

Chapter:	Governance & General Management		
Title:	Legal and Regulatory Compliance		
Policy: <input checked="" type="checkbox"/> Procedure: <input type="checkbox"/>	Review Cycle: Triennial Author: CEO/Legal	Adopted Date: 08.2023 Review Date: 05.2023	Related Policies: Risk Management Standards of Conduct Whistleblower's Protection Emergency Preparedness Equal Employment Opportunity

Purpose:

This policy is adopted to ensure that Hopeful Horizons (HH) conducts all aspects of service delivery and administration with integrity, in conformance with the highest standards of accountability, regulatory requirements and applicable laws.

Scope:

This policy applies to

- All HH Staff Selected HH Staff, as specified:
 HH Board Members HH Volunteers
 Other: Sub-contractors

Policy:

HH is committed to and conducts its business and service activities lawfully and in a manner that is consistent with its compliance obligations. HH shall maintain policies and procedures to review compliance with applicable federal, state, and local laws, codes, regulations, funder requirements and accrediting standards including but not limited to:

1. Licensure
2. Facilities
3. Accessibility
4. Health and safety
5. Finances
6. Human resources

Responsibilities and Authorities

In accordance with HHs' Standards of Conduct, it is the responsibility of all HH Board members, employees, volunteers and contractors to comply with the law, HHs' contractual commitments and HHs' policies and procedures.

- A. The Board: HHs' Board retains the ultimate responsibility for legal and regulatory compliance and is charged with overseeing, reviewing and ensuring the effectiveness of HHs' compliance activities. The Board is advised regularly on compliance related issues including any compliance breaches.
- B. The Chief Executive Officer: The Chief Executive Officer (CEO) is accountable to the Board for ensuring implementation and management of HHs' compliance activities. Specifically, this includes ensuring a compliance culture is promoted within the organization and that employees, volunteers, and contractors adhere to HHs' Compliance Policy. The CEO/designee is responsible to align HHs' compliance activities with best practices, which includes:

1. Remaining abreast of contractual, legal and regulatory requirements and related changes
 2. Recommending appropriate policies and procedures
 3. Providing education and training to employees and volunteers to support a compliance culture
 4. Supporting compliance monitoring activities across program and service activities
 5. Recommending performance improvement necessary to achieve compliance
- C. Managers and Supervisors: Are responsible for ensuring effective implementation and maintenance of the Compliance Policy and that all employees and volunteers adhere to the associated systems and guidelines. Managers shall incorporate compliance management practices into their business units as required by policy or as defined by funding source requirements. Managers are responsible for the regular reporting of the status of controls, compliance breaches and their improvement to the CEO.
- D. Employees, Volunteers and Contractors: HH employees, volunteers and contractors shall ensure that their activities comply with all applicable legal and regulatory requirements in accordance with established policies, procedures, standards of conduct and professional ethics.

Compliance Reporting: It is the responsibility of all directors, officers, employees and volunteers to comply with the Code of Ethical Conduct and to report violations or suspected violations to the in accordance with HHs' approved Grievance and Complain Procedures.

Communication and Training:

Compliance training is part of orientation for new Board members, employees and volunteers. Training is inclusive of this policy, related reporting obligations, procedures and protections. Training is updated as part of routine policy and procedure review.

Definitions:

1. Regulatory compliance: Refers to any organization's obedience to the laws, regulations, and other rules that govern all organizations.
2. Regulatory Requirement: A rule that a government entity imposes on an organization. Some federal and state laws govern virtually all organizations. Regulations govern how organizations manage their business and employees and how they interact with customers, among many other areas.
3. Compliance breaches: Acts or omissions resulting in a possible violation in HHs' obligation to meet a legal or regulatory requirement.

Other Related Materials:

Risk Assessment and Management Plan
Policy and Procedure Manual and Management Plan
Institutional Effectiveness and Performance Improvement Plan
Grievance and Complaint Procedure

References/Legal Authority:

Small Business Administration (SBA) and (its website) Business.gov
Equal Employment Opportunity Commission (EEOC)
Civil Rights Center with Federal Department of Labor
Occupational Safety and Health Administration
[Whistleblower and Retaliation Protections, US Department of Labor, 2016](#)
[What is Regulatory Compliance and Why is it Important, PowerDMS by NEOGOV, 12.2020](#)
[Complete Guide to Regulatory Compliance, Smartsheet, Aug 2019](#)

Change Log:

Date of Change	Description of Change	Responsible Party
5.2023	More clearly defined the policy position and implementation. Added communication and training requirements, Added definitions and references.	N. Miller, Prog. Eval Consultant