

Corporate Compliance Policies & Procedures Duty to Report

Created: 2/8/22, revised: 10/16/23

Author: Corporate Compliance Committee

PURPOSE

Autism Services, Inc. (the “Agency”) intends to comply with all federal and state laws, regulations, and standards that apply to its operations. The purpose of this Policy is to support the Agency’s goal of legal compliance by establishing effective lines of communication for reporting actual or suspected matters of non-compliance.

APPLICABILITY

This Policy applies to all Agency employees, Board members, and contractors¹ regardless of the source of funding for any particular program.

POLICY

1. Any person who is aware of, or suspects that fraud, waste, abuse, or other wrongful or unethical conduct, violations of law, regulations, administrative guidance, or the Agency’s Compliance Plan and policies (a “Compliance Issue”) has been committed by the Agency and/or an employee, Board member, or contractor is obligated to report the Compliance Issue to the Compliance Officer, any member of the Agency Compliance Committee, the Agency’s Compliance Hotline, the Compliance Dropbox, or, in the case of an employee, the employee’s supervisor or any supervisor or director.
2. Anyone who files a complaint concerning a Compliance Issue must be acting in good faith and have reasonable grounds for believing the information disclosed constitutes a Compliance Issue (“Protected Disclosure”).
3. Any person who knowingly, or with reckless disregard for the truth, gives false information or knowingly makes a false report of a Compliance Issue, or a subsequent false report of retaliation, will be subject to disciplinary action up to and including termination of their relationship with the Agency. Allegations made in good faith that are not substantiated are not subject to corrective action.
4. No person who makes a Protected Disclosure will suffer intimidation, retaliation, or adverse employment consequences. Any person who retaliates against or intimidates any individual who makes a Protected Disclosure is subject to discipline up to and including termination. The Agency’s **Non-Retaliation and Non-Intimidation Policy** is intended to encourage and enable employees, Board members, and contractors to participate in good faith in the Compliance Program and to raise concerns within the Agency prior to seeking resolution outside the Agency.
5. Protected Disclosures may be made on a confidential basis by the complainant or may be submitted anonymously through the Agency’s Compliance Dropbox. Protected Disclosures and investigatory

¹ “Contractors” includes volunteers, interns, subcontractors, appointees and other persons associated with the Agency such that the person or affiliate contributes to the Agency’s entitlement to payment under Medicaid.

records will be kept confidential unless the matter is turned over to law enforcement or disclosure is otherwise required by law.

PROCEDURE

1. When an employee, Board member, or contractor during the course of their employment or role first becomes aware of a Compliance Issue impacting the Agency, the individual must report the information directly to any of the following:
 - The Agency's Compliance Hotline at 716-631-5777 ext. 644;
 - The Agency's Corporate Compliance Officer by: (a) phone (716-631-5777 ext. 321), (b) email (complianceofficer@autism-services-inc.org), or (c) mail to "Attn: Corporate Compliance Officer, 40 Hazelwood Drive, Amherst, NY 14228";
 - An Agency Compliance Committee member;
 - The Compliance Dropbox located in the front foyer at 40 Hazelwood Dr. (anonymously or otherwise); or
 - If an employee, the employee's supervisor or any supervisor; or if a Board member, the Executive Director.

Note: Employees have the option to use the "Staying on Target" Form, which is available on Paylocity, and is appended to this Policy as Exhibit A, to make a report.
2. Any employees, Board members, or contractors who are aware of or suspect a Compliance Issue, and who do not fully disclose it to one or more of the above-named parties, may be subject to the same disciplinary action as those who are involved in the non-compliance.
3. If the complainant identifies themselves, the complainant will be contacted to acknowledge receipt of the Compliance Issue within three (3) working days for most issues and within twenty-four (24) hours for Compliance Issues that involve alleged criminal or environmental violations. All reports will be promptly and thoroughly investigated. Appropriate corrective action will be taken if warranted by the investigation.
4. The Compliance Officer will be responsible for initiating any further investigation. Confidential reports will be kept confidential unless the matter is referred to law enforcement or disclosure is required by law.
5. The Agency maintains effective lines of communication, ensuring confidentiality, for the reporting of Compliance Issues between the Compliance Officer, members of the Compliance Committee, the Agency's employees, managers, senior management, Board, and the Agency's first tier downstream contractors, and related entities.
6. The Agency forbids any form of intimidation or retaliation against any individual for reporting, in good faith, a Protected Disclosure. Employees, Board members, and contractors must immediately report any perceived retaliation and/or intimidation to the Compliance Officer. ***See also Non-Retaliation and Non-Intimidation Policy.***

Staying On Target

THIS FORM IS NOT TO BE USED TO REPORT ABUSE OF A PERSON

AUTISM SERVICES, INC. CORPORATE COMPLIANCE PROGRAM

COMPLIANCE OFFICER: DONNA MARTINY 40 HAZELWOOD DR., AMHERST NY, 14228

It is Autism Services, Inc.'s goal to provide quality services while meeting high standards for ethical business practices and compliance with laws and regulations and you can help ensure that we are "Staying on Target" with that goal.

Please use this form, call the hotline at 631-5777 ext. 644, contact the Compliance Officer or a member of the agency's Corporate Compliance Committee, to report issues of concerns about suspected fraud, waste, or other improper or unethical business practices or regulatory compliance concerns by any employee, Board member, vendor independent contractor, or other person associated with the agency's entitlement to payment under Medicaid. You can also place this form in the Compliance Dropbox located in the front foyer at 40 Hazelwood Drive, Amherst NY 14228.

Some examples of concerns employees are expected to report include:

· Misleading documentation · Documenting or claiming services that were not provided · Theft · Misuse of funds, debit or credit cards, time and attendance · Conflicts of Interest · Inappropriate or unauthorized release of confidential information, verbal, written or electronic · Any kind of false billing claims · Retaliation · Other violation of the Compliance Program

It is difficult to list every possible area of non-compliance, so employees are encouraged to discuss any questionable issue or observation with their supervisor or complete this form and the Corporate Compliance Officer will review the situation.

Description of concern: _____

Site/Location: _____

****All correspondence is strictly confidential and anonymous if desired.****

Optional: Keep in mind if you do not identify yourself, you will not be notified of the results of the review. Thank you.

(Please print)

Name: _____

Phone: _____

Yes, you may contact me for more information _____

I prefer to remain **anonymous** _____

Thank you for
Staying On Target

By reporting your **ethical or compliance concerns**, you are helping to ensure that ASI is
"STAYING ON TARGET" and continuing to provide excellent service.

Donna Martiny, Compliance Officer

Autism Services, Inc., 40 Hazelwood Drive Amherst, NY 14228

631-5777 x 644 / complianceofficer@autism-services-inc.org

Please note, we cannot guarantee the anonymity of emails or the Compliance Hotline. If you prefer to remain anonymous please mail this form to the attention of Donna Martiny without a return address or drop this form in the Compliance Dropbox located at 40 Hazelwood Drive Amherst, NY 14228

To **learn more** about ASI's Compliance Program:

- Speak with your supervisor
- Consult your Employee Handbook or the Compliance Plan and Policies
or
- Contact the Compliance Officer



Staying On Target

AUTISM SERVICES, INC.'S COMMITMENT TO
ETHICAL STANDARDS AND CORPORATE COMPLIANCE