

## **LEGACY BEHAVIORAL HEALTH SERVICES ETHICAL CODE OF CONDUCT**

All employees, contractors, vendors, students, interns, and anyone conducting business on the behalf of LBHS will do so ethically and comply with all applicable laws in a manner that excludes considerations of personal advantage or gain. Furthermore, it is required to adhere to the ethical codes set forth in this and other LBHS policies, applicable federal & state laws, and regulatory bodies. This includes ethical code of conduct applicable to a specific job, position, and/or function which is incumbent upon an individual by virtue of holding state licensure or registration which are binding on an individual as a practitioner of a particular profession.

### ***Professional Responsibilities***

LBHS requires all employees, providers, and contractors of professional services to be appropriately credentialed (licensed, certified, registered, or trained), and LBHS will verify the status of those credentials before anyone is permitted to work.

All who are bound by a professional Code of Ethics (Ex: psychiatrists, psychologists, social workers, nurses, licensed and/or certified counselors, attorneys, certified recreational therapists) are expected to remain familiar and up to date with, and adhere to, their respective codes.

LBHS expects all persons providing services to vigorously and continuously pursue professional competence and excellence.

All employees, contractors, students, and interns owe a duty to LBHS to advance the strategic business goals when the opportunity to do so arises. In connection with this duty, it is prohibited to:

- Take for themselves, directly or indirectly, any business opportunity that would interest or likely interest the company, or that is discovered through the use of LBHS property, information, or position.
- Use Company assets including without limitation equipment, funds, facilities, knowhow, or personnel or their position with the company for personal gain.
- Knowingly compete with LBHS in acquiring or selling any service, asset, or property (whether tangible or intangible) or otherwise interfere in the LBHS's business affairs for the director's, officer's, or employee's direct or indirect benefit.

### **Business Code of Ethics**

#### ***Financial***

All financial information must reflect actual transactions and conform to generally acceptable accounting principles. No undisclosed or unrecorded funds or assets may be established. Transactions must be authorized, recorded, and documented as provided by law and LBHS policy.

### ***Procurement***

Vendors of goods and services shall be selected based on objective criteria including quality, technical excellence, price, delivery, and adherence to schedules, service, and maintenance of adequate sources of supply. Where required by law or contract, procurement shall be by competitive bid. Where procurement is by secret bid, no employee, contractor, student, or intern shall directly or indirectly disclose any information to any bidder or potential bidder if such disclosure would confer or tend to confer any competitive advantage.

### ***Billing and Claims***

LBHS is committed to charging, billing, and submitting claims for reimbursement only when the services have been provided and documented in the manner required by laws, regulations, policies and applicable standards of care.

All employees, contractors, vendors, students, and interns should know and carefully follow the applicable rules for submission of bills and claims for reimbursement, whether those claims are submitted to LBHS for payment or to a third party for payment by LBHS. Anyone that knows or suspects that a bill or claim for reimbursement is incorrect is required to report the matter immediately to a supervisor or to the Compliance Officer.

### ***Kickbacks***

All LBHS employees, contractors, students, and interns are prohibited from offering, soliciting, or accepting money or anything else of value from an LBHS vendor or provider as outlined in LBHS Corporate Compliance Policy.

An employee, contractor, student, or intern may share in a gift of goods or services from a vendor or provider if, and only if:

- The gift consists of goods delivered to LBHS premises.
- Is used or consumed on the premises.
- The gift is not intended for the personal use or benefit of specific individuals.
- The gift does not violate federal and state laws and regulations that prohibit soliciting or accepting anything of value in exchange for influencing a purchase of goods or services or the referral of consumers for services.
- The gift must comply with normally accepted business practices.
- Must be nominal in value and designed to promote business good will, not to gain any special advantage in a business relationship.
- Must not compromise, or appear to compromise, LBHS's ability to make objective business decisions.

### ***Prohibition of Waste, Fraud, Abuse, other Wrongdoing***

The Office of Inspector General (OIG) compliance program guidelines are used as a foundation to develop effective internal controls that promote adherence to applicable State and Federal laws. The purpose of the guidelines is to advance the prevention of fraud, waste, and abuse while at the same time furthering the mission of providing quality care to patients.

LBHS compliance efforts are designed to establish a culture that promotes prevention, detection, and resolution of instances of conduct that do not conform to Federal and State law, state or private payor programs as well as the ethical and business policies of LBHS.

### ***Contractual Relationships***

As part of standard business practices, LBHS may enter contractual arrangements for appropriate goods or services. All contractual arrangements must follow Federal, State & LBHS Policies/Practices.

### ***Witnessing of Legal documents.***

Anyone witnessing a signature on a document will either observe the person signing the document or will make inquiry of the person signing the document to as to whether he or she is the person who signed the document.

A person witnessing a signature will either personally know the person who signed or will ask to see appropriate identification. When required, the signature may be witnessed by a notary public. Generally, a person chosen to witness a document should have no financial or other interest in an agreement.

A neutral third party is the best choice. The witness is not usually required to discern or understand the contents of the document. A witness must be of legal age and mentally capable.

### ***Outside Employment***

LBHS employees shall not represent or act as an agent, compensated or uncompensated, for any outside interest in any transaction in which LBHS has a direct or substantial interest, pecuniary or otherwise. Nor shall any employee accept any outside engagement or employment the pursuit of which conflicts with the ability of the employee to discharge properly his or her duties to LBHS. Outside employment shall be disclosed to and approved as defined in the LBHS policies.

### ***Conflict of Interest***

Employees, contractors, students, and interns will refrain from activities that exploit individuals served for personal gain. Furthermore, no offers or promises of material or other gain to referral sources except with regard to quality of care and communication with the referring professional or organization. It is recognized that the potential for conflict including interest exists for decision-makers at all levels within the organization, including administrators, staff, and consultants.

It is the policy of LBHS to request the disclosure of potential conflicts of interest so that appropriate action may be taken to ensure that important decisions are not inappropriately influenced by such conflict. The Executive Leadership Team and Compliance Officer will review all potential conflicts and take appropriate action.

### ***Political Activities and Contributions***

An employee, contractor, student, or intern may not directly or indirectly contribute to LBHS property, equipment, funds, resources or other tangible or intangible assets or the use thereof to political campaigns, candidates, political parties or any agent or affiliate thereof.

Prohibited conduct includes, but is not limited to:

- The use of work time and/or LBHS equipment to solicit or canvas on behalf of a political cause or candidate.
- Publicly or privately represent his or her political views as those of the LBHS's.

### ***Marketing and Media***

LBHS will market and advertise accurately, fairly, truthfully, and ethically and in compliance with laws and regulations. Marketing and advertising must be used for legitimate purposes such as educating the public, reporting to the communities served, increasing awareness of available services and recruiting staff. Marketing and advertising materials must be approved by the CEO or designee and must accurately reflect the services available and the level of our licensure and accreditation status.

### ***Intellectual Property***

Legacy employees, contractors, students, and interns will comply with the laws regarding intellectual property, including patents, trademarks, and copyrights. Copyrighted materials may not be reproduced without the express permission of the copyright holder, except in accordance with Legacy's policies on such matters. This material may include, but is not limited to, printed articles from publications, magazines, or books, videotapes/DVDs, training materials, manuals, software programs and databases.

### ***Personal Use of LBHS Resources***

Except as provided herein, an employee, contractor, student, and intern, cannot use LBHS property, equipment, or other tangible assets for personal purposes without the prior written approval of the Director. Employees, volunteers, trainees, interns may not contribute LBHS funds or property to any charity without prior written authorization of the CEO or his or her designee.

### ***Personal Property***

Offices, workstations, and office furniture are LBHS property and are reserved for work-related activities. If approved, staff may have personal items in the office or workstation, if suitable for the work area and reasonable.

LBHS cannot be responsible for loss of personal property that is damaged or stolen. Employees are responsible for personal property/items/belongings brought to the workplace.

LBHS also prohibits any items on the premises or worksite that are sexually suggestive, offensive, or demeaning to specific individuals or groups. Firearms or weapons are prohibited on all LBHS premises except by authorized law enforcement officials.

All personal property may be inspected for purposes of enforcing LBHS's policies and to protect against theft.

### ***Social Media***

Legacy Behavioral Health Services maintains an online presence on various social networking platforms for the purpose of sharing information, promoting LBHS services, and recruitment of staff. Designated staff are responsible for maintaining those pages and ensuring that LBHS is portrayed with a positive image.

### ***Service Delivery***

All persons conducting business with or providing services for LBHS, regardless of professional status, whether their business is with individuals served, other providers within LBHS, or the community-at-large, are duty-bound to operate in accordance with generally accepted ethical principles up to and to include:

- Treating individuals served and family members with dignity and respect.
- Not discriminating based on race, color, national origin, ancestry, religion, age, sex, marital status, physical or mental disability in the provision of services, including admission to and discharge from services.
- Provide services that meet the individual's medical necessity, as identified through behavioral health assessment; and when the individual meets the requirements for the service, and the service is included in the plan of care or service.
- Provide persons served and families with all information concerning services and treatment when and to the extent required by LBHS's policies, applicable Federal and State laws & regulations and/or by sound clinical practices.
- Protect individually identifiable health information from unauthorized use or disclosure except as required or permitted by law.
- Protect peoples' rights and furnish services in a manner that does not violate their legal rights as outlined by company policy and/or applicable laws.
- Remain aware of the risk for harm, and to reduce that risk by all means possible as outlined in our company policies.
- Not provide direct care services to relatives, in-laws and or personal acquaintances when the relationship creates a conflict or perception of conflict of interest. These situations must be reported to your supervisor immediately.

### ***Setting Boundaries***

LBHS serves individuals vulnerable to additional abuse, mistreatment, and exploitation. Contact between individuals served and employees, contractors, students, and interns are limited to activities approved to protect all involved. It is prohibited:

- To meet outside the parameters of the organization.
- To engage in dual or multiple relationships with the individual served or former individuals served, in which there is a risk of exploitation or potential harm.
- To engage in relationships of a sexual nature of any kind with a person served. Relationships of a sexual nature with an individual are prohibited.
- To engage in patient abuse and neglect this includes but not limited to physical, emotional, verbal and/or mental.
- To accept personal favors, gifts, or gratuities from individuals served or their family members.
- To engage in any type of financial transaction and/or trading of gifts with individual served or their family members.

### ***Organizational Fundraising***

Legacy will, from time to time, identify opportunities to utilize our reputation and relationships within the local and national healthcare and business sectors as a means of giving back to the communities we serve through charitable contributions, event sponsorships, volunteerism and facilitation of participation, donations, and contributions by vendors, suppliers, service providers, groups, organizations, individuals, philanthropists, and the community at large.

It is the intention of LBHS that all fundraising and philanthropy efforts shall be driven by its charitable philosophies and, as such, LBHS does not intend to realize any gain or benefit beyond the satisfaction of promoting improvement of the overall health, wellness, and quality of life of the persons that work and reside in the communities in which we operate.

### ***Human Resources Policies and Employment Practices***

LBHS is required to fairly, truthfully, and ethically carry out its procedures in accordance with applicable policies, rules, and regulations, federal and/or state equal opportunity statutes, including, but not limited to:

- Title VII of the Civil Rights Act of 1964
- Equal Employment Opportunity Act of 1972
- Age Discrimination in Employment Act,
- Fair Labor Standards Act,
- Americans with Disability Act,
- Rehabilitation Act of 1973

### ***Employment Decisions***

LBHS strives to recruit, manage, develop, and retain employees who meet the needs of the individuals served and contribute to the accomplishment of LBHS's mission. In doing so we strive to ensure compliance with Workforce Diversity guidelines and encourage hiring of qualified candidates who reflect the diversity of the community and population served.

LBHS makes all employment decisions without regard to race, creed, color, religion, national origin, sex, age, physical or mental disability unrelated to an individual's ability to perform essential functions of a particular job, or any other characteristic protected under the law. This applies to all employment practices and personnel actions, including but not limited to hiring, promotion, transfer, and compensation.

### ***Harassment***

LBHS, in compliance with all applicable federal, state, and local anti-discrimination and harassment laws and regulations, strictly prohibits harassment of any kind, including sexual harassment, and will take appropriate and immediate action in response to complaints or knowledge of violations of this policy.

### ***Workplace Violence***

LBHS does not tolerate any type of workplace violence committed by or against anyone. Prohibited conduct includes but is not limited to:

- Violence
- Causing physical injury to another person.
- Making threatening remarks.
- Displaying aggressive or hostile behavior that creates a reasonable fear of injury to another person.
- Intentionally damaging employer property or property of another employee.
- Possessing a weapon while on company property or while on company business.
- Committing acts motivated by, or related to, sexual harassment or domestic violence.

### ***Drug Free Workplace***

LBHS prohibits the consumption of alcohol, and the possession, use, manufacture or distribution of illicit drugs or alcohol on or in its property, including LBHS owned or leased vehicles. In addition, no employee, contractor, student, or intern shall consume alcohol or be under the influence of illicit drugs or alcohol while acting in the course and scope of his or her employment or while operating a LBHS vehicle.

All health care professionals, including those who maintain DEA registration, must comply with all Federal and State laws regulating controlled substances.

Anyone who knows or suspects the consumption, unlawful or unauthorized possession, use, manufacture or distribution of illicit drugs or alcohol by another employee, contractor, student, or intern in violation of this paragraph must promptly notify his or her supervisor, Compliance Officer, or Human Resources.

### ***Personal Fundraising***

Employees, contractors, students, or interns shall not engage in coercive solicitation of coworkers or individuals served such as seeking donations, encouraging purchases, or taking a position on an issue outside the workplace.

Anyone receiving unwanted solicitations are encouraged to address the issue with their coworker and/or report the matter to their supervisor and/or Human Resources Department.

### ***Reporting Violations of the Ethical Code of Conduct***

Any individual that becomes aware of or has reasonable grounds to suspect a violation of any of the standards above by another individual is obligated to report the violation or suspected violation in the following methods:

- Directly to any supervisor.
- Compliance Officer or person designated by the Compliance Officer to handle such matters;
- Reports can be made anonymously through the LBHS website -
  - <https://legacysga.com/bhs-hotline/>

Failure to report misconduct can be viewed as misconduct itself, we strongly encourage the immediate reporting of action(s) that is questionable. Failure to do so may result in disciplinary action against those who fail to report.

Any manager or supervisor who receives a report of a potential violation must likewise immediately contact the Compliance Officer.

There will be no retribution for anyone who reports misconduct in good faith, and the identity of the employee making the report will be kept confidential, to the extent possible.

If a law conflicts with a policy in this Ethical Code of Conduct, you must comply with the law.

No manager or supervisor has authority to instruct anyone to disobey any LBHS policies, federal and state laws, or regulations.

### ***Investigation of Violations***

All reported violations of the Ethical Code of Conduct, policies or applicable laws will be investigated in a timely manner and in accordance with LBHS policies and procedures.

All are required to cooperate in the investigation of an alleged violation and will be disciplined for not cooperating in any such investigation.

### ***Discipline for Violations***

Appropriate disciplinary actions up to and including termination will be taken for involvement in any way, in actions that violate the Ethical Code of Conduct, LBHS policies and procedures, or prevailing laws for:

- Failure to report any violation or to cooperate in any investigation.
- Failure to detect or purposefully overlooking violation(s)
- Retaliation against anyone who reports possible or actual violation(s)