

# CODE OF CONDUCT

## Introduction

Upstate Caring Partners has certain rules and regulations regarding employee conduct that are necessary for the efficient operation of the Agency and for the benefit and safety of all personnel and people we support. All employees shall strive to deliver quality services and shall comply with all applicable laws and regulations that affect its various programs.

The following list indicates behavior expectations for employees. Disregard of this code of conduct can result in disciplinary action, up to and including suspension and immediate dismissal. The Agency, however maintains the right to terminate employment for any reason and nothing in this policy is intended to alter the at-will nature of employment.

**Mission Statement** – at Upstate Caring Partners, we provide innovative programs and services that support people and create opportunities to fulfill life choices...one person at a time, through EMPOWERING PEOPLE.

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## General Provisions

- Upstate Caring Partners shall only employ or work with persons with proper credentials, experience and expertise to perform their job functions.
- Employees shall immediately report all suspected violations of the code of conduct, corporate compliance guidelines, operational policies, laws or regulations to the Compliance Officer, Executive Vice President of Legal and Compliance, or compliance hotline at (315) 724-6907, extension 7006.

### Employee Handbook Section 2 - 3 General Information

- All reports or other information to be provided to any federal, state or local government Agency shall be accurate, complete and filed on time.
- No deficiency or error should be ignored or covered up.
- Problems should be brought to the attention of those who can properly assess and resolve the problem.
- Upstate Caring Partners, by and through its employees shall comply with all applicable laws, regulations and standards and other requirements imposed by any level of government and comply with all requirements of the Medicare and Medicaid programs.
- Upstate Caring Partners shall maintain complete and thorough clinical and billing records.

- Employees and volunteers shall not falsify records (business or clinical treatment), including credentials, timesheets, and mileage expense vouchers or training sign-in sheets.
  - Non-exempt employees are required to clock in and out of the agency time and attendance system every shift. If a situation arises in which an employee is unable to clock in or out due to an internet outage or computer issue, they are to notify their supervisor in writing before or at the beginning of their next scheduled shift.
  - Appropriate medical documentation shall be provided to the Human Resource's Department while an employee is on disability or a worker's compensation leave of absence.
  - Upstate Caring Partners shall not permit any action of retaliation or reprisal to be taken against an employee who reports a violation of law, regulation, standard, procedure or policy.
  - Employees are prohibited from tampering with agency wiring or computer or telephonic equipment without proper authorization.
  - Employees shall not use an agency workstation in a manner that may compromise confidentiality, or that damages the integrity of the agency's computer systems, data or programs.
  - Employees are prohibited from sharing badge or access keys, passwords or login credentials with any other individuals. At the same time, using badge or access keys, passwords or login credentials other than your own are expressly prohibited.
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## Ethical Conduct Provisions

- Employees shall not engage in personal financial transactions with people we support or their families which may be construed as exploitative of the person(s).
- Gambling on Agency property is prohibited.
- Solicitation or distributing non-Agency materials are prohibited during working time, which means time that an employee is or should be performing his or her work tasks for the Agency and does not include authorized break times. No employee shall solicit or promote support for any cause or organization during his or her working time or during the working time of the employee or employees at whom such activity is directed. Distributing non-Agency material is also prohibited at all times in program participant care areas.
- Persons shall not act in a manner that is detrimental to the public image of the Agency either during working hours or when specifically representing the Agency after work hours. It is everyone's responsibility to maintain the Agency's integrity and reputation.
- Upstate Caring Partners will not pursue any business opportunity that requires engaging in unethical or illegal activity. Employees shall be honest in doing their jobs.

- Employees may not use Upstate Caring Partners' or a consumer's resources for personal or improper purposes or permit others to do so. Any improper financial gain through misconduct involving misuse of property is prohibited, including the theft of property or embezzlement of money.
  - Employees are expected to immediately report any observed misuse or knowledge of misuse of Agency property to management.
  - All employees shall show proper respect and consideration for each other regardless of position or station. Discriminatory treatment, harassment, abuse or intimidation will not be tolerated.
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## Program Operation Provisions

- Modeling inappropriate or unacceptable behavior to a person we support, co-worker, or any other agency employee is prohibited. Examples of such behavior include, but are not limited to physical aggression, sexually oriented behavior, harassment, bullying, intimidation, verbal or perceived threats of harm, and abusive or improper language.
  - Employees shall operate Agency vehicles in a responsible, cautious and appropriate manner and only on Agency time.
  - Employees shall not delegate their employment responsibilities to the people we support unless such tasks are described in the persons plan of service by the program planning team for the benefit of the person we support.
  - Employees shall follow and implement prescribed treatment plans for the people we support.
  - Employees shall comply with medication administration regulations, policy and procedure.
  - All employees must fully cooperate in any investigation conducted by the Agency or external regulatory entity.
  - Employees shall not engage in unauthorized irregular attendance or habitual lateness.
  - Sleeping or sleep-like behavior or doing personal work while on the job is prohibited.
  - Drugs and other pharmaceuticals shall be stored safely and inventoried. Missing supplies shall be reported promptly to the supervisor.
  - Upstate Caring Partners will contribute to an employee's competence by making available continuing job-related education and training. It is expected that employees will participate in required and optional training activities to enhance their skills, knowledge and attitude.
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## Confidentiality Provisions

- All records and other personal information regarding the people we support and employees shall be treated as confidential information and utilized in a professional manner at all times, regardless of mode or manner in which the information is received or stored.
  - Confidential information related to the Agency or people we support will not be used for personal gain or to the detriment of anyone.
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## Service Billing Provisions

- Employees who perform billing and/or coding of claims must take every reasonable precaution to ensure their work is accurate, timely and in compliance with federal and state laws and regulations and Upstate Caring Partners' policies.
- No claim for payment or reimbursement of any kind that is false, fraudulent, inaccurate or fictitious may be submitted. No falsification of medical, time or other records that are used as the basis of submitting claims will be tolerated.
- Upstate Caring Partners will bill only for services actually rendered and which are fully documented in a person's medical records. If the service must be coded, then only billing codes that actually describe the services provided will be used.
- Upstate Caring Partners shall act promptly to investigate and correct the problem if errors in claims that have been submitted are discovered.
- Upstate Caring Partners shall maintain complete and thorough clinical and billing records.