

MADISON COUNTY POLICY AND PROCEDURES

Subject: **Compliance Policy:**
Employee, Board, and Independent Contractor Compliance Training

Issued: April 5, 2012

Approved: December 27, 2012

Revised: August 20, 2013
August 26, 2014
August 16, 2016
September 30, 2020

Purpose:

The development and implementation of regular, effective education and training seminars is an integral part of the compliance program. Compliance education is divided into two general components: (1) all Madison County Employees, Board Members, and Independent Contractors 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.

Definitions:

- **Employees:** All full-time employees, part-time employees, seasonal/temporary workers, interns, volunteers, and trainees.
- **Board Members:** Any member on the Madison County Board of Supervisors, Board of Health and Community Services Board.
- **Class A Contractors:** Independent contractors that provide direct health and medical services (i.e. therapists, physicians).

Policy:

1. All Employees, Board members and Class A contractors, will receive training related to the County's overall compliance program. All other independent contractors will have language regarding the corporate compliance policy within their contracts.
2. Employees within the Public Health and Mental Health Departments, Board Members, and Class A contractors will receive more detailed education related to their function and responsibilities.
3. Attendance at training sessions and/or completion of online training is mandatory and is a condition of continued employment for all Madison County employees, and Board membership (Board of Supervisors, Public Health Board or Community Services Board) according to the schedule under "**Procedures**" herein.
4. Attendance at training sessions and/or completion of online training is mandatory and is a condition to be considered for contracting with Madison County according to the schedule under "**Procedures**" herein.

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Procedures:

A. Specific requirements and responsibilities regarding the content of the training:

1. The Compliance Officer is responsible for developing the compliance education curriculum and monitoring and ensuring that compliance training and orientation meet the policy standards on this subject.
2. Compliance education seminars must include an explanation of the structure and operation of the compliance program and provide an introduction of the County's Compliance Officer.
3. Compliance education seminars, at a minimum, will include information on the following aspects of the compliance program:
 - Code of Conduct and other related written guidance;
 - False Claims Act;
 - Whistleblower Provisions;
 - New York False Claims Act;
 - Communication channels (name of Compliance Officer, reporting mechanisms, hotline);
 - Organizational expectations for reporting problems and concerns; and
 - Non-retaliation policy.

and specialized areas for education will include, but not be limited to the following:

- Improper or fraudulent billing for services;
 - Preparation of inaccurate or incorrect cost reports;
 - Misuse of Madison County (sometimes referred to as "County" or "the County") funds;
 - Payment or receipt of remuneration or gifts in return for client referrals;
 - Government and private payer reimbursement principles; and
 - Government initiatives related to the services provided by the County.
4. Comprehensive education materials will be developed to facilitate the compliance sessions and ensure that a consistent message is delivered to all employees, Board members, and independent contractors. 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.

B. Specific responsibilities regarding administration of the training:

1. The Personnel Officer or their designee will ensure each new employee, as part of his or her initial orientation, receives the required training session, whether in person or online, within the first thirty (30) days of employment. Any delays in administration of the training should be reported to the County's Compliance Officer.
2. The Personnel Officer or their designee will ensure each newly elected or appointed Board member completes the required training session, whether in person or online, at the time of appointment. Any delays in administration of the training should be reported to the County's Compliance Officer.

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3. The Department Head in conjunction with the County Compliance Officer will ensure each newly contracted Class A contractor completes a training session ***before or within 30 days*** of the contract being approved by the Board of Supervisors.
 4. Each employee, Class A contractor, and Board member will receive, either by hardcopy or online, an introduction to Madison County's compliance program and objectives, the Code of Conduct, compliance plan, and compliance policies. Each new employee, Class A contractor, and Board member will sign the respective acknowledgement forms (copies are attached to this policy) stating they are aware of and will abide by the compliance program and Code of Conduct by. All other independent contractors will have language regarding the corporate compliance policy within their contracts.
 5. All existing employees within the Public Health and Mental Health departments and existing Class A contractors will receive a training session, either in person or online, at least once per year, that includes a review of the existing compliance program, the Code of Conduct, and any applicable policies and procedures. The session will also focus on any changes in federal or state laws and regulations.
 6. All other existing employees will receive a training session, either in person or online, at least once every other year that includes a review of the existing compliance program, the Code of Conduct, and any applicable policies and procedures. The session will also focus on any changes in federal or state laws and regulations.
 7. All existing or re-elected Board members will receive a training session, either in person or online, at least once every other year that includes a review of the existing compliance program, the Code of Conduct, and any applicable policies and procedures. The session will also focus on any changes in federal or state laws and regulations.
 8. Verification of education and training relating to the compliance program, whether in person or online, will be tracked, recording the date, start and end time of the session, and the content of the material presented. The Compliance Officer will maintain a file of attendance forms for all training sessions.
 9. All Employees, independent contractors, and Board members will be provided with the opportunity to seek clarification or more information on any aspect of the compliance program. Trainers who are not able to answer specific questions will arrange for follow-up to be conducted by the Compliance Officer or member of senior management. In regard to electronic training, clarification on any aspects of the compliance program is to be referred to the Compliance Officer or a member of senior management.
- C. Only properly trained individuals approved by the 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.

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- D. The County Compliance Officer is responsible for coordinating with management to ensure that specialized compliance education occurs in identified risk areas.
- E. Department Heads/Supervisors shall assist the County Compliance Officer in identifying areas that require specific training and are responsible for communication of terms of the compliance plan to all independent contractors doing business with the County.
- F. Madison County will ensure that the Compliance Officer has sufficient opportunities to receive training on compliance issues.
- G. The County Compliance Officer is responsible for submitting periodic reports to the Compliance Committee and Board of Supervisors on all education seminars related to the compliance program.

Attachments:

- Madison County Corporate Compliance Training Acknowledgement Form (Employee/Board Member)
- Madison County Corporate Compliance Training Acknowledgement Form (Class A Contractor)

MADISON COUNTY
Corporate Compliance Training Acknowledgement Form
(Employee/Board Member)

Contents of Training:

- Madison County's Compliance Plan
- Code of Conduct
- Federal and State Regulatory Enforcement Agencies and their Functions
- Regulatory History
- False Claims Act
- NY False Claims Act
- Whistleblower Provisions and Non-Retaliation Policy
- Expectations for Reporting Problems and Concerns
- Communication Channels (including name of the Compliance Officer and methods to report)

I, the undersigned, acknowledge that I have viewed the Compliance Training Video on this date and have been provided with the opportunity to ask any questions that I may have. I acknowledge that I have received a copy of and read the Compliance Plan and Code of Conduct. I understand that I must comply with the Compliance Plan, the Code of Conduct, all laws, regulations, policies and procedures, and guidance provided. I understand that I must report any instances of possible violations of the Compliance Plan, the Code of Conduct, all laws, regulations, policies and procedures to a the member of management or the Compliance Officer. I understand that Madison County maintains a hotline for confidential or anonymous reporting of possible violations of the Compliance Plan, the Code of Conduct, laws, regulations, policies and procedures. Furthermore, I understand that my failure to comply with the Compliance Plan, the Code of Conduct, laws, regulations, policies and procedures, or to report any possible violations may result in disciplinary action, up to and including termination.

Print Name

Date of Training

Signature

Department

Please return completed form to the Corporate Compliance Officer.

MADISON COUNTY
Corporate Compliance Training Acknowledgement Form
(Class A Contractor)

Contents of Training:

- Madison County's Compliance Plan
- Code of Conduct
- Federal and State Regulatory Enforcement Agencies and their Functions
- Regulatory History
- False Claims Act
- NY False Claims Act
- Whistleblower Provisions and Non-Retaliation Policy
- Expectations for Reporting Problems and Concerns
- Communication Channels (including name of the Compliance Officer and methods to report)

I, the undersigned, acknowledge that I have viewed the Madison County Corporate Compliance training video on the below stated date, and have been provided with the opportunity to ask any questions that I may have. I acknowledge that I have read the Compliance Plan and the Code of Conduct. I understand that I must comply with said Compliance Plan, the Code of Conduct, all laws, regulations, policies and procedures, and must report any instances of possible violations to the Madison County Compliance Officer. I understand that Madison County maintains a hotline for confidential or anonymous reporting of possible violations of the Compliance Plan and Code of Conduct. Furthermore, I understand that my failure to comply with the Compliance Plan and Code of Conduct or to report possible violations may result in termination of my contract with Madison County.

Print Name

Title

Signature

Date

Print Business Name

Please send completed form to:

Madison County: Corporate Compliance Dept.
P.O. Box 635
Wampsville, NY 13163
ATTN: Christina Kennedy
or Fax to: (315) 366-2502 ATTN: Christina Kennedy