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## **Legal Requirements**

**Revised 06/13/2018**

## **Corporate Compliance**

**I-33-A**

### **POLICY:**

It shall be the policy of ProAct to assure that the organization is fully in conformance with all legal and regulatory requirements, including adherence to the highest standards of accountability for the management of all funds.

ProAct is dedicated to the delivery of employment and community support services in an environment characterized by strict conformance with the highest standards of accountability for administration, services to individuals with disabilities, business, marketing and financial management. ProAct's leadership is fully committed to the need to prevent and detect fraud, fiscal mismanagement and misappropriation of funds and therefore, to the development of a formal corporate compliance program to ensure ongoing monitoring and conformance with all legal and regulatory requirements. Further, the organization is committed to the establishment, implementation and maintenance of a corporate compliance program that emphasizes (1) prevention of wrong doing – whether intentional or unintentional, (2) immediate reporting and investigation of questionable activities and practices without consequences to the reporting party and (3) timely correction of any situation which puts the organization, its leadership or staff, funding sources or individuals served at risk.

**PROCEDURE:**

By formal resolution, the Board of Directors has delegated overall responsibility for the Corporate Compliance Program to the President/Chief Executive Officer (CEO). The President/CEO will formally designate a Corporate Compliance Officer, monitor the organization's corporate compliance program and provide periodic and regular reports to the Board of Directors on matters pertaining to the program.

The Corporate Compliance Officer (CCO) shall (1) serve as the organization's primary point of contact for all corporate compliance issues, including reporting on findings and making recommendations to the President/CEO and if necessary, the Chair of the Board of Directors (2) develop, implement and monitor – on a regular and consistent basis – the organization's corporate compliance plan, including all internal and as needed or required, external monitoring, auditing, investigative and reporting processes, procedures and systems; (3) provide direction and leadership for the activities of a corporate compliance committee, if necessary (4) prepare, submit and present periodic reports to the President/CEO as may be required to provide clear communication to ProAct's leadership for corporate compliance oversight; and (5) coordinate development of ProAct's formal corporate compliance plan.

The CCO shall submit an annual report to the President/CEO who in turn will share it with the Board of Directors. Annual reports will include, at a minimum: (1) a summary of all allegations, investigations and/or complaints processed in the preceding 12 months in conjunction with the corporate compliance program, (2) a complete description of all corrective action(s) taken, and (3) any recommendations for changes to the organization's policies and/or procedures.

In the performance of duties, the CCO shall have direct and unimpeded access to the President/CEO, and if necessary, to the Chairperson of the Board of Directors for matters pertaining to corporate compliance.

As part of corporate compliance plan development, the CCO shall coordinate and monitor regular and periodic reviews of risk areas by competent persons. Such reviews will be conducted as a way to ensure ongoing conformance with billing, accounting and collection regulations imposed by the federal government and other "third party" funding sources. More critically, these reviews will augment ProAct's annual audit of its accounting system and provide an additional, internal measure to ensure conformance with billing and coding policies and practice that will withstand the scrutiny of any regulatory audit or examination.