisal or retaliation, and that confidentiality will be protected within the limits of the law.

Element 5. Procedures for Audits of Operations and Business Transactions, to Monitor Compliance, Identify Problem Areas, and Assist in the Reduction of Identified Problems.

CP of NYS has instituted a Business Quality Assurance and Compliance Audit protocol, under the oversight of the Corporate Compliance Committee. Pursuant to this protocol, a sample of business records will be periodically reviewed to assess compliance with applicable laws, regulations, rules policies and procedures. The Corporate Compliance Committee will review the results of these audits and take necessary action, if appropriate, including additional audits, training and / or disciplinary actions.

The Corporate Compliance Committee will establish a review schedule, identify persons responsible for participating in the review, oversee the document and data collection standards and process, and maintain the results of the review.

Auditing and compliance efforts will assess compliance with:

A. Federal and state health care statutes, regulations and program requirements, as well as private payor rules, with special attention paid to the risk areas identified by the Corporate Compliance Committee.

B. The process elements of CP of NYS's compliance program, including dissemination of the corporate compliance program, training efforts, and adequacy of investigations and resulting actions.

In addition to review of billing records to assess compliance, the Corporate Compliance Committee may direct assessment of compliance with other aspects of the corporate compliance program. Such auditing may consist of a variety of actions, including but not limited to:

1. On site visits;
2. Tests administered to the billing and claims reimbursement staff on knowledge of program requirements and claims and billing criteria;
3. Unannounced surveys;
4. Review of compliance logs and investigative files;
5. Review of contractual relationships with contractors, consultants and potential referral sources;

6. Personnel records to assess compliance with corporate compliance program requirements;

7. Trend analyses or other longitudinal studies to detect deviations over a specific period

8. Review of past surveys to detect patterns of deficiencies or to determine if proposed plans of action to correct past deficiencies have been implemented.

Element 6. Enforcement of Corporate Compliance Program, Including Identification of Violations of Standards, Policies, Procedures, Notification and Disciplinary Actions.

Whenever non-compliance is identified by the Corporate Compliance Committee, corrective action will be taken in the form of an investigation.

The Corporate Compliance Committee will establish guidelines and procedures for investigation of complaints, and will oversee all investigations of alleged violations of the program.

Upon verification that a violation has occurred, the Corporate Compliance Committee will recommend findings and conclusions to the Executive Director, to be taken into consideration in determining a remedy for such violation, including appropriate discipline or other action.

DISCIPLINARY POLICY

All members of the CP of NYS community are expected to adhere to the Code of Business Conduct and Compliance Guidelines, in addition to all other policies, procedures and standards issued by CP of NYS, as well as all applicable laws, regulations, and rules. An employee who violates any work rule, or standard of performance outlined in the Corporate Compliance Program or otherwise issued by CP of NYS, or who fails to satisfactorily perform his/her job, is subject to discipline, up to and including discharge.

Relative to employees, CP of NYS may impose progressive discipline, including a verbal and written warning, corrective action plan, demotion, suspension, and termination. However, CP of NYS reserves the right to determine in its sole discretion and judgment, the nature and level of discipline, if any, depending on the circumstances. This policy is not a guarantee of progressive discipline, and CP of NYS reserves the right to terminate an employee at any time, for any lawful reason, with or without notice.

In addition to the general rules and regulations established by CP of NYS for employees, the following “zero tolerance policy” applies with respect to the Corporate Compliance Program:

1. Signing or submitting a report for a service not rendered is fraud and will result in immediate administrative response.
2. Falsifying, or altering or destroying agency records without authorization will result in immediate administrative response.
3. Omitting required documentation, including signature, failing to complete treatment records or other agency paperwork will result in immediate administrative response.
4. It is the manager’s responsibility to ensure that employees and contractors complete paperwork in accordance with agency policies, and that excessive errors or omissions in paperwork by supervised employees or contractors may subject the manager to appropriate administrative response.
5. Misapplication of agency or consumer funds will result in immediate administrative response.

This policy amends the general rules and regulations contained in the employee handbook and does not alter the at-will employment status of employees.

Element 7. Prompt and Appropriate Response to Identified Violations.

The Corporate Compliance Committee will ensure that, where indications of violations of the corporate compliance program exist, an internal investigation is conducted promptly, and necessary actions are taken if the investigation reveals violations.

If appropriate, the Corporate Compliance Committee will develop, an Action Plan to address necessary new policies or procedures, or modifications to existing policies or procedures, to remedy the identified violation. The Corporate Compliance Committee will monitor implementation and adherence to the new or modified policies and procedures to ensure compliance.

The Corporate Compliance Committee will ensure that appropriate reporting of documented violations is made, including voluntary reporting to governmental authorities, if appropriate.

Element 8. Revisions to the Corporate Compliance Program, Including Procedures for Ongoing Evaluation, Monitoring and Updating.

This Corporate Compliance Program is intended to establish a framework for effective regulatory compliance and is intended to be flexible and readily adaptable to changes in regulatory requirements. This plan shall be regularly reviewed and modified as necessary. The Corporate Compliance Committee will prepare a report to the Executive Director, at least annually, that describes the general compliance efforts that have been undertaken during the preceding year. The Executive Director will make reports to the Board of Directors, annually or more frequently if appropriate.