

SELFHELP COMMUNITY SERVICES, INC.
CORPORATE COMPLIANCE
CODE OF CONDUCT & ETHICAL BEHAVIOR

The Code of Conduct applies to all vendors; we ask that you familiarize yourself and your employees with this document.

Introduction

Selfhelp Community Services, Inc. ("Selfhelp") and all of its corporations have adopted this Code of Conduct to communicate to all Selfhelp personnel an expectation and requirement of ethical conduct and compliance with all applicable laws, policies, rules, and regulations. The Code of Conduct is a framework within which all personnel are expected to operate. The Code of Conduct does not include all general compliance issues, nor does it contain the special compliance issues that are job specific. Instead, it is a set of guiding principles that apply to every Selfhelp employee.

The Code of Conduct applies to all Selfhelp personnel, including administration, management, and paraprofessionals. For the sole purpose of the requirements within this Code of Conduct, the term "personnel" also includes consultants, subconsultants, contractors, subcontractors and agents (the "Vendors").¹

The Code of Conduct

Compliance with Applicable Laws- All Selfhelp personnel should act in full compliance with, the Code of Conduct, the requirements of all applicable governmental laws, rules, and regulations, and in a sound ethical manner, during the course of his assigned duties and responsibilities, when conducting Selfhelp's business and related activities. Any Selfhelp personnel who do not adhere to such standards and restrictions are acting outside the scope of his or her employment and responsibilities.

Beyond legal compliance, all Selfhelp personnel are expected to observe high standards of business and personal ethics in the execution of their duties and responsibilities. This requires the practice of fair dealing, honesty and integrity in every aspect of dealing with other Selfhelp personnel, the public, the business community, donors and benefactors, clients or customers, suppliers, competitors, and governmental or regulatory authorities. Selfhelp personnel will not take unfair advantage through

¹ Vendors are included as personnel only as it relates to the requirements in the Code of Conduct, and shall not be considered an employee or agent of Selfhelp unless specifically agreed to in writing by the Vendor and Selfhelp.

manipulation, concealment, abuse of privileged information, misrepresentation of material facts, or other unfair-dealing practices.

1. ***Unfair Competition and Deceptive Practices-*** Selfhelp and its personnel should not engage in unfair competition or deceptive trade practices, including misrepresentation of Selfhelp's programs, services, and operations, or false and disparaging statements about competitors or their products/services in order to coerce the use of services from Selfhelp.
2. ***Avoidance of Conflicts of Interest-*** All personnel should act with honesty and integrity, avoiding actual or apparent conflicts of interest in personal and professional relationships.
3. ***Confidentiality Obligations-*** All Selfhelp personnel should maintain the confidentiality of the organization's business information and information. Selfhelp personnel should not use any confidential or proprietary information except when appropriate to conduct Selfhelp business.

In order to retain the full trust and confidence of all the patients/clients/customers and abide by HIPAA Privacy Standards, Selfhelp seeks to ensure that any patient/client information is not improperly disclosed. This includes written and verbal information. Patient/client records are stored in the departments providing the services in locked metal cabinets. No records are removed from offices unless authorized by the Department director. Field nurses, on-call staff, per visit staff, and home care providers may not leave patient/client information unattended or in their vehicles or where unauthorized access may occur. Release of patient/client information is performed in conjunction with the patient/client/legal representative consent, unless otherwise required by law.

Access to information in the patient/client record (including confidential HIV information) will be permitted only to those personnel involved in planning and/or providing patient/client care, evaluating the quality of care, and those responsible for payment for care on behalf of the patient/client. Such personnel are listed on the agency's disclosure list. Those personnel who do not have access to the patient/client record, but who may acquire patient/client/family related information in the normal course of carrying out their job responsibilities, are obligated to safeguard this information regardless of its source. Disclosure of confidential information, except for the release of confidential HIV-related information (discussed below) to agencies not involved in Selfhelp patient/client care or payment for such care, is made only with the permission of the patient/client or, where applicable, legal representative, and should be accompanied by a statement prohibiting re-disclosure, as stipulated in Selfhelp's policy and procedures.

4. ***HIV Disclosure Policy-*** Any person who obtains confidential HIV-related information in the course of carrying out their job responsibilities is prohibited from disclosure or re-disclosure except as specifically authorized by law and agency policy.

The unauthorized disclosure of medical information by any Selfhelp personnel is a violation of the individual's right to confidentiality, HIPAA and Selfhelp policy. Failure by agency personnel to adhere to confidentiality laws and agency policy and procedure will result in appropriate disciplinary action up to and including discharge.

Selfhelp personnel may have access to other types of confidential and proprietary information in the ordinary course of performing duties on behalf of Selfhelp. This information may include personnel records, financial information, business contracts, business development strategies, marketing plans, forms, financial information, fee and pricing information, and computer software. All information and records are confidential and personnel are required to maintain confidentiality in all their interactions.

5. ***Billing and Payments:***

Medicare and Medicaid- Selfhelp contracts with multiple public and private agencies and operates a Licensed Home Care Service Agency (LHCSA) and Certified Home Health agency (CHHA).

Major payers of home care services include Medicaid and Medicare. For some of our programs, Selfhelp bills Medicaid or Medicare directly. As a subcontractor for home care agencies such as Visiting Nurse Service and Long Island Jewish Hospital CHHA, Selfhelp bills the nursing agency, who in turn bills Medicaid and/or Medicare. Medicaid and Medicare have specific rules and regulations for billing and payment for services. The keys to appropriate billing practices are accuracy, integrity, validity, and documentation. Violation of the Medicaid and Medicare laws and regulations can result in civil or criminal sanctions against the person(s) involved, as well as such sanctions against the agency. Unintentional errors can result in serious consequences. Strict compliance with Medicaid and Medicare laws and regulations, contractor requirements, and agency policy and procedure is mandatory for all personnel involved.

All approved and electronically or manually validated client services provided to Medicaid recipients, as well as Contract and Private Pay clients, are billed to respective payers timely in compliance with NYDOH Regulations and in accordance with the executed contracts. Any new contracted rates are sent to Billing so that they can be entered into the Home Health Exchange system.

Selfhelp will only bill for those services which have been provided. There will be documentation to support any bill for services that is sent out. Services will be billed at

the rate that has been contractually negotiated. If it becomes known that we have received an overpayment for services rendered, Selfhelp will repay this sum within 60 days of this knowledge.

6. ***Health and Safety Regulations***- All Selfhelp employees, officers and directors should follow safe workplace practices and conform to all applicable safety standards and health regulations.
7. ***Discrimination and Harassment***- All Selfhelp employees, officers and directors are responsible for ensuring that the work environment is free of discrimination or harassment due to race, color, sex, age, religion, national origin, ethnicity, race, sexual orientation, mental condition, gender identity or disability. Any form of sexual harassment, including the creation of a hostile working environment, is prohibited.
8. ***Computer Software***- Software on all computer systems should be loaded only with the approval of IT Management and your supervisor. This includes commercial, shareware, and free software. Personnel are responsible for their computer's security; passwords should be used to ensure client privacy and are not to be shared.
9. ***Not-for-Profit Company Reporting***. As a Not-for-Profit company, it is of critical importance that Selfhelp's filings with the Federal, State, City governments and their agencies be full, fair, accurate, timely and understandable. Depending on their respective positions with Selfhelp, employees, officers or directors may be called upon to provide information necessary to assure that Selfhelp's public reports meet these requirements. Selfhelp expects employees, officers and directors to take this responsibility very seriously and to provide prompt and accurate answers to inquiries related to Selfhelp's public disclosure requirements. Selfhelp has a disclosure policy to be followed in the preparation and review of public disclosure documents.
10. ***Payments to Government Officials***- Selfhelp personnel shall not directly or indirectly authorize, pay, promise, deliver or solicit any payment, gratuity or favor for the purpose of influencing any political official or government employee in the discharge of that person's responsibilities. Selfhelp personnel shall not entertain government employees in connection with Selfhelp business.
11. ***Dealings With Government Agencies***- Selfhelp personnel shall be completely honest in all dealings with government agencies and representatives. No misrepresentations shall be made, and no false bills or requests for payment or other documents shall be submitted to government agencies or representatives. Selfhelp personnel certifying the correctness of records submitted to government agencies, including bills or requests for payment, shall have actual knowledge that the information is accurate and complete before giving such certification.
12. ***Political Contributions and Activities***- All political activities relating to Selfhelp shall be

conducted in full compliance with applicable law. No Selfhelp funds or property shall be used for any political contribution or purpose. Selfhelp personnel may make direct monetary contributions on their own behalf to political candidates and activities, but these contributions will not be reimbursed by Selfhelp. Lobbying activities are separate and distinct from political contributions and are handled through UJA. Selfhelp plays a role in advocating for laws and regulations which impact our business and improve quality of life for our clients.

13. *Anti- Kickback and Self-Referral Concern-* All of the organization's contracts and agreements with potential referral sources should be reviewed by senior management and comply with applicable statutes and regulations.

- ***Improper Payments & Gifts-*** Selfhelp personnel should not offer or give any bribe, payment, gift or thing of value to any person or entity with whom the organization has or is seeking any business or relationship, except for gifts of a nominal value which are legal and given in the ordinary course of business.
- ***Receipt of Bribes, Payments or Gifts-*** Selfhelp personnel should not accept any bribes, payments, gifts, cash or "in kind" gestures such as favors, dinners, trips or tickets in exchange for referrals, or items of more than a nominal value from people or entities with whom the organization has or is seeking any business or regulatory relationship which could influence the decision or outcome.

Should such actions be observed or become known, disciplinary action up to and including discharge and criminal prosecution, if applicable, will ensue. Selfhelp personnel must promptly report the offering or receipt of gifts above a nominal value to their supervisor.

Modest holiday gifts, e.g. fruit baskets, are acceptable and are to be distributed for the benefit of all staff. Personnel who have questions or are in doubt about what constitutes a conflict of interest should contact their immediate supervisor or the Compliance Officer.

14. *Records and Information Management-* All of the Organization's business transactions shall be carried out in accordance with management's general or specific directives. All of Selfhelp's books and records shall be kept in accordance with generally accepted accounting standards or other applicable standards. All transactions, payments, receipts, accounts and assets shall be completely and accurately recorded on the Organization's books and records on a consistent basis. No payment shall be approved or made with the intention or understanding that it will be used for any purpose other than that described in the supporting documentation for the payment. All information recorded and submitted to other persons must not be used to mislead those who receive the information or to conceal anything that is improper. Selfhelp's books and records shall be created, maintained, retained or destroyed in accordance with the Organization's record management policy.

15. *Accuracy, Retention and Destruction of Records-* The accurate preparation, maintenance and submission of client and business documents, whether manually or

computer generated, is required by law, regulatory accreditation standards, and Selfhelp policies and procedures. You are the manager of your own information and are responsible for the integrity of your documentation, whether it is clinical or business-related. Any attempt to falsify, alter and/or failure to properly document in business or clinical records will result in serious consequences up to and including discharge and possible legal action.

Selfhelp is required by law to retain records for a certain amount of time (refer to Record Retention Policy). These requirements differ for clinical, personnel, and business records. Records known to be the subject of an actual or potential claim investigation should be retained indefinitely, or until the matter is fully resolved. It's the responsibility of each person, whether directly or contractually employed by Selfhelp, to be familiar with the rules, requirements and regulations governing the records within his/her department/program.

The destruction of records must be authorized by the Program Director. Records are to be destroyed in a manner which protects patient/client confidentiality and business sensitive information, i.e. shredded.

16. ***Compliance as an Element of Performance*** -Personnel have an individual responsibility for knowledge of compliance with laws, regulations, and policies including:

- Reporting violations or questionable conduct.
- Fraud and abuse.
- Complying with the Code of Conduct as a condition of employment, in addition to the job description, and as a function of job performance.
- Legal consequences of non-compliance.

17. ***Manager's Role***- Managers are required to ensure and verify that personnel complete all mandatory and elective training assigned to the employee including compliance training at Selfhelp. Managers should inform personnel that Selfhelp will take disciplinary action for violation of policies, procedures, and regulatory requirements, or for failure to complete mandatory training requirements. Moreover, personnel are informed that strict adherence to the laws, regulations, and policies are a condition of employment. Managers are responsible for informing personnel of compliance policies and procedures specifically related to their job function and appropriately monitoring personnel to help ensure adherence to policies and procedures.

18. ***Reporting Violations***- Any Selfhelp personnel who believes or becomes aware that a violation of the Code of Conduct or any illegal activity has been engaged in by other Selfhelp personnel, should promptly report the violation or illegal activity in person, by phone, in writing or electronically.

Individual personnel may report violations to one or more of the following persons: the Compliance Officer 212-971-7610, Program Director, Department Manager, or the anonymous Fraud and Abuse Hotline. Selfhelp has established a dedicated, anonymous Fraud and Abuse Hotline as both an internal and external reporting mechanism for employee and other reporting purposes. The number is 866-336-2935.

There is an anonymous hotline for an employee that wants to speak with a member of the board; this number is 212-971-7781.

Reports of suspected violations will be kept confidential to the fullest extent possible, consistent with the need to conduct an adequate investigation.

Selfhelp will consider it a serious violation of policy for personnel to intentionally make false accusations. Such false accusations may result in disciplinary action, up to and including termination, against the accuser. All reports, regardless of how made, should be made in good faith and with the best of intentions.

19. ***Failure to Report-*** It is a violation of Selfhelp's policies for personnel not to report a violation of the Code of Conduct (including potential or suspected violations by others) or any illegal activity. Reports of illegal acts or violations of compliance should go through the appropriate programmatic lines of communication or the Compliance Officer, or by calling the internal anonymous Fraud and Abuse Hotline. If you have a question about whether particular acts or conduct may be illegal, or violate compliance rules, regulations or policies, contact the appropriate programmatic lines of authority or call the Compliance Officer or the internal anonymous Fraud and Abuse Hotline, to discuss the question at hand. Selfhelp considers it a violation of the Code of Conduct to disregard reports of a potential illegal act or violation of compliance, all reports of violations will be acted upon.
20. ***Non Retaliation Policy-*** It is a violation of the Code of Conduct, State and Federal regulations, to impose any form of retribution or retaliation on any Selfhelp person who uses reporting systems in good faith to report suspected violations of the Code of Conduct. (Except when appropriate action may be taken against such personnel if such individual is one of the wrongdoers).

Reports of suspected violations will be kept confidential to the fullest extent possible, except when the information it is necessary to conduct an adequate investigation.