

## 20\_\_ Compliance Work Plan

TCFD ANNUAL COMPLIANCE WORK PLAN								
This document is intended to be a tool in assisting the Compliance Officer and Compliance Committee in creating a comprehensive Annual Compliance Work Plan. The annual compliance work plan should address, at a minimum, the required elements of a Compliance Program as outlined in the NYCRR Part 521 regulations.								
2024 Annual Compliance Work Plan								
Task	Initial Committee Discussion	Responsible Party	Start Date	Due Date	Date Completed	Progress to Date	Comments	
<b>1.00</b>	<b>Compliance Plan</b>							
1.01	Review of Old Compliance Plan and new changes in the Law	01/01/24	CCO	01/01/24		03/01/24	In progress	New draft has been done and we await the next CCC Meeting to approve
1.02								
1.03								
1.04								
1.05								
<b>2.00</b>	<b>Policies and Procedures and Standards of Conduct</b>							
2.01	Yearly Review of Each CCC Policy							
2.02								
2.03								
2.04								
2.05								
<b>3.00</b>	<b>Compliance Program Oversight</b>							
3.01	Meet with Department Heads annually to reflect program audits	04/01/24	Compliance team	04/01/24			in-progress	clinic, daycare, education, people operations, finance, residential, operations, admissions
3.02	Subcommittee OMIG/Self-disclosure	04/22/24	Compliance team	04/22/24	ongoing	as needed	In progress	establishing a subcommittee to develop and implement process for OMIG review and self-disclosure
3.03								
3.04								
3.05								
<b>4.00</b>	<b>Compliance Training/ Education</b>							
4.01	New Employee Education RAFT***		H.R./Compliance	ongoing	ongoing			Presentation is made every two weeks to new employees; they are provided the Plan, etc... and sign off upon receipt

Sample Compliance Work Plan  
 Issue Date: XX/XX/XX  
 Effective Date: XX/XX/XX  
 Revision Date: XX/XX/XX

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4.02	Current employees			ongoing	ongoing	ongoing	ongoing	Establishing a process for education of all employees- department meetings sharing new CC flyer and reporting process
4.03	Board Education							
4.04	Vendor/Contractor							
4.05	Data Capture for Direct Care Employees		People Operations/Compliance	05/01/24	ongoing		in-progress	

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Task		Initial Committee Discussion	Responsible Party	Start Date	Due Date	Date Completed	Progress to Date	Comments
<b>5.00</b>	<b>Lines of Confidential Communication</b>							
5.01	CCO							Available via cell phone whenever needed
5.02	Anonymous Hotline							Phone line available 24/7 for anonymous reporting
5.03								
5.04								
5.05								
<b>6.00</b>	<b>Discipline and Enforcement of Compliance Standards</b>							
6.01	Review on an as needed basis with a multi-disciplinary team							
6.02								
6.03								
6.04								
6.05								
<b>7.00</b>	<b>Auditing and Monitoring</b>							
7.01	See the Auditing Work Plan							
7.02	QIDP role redefined	03/01/24	Compliance team	03/01/24	05/01/24		In progress	QIDP role redefined and training for all QIDPs-responsible for auditing and monitoring program documentation
7.03								
7.04								
7.05								
<b>8.00</b>	<b>Response to Compliance Issues</b>							
8.01	CCO reports to CCC at each meeting any in progress reports or investigation		CCO					
8.02	CCO reports to the Board at the quarterly Board Meetings							
8.03	Sample Compliance Work Plan							

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8.04								
8.05								

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