

MADISON COUNTY POLICY AND PROCEDURES

Subject: Compliance Policy: Compliance Education and Training
Approved: April 11, 2023 (Resolution No. 23-101)
Effective Date: March 28, 2023
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April 11, 2023
Assigned to: Government Operations Committee
Responsible Dept. Compliance
Next Review: February 2025

Purpose: The development and implementation of regular, effective education and training seminars is an integral part of the Madison County's Corporate Compliance Program. Compliance education is divided into two general components: (1) all Affected Individuals (as defined in the Corporate Compliance Plan and further described in Attachment 1 thereto) must receive an introduction to the compliance program, and (2) those parties whose work is identified as high-risk areas shall receive specialized compliance education pertaining to their function and responsibilities.

Reference: 18 NYCRR 521-1.4(d); SSL § 363-d

Policy: A. It is the policy of Madison County to provide training and education to all Affected Individuals on its Corporate Compliance Program, expectations, reporting channels, and compliance issues as part of orientation (for employees or board members) or contractual period for Class A Contractors, and annually thereafter, and when there are any changes to federal, state, and local laws, rules and regulations.

Procedures: A. The Corporate Compliance Officer, with the assistance of the Corporate Compliance Committee, is responsible for developing the compliance training plan and ensuring that annual compliance training and orientation meet the policy standards on this subject.

B. Madison County's compliance training plan will outline the scope of its training and education program, which includes the following:

1. the topics to be discussed;
2. the time and frequency of training;
3. the Affected Individuals subject to attendance and how attendance will be tracked;
4. the means of training for Affected Individuals not subject to attendance and how self-study will be tracked; and
5. the periodic evaluation of the effectiveness of the training.

C. Compliance training and education shall be given using a method that is in a form and format reasonably accessible and reasonably expected to be understood by the individuals receiving the training, consistent with federal and state language and other access laws, rules or policies. Affected Individuals shall timely participate in all required compliance training and education. When determined by the Corporate Compliance Officer to be appropriate, certain Affected Individuals may receive

MADISON COUNTY POLICY AND PROCEDURES

education and training on the County's Corporate Compliance Program as part of a self-study program. Any self-study program will be required to meet the core education and training requirements, and include providing copies of the Corporate Compliance Plan, Code of Conduct and related policies and procedures, and how and where they can ask questions and receive more extensive information and details on the Corporate Compliance Program. Any Affected Individuals receiving training through such self-study program will be required to complete a written or electronic test and receive a passing score and complete an acknowledgement evidencing that compliance training occurred and have knowledge on where and how to access information on the County's Compliance Program.

- D. Attendance and participation in compliance training is a condition of continued employment, board membership or association with Madison County.
- E. All Affected Individuals, including new employees and new appointments of board members, chief executive officer, compliance officer, senior management or elected officials, will complete an initial mandatory compliance education and training within thirty (30) days of employment, appointment, or contractual engagement.
- F. Compliance education seminars, at a minimum, will include the required topics as set forth on the attached **Elements of Madison County's Compliance Education and Training**.
- G. Specialized areas for training education may include, but not be limited to the following areas:
 - 1. Improper or fraudulent billing for services;
 - 2. Preparation of inaccurate or incorrect cost reports;
 - 3. Misuse of Madison County funds;
 - 4. Payment or receipt of remuneration or gifts in return for client referrals;
 - 5. Government and private payer reimbursement principles; and
 - 6. Government initiatives related to the services provided by the County.
- H. Comprehensive education materials will be developed to facilitate the compliance sessions and ensure that a consistent message is delivered to Affected Individuals. Education protocols and materials must be standardized, so as to evidence that everyone attending a seminar receives the same instruction. All materials (training, plan, policies, forms, and video) will be available electronically on the County's website and intranet.
- I. Only properly trained individuals approved by the Corporate Compliance Committee will be used to provide compliance education and training seminars. Compliance program trainers must be knowledgeable of the (a) compliance program; (b) applicable federal laws and regulations; (c) requirements of the Federal Sentencing Guidelines; (d) relevant organization policies/procedures; (e) operations of the compliance program; and (f) content of the Code of Conduct. Regardless of the presenter, the Corporate Compliance Officer shall oversee, where appropriate, the program(s) to ensure attendance and active participation in training sessions.
- J. The Corporate Compliance Officer is responsible for coordinating with management to ensure that specialized compliance education occurs in identified risk areas.
- K. The Corporate Compliance Committee members shall assist the Corporate Compliance Officer in identifying areas that require specific training and are responsible for communication of terms of the compliance plan to all Class A Contractors doing business with the County.

MADISON COUNTY POLICY AND PROCEDURES

- L. Madison County will ensure that the Corporate Compliance Officer has sufficient opportunities to receive training on compliance issues.
- M. The Corporate Compliance Officer is responsible for submitting periodic reports to the Corporate Compliance Committee and Board of Supervisors on all education seminars related to the compliance program.
- N. For any Class A Contractors that are also required to maintain an effective compliance program, the Corporate Compliance Officer will consider the most efficient manner in which to provide compliance training, including any training provided directly by the Class A Contractor.
- O. Regardless of the method received, all training shall address, at minimum, the required topics set forth in the attached **Elements of Madison County's Compliance Education and Training**.

Violations: Failure to comply with training requirements may result in disciplinary action, up to and including termination or disassociation with Madison County in accordance with civil service law.

Attachments: **Elements of Madison County's Compliance Education and Training**

MADISON COUNTY POLICY AND PROCEDURES

Elements of Madison County's Compliance Education and Training

Madison County's compliance education and training program shall cover, at minimum, the following required topics:

- (i) The County's risk areas and organizational experience;
- (ii) The County's written policies and procedures as set forth in Section 521-1.4(d)(1);
- (iii) The role of the Corporate Compliance Officer and the Corporate Compliance Committee;
- (iv) How Affected Individuals can ask questions and report potential compliance-related issues to the Corporate Compliance Officer and members of the Corporate Compliance Committee, as well as other members of senior management, as appropriate, including the obligation of Affected Individuals to report suspected illegal or improper conduct and the procedures for submitting such reports; and the protection from intimidation and retaliation for good faith participation in the Compliance Program;
- (v) Disciplinary standards, with an emphasis on those standards related to the County's Compliance Program and prevention of fraud, waste and abuse;
- (vi) How the County responds to compliance issues and implements corrective action plans;
- (vii) Requirements specific to the County's categories of service;
- (viii) Coding and billing requirements and best practices, as applicable; and
- (ix) Claim development and the submission process, as applicable.