



# The Arc®

## Putnam

### New York

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to achieve their highest quality of life.

<b>The Arc of Putnam Policy &amp; Procedure Manual</b>	<b>Topic:</b> Corporate Compliance Complaint Policy	<b>Regulatory Reference:</b> N/A
<b>Department:</b> Corporate Compliance	<b>Version Dates:</b> October 2014	
<b>Include Other Departments this applies to:</b> Entire Agency	<b>Prior Revision Dates:</b> January 2006	
<b>Committee:</b> Corporate Compliance Committee		

### POLICY ♦

Strict adherence to the Arc of Putnam Corporate Compliance Plan and Code of Conduct is vital. The Arc of Putnam requires all employees, directors, officers and volunteers to promptly report any known or suspected violations of the Corporate Compliance Plan, Code of Conduct, policies and procedures or any of the laws, rules or regulations by which the Arc of Putnam is governed. This policy governs the procedure used by employees, directors, officers and volunteers to report compliance concerns and seeks to ensure that the Arc of Putnam provides an environment that encourages individuals to report any suspected violations without fear of retaliation or retribution.

### SCOPE ♦

This policy applies to all employees, directors, officers, and volunteers of the Arc of Putnam. This policy is distributed to all directors, officers, employees and volunteers who provide substantial services to The Arc Putnam. Distribution is satisfied through posting of this policy to The Arc Putnam's website or at the corporate offices in a conspicuous location available to employees and volunteers. The Board oversees implementation of and compliance with this policy.

## ◆PROCEDURE

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### A. Duty to Report.

Employees, directors, officers, and volunteers are required to report any known or suspected violations of the Corporate Compliance Plan, Code of Conduct, policies and procedures or any of the laws, rules or regulations by which **the Arc of Putnam** is governed to their supervisor, manager, the Corporate Compliance Officer or through **the Arc of Putnam's** Compliance Hotline.

### B. Reporting Through The Arc Putnam's Compliance Hotline.

- 1. Employees, directors, officers, and volunteers may report their compliance concerns confidentially to **the Arc of Putnam** Compliance Hotline. The Compliance Hotline telephone number is 845.278.7272, ext. 2411. Callers to the Compliance Hotline may make reports anonymously. No caller is required to disclose their identity and no attempt is made to trace the source of the call or identity of the caller when the caller requests anonymity.
- 2. If a caller has revealed their identity, confidentiality is maintained to the extent practicable and allowed by law. Callers should be aware, however, that it may not be possible to preserve anonymity if they identify themselves, provide other information which identifies them, the investigation reveals their identity or they inform people that they have called the Compliance Hotline. Callers should also be aware that **the Arc of Putnam** is legally required to report certain types of crimes or potential crimes and infractions to external governmental agencies.
- 3. The Compliance Hotline telephone number is visibly posted in a manner consistent with employee notification in locations frequented by **the Arc of Putnam** employees, directors, officers, and volunteers.

### C. Confidentiality of Reports.

**The Arc of Putnam** treats all reports made under this policy confidentially and to protect the identity of the individual who has made a report to the maximum extent possible consistent with fair and rigorous enforcement of the Corporate Compliance Program and Code of Conduct.

### D. Tracking/Investigations of Reports.

- 1. Any manager or supervisor who receives a report of a suspected violation must complete a Complaint Intake Form (*See Exhibit A*). A copy of the completed Complaint Intake Form is immediately directed to the Corporate Compliance Officer. In addition, the Corporate Compliance Officer or their designee completes a Complaint Intake Form for all reports received through the Compliance Office or **the Arc of Putnam's** Compliance Hotline

or otherwise.

- 2. Upon receipt of a Complaint Intake Form, the Corporate Compliance Officer or their designee conducts an investigation in accordance with **the Arc of Putnam's** [compliance investigation policy].
- 3. The Corporate Compliance Officer or their designee prepares a report to the Board or its authorized committee at least annually summarizing incidents reported, investigatory findings and any corrective actions taken.
- 4. The person who is subject of the whistleblower complaint may not be present or participate in board or committee deliberations or vote on the matter relating to the complaint (*except that nothing prohibits the person from providing background information or answering questions before deliberations/ voting begin*).

## E. Non-Retaliation/Non-Retribution.

### 1. General Principles.

- A. **The Arc of Putnam** does not impose any disciplinary or other action in retaliation, including intimidation, harassment, and discrimination, against individuals who make a report or complaint in good faith regarding any action or suspended action taken by or in **the Arc of Putnam** that the individual believes may violate **the Arc of Putnam's** Corporate Compliance Plan, Code of Conduct, its Compliance Policies, or any of the laws, rules or regulations by which **the Arc of Putnam** is governed.
- B. *"Good faith"* means the individual believes the potential violation actually occurred as they are reporting it.
- C. All employees, directors, officers, and volunteers of **the Arc of Putnam** are strictly prohibited from engaging in any act, conduct or behavior which results in, or is intended to result in, retaliation or retribution against any individual for reporting their concerns relating to a possible violation of **the Arc of Putnam's** Corporate Compliance Plan, Code of Conduct, its Compliance Policies or any of the laws, rules or regulations by which **the Arc of Putnam** is governed.
- D. The non-retribution/non-retaliation provisions of this Policy do not permit employees, directors, officers, or volunteers to avoid the consequences of their own wrongdoing by reporting such wrongdoing. Disciplinary actions taken against an employee, director, officer, or volunteer who reports their own wrongdoing are a result of the wrongdoing itself, not the reporting of such

wrongdoing and, therefore, are not considered retaliation or retribution. Self-reporting may, however, be taken into account in determining the appropriate disciplinary action to be taken.

## 2. Reporting Complaints.

- A. If an employee, director, officer, or volunteer believes in good faith that they have been retaliated against for initiating a report or complaint or for participating in any investigation related to such report or complaint, then **the Arc of Putnam** employee, director, officer, or volunteer should report the retaliation to their supervisor, manager, the Corporate Compliance Officer or **the Arc of Putnam's** Compliance Hotline as soon as possible. The report should provide a thorough account of the incident(s) and should include names, dates of specific events (*if available*), the names of any witnesses and the location or name of any document in support of the alleged retaliation.
- B. **The Arc of Putnam** conducts a thorough and objective investigation of the incident(s).
- C. Adverse actions in retaliation for an employee's report or complaint may result in discipline, up to and including termination.

## F. Discipline.

- 1. Any disciplinary action for violation of the Corporate Compliance Plan, Code of Conduct, policies and procedures or any of the laws, rules or regulations by which **the Arc of Putnam** is governed are imposed in accordance with **the Arc of Putnam's** Rules of Conduct.
- 2. In the event an employee makes a frivolous, malicious or knowingly false report or complaint under this Policy, the employee are subject to appropriate discipline, up to and including termination.

## List of Exhibits

### The Arc of Putnam Compliance Report Intake Report

Reviewed by CCO: <i>Darby Walsh</i>	Date of Review: <i>October 28, 2014</i>
Approved by Executive Director: <i>Susan Limongello</i>	Date of Approval: <i>October 28, 2014</i>
Distribution: <i>Attached to Corporate Compliance Plan All Department Heads/Directors Policy &amp; Procedures Manual</i>	Date of Distribution: <i>October 28, 2014</i>