

Ok, I got it! But...

I'm a contractor/vendor. If I do have a concern, how can I make a report?



REPORT COMPLIANCE or ETHICS CONCERNS

COMPLIANCE HOTLINE

(914) 277-4771 Ext 110

***Whistleblower protections apply**

Leave a report 24 hours a day / 7 days a week

Like our employees, contractors and vendors can make reports of any compliance concerns.

You can contact:

1. Your contract liaison at CBS (who oversees the work you do on our behalf); or
2. The Human Resources Department:
914-277-4771 ext. 104; or
3. The Corporate Compliance Department:
Melissa Zambri, Corporate Compliance & HIPAA Privacy Officer
Extension: 914-277-4771 ext. 106 or call the **Compliance Hot-line:**



**Freedom from retaliation and intimidation applies. Whistleblowers who make good-faith reports are protected in accordance to CBS policies and applicable State and Federal laws*

TO:



Enriching lives of people with autism and other disabilities

Corporate Compliance Department

Melissa Zambri, Corporate Compliance Officer

3 Fields Lane
North Salem, NY 10560
914-277-4771 phone
914-277-8956 fax
www.commbasedservices.org

If you have any questions regarding the information in this educational pamphlet, please contact the Compliance Officer at 914-477-4771 Ext. 106

2021-2022 EDUCATIONAL BROCHURE (For Contractors/Vendors)

COMPLIANCE

October 1, 2021 – December 31, 2022



Community Based Services Inc.

Corporate Compliance Department

3 Fields Lane

North Salem, NY 10560

914-277-4771

www.commbasedservices.org



Enriching lives of people with autism and other disabilities



Our Code: A Commitment to Compliance and Ethics

Community Based Services, Inc. enjoys a reputation of integrity and excellence in its programs and business operations. The CBS reputation is one of the organization's most valued assets. CBS is committed to ethical business dealings and embraces the standard of "doing what is right."

To this end, we have a Code of Conduct and Ethics for the entire CBS community. Our Code is the foundation of all organizational policies. The appointment and retention of all members of the CBS community is contingent upon acceptance of and compliance with this code.

Elements of our Code:

1. Our commitment to ensuring safety and respect for the individuals supported, the staff, and the CBS "brand"
2. Our commitment to compliance with the law
3. Our commitment to ethical behavior
4. Our commitment to continuous training and improvement
5. Our commitment to serving CBS in a manner free of conflicts of interest
6. Our commitment to respecting property rights
7. Our commitment to protecting privacy and confidentiality



WHY ARE YOU RECEIVING THIS INFORMATION?

- You have a valued partnership with **Community Based Services (CBS)** that helps us do important work for the people we support.
- You are a **vendor** or an **independent contactor/consultant** working under contract with us.
- You support our efforts to be transparent and share our commitment and values on ethical and legal business practices.
- You may have a compliance concern (or question) and need to know how to report it and who to contact.

TYPES OF COMPLIANCE CONCERNS

The role of compliance is to ensure that Community Based Services (and those affiliated with us) adhere to applicable laws, professional best practices, and CBS's policies and procedures.

The following are just some examples of compliance and/or ethical concerns that could arise and should be reported:

- Breaches of confidentiality
- Breaches of privacy of the people we support (under HIPAA privacy and security rules)
- Conflicts of interest
- Discrimination or harassment
- Fraud and financial improprieties
- Inappropriate use of CBS resources
- Non-sanctioned research/research misconduct
- Unsafe work conditions

Our Corporate Compliance Program is based on:



I. LAWS THAT DIRECT COMPLIANCE PROGRAMS

- ◆ **The Federal False Claims Act (FCA):** Outlines measures to detect and avoid fraud, waste, and abuse. Under the FCA, it is unlawful to knowingly submit or cause the submission of false claims to Medicaid, or make false records that support billing Medicaid.

FCA imposes liability (fines) on persons and companies who defraud government-funded programs.
- ◆ **The Federal Deficit Reduction Act of 2005 (DRA):** Another measure to eliminate fraud, waste, and abuse that requires certain organizations to provide detailed information via written policies and training on the FCA, remedies for false claims, civil or criminal penalties for false claims, and protections for whistleblowers.
- ◆ **New York State False Claims Act:** As to prevent abuse, fraud, and waste, NYS empowers people with evidence of fraud to file a complaint and potentially receive a monetary reward for doing so.
- ◆ **Health Insurance Portability and Accountability Act of 1996 (HIPAA):** U.S. legislation providing data privacy and security provisions for safe-guarding health/medical information.
- ◆ **New York State SHIELD Act (2019):** The "Stop Hacks and Improve Electronic Security Act" works with HIPAA to ensure data breaches are reported. It protects certain private information of New York State residents and requires reporting to the NYS Attorney General of certain electronic security issues.
- ◆ **New York State Non-Profit Revitalization Act of 2013 (NPRA):** Sets legal requirements for governance (boards) of nonprofit organizations (both not-for-profit corporations and wholly charitable trusts), expands the Attorney General's enforcement powers, and clarifies rules applicable to not-for-profit corporations like CBS.
- ◆ **Federal and New York State Department of Labor Regulations**
- ◆ **Others as applicable**

II. COMPLIANCE MONITORING & RISK MANAGEMENT ACTIVITIES THAT INCLUDE ...

- ◆ An actively engaged Compliance Committee with representation from the CBS Board of Directors.
- ◆ Reviews of billing claims and service delivery documentation (prior to claim being submitted to Medicaid).
- ◆ Internal audits and reviews of paid or adjusted/voided claims (post-billing validation and risk monitoring activities) - including recommendations for enhancing internal controls.
- ◆ Assessing HIPAA breach risks in our program settings and our IT systems
- ◆ Efforts to ensure compliance with credentialing and Medicaid sanctions standards.
- ◆ Liaising with Finance, Human Resources, Programs, and other departments to assess, advise, and recommend system improvements to reduce risks.