

## STANDARDS OF CONDUCT

### Code of Conduct

It is the policy of Lifetime Assistance, Inc. that certain rules and regulations regarding behavior of Affected Individuals<sup>1</sup> are necessary for the efficient operation of the Agency and for the benefit and protection of the rights and safety of the individuals we serve. Affected Individuals are expected to behave in a manner that reflects positively on the Agency and is consistent with the Agency's leadership position in the community. Many of these policies are based on State law and regulation. Violations of this section may result in disciplinary action including immediate discharge, termination of a contract or position within the Agency or other discipline without prior notice or warning. Violations of the Code of Conduct include:

1. Engaging in any activity that constitutes abuse or neglect of the individuals we serve as defined in OPWDD regulations. This includes the failure to report immediately any suspected abuse, neglect, incident, accident, criminal activity, or untoward event to the supervisor, program director and any other required authority and the failure to cooperate with any Agency investigation, where required.
2. Financial transactions between Affected Individuals and individuals we serve that may be construed as exploitation or result in a financial benefit to the Affected Individuals.
3. Intimidating or threatening individuals we serve, visitors, supervisors, or Affected Individuals or engaging in fighting or any form of disorderly conduct.
4. Sleeping during working hours or appearing to be in a sleeping position, as applicable.
5. Failure to report to work on time and as scheduled, or to notify your supervisor at least one hour in advance when you will be absent from work or unable to report to work on time, as applicable.
6. Discriminatory activity or harassment against individuals we serve or other Affected Individuals, contractors or others working for the Agency for any reason including race, religion, national origin, creed, age, sex, ethnic background, sexual orientation, disabilities or activities.
7. Possession of firearms, weapons, explosives, or other potentially dangerous items on Agency premises or while working.
8. The distribution, selling, possession or consumption of illegal substances or alcohol while on Lifetime Assistance's premises or while performing in a work-related capacity. Arriving at Lifetime Assistance while impaired by alcohol, a controlled substance, an illegal substance, or a prescribed medication.
9. Walking off the job or leaving Agency premises during working hours.

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<sup>1</sup> "Affected Individuals" refer to all persons who are affected by the Agency's risk areas including employees, the chief executive and other senior administrators, managers, governing body members, corporate officers and contractors, agents, subcontractors, and independent contractors affected by the Agency's risk areas.

10. Falsification or misrepresentation of time sheets, personnel information, or other records.
11. Theft, misappropriation, damage, or destruction of property belonging to the Agency, individuals we serve or fellow Affected Individuals.
12. Failure to follow the Agency's policy on confidentiality.
13. Insubordination or refusal to do assigned work or follow the instructions of a supervisor.
14. Lack of compliance with NYS NYCRR 633.4 – Client Rights and Responsibilities, including the provision that the Affected Individuals not model inappropriate behavior in front of individuals we serve.
15. Violations of the Agency's Compliance Program or its policies and procedures or the failure to report any violation of the Compliance Program or policies and procedures where an employee or other Affected Individual has knowledge or a good faith belief that such violation has or will occur. Lifetime Assistance is firmly committed to a policy that encourages timely disclosure of such concerns and prohibits retribution or retaliation against anyone who in good faith reports such concerns.
16. Failing to disclose conflicts of interests that might occur in the performance of your duties for Lifetime Assistance. If you or any family member: (1) knows any consumer of Lifetime Assistance; (2) is an employee, consultant, owner, contractor or investor in any entity that (i) engages in any business or maintains any relationship with Lifetime Assistance; (ii) provides to, or receives from Lifetime Assistance consumer referrals; or (iii) competes with LAI, you must complete a disclosure form and submit it to the Compliance Officer.
17. Without permission from the Compliance Officer, accepting, soliciting or offering a gift or gratuity from anyone doing business with Lifetime Assistance.
18. Paying, coercing, or inducing anyone to provide, receive or order any service or item from Lifetime Assistance.
19. Failure to maintain accurate and complete records, where record keeping of any type is required by your job duties.