



29 British American Boulevard, 2nd Floor
Latham, NY 12110
518-439-8311
thearcny.org

[Policy Number]: Code of Conduct

Category: Corporate Compliance Effective Date: XXXXXXXX
Department: XXXXXXXXXXXXXXXXXXXXXXXX Last Revision Date(s): 06/16/2020

POLICY STATEMENT

All employees, independent contractors and Board members must know, understand and follow the [Chapter] Code of Conduct because it is an integral component of our Corporate Compliance Plan, provides guidance to all employees and assists us to carry out our daily activities within appropriate ethical and legal standards. The [Chapter] Code of Conduct can be found at [Exhibit A](#).

This policy applies to each employee, independent contractor (e.g., vendor, consultant, agent) and Board member.

PROCEDURE

A. Employees

Each staff member will be provided with a copy of the Code of Conduct at the time of initial hire and during their annual evaluation.

New staff will be trained on our Code of Conduct within ninety (90) days of hire and will sign an acknowledgement of the Code of Conduct at that time, indicating his or her understanding and commitment to follow the Code of Conduct. The Acknowledgement Form is attached as [Exhibit B](#).

Each supervisor will review the Code of Conduct at the time of each employee's annual evaluation. At that time, the employee will be required to re-sign the acknowledgement form.

B. Supervisors

While all employees are obligated to follow our Code of Conduct, the [Chapter] management team is expected to set an example. We expect all [Chapter] supervisory



29 British American Boulevard, 2nd Floor
Latham, NY 12110
518-439-8311
thearcny.org

[Policy Number]: Code of Conduct

Category: Corporate Compliance Effective Date: XXXXXXXX
Department: XXXXXXXXXXXXXXXXXXXXXXXX Last Revision Date(s): 06/16/2020

employees to: (1) exercise their responsibilities in a manner that is kind, sensitive, thoughtful and respectful. We expect each supervisor to create an environment where all employees feel free to raise concerns and propose ideas; (2) ensure their employees have sufficient information to comply with laws, regulations and [Chapter] policies and procedures, including but not limited to those related to the [Chapter] Corporate Compliance Plan and to resolve ethical dilemmas. Supervisors must create a culture within the [Chapter] which promotes the highest standards of ethics and compliance.

C. Independent Contractors

Independent contractors will be provided with a copy of the Code of Conduct at the time of entering into a written agreement with the [Chapter].

Each independent contractor and will sign an acknowledgement of the Code of Conduct at the time of initial contracting and at renewal, indicating his or her understanding and commitment to follow the Code of Conduct. The Acknowledgement Form is attached as Exhibit C.

D. Board Members

Each Board member shall be provided with a copy of the Code of Conduct at the time of Board orientation and upon renewal of his or her Board seat.

Each new Board member will be oriented on the Code of Conduct within ninety (90) days of joining the Board of the [Chapter] and will sign an acknowledgement of the Code of Conduct at that time, indicating his or her understanding and commitment to follow the Code of Conduct. The Acknowledgement Form is attached as Exhibit D.



29 British American Boulevard, 2nd Floor
Latham, NY 12110
518-439-8311
thearcny.org

[Policy Number]: Code of Conduct

Category: Corporate Compliance Effective Date: XXXXXXXX
Department: XXXXXXXXXXXXXXXXXXXXXXXX Last Revision Date(s): 06/16/2020

Exhibits

- Exhibit A - [Chapter] Code of Conduct
- Exhibit B - Employee Acknowledgement Form
- Exhibit C - Independent Contractor Acknowledgement Form
- Exhibit D - Board Member Acknowledgement Form



29 British American Boulevard, 2nd Floor
Latham, NY 12110
518-439-8311
thearcny.org

[Policy Number]: Code of Conduct

Category: Corporate Compliance Effective Date: XXXXXXXX
Department: XXXXXXXXXXXXXXXXXXXXXXXX Last Revision Date(s): 06/16/2020

Exhibit A

[Chapter] Code of Conduct

Mission

It is the mission of the [Chapter] to help individuals with developmental and other disabilities in every way possible, including but not limited to education, training, rehabilitation and recreation [and, to the extent permitted by law, guardianship,] to achieve their maximum potential for independence and inclusion in the community. To this end, we will acquire and manage the resources necessary to accomplish our mission.

Values

The [Chapter] accomplishes its mission while adhering to core values:

1. Team work: To work together, to do the job right - the first time.
2. Integrity: To always be fair, honest and trustworthy.
3. Excellence: To improve each day, and to strive for the highest level of quality in our performance.
4. Respect: To treat each person and their family with dignity and respect, and to listen.
5. Stewardship: To manage our resources responsibly.

Commitment to Stakeholders

To the individuals we serve: We are committed to providing the highest quality of care, in a caring and compassionate manner.

To the communities we serve: We are committed to understanding the unique needs of the individuals we serve and to provide our services with cost-effective, quality services.

To our employees: We are committed to a work setting which is safe, which treats all employees with fairness, dignity and respect, which affords all employees an opportunity to grow, to develop professionally, and to work in a team environment where all ideas are considered.

To our third party payors: We are committed to working with our payors in a way that demonstrates our commitment to our contractual obligations and reflects our shared concerns for quality services in an efficient and effective manner. We encourage our payors to adopt their own set of ethical principles that recognize their obligations to the individuals we serve, as well as the need for fairness between providers and payors.



29 British American Boulevard, 2nd Floor
Latham, NY 12110
518-439-8311
thearcny.org

[Policy Number]: Code of Conduct

Category: Corporate Compliance Effective Date: XXXXXXXX
Department: XXXXXXXXXXXXXXXXXXXXXXXX Last Revision Date(s): 06/16/2020

To our regulators: We are committed to creating an environment in which compliance with applicable rules, laws and regulations is woven into the fabric of the [Chapter]. We accept responsibility to self-govern and monitor adherence to requirements of law and our Code of Conduct.

To our suppliers: We are committed to fair competition among existing and prospective suppliers. We encourage our suppliers to adopt their own set of standards and ethical practices.

Rules of Conduct

We believe that certain rules of conduct must be observed to promote a positive and ethical work environment and pledge to abide by the laws, regulations and [Chapter] policies and procedures, including, but not limited to those related to the [Chapter] Corporate Compliance Plan.

We also understand that, as individuals working for and on behalf of the [Chapter], we have the added responsibility of following specific rules of conduct, as described below:

- To work cooperatively and respectfully with all [Chapter] employees, Board members and agents to provide the highest quality of services;
- To place the interests of the people we serve and their family members first and foremost in all aspects of what we do;
- To represent the [Chapter] positively in the community-at-large;
- To conduct all activities in a fiscally responsible manner;
- To work in accordance with applicable laws, regulations and [Chapter] policies;
- To seek training and assistance in areas that would strengthen the ability to fulfill responsibilities to clients and the [Chapter];
- To avoid conflicts of interest, including the acceptance and giving of gifts;
- To conserve resources of the [Chapter] by not engaging in wasteful behavior;
- To treat confidentially information related to the [Chapter] and its clients and to respect the privacy of clients and fellow [Chapter] employees;
- To complete tasks in a timely manner and meet expectations for the quality of work that the [Chapter] strives to achieve;
- To bill individuals and third party payors accurately;
- To report to a supervisor or to the Compliance Hotline any potential violation of applicable laws, regulations and policies, including the Corporate Compliance Plan;
- To respect the role of the Board and management and to fully implement their decisions; and
- To consult [Chapter] leadership when questions arise as to the conduct permitted under applicable laws, regulations and policies, including the Corporate Compliance Plan.



29 British American Boulevard, 2nd Floor
Latham, NY 12110
518-439-8311
thearcny.org

[Policy Number]: Code of Conduct

Category: Corporate Compliance Effective Date: XXXXXXXX
Department: XXXXXXXXXXXXXXXXXXXXXXXX Last Revision Date(s): 06/16/2020

Exhibit B

Acknowledgement Form [Chapter] Employees

- ✓ I acknowledge that I have read and that I understand the [Chapter] Corporate Compliance Plan and the [Chapter] Code of Conduct.
- ✓ I understand and agree that I must comply with the [Chapter] Corporate Compliance Plan, the [Chapter] Code of Conduct and all laws, regulations, policies, procedures and other guidance applicable to the responsibilities of my position.
- ✓ I agree to fully cooperate with the implementation of the [Chapter] Corporate Compliance Plan, to participate in any auditing or monitoring processes and to report any instances of possible violations of law, regulations or policies that are applicable to the [Chapter] of which I become aware.
- ✓ I acknowledge that the [Chapter] maintains a hotline for the purpose of receiving notifications of possible violations of law, regulation and the [Chapter] Corporate Compliance Plan.
- ✓ I understand that my failure to report any concerns regarding possible violations of law, regulations or the Corporate Compliance Plan may result in disciplinary action, up to and including termination.

Signature

Print Name

Title

Date



29 British American Boulevard, 2nd Floor
Latham, NY 12110
518-439-8311
thearcny.org

[Policy Number]: Code of Conduct

Category: Corporate Compliance Effective Date: XXXXXXXX
Department: XXXXXXXXXXXXXXXXXXXXXXXX Last Revision Date(s): 06/16/2020

Exhibit C

Acknowledgement Form Independent Contractor / Agents / Vendors

The [Chapter] has developed a Corporate Compliance Plan that states that the organization and its employees, contractors and Board of Directors will adhere to applicable federal, state and local laws and regulations and internal policies and procedures.

Our Corporate Compliance Plan is a combination of policy and procedure that assists our organization to monitor, detect and correct actions that are not in compliance with applicable laws or our own policies and procedures.

As our agent, we expect that you will act in compliance with the laws that are applicable to our organization and to your organization and in compliance with our policies and procedures, particularly our Code of Conduct that sets forth the overarching principles for conducting our business with integrity based on sound ethical and legal standards.

As our agent, we also expect you to report any suspected or potential violations of law or our policies and procedures of which you become aware by contacting our [Executive Director at _____], our Compliance Officer at _____ or our Corporate Compliance Hotline at [_____].

As our agent, we expect you to understand your role in the Corporate Compliance Plan of [Chapter] and we expect you to request any policies and procedures that are applicable to you and your organization. You may contact the [Executive Director] or the Compliance Officer for any questions or clarifications of your responsibilities.

* * * * *

- ✓ I acknowledge that on behalf of myself and my organization that I have read and that I understand the [Chapter] Code of Conduct and the policies and procedures of the [Chapter] Corporate Compliance Plan that are applicable to the services that myself and my organization are providing to [Chapter].
- ✓ I understand and agree that I and all those in my organization who provide services to [Chapter] must comply with the [Chapter] Corporate Compliance Plan and the [Chapter] Code of Conduct and all laws, regulations, policies, procedures and other guidance applicable to the services that are provided to [Chapter].



29 British American Boulevard, 2nd Floor
Latham, NY 12110
518-439-8311
thearcny.org

[Policy Number]: Code of Conduct

Category: Corporate Compliance Effective Date: XXXXXXXX
Department: XXXXXXXXXXXXXXXXXXXXXXXX Last Revision Date(s): 06/16/2020

- ✓ I agree on behalf of myself and my organization to fully cooperate with the implementation of the [Chapter] Corporate Compliance Plan, to participate in any auditing or monitoring processes and to report any instances of possible violations of law, regulations or policies that are applicable to the [Chapter] of which I become aware.
- ✓ I acknowledge that the [Chapter] maintains a hotline for the purpose of receiving notifications of possible violations of law, regulation and the [Chapter] Corporate Compliance Plan.
- ✓ I understand that my failure to report any concerns regarding possible violations of law, regulations or the Corporate Compliance Plan may result in corrective action, up to and including termination of my agreement with [Chapter].

By: _____
Signature

Print Name

Title

Date



29 British American Boulevard, 2nd Floor
Latham, NY 12110
518-439-8311
thearcny.org

[Policy Number]: Code of Conduct

Category: Corporate Compliance Effective Date: XXXXXXXX
Department: XXXXXXXXXXXXXXXXXXXXXXXX Last Revision Date(s): 06/16/2020

Exhibit D

Acknowledgement Form Members of the [Chapter] Board of Directors

- ✓ I acknowledge that I have read and that I understand the [Chapter] Corporate Compliance Plan and the [Chapter] Code of Conduct.
- ✓ I agree to comply with the [Chapter] Corporate Compliance Plan and the [Chapter] Code of Conduct and all laws, regulations, policies, procedures and other guidance applicable to the responsibilities of my membership on the [Chapter] Board of Directors.
- ✓ I understand that, as a member of the Board of Directors, I have a responsibility to oversee and support the implementation of the [Chapter] Corporate Compliance Plan, including participating in monitoring, auditing, investigations and other activities related to compliance.
- ✓ I understand that my failure to report any concerns regarding possible violations of law, regulations or the Corporate Compliance Plan may result in corrective action.

Signature

Print Name

Title

Date