

Topic: New Government Initiatives Related to Corporate Compliance	Department: All departments
Original effective date: 5/17/02	Last revision date: 10/30/23
Owner: VP for Quality and Compliance	Frequency of reviews: Annual
Internal/Regulatory Reference(s) (all that apply): Federal Sentencing Guidelines 8B2.1(2); 18 NYCRR 521.3(1); NYS Social Services Law 363-d(2)	
Related documents/Links:	

Policy: It is the policy of The Arc of Monroe that business, administrative and support functions promote personal and organizational outcomes.

Additional Information: Periodically, both the state and federal governments revise laws, statutes, rules and regulations or institute new ones (“legal and regulatory requirements”). The Arc has an ongoing responsibility to ensure compliance with all applicable requirements, and to update its policies, procedures, and practices as necessary to ensure the same. The VP for Quality and Compliance is responsible for ensuring that new regulations and mandates are communicated to the appropriate parties.

Procedure	
Task:	Responsible party:
1. When we are informed of revisions to existing legal and regulatory requirements, we will identify any material changes and update our policies, procedures and practices as necessary.	Management, Quality/Operations Coordinators, VP for Quality and Compliance, or designees
2. When new legal and regulatory requirements are issued, we will review them to determine the likely impact. Policies, procedures, and other processes will be developed or updated as necessary to ensure ongoing compliance.	Management, Quality/Operations Coordinators, VP for Quality and Compliance, or designees
3. Any new or revised agency policies etc. based on regulatory changes will be formally communicated to affected staff so that they are aware of changes. This may range from a simple communication to formal training depending on the nature or extent of the new/revised requirements.	Management, Quality/Operations Coordinators, VP for Quality and Compliance, or designees
Manager responsibilities:	
1. Managers are responsible for understanding any new or revised regulatory changes to their programs and services	Managers
2. They are responsible for ensuring that policies, procedures and practices are updated and shared as necessary for ongoing compliance with new or revised legal or regulatory requirements.	Managers

VP for Quality and Compliance:	
1. The VP for Quality and Compliance acts as the agency's Compliance Officer, as required in NYS law.	VP for Quality and Compliance
2. Has primary responsibility for administering the agency's compliance program, and related policies and procedures.	VP for Quality and Compliance
3. Is responsible for ensuring that, as it becomes available, information on new or revised legal or regulatory requirements is communicated to the appropriate parties.	VP for Quality and Compliance
4. Acts as a resource for agency staff and management around complying with federal and state requirements, and in assisting with the revision or development of new policies, procedures and practices in response to any regulatory changes.	VP for Quality and Compliance

Document revision record:

Revision Date	Release Date	Reason for change	Approver
	5/17/02	New policy	Corp Comp Committee and Executive Mgmt Team
10/27/05	10/27/05	Reasons for changes not documented	P Dancer
5/20/08	5/20/08	Reasons for changes not documented	P Dancer
10/17/12	10/17/12	Reasons for changes not documented	P Dancer
5/31/13	5/31/13	Reasons for changes not documented	P Dancer
10/24/14	10/24/14	Reasons for changes not documented	P Dancer
7/29/15	7/29/15	Reasons for changes not documented	P Dancer
6/5/17	6/5/17	Reasons for changes not documented	P Dancer
11/25/19	11/25/19	Transition to new procedural format	P Dancer
9/29/21	10/8/21	Fleshed out details; added discrete sections for managers and the VPQC	ICC
9/27/22	9/27/22	Added "or updated" to procedure step 2, last sentence	ICC
10/30/23	10/30/23	Added clarifying statement to #3 of general procedure (end of last sentence); Corrected typo	ICC