




The Arc Mid-Hudson
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POLICY STATEMENT

Topic: Internal Investigation Policy Date Effective: 7/1/2019

☒ Revised ☐ New Section: Corporate Compliance Number: 10.09

Date: 3/7/2023 Approved by: 

POLICY

The Arc Mid-Hudson ("Arc Mid-Hudson") will respond to reports or reasonable indications of suspected noncompliance by commencing a prompt investigation of the allegations to determine whether a violation has, in fact, occurred.

SCOPE

This policy applies to all investigations conducted to evaluate possible violations of laws or regulations or of the Corporate Compliance Plan.

PROCEDURE

The Investigation

The Director of Quality Management/Corporate Compliance or Corporate Compliance Officer shall oversee the conduct of internal investigations of compliance issues and shall have the authority in consultation with the Chief Executive Officer to engage Outside Counsel or other consultants as needed. All investigations are confidential to the extent that they can be under the law, and investigations conducted by an attorney are subject to attorney/client privilege.

Depending upon the type of possible infraction, the Director of Quality Management/Corporate Compliance or Corporate Compliance Officer will determine what personnel possess the requisite skill sets to examine the particular issue(s) and will assemble a team of investigators as needed. The Director of Quality Management/Corporate Compliance or Corporate Compliance Officer in consultation with the Chief Executive Officer will decide whether Arc Mid-Hudson has sufficient internal resources to conduct the investigation or whether external resources are also needed.

If appropriate, and in consultation with the Chief Executive Officer, or their designee, or the Corporate Compliance Committee, or any other appropriate parties, the Corporate Compliance Officer or designee will recommend the cessation of internal activities that may be the cause of the possible non-compliance.

Before conducting an investigation of the particular facts surrounding the issue, the Director of Quality Management/Corporate Compliance or Corporate Compliance Officer or designee shall have a full understanding of the relevant laws, regulations and government issuances.

The Corporate Compliance Officer or designee shall work with the investigation team to develop a strategy for reviewing and examining the facts surrounding the possible violation, which may include, but not be limited to, an audit of billing practices and interviews. Interviews shall include the “Who, What, When, Where, and Why” of the circumstances as applicable. All interview notes and notes from the documents reviewed shall be kept as part of the investigation file.

Post-Investigation

Upon receipt of the results from the investigation, depending on the scope and severity of any identified violations, the Corporate Compliance Officer or designee may consult with the Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Business Development Officer, Corporate Compliance Committee, Chief of Legal Affairs, Chief Human Resources Officer, or Outside Counsel and/or other appropriate parties in order to determine: (a) the results of the investigation and the adequacy of recommendations for corrective actions; (b) the completeness, objectivity and adequacy of the results and findings; and/or (c) further actions to be taken as necessary and appropriate.

Documentation

At the conclusion of the investigation, the Corporate Compliance Officer or designee will organize the information in a manner that enables Arc Mid-Hudson to determine whether an infraction did in fact occur. The Corporate Compliance Officer or designee will track the investigation until it is closed.

Reporting

The Corporate Compliance Officer or designee will be responsible for reporting all investigations to the Chief Executive Officer, Corporate Compliance Committee, and the Board of Directors.

Name of Document: Internal Investigation Policy 10.09

Date last updated: March 7, 2023

Updated by: J.Spizzo