

Policy 9.8

POLICY TITLE: COMPLIANCE ENFORCEMENT AND DISCIPLINE	POLICY # 9.8		
Topic Area: CORPORATE COMPLIANCE Applies to: All CMHSP Programs, LRE Staff and Operations Developed and Maintained by: CEO and Designee Supersedes: N/A	ISSUED BY: Chief Compliance Officer APPROVED BY: Board of Directors Effective Date: January 1, 2014	REVIEW DATES	
		6/26/14	
		7/22/22	
		7/21/23	
	Revised Date: 7/22/2023		

I. PURPOSE

The purpose of this policy is to articulate the LRE commitment to the standards contained and/or referenced in its Corporate Compliance Plan regarding enforcement and discipline of its employees and agents in relation to compliance with State and Federal laws and regulations, Medicaid program requirements, and PIHP contractual obligations.

II. POLICY

Through its commitment to have an effective compliance program, Lakeshore Regional Entity (LRE) will include disciplinary guidelines that identify the consequences of violating the organization's standards of conduct, policies, and procedures.

Enforcement and discipline standards contained or referenced in the LRE Corporate Compliance Plan will be consistently enforced through appropriate disciplinary mechanisms, up to termination, depending on the egregiousness of the offense.

It is the policy of LRE that officers and managers are accountable for the foreseeable behavior of their subordinates.

Adequate discipline of individuals responsible for an offense is a necessary component of enforcement. The form of discipline that occurs will be appropriate and will be case specific. Each situation will be considered on a case-by-case basis to determine the appropriate response. Disciplinary action will be taken on a fair, equitable, and consistent basis.

Intentional noncompliance will subject transgressors to significant sanctions. Such sanctions could range from oral warnings, written warning, corrective action, suspension, or termination as appropriate.

Disciplinary action is appropriate and will be enforced when a responsible employee's failure to detect a violation is attributable to his or her negligence or reckless conduct.

III. APPLICABILITY AND RESPONSIBILITY

This policy applies to LRE staff and operations.

IV. MONITORING AND REVIEW

The CEO and designee will review this policy on an annual basis.

V. DEFINITIONS

PIHP: Prepaid Inpatient Health Plan

VI. RELATED POLICIES AND PROCEDURES

A. Corporate Compliance Plan

VII. REFERENCES/LEGAL AUTHORITY

- A. 42 CFR, Ch. IV §438.608
- B. Federal Register Volume 64, No. 219
- C. MDHHS Managed Special Supports and Service Contract

IV. CHANGE LOG:

Date of Change	Description of Change	Responsible Party
06/26/2014	New Policy	Corporate Chief Compliance Officer
7/22/2023	Annual Update	CEO and Designee