

## I. Policy

Strict adherence to NYSARC, Inc. – Suffolk Chapter’s Corporate Compliance Plan and Code of Conduct is vital. NYSARC, Inc. – Suffolk Chapter requires all employees, directors, officers and volunteers to promptly report any known or suspected violations of the Corporate Compliance Plan, Code of Conduct, policies and procedures or any of the laws, rules or regulations by which NYSARC, Inc. – Suffolk Chapter is governed. This Policy governs the procedure to be used by employees, directors, officers and volunteers to report compliance concerns and seeks to ensure that NYSARC, Inc. – Suffolk Chapter provides an environment that encourages individuals to report any suspected violations without fear of retaliation or retribution.

## II. Scope

This Policy applies to all employees, directors, officers, and volunteers of NYSARC, Inc. – Suffolk Chapter. This policy must be distributed to all directors, officers, employees and volunteers who provide substantial services to NYSARC, Inc. – Suffolk Chapter.

## III. Procedure

### A. Duty to Report.

Employees, directors, officers, and volunteers are required to report any known or suspected violations of the Corporate Compliance Plan, Code of Conduct, policies and procedures or any of the laws, rules or regulations by which NYSARC, Inc. – Suffolk Chapter is governed to their supervisor, manager, the Corporate Compliance Officer or through NYSARC, Inc. – Suffolk Chapter’s Compliance Hotline.

### B. Reporting Through NYSARC, Inc. – Suffolk Chapter’s Compliance Hotline.

1. Employees, directors, officers, and volunteers may report their compliance concerns confidentially to the NYSARC, Inc. – Suffolk Chapter Compliance Hotline. The Compliance Hotline telephone number is 631 585-0100, extension 772. Callers to the Compliance Hotline may make reports anonymously. No caller will be required to disclose his or her identity and no attempt will be made to trace the source of the call or identity of the caller when the caller requests anonymity.
2. If a caller has revealed his or her identity, confidentiality will be maintained to the extent practicable and allowed by law. Callers should be aware, however, that it may not be possible to preserve anonymity if they identify themselves, provide other information which identifies them, the investigation reveals their identity or they inform people that they have called the Compliance Hotline. Callers should also be aware that

NYSARC, Inc. – Suffolk Chapter is legally required to report certain types of crimes or potential crimes and infractions to external governmental agencies.

3. The Compliance Hotline telephone number shall be visibly posted in a manner consistent with employee notification in locations frequented by NYSARC, Inc. – Suffolk Chapter employees, directors, officers, and volunteers.

C. Confidentiality of Reports.

NYSARC, Inc. – Suffolk Chapter will attempt to treat all reports made under this policy confidentially and to protect the identity of the individual who has made a report to the maximum extent possible consistent with fair and rigorous enforcement of the Corporate Compliance Program and Code of Conduct.

D. Tracking/Investigations of Reports.

1. Any manager or supervisor who receives a report of a suspected violation shall complete a Complaint Intake Form (*See Exhibit A*). A copy of the completed Complaint Intake Form shall be immediately directed to the Corporate Compliance Officer. In addition, the Corporate Compliance Officer or his or her designee shall complete a Complaint Intake Form for all reports received through the Compliance Office or NYSARC, Inc. – Suffolk Chapter’s Compliance Hotline or otherwise.
2. Upon receipt of a Complaint Intake Form, the Corporate Compliance Officer shall conduct an investigation in accordance with NYSARC, Inc. – Suffolk Chapter’s compliance investigation policy.
3. The Corporate Compliance Officer shall prepare a report to the Audit Committee or other committee of the Board made up of independent directors, or the full NYSARC, Inc. – Suffolk Chapter board at least annually summarizing incidents reported, investigatory findings and any corrective actions taken.

E. Non-Retaliation/Non-Retribution.

1. General Principles.

- a. NYSARC, Inc. – Suffolk Chapter will not impose any disciplinary or other action in retaliation, including intimidation, harassment, and discrimination, against individuals who make a report or

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complaint in good faith regarding any action or suspended action taken by or in the NYSARC, Inc. – Suffolk Chapter that the individual believes may violate NYSARC, Inc. – Suffolk Chapter’s Corporate Compliance Plan, Code of Conduct, its Compliance Policies, or any of the laws, rules or regulations by which NYSARC, Inc. – Suffolk Chapter is governed.

- b. “Good faith” means the individual believes the potential violation actually occurred as he or she is reporting it.
- c. All employees, directors, officers, and volunteers of NYSARC, Inc. – Suffolk Chapter are strictly prohibited from engaging in any act, conduct or behavior which results in, or is intended to result in, retaliation or retribution against any individual for reporting his or her concerns relating to a possible violation of NYSARC, Inc. – Suffolk Chapter’s Corporate Compliance Plan, Code of Conduct, its Compliance Policies or any of the laws, rules or regulations by which NYSARC, Inc. – Suffolk Chapter is governed.
- d. The non-retribution/non-retaliation provisions of this Policy do not permit employees, directors, officers, or volunteers to avoid the consequences of their own wrongdoing by reporting such wrongdoing. Disciplinary actions taken against an employee, director, officer, or volunteer who reports his or her own wrongdoing will be a result of the wrongdoing itself, not the reporting of such wrongdoing and, therefore, are not to be considered retaliation or retribution. Self-reporting may, however, be taken into account in determining the appropriate disciplinary action to be taken.

## 2. Reporting Complaints.

- a. If a NYSARC, Inc. – Suffolk Chapter employee, director, officer, or volunteer believes in good faith that he or she has been retaliated against for initiating a report or complaint or for participating in any investigation related to such report or complaint, then the NYSARC, Inc. – Suffolk Chapter employee, director, officer, or volunteer should report the retaliation to his or her supervisor, manager, the Corporate Compliance Officer or NYSARC, Inc. – Suffolk Chapter’s Compliance Hotline as soon as possible. The report should provide a thorough account of the incident(s) and should include names, dates of specific events (if

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available), the names of any witnesses and the location or name of any document in support of the alleged retaliation.

- b. NYSARC, Inc. – Suffolk Chapter will conduct a thorough and objective investigation of the incident(s).
- c. Adverse actions in retaliation for an employee’s report or complaint may result in discipline, up to and including termination.

F. Discipline.

- 1. Any disciplinary action for violation of the Corporate Compliance Plan, Code of Conduct, policies and procedures or any of the laws, rules or regulations by which NYSARC, Inc. – Suffolk Chapter is governed shall be imposed in accordance with NYSARC, Inc. – Suffolk Chapter’s Progressive Discipline Policy.
- 2. In the event an employee makes a frivolous, malicious or knowingly false report or complaint under this Policy, the employee will be subject to appropriate discipline, up to and including termination.

List of Exhibits

Exhibit A – NYSARC, Inc. – Suffolk Chapter Compliance Report Intake Report

_____	_____
NYSARC, Inc. – Suffolk Chapter	Date
Chief Executive Officer	

_____	_____
NYSARC, Inc. – Suffolk Chapter	Date
Chief Operating Officer	

**Exhibit A**

**NYSARC, Inc. – Suffolk Chapter Compliance Intake Form**

Compliance/Legal Incident

File #: \_\_\_\_\_

Type (circle one): Compliance    HIPAA    Human Resource    Other Legal

*To be completed by the Manager, Supervisor or Compliance Office Official receiving the complaint:*

Name and Position of Employee Providing Information, if Provided:

\_\_\_\_\_

Date Reported: \_\_\_\_\_

Facility/Function Reporting: \_\_\_\_\_

**Brief Description of Issue**


*To be completed by the Compliance Office only:*

**Brief Description of Resolution, Including Any Corrective Action, Discipline**


Date Resolved: \_\_\_\_\_

Investigated/Managed by: \_\_\_\_\_

Referred to Outside Counsel? Yes/No

Date Referred \_\_\_\_\_

**Other Issues**


\* Please attach copies of all pertinent documents obtained or created through your investigation of this complaint.