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Approved By: *Chief Financial Officer*
Owner: *Compliance Officer*
Policy Area: *Compliance*

RESPONDING TO REPORTS OF NON-COMPLIANCE

SCOPE: This policy applies to the entirety of the McGregor Organization including McGregor PACE, McGregor Foundation, McGregor Senior Assisted Living, and McGregor at Overlook, and all employees, staff, contractors, vendors or other members of McGregor’s workforce.

PURPOSE: The purpose of this policy is to establish guidelines and protocol for McGregor to investigate and document compliance reports.

POLICY: When a reported concern is deemed to be a potential compliance issue, the Compliance Officer will conduct or oversee any internal or external reviews and/or investigations to determine whether the complaint or allegation appears credible and institute any appropriate corrective actions with Human Resources and/or legal counsel as needed. The Compliance Officer is responsible for documenting any investigation and its outcome.

PROCEDURE:

1. If an investigation is warranted, the Compliance Officer will determine whether the investigation should be conducted internally or with the aid of external subject matter experts.
 - a. The Compliance Officer shall investigate all credible reports including those reports made through the **Compliance Hotline at (216)268-8400**.
 - b. Compliance reports involving participant or resident privacy shall be investigated by the Privacy Officer, in conjunction with the Compliance Officer, as necessary or needed. The Privacy Officer shall document and report all privacy and privacy related investigations and their outcome to the Compliance Officer on a quarterly basis.
 - c. Compliance reports involving a security breach of participant or resident information or failure shall be investigated by the Security Officer, in conjunction with the Compliance Officer, as necessary or needed. The Security Officer shall document and report all security and security related investigations and their outcome to the Compliance Officer on a quarterly basis.

2. If the investigation is conducted internally, the Compliance Officer, Privacy Officer, or Security Officer, as appropriate, will determine an appropriate means for gathering and processing information.
3. The Compliance Officer, Privacy Officer, or Security Officer may take such steps as he or she believes is necessary to arrange for the suspension of various activities until the process of the investigation is completed, if necessary and appropriate.
4. The Compliance Officer, Privacy Officer, or Security Officer will prepare a written summary and sufficiently detailed report of findings in every case involving a potential compliance issue. The Compliance Officer, Privacy Officer, or Security Officer is responsible for prompt development and implementation of a plan for corrective action if findings indicate the need for such. When applicable, the Compliance Officer, Privacy Officer, or Security Officer shall develop a plan for monitoring the effectiveness of corrective actions including time periods and duration of such auditing and shall be responsible for causing such auditing to occur.
5. When misconduct is confirmed, the Compliance Officer will initiate appropriate disciplinary action in conjunction with the Privacy Officer, Security Officer, and/or Human Resources as warranted or appropriate. The Compliance Officer, together with the Privacy Officer or Security Officer as appropriate, is responsible for working with the affected department(s) to create and implement a plan to prevent recurrence of the misconduct detected. Such an action plan may include increased or altered monitoring and auditing procedures, focused training of personnel, replacement of culpable supervisors, revision of the Compliance Plan, or other measures.
6. If an investigation shows that funds should be returned to payers, the Compliance Officer will ensure that a prompt refund is made.

OVERSIGHT/RESPONSIBILITY: The Compliance Officer, in conjunction with the Privacy Officer and Security Officer, is responsible for the interpretation and application of this policy.

RELATED POLICIES: Hotline Policy; Discipline for Compliance Violations.