

ISSUE DATE: March 28, 2023  
 EFFECTIVE DATE: May 18, 2023  
 REVISION DATE(S): 1/2/24, 1/27/25, 1/5/26

RECOMMENDER: Angelica Deyo-Cruz DATE: 1/15/2026  
 Angelica Deyo-Cruz, Corporate Compliance Officer

ADMINISTRATIVE APPROVAL: Lori Morgan DATE: 1/15/24  
 Lori Morgan, Director of Community Services

COMMUNITY SERVICES BOARD APPROVAL: Fran Blaik DATE: 1/15/26  
 Fran Blaik, Community Services Board Chair

REASON: Change in committee members and Annual Review

## Compliance Committee Charter

The Compliance Committee Charter addresses the Compliance Committee's purpose, authority and responsibilities, designation of a chairperson, composition, frequency of meetings, and the recordkeeping of meeting minutes.

Chair	Angelica Deyo-Cruz	Effective Date: <u>2/1/2026</u>
Sponsor	Tioga County Community Services Board Lori Morgan, Director of Community Services	
Purpose	<ol style="list-style-type: none"> <li>1. To assist and coordinate with the Compliance Officer to ensure that Tioga County Department of Mental Hygiene is conducting its business in a legal, ethical, and responsible manner, consistent with its Compliance Program.</li> <li>2. The Compliance Committee shall have the authority to undertake the specific duties and responsibilities described below and the authority to undertake such other duties as directed by the Chief Executive and/or President of the Board.</li> </ol>	
Meetings and Procedures	<ol style="list-style-type: none"> <li>1. The Compliance Committee shall meet on a regular basis, not less frequently than quarterly.</li> <li>2. The Compliance Committee shall meet with the Organization's Management and staff at the discretion of the Compliance Officer.</li> <li>3. The Compliance Committee shall maintain written minutes or other records of its meetings and activities. Minutes of each meeting of the Compliance Committee shall be distributed to each member of the Committee and filed electronically. Minutes and other records of Committee activity will be maintained by Secretary to the Director of Community Services.</li> </ol>	

	<p>4. The Chair of the Compliance Committee shall report to the Director of Community Services and Community Services Board following meetings of the Compliance Committee, and as otherwise requested by the Chair of the Board.</p>
<b>Membership</b>	<p><b>The Chairperson is Angelica Deyo-Cruz</b></p> <p><b>Committee Members Include:</b></p> <p><b>Lori Morgan, Director of Community Services</b></p> <p><b>Sarah Begeal, Interim Director of Community Services</b></p> <p><b>Christopher Korba, Director of Administrative Services</b></p> <p><b>Danielle Fabregas, Clinical Program Director</b></p> <p><b>Janeille Williams, Supervising Clinical Social Worker</b></p> <p><b>Linda Beers, Accounting Associate III</b></p> <p><b>Kate Fisher, Billing Specialist</b></p> <p><b>Cassandra Horton, Records Management</b></p> <p><b>Amy Joyce, Social Worker</b></p>
<b>Responsibilities</b>	<p>1. The Compliance Committee works with the Compliance Officer to ensure that Tioga County Department of Mental Hygiene has, and maintains, an effective Compliance Program. The Compliance Committee is responsible for the following:</p> <ul style="list-style-type: none"> <li>• Analyzing the regulatory environment where Tioga County Department of Mental Hygiene does business, including legal requirements with which it must comply.</li> <li>• Reviewing and assessing existing policies and procedures that address risk areas for possible incorporation into the Compliance Program.</li> <li>• Reviewing and monitoring Compliance Program training and education to ensure that they are effective and completed in a timely manner.</li> <li>• Ensuring that the Organization has effective systems and processes in place to identify Compliance Program risks, overpayments, and other issues and has effective policies and procedures for correcting and reporting such issues.</li> <li>• Working with departments to develop standards and policies and procedures that address specific risk areas and to encourage compliance according to legal and ethical requirements.</li> <li>• Coordinating with the Compliance Officer to ensure that the written policies and procedures, and Standards of Conduct are current, accurate, and complete.</li> <li>• Developing internal systems and controls to carry out compliance standards, Standards of Conduct, and policies and procedures.</li> </ul>

- Coordinating with the Compliance Officer to ensure communication and cooperation by Affected Individuals on compliance-related issues, internal or external audits, or any other function or activity.
- Developing a process to solicit, evaluate, and respond to complaints and problems.
- Monitoring internal and external audits to identify issues related to non-compliance.
- Implementing corrective and preventative action plans and follow-up to determine effectiveness.
- Ensuring the development and implementation of an annual Corporate Compliance Work Plan.
- Advocating for sufficient funding, staff, and resources to be allocated to the Compliance Officer to carry out duties related to the Compliance Program.
- Ensuring that the Organization has appropriate systems and policies in place that effectively identify risks, overpayments, and other areas of concerns including fraud, waste, and abuse.
- Monitoring and evaluating the Organization's Compliance Program for effectiveness and making recommendations for necessary modifications to the Compliance Program as applicable.

2. The Compliance Committee shall conduct an annual evaluation of the effectiveness of the Compliance Program.
3. The Compliance Committee shall review and reassess its Charter at least annually and submit any recommended changes to the Chief Executive for consideration.
4. The Compliance Committee shall perform such other functions and have such other powers as may be necessary or convenient for efficient discharge of its duties.

