




Family Empowerment Council, Inc.
Services for People with Disabilities



VISION

Welcome to CORPORATE COMPLIANCE RECERTIFICATION 2009



Purpose of the Corporate Compliance Plan

- ❖ Preventing Healthcare Fraud, Waste and Abuse
- ❖ Detecting misconduct at an early stage
- ❖ Assuring prompt corrective action in response to identified problems.



Corporate Compliance is:

Operating in accordance with applicable laws and regulations:

- Federal Deficit Act,
- Federal False Claims Act,
- New York State False Claims Act
- Regulation Part 521
- Meeting high ethical and professional standards



If You Don't Know, Just Ask!

- ❖ Our Compliance Plan requires that all agency employees **seek immediate clarification** from any member of the Corporate Compliance Committee, Formal Leader, Manager, Compliance Manager or the Compliance Officer if they have any questions or concerns regarding any aspect of the Compliance Plan, Policies, or Procedures.



Employee Responsibility

- We depend upon every employees' commitment and assistance to support each other to stay educated and focused on our Vision, Code of Ethics and Conduct, and Agency Purpose.
- It is our shared obligation to provide Quality Services in accordance with applicable Federal and State laws, regulations, and guidelines.



Our responsibility

- ✓ Adhere to the Code of Conduct and all relevant policies
- ✓ Report suspected fraud, abuse, and or other improper activity
- ✓ Provide assistance with internal audits
- ✓ Cooperate in internal investigations



And Daily Compliance

- We all need to be aware of not only all applicable Federal and State laws, but also rules, regulations, guidelines, policies, and procedures that impact our documentation, coding, billing and practices in our individual day-to-day work within our programs.





Mechanisms and Tools (How we do it!)

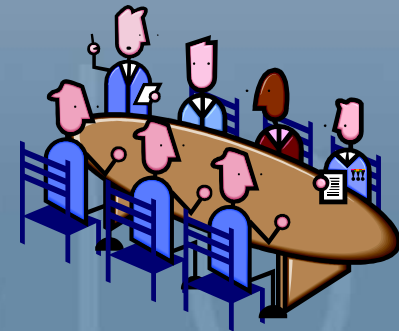


- Agency Corporate Compliance Plan
- Agency Code of Ethics and Conduct
- Corporate Compliance Office/Managers
- Corporate Compliance Committee
- Sub Committees



Compliance Committee

- Purpose: To assist the Compliance Officer in the oversight, development, implementation and operation of the Compliance Plan.
- Committee reviews reports and recommendations of the Compliance Officer regarding Compliance Plan activities.



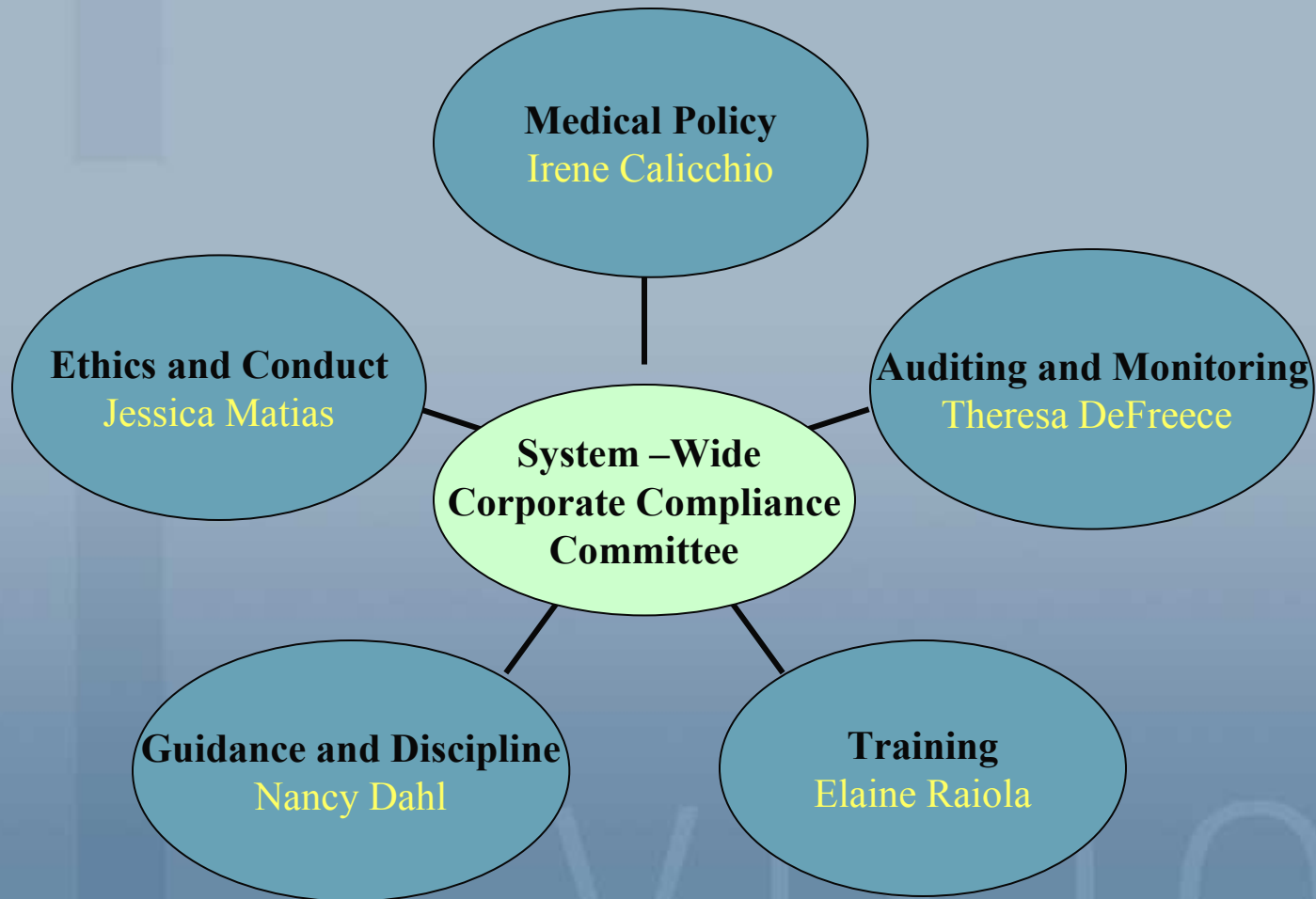


2009 Compliance Committee System Wide

- ❖ Lori Lentini, Chair
- ❖ Eileen Zepf
- ❖ Laurie Wolfe
- ❖ Theresa DeFreece
- ❖ Jessica Matias
- ❖ Nancy Dahl
- ❖ Irene Calicchio
- ❖ Elaine Raiola
- ❖ Yan Cheung
- ❖ Victoria Lyons
- ❖ Kelly Hart
- ❖ Rebecca McFarland
- ❖ Barbara Russell
- ❖ Laura Altieri
- ❖ Tony Pennimpede



2009 Sub Committees/Chairs





Ethics in the Workplace

- The Code of Ethics and Conduct cannot substitute for our own internal sense of the work we perform each day.
- Ask yourself, “Do I perform my job duties with: **Honesty, Values, Accountability and Integrity?**”



Code of Ethics and Conduct

- ❑ Our Vision, Values and Principles guide us to do the right thing.
- ❑ Our compliance program requires us to be good stewards of both our consumer's resources and our Agency's resources.
- ❑ It is a condition of your employment that you comply with the Code of Ethics and Conduct.



Compliance has investigated:

Examples of compliance reports

- ❖ Theft of Agency and Consumer money
- ❖ Theft of Food or Supplies from our residential program
- ❖ Theft of Services (putting hours on timesheet when not actually performed)
- ❖ Theft of Resources (unapproved use of Agency cell or landline phone)
- ❖ Inappropriate computer use



OUTCOMES

☑ System Wide:

We implement a great deal of process improvements each year through our increased knowledge gained by investigating and resolving compliance issues.



Awareness

- ✓ **PLEASE BE AWARE**
- ✓ If something seems questionable, please report it so it can be looked into to protect our consumers and our agencies from unethical and/or illegal behavior.



Reporting

- Please assist us in communicating our values and commitment to our consumers through active dialogues with each other
- We encourage all staff members to report concerns or questions directly to the Compliance Officer, Lori Lentini, but there may be times when you feel more comfortable talking to a formal leader or your supervisor
- Anonymous reporting can be made through the dedicated voicemail.



The 5 ways to File a Compliance Report:

- ✓ Dedicated voicemail 692-4454 x 333 OCC/NDC
343-8100 x 396 FEC
- ✓ Voicemail to Compliance Officer/Compliance Manager or any leader/manager
- ✓ Direct reports to supervisors, managers and leaders
- ✓ Direct report to Compliance Officer/Compliance Manager
- ✓ Mail/Email to Compliance Officer/Compliance Manager or any leader/manager



Compliance Officer & Managers

Lori Lentini, Compliance Office

692-4454 x128

llentini@occupations.org

Eileen Zepf, OCC/NDC Compliance Manager

790-9011 x 204

ezepf@occupations.org

Laurie Wolfe, FEC Compliance Manager

343-8100 x 325

lwolfe@familyempowerment.org



vision



Advanced Compliance Training

- ❖ Review with your Department and discuss
- ❖ We trust you as a valuable member of our team who will assist us in supporting the values and principles that are critical to continuing our tradition of caring.

