

5 CODE OF ETHICS AND CONFLICT OF INTEREST

Policy Statement

It is every employee's responsibility to perform their duties in a manner that promotes and preserves public trust, proper stewardship, and confidence in the integrity of UCP. Employees must respect and comply with UCP policies, rules, and regulations, observe high standards of conduct, and participate in establishing and maintaining such high standards. Adverse consequences, up to and including employee termination, can result from failure to comply with the Code of Ethics and Conflict of Interest policy.

All employees are expected to do their best to advance UCP's mission and avoid situations that could create conflicts of interest. A conflict of interest occurs when your personal interests' conflict or even appear to conflict with your ability to make sound, objective decisions on behalf of UCP.

Purpose

The Code of Ethics and Conflict of Interest policy was developed to define a set of ethical principles to be used to guide decision-making and actions for UCP employees, consultants, and business associates. The policy establishes a framework for professional behavior and responsibilities when professional obligations conflict or ethical uncertainties arise, and it also provides principles that participants and the general public can use to hold UCP accountable.

No single code can cover all possible scenarios and does not take the place of personal character, integrity, and the use of sound judgment. Employees of UCP, volunteers, contractors, and members of the Board of Directors are expected to be knowledgeable of and adhere to the spirit of this policy as well as the specific standards and guidelines outlined in this policy.

Procedures

Business Ethics and Conduct

The successful business operation and reputation of UCP is built upon the principles of fair dealing and the ethical conduct of our employees. Our reputation for integrity and excellence requires careful observance of the spirit and the letter of all applicable laws and regulations, as well as a scrupulous regard for the highest standards of conduct and personal integrity.

The continued success of UCP is dependent upon our participants' trust and we are dedicated to preserving that trust. Employees are obligated to UCP and its participants to act in a way that will merit the continued trust and confidence of the public.

UCP will comply with all applicable laws and regulations, and expects its Directors, Officers, and employees to conduct business in accordance with the letter, spirit, and intent of all relevant laws and to refrain from any illegal, dishonest, or unethical conduct.

In general, the use of good judgment, based on high ethical principles, will guide the employee with respect to lines of acceptable conduct. If a situation arises where it is difficult to determine the proper course of action, the matter should be discussed openly with your immediate Supervisor for advice and consultation. Any issues of suspected fraud and abuse should be elevated to the immediate attention of the Corporate Compliance Officer and/or management at UCP.

5 Compliance with this policy is the responsibility of every UCP employee. Employees are required to report, under penalty of a criminal statute, violations of this policy occurring on or off the premises, or while conducting business. Disregarding or failing to comply with this standard can lead to disciplinary action, up to and including termination.

10 General Ethical Practice and Standards Guidelines

UCP expects its employees to adhere to the highest principles of honesty and integrity. Employees shall:

- Adhere to the ethical business principles and practices.
- Practice professional behaviors that demonstrate honesty, integrity, and accountability.
- Maintain a level of competency as outlined in the Standards of Practice applicable to your specific profession/practice area.
- 15 • Seek the trust and confidence of all participants.
- Respect all laws and avoid involvement in any false, fraudulent, or deceptive activity.
- Promote the right of privacy for all participants and protect the maintenance of confidential information to the fullest extent permitted by law.
- 20 • Avoid conflict of interest situations.

Conflicts of Interest

Conflicts of interest may arise if you:

- Have a significant financial or other interest in one of UCP's vendors;
- 25 • Have a family member or friend who is a partner, controlling shareholder, executive, director, or other decision maker of an entity that works with UCP;
- Hire, supervise, determine, or influence pay raises for a family member, spouse, or cohabitant;
- Hire a vendor or supplier managed by a family member, relative, or close friend;
- Receive compensation for services with respect to individual transactions involving UCP;
- 30 • Use UCP time, personnel, equipment, or supplies for any purpose other than UCP-approved activities, programs, or purposes.

Employees must disclose to their Supervisor any relationship or activity that might impair, or even appear to impair, their ability to make objective and fair decisions when performing their jobs. Employees with a conflict-of-interest question should seek advice from their Supervisor or Human Resources Department.

Gifts, Gratuities, and Honoraria

The following operational standards are designed to ensure that UCP and/or staff members serving participants, or making decisions regarding purchases/services from contractors, are not unjustly enriched because of self-serving or abusive financial arrangements. Where specific contract stipulations conflict with any of the following, the contract stipulations take precedence*. UCP's operational standards include:

- Gifts from participants or contractors to staff members are neither expected nor encouraged.
- Employees shall not solicit or accept for their personal, professional or business gain gifts, gratuities, honoraria, entertainment, favors or other goods or services from current or prospective vendors, providers of services, or persons with a direct, material financial interest in the outcome of UCP programs, policies or positions.
- 45 • Staff members may only accept gifts from participants, their families, or contractors if the gift is of minimal value (less than or equal to \$25). Gifts of minimal value may be accepted twice a year. If an employee receives a gift that is greater than the minimal value, that gift must be returned to the gift giver.
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- 5 • Nominal gifts such as pens; paperweights; t-shirts; coffee mugs; soft drinks; flowers; chocolates or other small tokens may be accepted. No personal gift of cash or a cash equivalent (i.e. gift cards, gift checks, vouchers, phone cards, checks or money orders, etc.); special discounts; tickets for entertainment where the host will not be present; gifts that would embarrass UCP; or situations where UCP's commitment to diversity and respect for others could be violated or could cause
10 unease, shall never be accepted from a vendor.
- Staff members are not permitted to borrow money from participants.
- Staff members may not solicit participants for the purchase of merchandise or fundraising; nor may staff solicit participants' families on behalf of non-UCP related purchases or fundraising.
- Staff members are not permitted to solicit gifts, favors, money, or other items of value from a
15 participant or contractor.
- Staff members are not permitted to make their services contingent on gifts(s) or being named beneficiary of a life insurance policy or a will, nor may they exert undue influence or coercion concerning gifts, life insurance, or a will of a participant.
- If evidence of coercion is presented by a court or if beneficiary status is contested, UCP may
20 investigate, and, if justified, terminate the employee.
- Staff members are not permitted to make their decisions regarding contractor purchases or services contingent on gifts, favors, money, or other items of value from contractors.
- Staff members are not permitted to participate in making financial decisions about a participant's personal funds. CPS residential staff, however, may provide suggestions regarding financial matters
25 to participants.

*Community Support Programs for Persons with Physical Disabilities (CSPPPD) contracts stipulate that:

- Staff members are not permitted to accept gifts of any value from participants or contractors.
- Staff members may not solicit participants for the purchase of merchandise or fundraising.
- 30 • Staff members may not serve as a legal guardian or POA for any participant receiving services from the organization.
- Staff members may not serve as a representative payee for any participant.
- Staff members may not be named as a beneficiary of a recipient's life insurance policy.

35 *Capital Home Care regulations stipulate further that:

- Staff members are prohibited from assuming Power of Attorney from participants receiving services from the organization and may not serve as a legal guardian for any participant receiving services from the organization.
- 40 • UCP strictly prohibits participants from endorsing any checks over to UCP.

*Employees with questions about these standards should seek advice from their Supervisor or Human Resources Department.

Adhering to Laws and Regulations

45 Employees of UCP are required to obtain criminal background checks and clearances as a condition of employment. Falsification on any background check or clearance application and/or an UCP employment application are considered violations of law and regulations. Fraudulent time keeping practices (including making unauthorized altercations on a time and attendance record) are also considered violations of law
50 and regulations.

Billing

UCP practices sound fiscal and business practices to ensure the accuracy and integrity of the data collected for billing and other operational needs. Managers and Supervisors are required to verify that participants are authorized to receive services, that the services rendered are accurate and valid, and that appropriate documentation substantiating the services rendered has occurred within the required timeframes. UCP utilizes internal auditing and monitoring practices and detailed internal Financial policies and procedures to establish valid and accurate claims are submitted for payment.

Fraud and Abuse

Examples of fraud and abuse include, but are not limited to, the following: falsifying or altering claims or records, up coding or incorrect coding, double billing, billing for services that were not rendered or authorized, failing to maintain appropriate documentation/records of services, any issues or actions resulting in overpayment, embezzlement, theft, failure to return funds not authorized, falsifying time sheets and or any other actions that cause the submission of a false claim (the submission of a claim for payment which the provider is not otherwise entitled to receive).

Any employee, contractor, and business associate that suspects fraud, waste and/or abuse should report it to the Corporate Compliance Officer directly at **717-737-3477**, via the Compliance Hotline at **1-877-410-9091** or the Compliance email at: **Compliance@ucpcentralpa.org**. The Corporate Compliance Officer will conduct an investigation into the issue reported. The person making the report can do so directly or anonymously.

UCP maintains *Non-Retaliation* and *Protection from Retaliation* policies, and holds the CEO, Board of Directors, Program Directors, and Supervisors, all employees, contractors, and business associates responsible for maintaining a safe working environment free from retaliation for reporting suspicious or fraudulent concerns. Anyone found retaliating against a person reporting fraud, waste or abuse will be disciplined in accordance with UCP's disciplinary procedures. Any reported allegations of retaliation will be investigated by the Corporate Compliance Officer and any additional Senior Level Director as applicable.

This policy is a part UCP's complete Compliance Program and practices. If any questions arise concerning this policy, or you would like to report a violation, you can make a confidential report to the compliance hotline at: **1-877-410-9091** or make a confidential report by email: **Compliance@ucpcentralpa.org**.

Reports can also be made directly to the Compliance Officer, your immediate Supervisor, or any member of Senior Management.

NON-RETALIATION

Policy Statement

Federal and state law and UCP prohibit retaliation against any employee, by another employee or by UCP and its Supervisors, for making a good faith complaint about or participating in an investigation about an alleged violation of the non-discrimination, non-harassment, workplace violence, other unlawful behavior or conduct that violates UCP policies.

Purpose

The purpose of this policy is to communicate UCP's commitment to a workplace free from retaliation, present a definition of retaliation and protected activity, and outline the reporting procedures for possible violations of this policy.

Procedures

Intent

Employees are protected against retaliation for in good faith filing, testifying, assisting, or participating in any manner in any investigation, proceeding or hearing conducted by UCP and/or federal or state enforcement agencies. This policy also prohibits retaliation against employees "who are closely associated with or connected to" the reporting employee or the alleged incident.

Employees who have a reasonable and good faith belief that a policy or practice of UCP violates legal standards, and based on that belief oppose, implicitly or explicitly, that policy or practice, are protected against retaliation, even when UCP was acting lawfully. In addition, UCP prohibits retaliation against anyone who, in good faith, reports a perceived violation of any UCP policy, or in good faith cooperates with an investigation of such a claim.

Individuals may state their opposition to a specific practice or activity that they believe constitutes an unlawful action(s). Such opposition must be based on a reasonable and good faith belief. A person claiming retaliation does not necessarily need to be the person engaged in the opposition. Individuals may participate in an investigation, proceeding, hearing or litigation without fear of retaliation.

Protected Activity

Protected activity includes, but is not limited to, the following:

- Initiating an internal complaint or report of discrimination or harassment;
- Filing a claim of discrimination;
- Requesting an accommodation for a disability;
- Filing a Workers' Compensation claim following a work-related injury;
- Reporting incidents in regard to Child Protective Services Law or the Older Adults Protective Services Act;
- Requesting leave under the Family and Medical Leave Act;
- Filing a safety or environmental related complaint with the state and/or federal oversight agency; or
- Participating in an investigation of any of the foregoing incidents, claims or complaints.

5 Retaliation Defined

Adverse actions that may constitute retaliation may be general or specific actions. Examples of general adverse actions that may be considered retaliatory are denial of promotion, refusal to hire, denial of job benefits, demotion, suspension, or termination.

10 Other actions may include threats, reprimands, unwarranted negative evaluations, pay reductions, change in job assignments, harassment, or hostile behavior or attitudes toward the complainant. Other adverse actions that may or may not be intentionally motivated, but which result in negative treatment of an individual, can also be considered retaliatory.

15 Post-employment actions that may be considered retaliatory are actions that are designed to interfere with an individual's prospects for employment, such as baseless negative job references and informing prospective employers of the individual's protected activity, also constitute retaliation. Negative references do not constitute retaliation unless the reference was based on a retaliatory motive.

20 Reporting Violations

Any employee who in good faith believes that he/she or any other employee is being subjected to retaliation in violation of this policy or any other UCP policy or law is urged to report the situation to the Human Resources Department or UCP management as soon as possible. You can contact the Human Resources Department at 717-737-3477 or at HRHelpDesk@ucpcentralpa.org.

25 Reports of retaliatory conduct will be promptly and objectively investigated in accordance with UCP's investigatory procedures. If a retaliation complaint is substantiated, appropriate disciplinary action, up to and including termination, will be taken against those who have engaged in such behaviors, as UCP deems appropriate in its sole discretion.

30 Co-workers are legally prohibited from engaging in retaliation against other employees and will be subject to discipline, up to and including termination, for such conduct.

5 PROTECTION FROM RETALIATION**Policy Statement**

10 Pennsylvania law provides job-related protections that apply to a UCP employee who makes a report in good faith of such matters as abuse, neglect, wrongdoing or waste. It is UCP's policy to encourage each employee to make a report in good faith or cooperate with authorities, and to comply with these laws to the fullest extent. UCP therefore commits to reassure each employee that such action will not result in interference, discrimination, retaliation or intimidation.