

INDIAN CREEK FOUNDATION

Compliance Program

Code of Conduct

FSA COMPLIANCE PROGRAM

Code of Conduct



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INDIAN CREEK FOUNDATION

Scope

Our Compliance Program Plan covers the compliance issues, laws and regulations and guidelines that are relevant to a provider of Intellectual and Developmental Disabilities services including Behavioral Health, Residential, Vocational and Community Services. This includes but is not limited to Medicare and Medicaid regulatory issues, guidelines from the Office of Inspector General, Internal Revenue Service and the Office of Civil Rights of the Department of Health and Human Services, Pennsylvania Department of Human Services, Occupational Safety and Health Administration as well as other regulatory and business issues. The program fosters a culture of compliance that promotes legal and ethical behavior in the workplace by creating processes that detect and prevent fraud, waste, abuse, and policy violations. **The Code of Conduct is supported by our compliance policies and procedures and should be read and understood jointly with those policies and procedures.**

The term Associate defines the various individuals who are associated with Indian Creek Foundation. All individuals, including employees, vendors, contractors, volunteers, directors and officers are members of our team in providing care and services to our clients.

The scope of the program includes:

- Policies and procedures that guide our organization in appropriate business practice and promote compliance with laws and governmental regulations;

- Recommendations and resources for training programs that are mandatory for Associates to ensure understanding of the Code of Conduct;

- Distribution of a copy of the Code of Conduct to all Associates and with a written acknowledgment of its receipt by the Associate;

- Structures that include appropriate disciplinary monitoring and review of potential fraud and abuse issues conducted to identify need for corrective action as well as additional training;

- Mechanisms established to provide Associates with a means to report potential noncompliance issues or other areas of concern without fear of retribution;

- A process for corrective action that includes appropriate disciplinary measures, to address any issues of noncompliance;

- Guidelines that have been developed for prevention of, and when required, response to identified compliance issues. This includes an annual review of the Compliance Program and modifications to the Program as appropriate;

- Designation of a Compliance Officer and other appropriate bodies such as a Compliance Committee charged with the responsibility for developing, operating and monitoring the Compliance Program within the organization.

Any questions regarding the policies in this Code of Conduct or references should be

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Management

The CEO carries the overall responsibility for creating a culture that values and emphasizes compliance and integrity and ensures privacy.

Compliance Committee:

The Compliance Official, who reports to the CEO and the Compliance Officer, is the chair for this committee. The committee meets no less than quarterly. The committee supports the Compliance Officer and the CEO in administration of the compliance program.

FROM THE CEO's DESK

Dear Associate,

Quality care of our client population has always been our commitment at Indian Creek Foundation. In an effort to maintain and improve the quality of the services we provide; we have implemented the Compliance and Privacy Program.

This handbook will explain the Compliance and Privacy Program to you so that you can apply the guidelines in your daily duties at Indian Creek Foundation. If you have any questions, comments or concerns regarding these guidelines you should contact your immediate supervisor. You may also contact the Compliance Officer at 215-646-0720 or use the Compliance Hot Line of 1-800-211-2713.

Thank you for continuing to work in a manner that achieves the goals of our organization.

Sincerely,

A handwritten signature in dark ink, appearing to read 'D. Stocz', with a large, stylized loop at the beginning.

Dean Stocz
CEO

And

The Indian Creek Foundation Board of Directors

Indian Creek Foundation Code of Conduct

Introduction

The Code of Conduct is the foundation of the Compliance Program. The Code of Conduct is a guide to appropriate workplace behavior; it will help you make the right decisions if you are not sure how to respond to a situation. All Associates must comply with both the spirit and letter of all federal, state, and local laws and regulations that apply to the services our organization provides, as well as laws that apply to business dealings. Violations of these laws and regulations can result in severe penalties for us and the individuals we do work with including financial penalties, exclusion from participation in government programs, and, in some cases, imprisonment.

As an Associate, we share a commitment to legal, ethical and professional conduct in everything that we do. We support these commitments in our work each day, whether we care for clients, order supplies, keep records, take physician orders, pay invoices or make decisions about the future of our organization.

The success of Indian Creek Foundation as a provider of Intellectual and Developmental Disabilities Services depends on you, your personal and professional integrity, your responsibility to act in good faith and your obligation to do the right things for the right reasons.

The Compliance Program provides principles, standards, training and tools to guide you in meeting your legal, ethical and professional responsibilities. As an Associate, you are responsible for supporting the Compliance Program in every aspect of workplace behavior. Your continued working relationship with our organization includes understanding and adhering to the Compliance Program.

The Code of Conduct discusses the importance of:

Care Excellence – providing quality, compassionate, respectful and clinically appropriate care.

Professional Excellence – maintaining ethical standards of healthcare and business practices.

Regulatory Excellence – complying with federal and state laws, regulations and guidelines that govern behavioral, residential vocational and community services that we provide.

A Shared Responsibility

Because we are in the business of caring for and providing services for others, it is critical that each of us adheres to appropriate standards of behavior. As individuals and as an organization we are responsible to many different groups. We must act ethically and responsibly in our relations with:

- Clients and their families;
- Colleagues and coworkers;
- Volunteers and affiliated colleagues;

Healthcare payors, including the federal and state government and other licensing representatives;
Regulators, surveyors and monitoring agencies;
Physicians, Nurse Practitioners, Physician Assistants;
Vendors and suppliers;
Business associates; and
The Communities we serve.

Any compromise in our standards could harm our clients, our coworkers and our organization. Like every organization that provides healthcare, we do business under very strict regulations and close governmental oversight. Fraud and abuse are serious issues. Sometimes even an innocent mistake can have significant consequences that could result in substantial penalties to Indian Creek Foundation.

All Associates are required to complete training on the Code of Conduct and the Compliance Program as a condition of employment and business relationship. The Code of Conduct sets forth mandatory standards.

There is no justification for departing from the Code of Conduct no matter what the situation may be.

Every Associate is responsible for ensuring that they comply with the Code of Conduct and all policies and procedures. Any Associate who violates any of these standards and/or policies and procedures is subject to discipline up to and including termination of employment.

A Personal Obligation

As we are each responsible for following the Code of Conduct in our daily work, we are also responsible for enforcing it. This means that you have a duty to report any problems you observe or perceive, regardless of your role.

As an Associate, you must help ensure that you are doing everything practical to comply with applicable laws. If you observe or suspect a situation that you believe may be unethical, illegal, unprofessional or wrong, or you have a clinical, ethical or financial concern, you must report it. You are expected to satisfy this duty by complying with the **Three-Step Reporting Process**. If you fail to report noncompliance with the Code of Conduct, policies and procedures, or applicable federal or Commonwealth of Pennsylvania laws, you will be subject to discipline up to and including termination. We have a zero tolerance for retaliation. No one may retaliate against a member who reports a concern in good faith.

Reporting Compliance Concerns

The Three Step Reporting Process

First, talk to your supervisor. He or she is most familiar with the laws, regulations and policies that relate to your work.

Second, if you are not able to talk to your supervisor, talk with our supervisors, managers, Director of the Division or Director of Human Resources OR seek out any other member of the management team.

Third, if you still have a concern, contact the Compliance Officer or member of the organization's Compliance Committee.

You may also call the toll-free Compliance Line number at any time.

Compliance Line

Compliance Line at 800-211-2713

All calls are confidential and you may call **ANONYMOUSLY** if you choose.

The Compliance Line is available 24 hours, 7 days a week, for callers to report compliance-related issues. Concerns that are reported to the Compliance Line are taken seriously.

You can make calls to the Compliance Line without fear of reprisal, retaliation or punishment for your actions. Anyone, including a supervisor who retaliates against an Associate for contacting the Compliance Line or reporting compliance issues in another manner, will be disciplined.

Care Excellence

Our most important job is providing quality care to our clients. This means offering compassionate support to our clients and working toward the best possible outcomes while following all applicable rules and regulations.

Client Rights

Clients receiving Intellectual and Developmental Disabilities Services have clearly defined rights. To honor these, we must:

- Make no distinction in the admission, transfer or discharge of a client, or in the care/services we provide on the basis of race, gender, age, religion, national origin, disability, color, marital status, veteran status, medical condition, sexual orientation or other protected class status, insurance or financial status;
- Treat all clients in a manner that preserves their dignity, autonomy, self-esteem and civil rights;
- Protect every client from physical, emotional, verbal or sexual abuse or neglect;
- Protect all aspects of client privacy and confidentiality;
- Respect client's personal property and money and protect it from loss, theft, improper use and damage;
- Respect the right of clients and their legal representatives to be informed of and participate in decision about their care and treatment;
- Respect the right of clients and/or their legal representatives to access their medical records as required by the Health Information Portability and Accountability Act (HIPAA);
- Recognize that clients have the right to consent or refuse care and the right to be informed of the medical consequences of such refusal;
- Protect clients' rights to be free from unnecessary physical and chemical restraints;
- Provide clients with the right to freely register complaints or make recommendations concerning their treatment and services provided by our agency and
- Respect the clients' right to self-determination and autonomy.

Abuse and Neglect

We will not tolerate any type of client abuse or neglect – physical, emotional, verbal or sexual. Clients must be protected from abuse by Associates, family members, legal guardians, friends or any other person. This standard applies to all clients at all times. The Commonwealth of Pennsylvania defines abuse as the following:

Abuse – Abuse of an individual by anyone (i.e. staff, volunteer, friend, relative, another consumer). Abuse is defined as the infliction of injury, unreasonable confinement, intimidation, punishment, mental anguish, sexual abuse or exploitation.

a. Physical: An intentional physical act by an individual, staff or other person which causes or may cause physical injury to an individual, such as striking or kicking, applying noxious

or potentially harmful substances or conditions to an individual. This also includes the improper or unauthorized use of a restraint.

b. Psychological: Acts, other than verbal, which may: inflict emotional harm, invoke fear and/or humiliate, or intimidate, degrade and/or demean an individual.

c. Sexual: Acts or attempted acts such as: rape, incest or sexual molestation, sexual exploitation, sexual harassment, inappropriate or unwanted touching of an individual by another, sexual contact between a staff person and an individual, and any sexual exposure of a staff person to an individual is also considered abusive.

d. Verbal: Verbalizations which inflict or may inflict: emotional harm, invokes fear and/or humiliates, intimidate, degrade or demean an individual.

e. Improper or unauthorized restraint: A restraint not approved in the individual support plan or one that is not part of an agency's emergency restraint procedure is considered unauthorized. A restraint that is intentionally applied incorrectly is considered an improper use of restraint.

Any Associate who abuses or neglects a client may be subject to termination. In addition, legal or criminal action may be taken. Abuse and neglect must be reported immediately to your supervisor or other member of management and as related to mandatory reporting requirements in Federal and State (PA) regulations.

Client Confidentiality/ HIPAA

All Associates must use and disclose medical, financial, or personal information only in a manner consistent with the HIPAA Privacy policies and procedures and state and federal law. You are responsible for keeping client protected health information (PHI) confidential. PHI is defined as individually identifiable health information that is transmitted or maintained in any form or medium, including electronic health information.

Any unauthorized exposure of PHI which compromises the security or privacy of information is a potential breach.

If you become aware of a breach of any protected or sensitive information it is important that you report it immediately to your supervisor or the Compliance Officer.

If the disclosure results in a breach, Indian Creek Foundation must investigate and comply with all state and federal HIPAA regulations for breach notification.

Client Property

Associates must respect clients' personal property and protect it from loss, theft, damage or misuse. Associates who have access to property or funds must maintain accurate records and accounts.

Providing Quality of Care

Our primary commitment is to provide the care, services and products necessary to help each client reach or maintain his or her highest possible level of physical, mental and psychosocial well-being. Indian Creek Foundation has policies and procedures and provides training and education to help each Associate strive to achieve this goal. You will learn about policies and procedures specific to your job responsibilities as part of your employment orientation and training.

Our care standards include:

- Accurately assessing the individual needs of each client and developing individual support plans that meet those assessed needs;
- Reviewing goals and plans of care to ensure that the clients' ongoing needs are being met;
- Providing only medically necessary, physician/psychologist prescribed/authorized services and products that meet the clients' clinical needs;
- Confirming that services and products (including medications) are within accepted standards of practice for the client's clinical condition;
- Ensuring that services and products are reasonable in terms of frequency, amount and duration;
- Measuring clinical outcomes and client satisfaction to confirm that quality of care goals are met;
- Providing accurate and timely clinical and financial documentation and record-keeping;
- Ensuring that clients' care is given only by properly licensed and credentialed providers with appropriate background, experience and expertise;
- Reviewing client care policies and procedures and clinical protocols to ensure that they meet current standards of practice; and
- Monitoring and improving clinical outcomes through a Quality Improvement Committee with established benchmarks.

Professional Excellence

The professional, responsible and ethical behavior of every Associate reflects on the reputation of our organization and the services we provide. Whether you work directly with clients or in other areas that support client services you are expected to maintain our standards of honesty, integrity and professional excellence, every day.

Hiring and Employment Practices

Indian Creek Foundation is committed to fair employment practices. When hiring and evaluating, we:

- Comply with federal, state and local Equal Employment Opportunity laws, hiring the best qualified individuals regardless of race, color, age, religion, national origin, gender identity, sexual orientation or disability. All promotions, transfers evaluations, compensation and disciplinary actions also follow this policy.
- Conduct employment screenings to protect the integrity of our workforce and welfare of our clients and Associates.
- Require all who need licenses or certifications to maintain their credentials in compliance with state and federal laws; documentation of licenses or certifications must be provided.

Employee Screening

Associates are screened in accordance with federal and state law to ensure the safety of our clients. Screening procedures have been implemented and are conducted prior to hire and monthly thereafter.

Indian Creek Foundation is prohibited by federal law from employing, retaining, or contracting with anyone who is excluded from any federal or state funded programs. Screening of all Associates through the Office of Inspector General's List of Excluded Individuals and Entities, GSA's System of Award Management, and the Pennsylvania Medicaid Excluded Provider List database is conducted prior to hire and monthly thereafter.

As long as you are employed or affiliated with Indian Creek Foundation, you must immediately report to your supervisor:

- If you are arrested or indicted for a criminal offense;
- If you are convicted of an offense that would preclude employment in a healthcare facility;
- If action has been taken against your license or certification; or
- If you are excluded from participation in a federal or state healthcare program.

Licensure, Certification and Exclusion Screening

We are committed to ensuring that only qualified professionals provide care and services to our clients. Practitioners and other professionals treating our clients must abide by all applicable licensing, credentialing and certification requirements. In addition, every effort is made to validate licenses and certification through the appropriate state or federal agency.

Employee Relations

To maintain an ethical, comfortable work environment, staff must:

- Refrain from any form of sexual harassment or violence in the workplace;
- Treat all colleagues and coworkers with equal respect, regardless of their national origin, race, color, religion, sexual orientation, age, gender identity or disability;
- Protect the privacy of other Associates by keeping personal information confidential and allowing only authorized individuals access to the information; and
- Not supervise or be supervised by an individual with whom they have a close personal relationship.
- Not be family members of staff who are a member of the Directors team, Board or staff who work in HR, Finance or Development.

Workplace Safety

Maintaining a safe workplace is critical to the well-being of our clients, visitors and coworkers. That is why policies and procedures have been developed that describes the organization's safety requirements. Every Associate should become familiar with safety regulations and emergency plans regarding fire and disaster in their work area.

In addition to organizational policies, we must abide by all environmental laws and regulations. You are expected to follow organizational safety guidelines and to take personal responsibility for helping to maintain a secure work environment. If you notice a safety hazard, you must take action to correct it if you can, or report it to your supervisor immediately.

Drug and Alcohol Abuse

We are committed to maintaining a workforce dedicated and capable of providing quality client services and performing other applicable duties. To that end, Associates are prohibited from consuming any substance that impairs their ability to provide quality services or otherwise perform their duties.

Associates may never use, sell or bring on company property, alcohol, illegal drugs and/or narcotics or report to work under the influence of alcohol, illegal drugs and/or narcotics. For an Associate who appears to have work performance problems related to drug or alcohol use, a drug and alcohol screening will be conducted and appropriate action will be taken if necessary.

Illegal, improper or unauthorized use of any controlled substance that is intended for a client is prohibited. If you become aware of any improper diversion of drugs or medical supplies, you must immediately report the incident to your department supervisor, the Compliance Officer, or use the Compliance Line. Failure to report a known instance of noncompliance with this policy may result in disciplinary action against the Associate, up to and including termination.

Organizational Relations

Professional excellence in organizational relations includes:

- Complying with federal tax law to maintain tax exempt status under section 501©(3) of the Internal revenue Code;
- Maintaining company privacy and keeping proprietary information confidential;
- Avoiding outside activities or interests that conflict with responsibilities to Indian Creek Foundation and reporting such activity or interest prior to and during employment;
- Allowing only designated management staff to report to the public or media; and
- Requiring that Indian Creek Foundation comply with the licensing and certification laws that apply to its' business.

Proprietary Information

In the performance of their duties, Associates may have access to, receive or be entrusted with confidential and/or proprietary information, that is owned by Indian Creek Foundation and that is not presently available to the public. This type of information should never be shared with anyone outside the organization without authorization from a member of the executive team.

Examples of proprietary information that should not be shared include:

- Client and Associate data and information;
- Details about clinical programs, procedures and protocols;
- Policies, procedures and forms;
- Training materials;
- Current or future charges or fees or other competitive terms and conditions;
- Current or possible negotiations or bids with payers or other clients;
- Compensation and benefits information for staff;
- Stocks or any kind of financial information; and/or
- Market information, marketing plans or strategic plans.

Gifts

Associates may not accept any tip or gratuity from clients; neither may you receive gifts from clients; nor may you borrow money from nor lend money to clients; nor may you engage with clients in the purchase or sale of any item. Associates may not accept any gift from a client under a will or trust instrument except in those cases where the Associate and client are related by blood or marriage.

Associates may not serve as a client's executor, trustee, administrator, or guardian or provide financial services or act under a power of attorney for a client except in those cases where the Associate and client are related by blood or marriage.

Business Courtesies

Indian Creek Foundation prohibits any Associate from offering, giving, soliciting, or accepting business or professional courtesies including entertainment and gifts that could be interpreted as attempts to influence decision making. Under no circumstances will an Associate solicit or accept business courtesies, entertainment or gifts that depart from the Business Courtesies policy.

Conflict of Interest

A conflict of interest exists any time your loyalty to the organization is, or even appears to be, compromised by a personal interest. There are many types of conflict of interest and these guidelines cannot anticipate them all, however the following provide some examples:

- Financial involvement with vendors or others that would cause you to put their financial interests ahead of ours
- Associate/ Officer participation in public affairs, corporate or community directorships, or public office;
- An immediate family member who works for a vendor or contractor doing business with the organization and who is in a position to influence your decisions affecting the work of the organization
- Participating in transactions that put your personal interests ahead of Indian Creek Foundation or cause loss or embarrassment to the organization
- Taking a job outside of Indian Creek Foundation that overlaps with your normal working hours or interferes with your job performance
- Working for Consumer Families Privately
- Providing respite services to client in your home program
- Administrative Staff (HR, ACCT, DEV) who are related to staff who work in other parts of the agency
- Providing services to ICF as a vendor
- Financial involvement with outside vendors who provide services to ICF
- Accepting gifts from clients or their families
- Working for another agency that provides services offered by ICF
- Management getting involved in a personal relationship with immediate staff members
- Family members working in the same program
- Employees related to clients receiving services

All Associates must seek guidance and approval from our CEO or Compliance Officer before pursuing any business or personal activity that may constitute a conflict of interest.

Use of Property

We must protect the assets of the organization and ensure their authorized and efficient use. Theft, carelessness, and waste have a direct impact on the organization's viability. All assets must be used solely for legitimate business purposes.

Everyone must make sure that they:

- Only use property for the organization's business, not personal use;
- Exercise good judgment and care when using supplies, equipment, vehicles and other property; and
- Respect copyright and intellectual property laws; or
- If unable to assess the copyright or intellectual property laws, never copy material and/or download software.

Computers and the Internet

Associates are expected to use computers, email and internet systems appropriately and according to the established policy and procedure. Associates are not permitted to use the internet for improper or unlawful activity or download any games or music without prior approval.

Internet use can be tracked and how Associates use their time on the Internet will be monitored. You should have no expectation of privacy when you use our computers, email, and internet/intranet system. Our organization has the right to sanction or discipline associates who violate the Code of Conduct in a digital, cyber, or other non-face-to-face environment. You should be familiar with our Social Media policy and abide by it.

Vendor Relationships

We take responsibility for being a good client and dealing with vendors honestly and ethically. We are committed to fair competition among prospective vendors and contractors for our business. Arrangements between Indian Creek Foundation and its vendors must always be approved by management. Certain business arrangements must be detailed in writing, approved by management and the Compliance Officer or designee. Agreements with contractors and vendors who receive client information, with the exception of care providers, will require a Business Associate Agreement with the organization as defined by Health Insurance Portability and Accountability Act. Contractors and vendors who provide client care, reimbursement or other services to client beneficiaries of federal and/ or state healthcare programs are subject to the Code of Conduct and must:

- Maintain defined standards for the products and services they provide to this organization and our clients;
- Comply with all policies and procedures as well as the laws and regulations that apply to their business or profession;
- Maintain all applicable licenses and certification and provide evidence of current workers compensation and liability insurance as applicable; and
- Require that their Associates comply with the Code of Conduct and the Compliance Program and related training as appropriate.

Marketing and Advertising

We use marketing and advertising activities to educate the public, increase awareness of our services and recruit new Associates. These materials and announcements, whether verbal, printed or electronic will present only truthful, informative, non-deceptive information.

Regulatory Excellence

Because we are providing Intellectual and Developmental Disabilities Services, we must follow the many federal, state and local laws that govern our business. Keeping up with the most current rules and regulations is a big job – and an important one. We are all responsible for learning and staying current with the federal, state and local laws, rules and regulations, as well as the policies and procedures that apply to our job responsibilities.

Billing and Business Practices

We are committed to operating with honesty and integrity. Therefore, all Associates must ensure that all statements, submissions and other communications with clients, prospective clients, the government, suppliers and other third parties are truthful, accurate and complete.

We are committed to ethical, honest billing practices and expect every Associate to be vigilant in maintaining these standards at all times. We will not tolerate any deliberately false or inaccurate billing. Any Associate who knowingly submits a false claim, or provides information that may contribute to submitting a false claim such as falsified clinical documentation or work time records to any payer – public or private – is subject to termination. In addition, legal or criminal action may be taken.

Prohibited practices include, but are not limited to:

- Billing for services or items that were not provided or costs that were not incurred;
- Duplicate billing - billing for item or services more than once;
- Billing for items or services that were not medically necessary/authorized;
- Assigning an inaccurate code or client status to increase reimbursement;
- Providing false or misleading information about a client's condition or eligibility;
- Failing to identify and refund credit balances;
- Submitting bills without supporting documentation;
- Soliciting, offering, receiving or paying a kickback, bribe, rebate or any other remuneration in exchange for referrals; and/or
- Unlawfully inducing business associates.

If you observe or suspect that false claims are being submitted or have knowledge of a prohibited practice, you must immediately report the situation to a supervisor, the Compliance Officer or the Compliance Hotline.

Referrals and Kickbacks

Associates and related entities often have close associations with referral sources. To demonstrate ethical business practices, we must make sure that all relationships with these professionals are open, honest and legal.

Client referrals are accepted based solely on the clinical needs and our ability to provide the services required by the client. Indian Creek Foundation never solicits, accepts offers or gives kickbacks of any kind.

Accepting kickbacks is against our policies and procedures and also against the law. A kickback is anything of value that is received in exchange for a business decision such as a resident referral. To assure adherence to ethical standards in our business relationships, you must:

- Verify all business arrangements with physicians or other Intellectual and Developmental Disabilities and Behavioral Health Providers or vendors in a written document; and
- Comply with all state and federal regulations when arranging referrals to Intellectual and Developmental Disabilities and Behavioral Health providers

Associates cannot request, accept, offer or give any item or service that is intended to influence – or even appears to influence – a healthcare service paid for any private or commercial healthcare payer or federal or state healthcare program, including Medicare and Medicaid, or other providers.

Copyright Laws

Most print and electronic materials are protected by copyright laws. Associates are expected to respect these laws and not reproduce electronic print or printed material without obtaining permission as required by the writer or publisher. When in doubt, ask your supervisor.

Financial Practices and Controls

Ensuring that financial and operating information is current and accurate is an important means of protecting assets. All Associates must make sure that all information provided by bookkeepers, accountants, reimbursement staff, internal and external auditors and compliance staff are accurate and complete. We must also comply with federal and state regulations when maintaining accounting records and financial statements and cooperate fully with internal and external audits.

Fair Dealing

All Associates must deal fairly with clients, suppliers, competitors and other Associates. No Associate, manager or director shall take unfair advantage of anyone through manipulation, concealment, abuse of privileged information, misrepresentation of material facts, or any other unfair dealing practice.

Document Creation, Use and Maintenance

Every Associate is responsible for the integrity and accuracy of documents, records, and e-mails including, but not limited to, client records, billing records, and financial records. No information in any record or document may ever be falsified or altered.

Associates must not disclose internally or externally, either directly or indirectly, confidential information except on a need to know basis and in the performance of their duties. Disclosure of confidential information externally must follow organization policies.

Upon termination of employment an Associate must promptly return all confidential information to the organization. Examples of confidential business information includes potential or threatened litigation, litigation strategy, purchases or sales of substantial assets, business plans, marketing strategies, organizational plans, financial management, training materials, fee schedules, department performance metrics and administrative policies.

Voluntary Disclosure

It is the policy of Indian Creek Foundation to voluntarily report fraudulent conduct it uncovers that affects any federal or state healthcare program. Reporting will be completed within the time frames identified under the Patient Protection and Affordable Care Act.

Government Investigations

Indian Creek Foundation is committed to cooperating with reasonable requests from any governmental inquiry, audits or investigations. Associates are encouraged to cooperate with such requests, conscious of the fact that Associate(s) have/has the following rights:

- Associate has the right to speak or decline to speak, as all such conversation is voluntary;
- Associate has the right to speak to an attorney before deciding to be interviewed; and
- Associate can insist that an attorney be present if he/she agrees to be interviewed.

In complying with policy you must not:

- Lie or make false or misleading statements to any government investigator or inspector;
- Destroy or alter any records or documents in anticipation of a request from the government or the court;
- Attempt to persuade another Associate or any person to give false or misleading information to a government investigator or inspector; or
- Be uncooperative with a government investigation.

If you receive a subpoena or other written request for information from the government or a court, contact your supervisor or the Compliance Officer before responding.

Disciplinary Action

Disciplinary action will be taken against any Associate who fails to act in accordance with this Code of Conduct, the Compliance Program, supporting policies and procedures and applicable federal and state laws. Disciplinary action may be warranted in relation to violators of the Compliance Program and to those who fail to detect violations or who fail to respond appropriately to a violation, whatever their role in the organization. When taking disciplinary action against an Associate, we will utilize standard disciplinary processes which may lead to the termination of business relationships and agreements. The Compliance Officer, in conjunction with the CEO, is empowered to initiate the disciplinary action through the immediate supervisor and to monitor appropriate implementation of the disciplinary process. We will discipline anyone who engages in prohibited retaliatory conduct.

Compliance Questions

The laws applicable to our operations are numerous and complicated. When you are not sure whether a particular activity or practice violates the law or the Compliance Program, the Associate should not “guess” as to the correct answer. Instead, the Associate should immediately seek guidance from his or her department supervisor or the Compliance Officer. You will not be penalized for asking compliance-related questions. In fact, we are intent on maintaining a culture in which every Associate is comfortable asking the questions necessary to ensure you understand the duties imposed upon you by this Code of Conduct, the Compliance Program and other applicable federal and state laws.

Conclusion

The Compliance Program is critical for Indian Creek Foundation continued success. You are crucial to ensuring the integrity of this organization. The Code of Conduct and the Compliance Program set standards for the legal, professional, and ethical conduct of our business. Some key points to remember are:

- Indian Creek Foundation and all its Associates are committed to personal and organizational integrity, to act in good faith, and to be accountable for our actions.
- The Code of Conduct and the Compliance Program prepare us to deal with the growing complexity of ethical, professional and legal requirements of delivering services to our clients.
- The Compliance Program is an ongoing initiative designed to foster a supportive work environment, provide standards for clinical and business conduct, and offer education and training opportunities for Associates.

The success of the Indian Creek Foundation Compliance Program depends on our commitment to act with integrity, both personally and as an organization. As an Associate, your duty is to ensure that the organization is doing everything practical to comply with applicable laws. You are expected to satisfy this duty by performing your responsibilities in accordance with professional standards, the regulations and the policies and procedures.

Your Compliance Officer

Karla Dreisbach, CHC, CHPC

FSA Compliance Program

Toll-Free Compliance Line

1-800-211-2713

August, 2015

Revised: 8/2019, 12/2020