

CORPORATE COMPLIANCE HANDBOOK

TABLE OF CONTENTS

SECTION 1: THE CENTER FOR DISCOVERY'S COMMITMENT TO CORPORATE **COMPLIANCE**

CC-1.1	Corporate Compliance Program Overview
CC-1.2	Code of Conduct Development and Dissemination
CC-1.3	Code of Conduct
CC-1.4	Conflict of Interest Policy and Procedure
CC-1.4A	Conflict of Interest Disclosure Statement (General Employees)
CC-1.5	Ethical Standards for Officers, Directors and Key Employees
CC-1.5A	Conflict of Interest Disclosure Statement (Officers, Directors and Key
	Employees)
CC-1.6	Policy Development and Implementation
CC-1.7	Gift Acceptance Policy and Procedure
CC-1.7A	Holiday Gift Giving Letter
ECTION 2:	PROGRAM STRUCTURE AND OVERSIGHT

SE

CC-2.1	Role and Responsibilities of the Corporate Compliance Officer
CC-2.2	Corporate Compliance Officer Position Description
CC-2.3	Compliance Office Confidentiality
CC-2.4	Compliance Officer, Legal Counsel Coordination
CC-2.5	Board of Directors Quality Improvement and Corporate Compliance Committee

SECTION 3: EDUCATION AND TRAINING

CC-3.1	Education and Training
CC-3.2	Summary of the False Claims Act and Non-Retaliation Policy Statement
CC-3.3	Employee Compliance Responsibilities
CC-3.4	Compliance in Performance Evaluations
CC-3.5	Communications from Regulatory Agencies

Corporate Compliance Handbook – Table of Contents (*Continued***)**

SECTION 4: REPORTING METHODS AND RESPONSE		
CC-4.1	Corporate Compliance Hotline	
CC-4.2	Hotline Tracking Form	
CC-4.3	Investigation of Compliance Issues	
CC-4.4	Compliance Issue Resolution	
CC-4.5	Protecting Reporter Confidentiality	
CC-4.6	Protocol for the Office of People Operations	
CC-4.7	Corporate Compliance Office Records Management	
CC-4.8	Reporting Findings from Compliance Program Audits	
SECTION 5:	SCREENING AND ENFORCEMENT	
CC-5.1	Enforcement and Discipline Policy	
CC-5.2	Employee and Contractor Exclusion Screening	
CC-5.3	Verification of Credentials	
CC-5.4	Criminal History Record Check	
SECTION 6:	RISK ASSESSMENT, AUDITING AND MONITORING	
CC-6.1	Risk Assessment Process	
CC-6.1A	Risk Assessment Questionnaire	
CC-6.2	Internal Auditing and Monitoring	
CC-6.3	Audit Resolution	
CC-6.4	Auditing and Monitoring of the Compliance Program	
CC-6.4A	Self-Assessment Tool	
SECTION 7:	RESPONDING TO VIOLATIONS AND INVESTIGATIONS	
CC-7.1	Reimbursement Practices and Billing Errors	
CC-7.2	Disclosure of Overpayments and Deficiencies	
CC-7.3	Disclosure of Misconduct	
CC-7.4	Responding to a Subpoena	
CC-7.5	Responding to a Search Warrant	
CC-7.6	Responding to Government Inquiries and Visits	
SECTION 8:	NON-INTIMIDATION AND NON-RETALIATION	

Non-Intimidation and Non-Retaliation in Reporting False Claims Act and "Qui Tam" Provisions

CC-8.1 CC-8.2

Corporate Compliance Handbook – Table of Contents (Continued)

SECTION 9: AUDITING TOOLS:

CC-9.1	Audit Outlines
CC-9.1A	Clinic Chart Audit Outline
CC-9.1B	Day Hab Billing Audit Outline
CC-9.1C	IRA/Res Hab Billing Audit Outline
CC-9.1D	Program Petty Cash Audit Outline
CC-9.1E	Resident Funds Audit Outline
CC-9.1F	Residential Petty Cash Audit Outline
CC-9.2	Audit Forms
CC-9.2A	Fiscal Audit – Internal Control Audit Form
CC-9.2B	Group Day Habilitation Billing and Claiming Internal Audit Form
CC-9.2C	IRA Residential Habilitation Billing and Claiming Internal Audit Form
CC-9.2D	MSC Billing and Claiming Internal Audit Form checklist
CC-9.2E	IRA, Day Hab, MSC checklist
CC-9.2F	Documentation/Regulation Checklist for Article 28 Services
CC-9.2G	Administrative, QA, and Corporate Compliance Checklist for Article 28 Services
CC-9.2H	Criminal Background Check Audit Form
CC-9.2I	Article 28 Individual Case Review Worksheet
CC-9.2J	ICF Audit Form
CC-9.2K	POCA Form
CC-9.2L	Program Petty Cash Audit Form
CC-9.2M	Residential Petty Cash Audit Form

SECTION 10: TRAINING TOOLS AND RESOURCES

CC-10.1	Corporate Compliance Program Orientation Training
CC-10.2	Corporate Compliance Hotline Q & A
CC-10.3	Corporate Compliance Annual Online Training
CC-10.4	Corporate Compliance Pre and Post tests