

THE CENTER FOR DISCOVERY

SUBJECT: Role and Responsibilities of the Corporate CCC Policy	MANUAL: Corporate Compliance
	SECTION: Section 7

Purpose:

The Center for Discovery (“TCFD”) is committed to the operation of an effective Compliance Program. Therefore, TCFD established the Corporate CCC (“CCC”) to monitor results of the compliance functions and determine the Organization’s strategy for promoting compliance.

For purposes of this Policy, the term “Affected Individuals” includes all employees including the Chief Executive Officer, administrative personnel, and Board members as well as any person associated with TCFD (this applies to any person or affiliate who is involved in any way with TCFD such that the person or affiliate contributes to the agency’s entitlement to payment under the Medical Assistance Program and who is not an employee, executive, or governing body member e.g. independent contractors, interns, students, volunteers, and vendors).

Policy:

It is the policy of TCFD to ensure that the TCFD maintains an effective Compliance Program in compliance with regulatory standards. This Policy defines the roles and responsibilities of the CCC and their duty to help ensure that TCFD has an effective Compliance Program.

Regulatory Reference:

Social Service Law 363-D

18 NYCRR Part 521

Procedures:

1. The CCC is appointed by the President of the Board of Directors and Chief Executive to advise and assist the Corporate Compliance Officer (“CCO”) with the implementation of the Compliance Program. The CCC will report directly to the Chief Executive and Board of Directors.
2. The CCC will be comprised of Senior Leadership, at minimum.
3. The CCC will meet on a regular and routine basis, but at minimum quarterly. Meeting minutes will be recorded. The CCO will maintain the minutes of all meetings.
4. TCFD will develop and implement a CCC Charter. The Charter will outline the CCC’s duties and responsibilities, membership, designation of a chairperson, and frequency of meetings.
5. The CCC will review and update the CCC Charter at least annually.

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6. Affected Individuals will be introduced to the role and responsibilities of the CCC as part of the Compliance Program education and training.

7. The CCC is responsible for the following:

- Analyzing the regulatory environment where TCFD does business, including legal requirements with which it must comply.
- Reviewing and assessing existing policies and procedures that address risk areas for possible incorporation into the Compliance Program.
- Reviewing and monitoring Compliance Program training and education to ensure that they are effective and completed in a timely manner.
- Ensuring that the Organization has effective systems and processes in place to identify Compliance Program risks, overpayments, and other issues and has effective policies and procedures for correcting and reporting such issues.
- Working with departments to develop standards and policies and procedures that address specific risk areas and to encourage compliance according to legal and ethical requirements.
- Coordinating with the CCO to ensure that the written policies and procedures and Standards of Conduct are current, accurate, and complete.
- Developing internal systems and controls to carry out compliance standards, Standards of Conduct, and policies and procedures.
- Coordinating with the CCO to ensure communication and cooperation by Affected Individuals on compliance-related issues, internal or external audits, or any other function or activity.
- Developing a process to solicit, evaluate, and respond to complaints and problems.
- Monitoring internal and external audits to identify issues related to non-compliance.
- Implementing corrective and preventative action plans and follow-up to determine effectiveness.

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- Ensuring the development and implementation of an annual Compliance Work Plan.
- Advocating for sufficient funding, staff, and resources to be allocated to the CCO to carry out duties related to the Compliance Program.
- Ensuring that TCFD has appropriate systems and policies in place that effectively identify risks, overpayments, and other areas of concerns including fraud, waste, and abuse.
- Monitoring and evaluating TCFD's Compliance Program for effectiveness at least annually and making recommendations for necessary modifications to the Compliance Program as applicable.
- Developing and implementing a CCC Charter. The Charter will outline the CCC's duties and responsibilities, membership, designation of a chairperson and frequency of meetings. The Charter will be reviewed and updated annually.

Sanction Statement: Non-compliance with this policy may result in disciplinary action, up to and including termination.

Compliance Statement: As part of its ongoing auditing and monitoring process in its Corporate Compliance Program, TCFD will review this policy based on changes in the law or regulations, as TCFD's practices change, and, at minimum, on an annual basis. Additionally, this policy will be tested for effectiveness on an annual basis or more frequently as identified in accordance with TCFD's Corporate Compliance Program. Testing will include but is not limited to ensuring that the policy is appropriately followed; the policy is effective; the policy has been disseminated to all Affected Individuals, as well as notified of any updates or changes.

Tracking of the criteria above and results of this testing will be completed by the CCO, or designee. Additionally, results will be reported to the CCC and Governing Body on a regular basis.

Record Retention Statement: TCFD will retain this policy and all subsequent revisions, and any related documentation will be retained for a period of, at minimum, six years.

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