

## **STANDARDS OF CONDUCT**

Constructive Partnerships Unlimited (CP Unlimited) requires that all members of the CP Unlimited community, including its employees, contractors, agents, vendors, members of the Board of Directors, volunteers and others working on behalf of governmental and private agencies that do business with CP Unlimited and its related corporations, to conform to the highest ethical standards and to meet or exceed legal obligations in the performance of their efforts on behalf of CP Unlimited. To this end, we have developed a Standards of Conduct for the entire CP Unlimited community. The appointment and retention of all members of the CP Unlimited community is contingent upon acceptance and compliance with CP Unlimited's Standards of Conduct.

CP Unlimited enjoys a reputation of integrity and excellence in its programs and services. This reputation is one of our strongest assets. It is expected that all members of the CP Unlimited community whose actions could be attributed to the work of CP Unlimited will adhere to the Standards of Conduct and to the policies and procedures outlined in this program.

The CP Unlimited Standards of Conduct encompasses commitments by CP Unlimited, coupled with related commitments by each member of the CP Unlimited community to uphold the highest standards of ethical behavior and practices on behalf of CP Unlimited.

### **1. Our commitment to compliance with the law.**

CP Unlimited is committed to conducting its programs and services in a lawful and ethical manner, in full compliance with all federal, state and local laws and regulations. All members of the CP Unlimited community will adhere to the highest standards of conduct through strict observation of all applicable legal and regulatory requirements.

CP Unlimited will only employ or contract with individuals or entities with proper credentials, experience and expertise. All business communications on behalf of CP Unlimited with outside individuals or entities, including claims for payment or reimbursement of any kind, will be truthful and, where appropriate, substantiated by accurate and complete records.

Neither CP Unlimited, its employees or agents, shall pay any employees, physicians, or other health care professionals, directly or indirectly, in cash or by any other means, for referrals of patients. Every payment to a referral source must also be supported by proper documentation that the services contracted for were in fact provided.

Employees or agents who perform billing and/or coding of claims must take every reasonable precaution to ensure that their work is accurate, timely, and in compliance with federal and state laws and regulations and CP Unlimited's policies.

No claims for payment or reimbursement of any kind that are false, fraudulent, inaccurate or fictitious may be submitted. No falsification of medical, time or other records that are used for the basis of submitting claims will be tolerated.

CP Unlimited will bill only for services actually rendered and which are fully documented in patients' medical records/individual's chart. If the services must be coded, then only billing codes that accurately describe the services provided will be used.

CP Unlimited shall act promptly to investigate and correct the problem if errors in claims that have been submitted are discovered.

## **2. Our commitment to ethical behavior.**

CP Unlimited is committed to ethical business dealings. All members of the CP Unlimited community will adhere to the highest ethical standards of behavior while performing CP Unlimited business, including preparing and maintaining accurate and complete records, and truthful communications with other members of the CP Unlimited community, and with government and private agencies and individuals doing business with CP Unlimited.

CP Unlimited seeks positive relationships with government programs and third party payers. Positive relationships require ongoing communication about patient progress and billing.

Employees or agents shall not use or reveal any confidential information concerning CP Unlimited or use, for personal gain, confidential information obtained as an employee or agent of CP Unlimited.

No employee or agent should subordinate his or her professional standards, judgment or objectivity to any individual. If significant differences of opinion in professional judgment occur, then they should be referred to management for resolution.

Employees and agents should be honest and forthright in any representations made to patients, vendors, payers, other employees or agents, and the community.

All reports or other information required to be provided to any federal, state or local government agency shall be accurate, legible, complete, and filed on time.

Employees and agents must perform their duties in a way that promotes the public's trust in CP Unlimited.

Employees and agents shall be honest in doing their jobs.

### **3. Our commitment to continuous training and improvement.**

CP Unlimited is committed to the professional development of the entire CP Unlimited community. All members of the CP Unlimited community will have access to all applicable laws, rules, regulations policies and procedures necessary for them to perform on behalf of CP Unlimited, and will be regularly trained on those laws, rules, regulations, policies and procedures, as well as this Corporate Compliance Program.

### **4. Our commitment to continuous monitoring and enforcement.**

CP Unlimited is committed to full and ongoing enforcement of this Standards of Conduct and of the standards contained in the corporate compliance program. As a condition of employment or appointment, all members of the CP Unlimited community are expected to rigorously comply with all applicable laws, rules, regulations policies and procedures.

All members of the CP Unlimited community will report suspected violations of these standards of conduct to their supervisor, an appropriate departmental head, an appropriate staff member of the Human Resources Department or to the Corporate Compliance Committee. CP Unlimited assures the entire CP Unlimited community that reports of suspected violations may be made without fear of reprisal or retaliation, and that confidentiality will be protected within the limits of the law.

All reports of suspected violations will be fairly, thoroughly and promptly investigated by appropriate individuals, and will be promptly resolved.

### **5. Our commitment to our ethical obligations, mission and purposes free of conflicts of interest.**

CP Unlimited is committed to clarity of our mission and purposes, free of any appearance of conflict or impropriety. CP Unlimited itself will not pursue any business opportunity or take any other action that will require it to engage in illegal or unethical behavior, or is reasonably likely to fall outside of CP Unlimited's mission, purposes or powers.

In all of their activities on behalf of CP Unlimited, all members of the CP Unlimited community will act in a manner consistent with the agency's mission, purposes, powers, and consistent with the agency's reputation for integrity and excellence. Each member of the CP Unlimited community will ensure that no activity takes place that in any way jeopardizes the tax exemption, licenses, or governmental authorizations of CP Unlimited.

All members of the CP Unlimited community will accomplish their business on behalf of CP Unlimited without engaging in any business, professional or personal activity that would create a conflict of interest, or an appearance of a conflict of interest, without appropriate disclosure and advance approval by the Board of Directors or the President and CEO or their/his/her designee.

Placing business with any firm in which there is a family relationship may constitute a conflict of interest. Advance disclosure and approval are required in such a situation.

Employees and agents should not become involved, directly or indirectly, in outside commercial activities that could improperly influence their actions. For example, an employee or agent should not be an officer, director, manager or consultant of a potential competitor, customer, or supplier of CP Unlimited without first disclosing that relationship to the Board of Directors, President and CEO or their/his/her designee.

In addition, current employees cannot also be employed with firms that audit CP programs. There must be at least a year of separation from CP employment before working for an audit firm.

Employees and agents should not accept or provide benefits that could be seen as creating conflict between their personal interests and CP Unlimited's legitimate business interests.

Employees and agents should report any potential conflicts of interest concerning themselves, co-workers or family members to the Board of Directors, President and CEO or their/his/her designee.

Program and other staff should not have direct contact with vendors unless their input is required in the process of determining choice of vendors. CP Unlimited will notify vendors and employees of this policy.

Please refer to the Rules Relating to Gifts, and Conflict of Interest Policy, which appear on the following pages.

## **6. Our commitment to respecting property rights.**

CP Unlimited is committed to respecting the property rights of all those with which we do business, including individuals and outside businesses. In their actions on behalf of CP Unlimited, all members of the CP Unlimited community will act in a manner consistent with this respect of the property of others.

Each member of the CP Unlimited community will ensure that all applicable laws, standards and policies regarding the confidentiality of agency records are upheld.

Each member of the CP Unlimited community will ensure that all private information owned by others, but in the custody and possession of CP Unlimited, be held in confidence and not utilized outside of the use contemplated by the owner of the information without the express permission of the owner. This includes prohibition against unauthorized use and / or copying of computer software not contained in the license granted to CP Unlimited, and installation of unauthorized software on agency computers. Employees shall take all reasonable steps to protect computer systems and software from unauthorized access or intrusion.

All employees and agents are personally responsible and accountable for the proper expenditure of CP Unlimited's funds and for the proper use of company property.

All employees and agents must obtain authorization prior to committing or spending CP Unlimited's funds.

Employees and agents may not use CP Unlimited's or a patient's/individual's resources for personal or improper purposes, or permit others to do so.

Surplus, obsolete or junked property shall be disposed of in accordance with CP Unlimited's procedures. Unauthorized disposal of property is a misuse of assets.

Any improper financial gain to the employee, or agent, through misconduct involving misuse of CP Unlimited's or an Individual's/patient's property is prohibited, including the outright theft of property or embezzlement of money.

CP Unlimited's confidential and proprietary information is valuable, and should be protected from unauthorized use or exploitation. Employees and agents are expected to respect the intellectual property rights of others with whom we do business.

Employees and agents are expected to report any observed misuse of CP Unlimited's property to management.

### **RULES RELATING TO GIFTS**

The following rules apply to all employees and agents of CP Unlimited:

1. Employees and agents may never accept gifts in the form of cash or cash equivalents from any individual or business entity that does business with CP Unlimited.
2. Employees and agents may never accept gifts of any kind from individuals or business entities who are in the process of competitive bidding for a contract with CP Unlimited, or whose contracts are under review as to whether the contract should be continued.

3. Employees or agents may accept a non-cash gift from a vendor not subject to paragraphs 1 or 2 above; however, any gift with a value in excess of \$50.00 must be reported to the Board of Directors, President and CEO or Executive Vice President CAO/CFO.

4. Outside vendors will be notified on an annual basis, in advance of the winter holiday season, of CP Unlimited's policies with regard to gifts. In that notice, outside vendors will be requested to refrain from giving gifts to individual CP Unlimited employees or agents. The notice will also suggest that if the vendor wishes to make a gift, it be done to the agency's "holiday fund"; alternately, an in-kind gift can be made for an individual or staff holiday party.

5. All CP Unlimited staff will be notified on an annual basis, in advance of the winter holiday season, of CP Unlimited's policies with regard to gifts.

## **CONFLICT OF INTEREST POLICY**

### **POLICY STATEMENT:**

This policy applies to all Board Members, Board Committee Members, employees, volunteers and service partners of United Cerebral Palsy Associations of New York State, Inc., d/b/a, Constructive Partnerships Unlimited ("CP Unlimited"). It is the policy of CP Unlimited that all Board Members, Board Committee Members, employees, volunteers and service partners avoid conflicts of interest so that they may represent CP Unlimited in a positive and ethical manner.

A Conflict of Interest is defined as a situation in which an individual has competing interests or loyalties. A Conflict of Interest can exist in several kinds of situations such as: an employee who works for CP Unlimited but has personal interests that compete with his or her employment; Board Members, Board Committee Members or employees that have a position of authority with CP Unlimited that conflict with his or her interests with another agency; or Board Members, Board Committee Members, employees, volunteers or service partners that have conflicting responsibilities in general.

All CP Unlimited's Board Members, Board Committee Members, employees volunteers and service partners will accomplish their business on behalf of CP Unlimited without engaging in any professional or personal activity that would create a Conflict of Interest, or an appearance of a Conflict of Interest, without appropriate disclosure and advance approval by the Board of Directors or the President and CEO.

## **PROCEDURE:**

### **A. General:**

#### ➤ **Employees:**

All employees should avoid situations involving a conflict between their personal interests and the interests of CP Unlimited. Employees should avoid outside business interests that could compromise an employee's commitment to CP Unlimited either by dividing loyalties or by diverting their attention owed to CP Unlimited in the normal course of their employment. Employees shall act in the best interests of CP Unlimited in their dealing with individuals, families, other staff members, volunteers, independent contractors, vendors and service partners.

#### ➤ **Board Members and Board Committee Members:**

It is the obligation of the Board of Directors of CP Unlimited to enact policies and procedures to ensure that all contracts, transactions and dealings to which the agency is a party are in the best interest of the agency. In addition, the Board of Directors ensures that all contracts, transactions and dealings to which the agency is a party are undertaken for the benefit of the agency and not for the purpose of benefiting any individual member of the Board of Directors or Committee Members. Therefore, all Board and Committee Members shall act in the best interests of CP Unlimited in dealing with individuals, families, employees, volunteers, independent contractors, vendors and service partners.

### **B. Board Involvement Regarding Business Transactions:**

1. The agency shall not enter into any transaction (i.e., contract, dealings, business decision or business relationship) with any Board Member, Board Committee Member, family member of a Director, or any corporation, firm, association or other entity in which a Director, or family member of a Director or Board Committee Member has a personal or financial interest unless:

➤ Prior to CP Unlimited entering into any transaction, the Board Member or Board Committee Member fully discloses the nature and extent of his or her known interest in the proposed transaction to the Board of Directors; and

➤ The Board does not count the interested member in determining the presence of a quorum for a vote on the matter and does not count the vote of the interested Director.

2. A Board Member or Board Committee Member's failure to disclose to the Board that he or she has an interest in a transaction prior to the agency entering into the transaction shall be grounds for the individual's immediate removal by the Board or Board Committee. Furthermore, if a Board Member or Board Committee Member fails to disclose his or her interest in the transaction prior to the agency entering into the transaction, the agency may void the contract or transaction.

**C. Disclosure of Conflicts of Interest:**

Board Members, Board Committee Members, Directors, Officers and Key Employees (with the ability to make binding financial decisions for CP Unlimited) shall disclose any potential conflicts of interest upon initial appointment or hire, annually, and when a Conflict of Interest arises by completing or amending their Conflict of Interest Disclosure Statement.

Examples of potential conflicts that should be promptly and fully disclosed include:

- Ownership by a Board Member, Board Committee Member, employee or a member of his/her immediate family with a significant financial interest in a business enterprise that does business with, seeks to do business with, or is a competitor of CP Unlimited. Business interests that adversely affect the quality of a person's work or involve the use of agency equipment, supplies, facilities or name are not permitted.
- Serving as a Director, Officer, Consultant, or in any other key role in any outside enterprise that does or seeks to do business with, or is a competitor of CP Unlimited.
- Board Members, Board Committee Members or employees maintaining outside employment with a competitor or vendor, may pose a Conflict of Interest and should be disclosed.
- Any other arrangement or circumstance, including family or other personal relationships, which might prevent the Board Member, Board Committee Member or employee from acting in the best interest of the agency.
- Engaging in a separate employment relationship with any current service recipient (including the family, guardian, care provider, etc. of such individual) is prohibited.



While it is impossible to present an exhaustive list of all outside personal interests, activities or affiliations that might be considered as being in conflict with the best interests of the agency, two basic principles apply to every Board Member, Board Committee Member, Director, Officer and employee of the agency:

- The interest of the agency and the people we serve takes precedence over private business interests; and
- A business opportunity which belongs to CP Unlimited or which is based on confidential information not available to the public shall not be used for personal gain or for any purpose contrary to CP Unlimited's interest.

**D. Review of Potential Conflicts of Interest:**

**1. Conflict of Interest Review by the Corporate Compliance Committee:**

- CP Unlimited has established a process to review Conflict of Interest Disclosure Forms that have been identified with potential conflicts of interest. Following the initial review by the Chief Compliance Officer and General Counsel, the Committee will convene to determine if the situation that has been disclosed constitutes a Conflict of Interest covered by this policy.
- A minimum of four committee members are necessary to conduct a Conflict of Interest review.
- The Conflict of Interest review shall be conducted at least annually and as necessary.
- If the committee renders a decision that a potential Conflict of Interest exists or has the potential to occur, as a condition of continued employment with CP Unlimited, the employee may be requested, in writing, to relinquish his or her other offer of employment and/or independent consulting agreement, volunteer service, etc.
- The determination may also be reviewed with the Board Secretary and Board Chairman, when necessary.
- Failure of any employee to abide by the terms of this policy may be considered misconduct, which will subject the employee to disciplinary action, up to, and including termination.

## **2. Board of Directors and Board Committee Members:**

- All potential conflicts of interest disclosed by a Board Member or Board Committee Member shall be reviewed by the Board Chairman, Board Secretary, President/CEO, General Counsel and Chief Compliance Officer.
- If it has been determined that a Conflict of Interest exists, the Board Chairman shall ask the Board Member to recuse him/herself from any Board deliberations and/or voting on subject(s) that relate(s) to the Conflict of Interest. The at-issue Board Member may not attempt to improperly influence any deliberations or votes, and the Board, in consultation with relevant Board Committee(s), shall thereafter determine whether a proposed Board action (e.g. a transaction) remains in the best interests of CP Unlimited, notwithstanding the Conflict of Interest.

The Corporate Compliance Committee will ensure that this Standards of Conduct is posted in appropriate locations throughout the agency, and that each member of the CP Unlimited community has an opportunity to receive a copy.

The Corporate Compliance Committee will periodically review this Standards of Conduct and make appropriate modifications to reflect developments in applicable legal requirements.

### **THE FALSE CLAIMS ACT**

Under the federal False Claims Act (the “FCA”), the government and private citizens are entitled to bring lawsuits against organizations or other individuals who defraud the government. The FCA applies when a company or person:

1. Knowingly presents, or causes to be presented, a false or fraudulent claim for payment or approval;
2. Knowingly uses a false record or statement to get a claim paid by the federal government;
3. Conspires with others to get a false or fraudulent claim paid by the federal government; or
4. Knowingly uses a false record or statement to conceal, avoid or decrease an obligation to pay or transmit money or property to the federal government.

Under 31 U.S.C. 3729(b), the terms “knowingly” means that a person, with respect to information: has actual knowledge of the information; acts in deliberate ignorance of the truth or falsity of the information; or acts in reckless disregard of the truth or falsity of the information. The government does not have to show proof of specific intent to defraud in order for a violation of the false claims act to be found.

Under the Federal False Claims Act, any person or entity that knowingly submits a false or fraudulent claim for payment by the government is liable for penalties and fines ranging from \$13,946 to \$27,894 per false claim, damages up to three times the amount of the false payment, costs of civil action against the entity that submitted the false claim and are subject to criminal penalties.

A private citizen may institute an FCA claim. This type of case is called a “Qui Tam” action, and the citizen who initiates such a claim is called a “Relator”. As part of the process in instituting an FCA claim, the relator must provide to the government all of the information he or she has about the claim. The federal government then reviews all of the information and decides whether or not to join in the lawsuit against the individual or agency. Qui tam plaintiffs can pursue their claims with or without the participation of the government, but if the government intervenes in the case, the relator may be entitled to a share in the eventual recovery.

The FCA provides protection to shield relators from retaliation for starting a qui tam case in good faith. Relators who are employees are protected from discharge, demotion, suspension, threats, harassment or discrimination. Any violation of this protection entitles the employees to reinstatement, back pay with interest, and attorney’s fees.

New York State has its own version of the FCA that punishes much of the same conduct as the federal law. However, there are no criminal penalties in the New York State law. Rather, individuals or agencies that are found to have committed violations may face restrictions on participation in the Medicaid program.

If you suspect any activity that may be considered a violation of the federal or New York State law, you should report it immediately to your Chief Compliance Officer, an Executive Vice President, Senior Vice President, President and CEO, member of the Board of Directors, or to the Business Integrity Hotline at 212-947-5770, extension 5777.

**WHISTLEBLOWER POLICY  
OF  
CP UNLIMITED**

CP Unlimited, a New York not-for-profit Agency (the “Agency”), requires its directors, officers, employees, key persons, contractors and volunteers to observe high standards of business and personal ethics in the conduct of their duties and responsibilities within and on behalf of the Agency. As representatives and employees of the Agency, you must comply with all applicable laws and regulations and act with honesty and integrity in fulfilling your responsibilities.

The purpose of this Whistleblower Policy (“Policy”) is to ensure that the Agency has a governance and accountability structure that supports its mission, to encourage and enable directors, officers, employees, key persons, contractors and volunteers of the Agency to raise serious concerns about the occurrence of illegal, fraudulent or unethical actions within the Agency, and to protect those individual who report from retaliation.

Notwithstanding anything contained in this Policy, this Policy is not an employment contract and does not modify the employment relationship, if any, between the Agency and any of its directors, officers, employees, key persons, contractors or volunteers, nor does it change the at-will status of any employee of the Agency. Nothing contained in this Policy provides any director, officer, employee, key person, contractor or volunteer of the Agency with any additional rights or causes of action not otherwise available under applicable law.

It is intended that this Policy comply with the provisions of Section 715-B of the New York State Not-for-Profit Agency Law, as added by the Non-Profit Revitalization Act of 2013, as amended, and shall be interpreted and construed accordingly. This Policy applies to any matter which is related to the Agency’s business and does not relate to private acts of an individual not connected to the business of the Agency. The rights and protections set forth in this Policy are in addition to, and not in abrogation of, the protections provided by Sections 740 and 741 of the New York State Labor Law, Section 191 of the New York State Finance Law or any applicable Federal law, including but not limited to the False Claims Act (31 USC § 3730(h)).

**ARTICLE I  
REPORTING RESPONSIBILITY**

1.1 Reporting Responsibility. All directors, officers, employees, key persons and volunteers of the Agency have a responsibility to report any action or suspected action taken by the Agency itself, by its leadership or by others on the Agency’s behalf, that is illegal, fraudulent, unethical or violates any adopted policy of the Agency (“Violations”).

12 Reporting in Good Faith. Anyone reporting a Violation must act in good faith, without malice to the Agency or any individual and have reasonable grounds for believing that the information shared in the report indicates that a Violation has occurred. A person who makes a report does not have to prove that a Violation has occurred. However, any report which the reporter has made maliciously or any report which the reporter has good reason to believe is false will be viewed as a serious disciplinary offense.

## **ARTICLE II NO RETALIATION**

21 No Retaliation. No person who in good faith reports a Violation or who in good faith cooperates in the investigation of a Violation shall suffer intimidation, harassment, discrimination or other retaliation or, in the case of employees, any adverse employment consequence. Any individual within the Agency who retaliates against another individual who has reported a Violation in good faith or who, in good faith, has cooperated in the investigation of a Violation shall be subject to discipline, including, without limitation, termination of employment or volunteer status.

22 Reporting of Retaliation. If you believe that an individual who has made a good faith report of a Violation or who has in good faith cooperated in the investigation of a Violation is suffering intimidation, harassment, discrimination or other retaliation or, in the case of employees, adverse employment consequence, you should make a report to the Chief Compliance Officer.

## **ARTICLE III PROCEDURES FOR REPORTING VIOLATIONS**

3.1 Reporting Procedure. All directors, officers, employees and volunteers should address their concerns relating to a Violation to any person within the Agency who can properly address those concerns. In most cases, the direct supervisor of an employee or volunteer is the person best suited to address a concern. However, if you are not comfortable speaking with your supervisor or if you are not satisfied with your supervisor's response, you are encouraged to speak to the Chief Compliance Officer, the Chief Legal Officer/General Counsel, and/or the Chief Human Resources Officer, to any member of the Executive Committee of the Board of Directors of the Agency (the "Board") or to anyone in management you feel comfortable approaching. If you are not an employee or volunteer, you should report any Violation directly to the Chief Compliance Officer.

32 Identity; Confidentiality. The Agency encourages anyone reporting a Violation to identify themselves when making a report in order to facilitate the investigation of the Violation. However, reports addressed to an individual within the Agency may be submitted on a confidential basis and reports may be submitted to the Chief Compliance Officer (or otherwise to Agency management or a member of the Board of Directors) anonymously by submitting them directly, without providing an identity or return address, to the Chief Compliance Officer using the contact information set forth in Section 5.2 below.

33 How to Report. The report of any Violation may be made in person, by telephone or by mail, electronic mail or other written communication. Such report should contain sufficient information to permit adequate investigation. At a minimum, the following information should be provided: (a) a description of the nature of the improper activity, with sufficient detail to permit an initial investigation; (b) the name(s) of the individual(s) and/or department(s) engaging in the activity or with knowledge of the activity; (c) the approximate or actual date(s) the activity took place; and (d) an explanation of any steps taken internally with the Agency's management to report or resolve the complaint. Reports may be made anonymously to the business integrity hotline by calling 212-947-5770, Ext. 5777.

#### **ARTICLE IV COMPLIANCE AND ADMINISTRATION**

4.1 Notification of Violation; Acknowledgement. Every supervisor, manager, director and other representative of the Agency is required to notify the Chief Compliance Officer of every report of a Violation. The Chief Compliance Officer will notify the sender and acknowledge receipt of a report of Violation within seven (7) business days, but only to the extent the sender's identity is disclosed or a return address is provided.

4.2 Investigation; Correction.

(a) The Chief Compliance Officer, or an appropriate designee, is responsible for promptly investigating all reported Violations and for causing appropriate corrective action to be taken if warranted by the investigation. The Chief Compliance Officer, or an appropriate designee, in coordination with the Chief Legal Officer/General Counsel, shall conduct an investigation into the reported Violation as soon as practicable thereafter. Such investigation shall be conducted as confidentially as possible under the circumstances, consistent with the need to conduct an adequate investigation, to comply with all applicable laws, and if appropriate, to cooperate with law enforcement authorities.

(b) The Chief Compliance Officer, or an appropriate designee, shall review the policies and procedures of the Agency, and make note of any alleged Violation. A log should be maintained of all Alleged Violations and the results of the investigation.

(c) The Chief Compliance Officer, or an appropriate designee, shall assess, in the most confidential manner possible, the concerns of the director, officer, employee, key person or volunteer who reported the alleged Violation, as well as those of other directors, officers, employees or volunteers who may have an understanding of, or be complicit in, the alleged Violation, in order to form an informative opinion on the matter and determine potential recommendations for resolution.

(d) The Chief Compliance Officer, or an appropriate designee, may contact the Agency's Chief Legal Officer/General Counsel, as needed, at any stage of an investigation of a reported Violation.

(e) The Chief Compliance Officer, or an appropriate designee, will prepare and submit a written report on the reported Violation to the Board of the Agency, together with recommendations as to resolution and a timeline for implementation of recommended actions. The Chief Compliance Officer will also forward a copy of the written report to the Board.

(f) The Board shall act on the Chief Compliance Officer's written report as appropriate, including reviewing all findings and recommendations identified therein, and submitting a written assessment of the matter, including recommendations as to resolution and a timeline for implementation of recommended actions, to the Board.

(g) Upon receipt of the written report from the Board, the matter will be considered binding and any action items, up to and including, the suspension or removal of any director, officer, employee, key person or volunteer found to have engaged in the reported Violation will be effectuated as soon as practicable.

#### 4.3 Administration.

(a) The Chief Compliance Officer shall administer this Policy and shall report directly to the Board.

(b) Any person who is the subject of a whistleblower complaint shall not be present at or participate in Board deliberations or vote on the matter relating to such complaint; provided, however, that the Board may require that the person who is subject to the complaint present cooperate in the investigation and provide information or answer questions at the Board meeting prior to the commencement of deliberations or voting relating thereto.

(c) The Board is responsible for addressing all reported concerns or complaints of Violations relating to chief accounting practices, internal controls or auditing. Accordingly, the Chief Compliance Officer must immediately notify the Board of any such concern or complaint. In addition, if the Chief Compliance Officer deems it appropriate, the Chief Compliance Officer may advise the chair of the Board of any other reported Violations.

4.4 Reporting. The Chief Compliance Officer has direct access to the Board and is required to report to it at least annually on compliance activity.

4.5 Documentation. The Board shall assure that all reported Violations and investigations are properly documented, including minutes of any meeting of any Committee or the Board where the matter was discussed. The documentation shall be maintained for a period of at least 10 years or longer in the event any investigation, audit or other inquiry is pending relating thereto.

**ARTICLE V**  
**MISCELLANEOUS**

5.1 Access to Policy. A copy of this Policy shall be distributed to all directors, officers, employees, key persons and volunteers who provide substantial services to the Agency.

5.2 Chief Compliance Officer. The contact information of the Chief Compliance Officer is as follows:

Ellen Gribbin, Chief Compliance Officer  
40 Rector Street, 15<sup>th</sup> Floor  
New York, NY 10006  
(212) 947-5770 x: 5257  
egribbin@cpofnys.org

5.3 Modification. The Board may modify this Policy unilaterally at any time without notice. Modification may be necessary, among other reasons, to maintain compliance with federal, state or local laws and regulations and/or to accommodate organizational changes within the Agency.



# NON-RETALIATION AND NON-INTIMIDATION POLICY OF CP UNLIMITED

## **PURPOSE**

The purpose of this Policy is to ensure that employees, Board of Directors (“Board”) members, and contractors of CP Unlimited are encouraged to report concerns about the occurrence of serious illegal, fraudulent or unethical actions within the organization (“Compliance Issues”). “Compliance Issues” are actual or suspected fraud, waste, abuse, other wrongful or unethical conduct, or violations of laws, regulations, administrative guidance, or CP Unlimited’s Compliance Plan<sup>1</sup> and policies. Employees, Board members, and contractors are protected from intimidation and retaliation for good faith participation in CP Unlimited’s Compliance Program, including but not limited to reporting Compliance Issues, investigating issues, conducting self-evaluations, audits, and remedial actions, and reporting to appropriate officials.

## **APPLICABILITY**

This Policy applies to all CP Unlimited employees, Board members, and contractors.<sup>2</sup>

## **POLICY**

1. CP Unlimited prohibits any act of retribution, discrimination, harassment, retaliation, or intimidation against any employee, Board member, or contractor who, in good faith, participates in CP Unlimited’s Compliance Program activities, including, but not limited to:
  - a. Reporting and responding to potential Compliance Issues to appropriate personnel;
  - b. Participating in investigation of, and investigating, potential Compliance Issues;

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<sup>1</sup> CP Unlimited’s Corporate Compliance Plan (“Compliance Plan”) is the document that provides an overview of CP Unlimited’s Corporate Compliance Program (“Compliance Program”). The Program is CP Unlimited’s implementation of the Compliance Plan and includes all of CP Unlimited’s compliance activities.

<sup>2</sup> “Employees, contractors, and Board members” includes CP Unlimited’s employees, Chief Executive Officer (“CEO”), senior administrators, managers, contractors, agents, subcontractors, independent contractors, corporate officers, and Board members who are affected by CP Unlimited’s Compliance Risk Areas. “Compliance Risk Areas” are those areas of operation affected by CP Unlimited’s Compliance Program, as set forth in its Compliance Plan.

- c. Conducting or responding to audits, investigations, reviews, or compliance self-evaluations;
  - d. Drafting, implementing, or monitoring remedial actions;
  - e. Reporting compliance-related concerns to any government entity;
  - f. Attending or performing compliance-related training;
  - g. Reporting instances of intimidation or retaliation; or
  - h. Otherwise assisting in any activity or proceeding regarding any Compliance Issue.
2. A good faith report means one where the individual believes the information reported to be true and where the report is not made for the purpose of harming the standing or reputation of CP Unlimited, or of another employee, Board member, or contractor.
3. The protections of this Policy do **not** apply to:
- a. Untruthful or unfounded allegations of wrongdoing;
  - b. Allegations whose nature or frequency indicate an intent to harass or embarrass CP Unlimited or any employees, Board members, or contractors; or
  - c. Instances where individuals report their own lapses or complicity in unacceptable conduct. In such instances, the act of reporting will not be subject to sanctions, but the underlying conduct may be subject to disciplinary action.

## **PROCEDURE**

### 1. Reporting Mechanisms.

Employees, Board members, and contractors have a duty to report actions that they believe in good faith to be an actual or suspected Compliance Issue. Employees, Board members, and contractors have a variety of reporting options; however, they are encouraged to take advantage of internal reporting mechanisms. These include reports to the Chief Compliance Officer or Compliance Committee member, the Chief Legal Officer/General Counsel, and/or the Chief Human Resources Officer, to any member of the Executive Committee of the Board of Directors of the Agency (the “Board”) or to anyone in management you feel comfortable approaching. In the n the case of an employee, reports may also be made to the employee’s supervisor or any supervisor. Reports may be made anonymously to the business integrity hotline by calling 212-947-5770, Ext. 5777.

### 2. Reporting to the Organization and Government.

While CP Unlimited requires employees, Board members, and contractors to report Compliance Issues directly to CP Unlimited, certain laws provide that individuals may also bring their concerns directly to the government. Any perceived retaliation or intimidation should be reported to the Chief Compliance Officer immediately.

### 3. Confidentiality.

Anyone who investigates a Compliance Issue shall maintain the confidentiality of the individual who made the report if the individual has requested confidentiality or reported through a confidential reporting mechanism, unless the matter is subject to a disciplinary proceeding, referred to or under investigation by the New York State Attorney General’s Medicaid Fraud Control Unit (“MFCU”), the New York State Office of the Medicaid Inspector General (“OMIG”), or law enforcement, or the disclosure is required during a legal proceeding.

### 4. Statutory Protections.

In addition to the protections afforded to employees, Board members, and contractors under this Policy, the following New York State laws also protect employees from retaliatory action for good-faith reporting.

a. New York State Labor Law, Section 740.

An employer may not take any retaliatory action against an employee if the employee discloses, or threatens to disclose, information about the employer's policies, practices, or activities to a regulatory, law enforcement, or other similar agency or public official.

Protected disclosures are those that assert that the employer is in violation of a law that creates a substantial and specific danger to the public health and safety, or which constitutes health care fraud under Penal Law § 177<sup>3</sup> or Social Services Law § 145-b.<sup>4</sup> The employee's disclosure is protected only if the employee first raised the matter with a supervisor and gave the employer a reasonable opportunity to correct the alleged violation. Employees are also protected from retaliatory action if the employee objects to, or refuses to participate in, any activity that is in violation of a law that creates a substantial and specific danger to the public health and safety or which constitutes health care fraud under Penal Law § 177 or Social Services Law § 145-b.

If an employer takes retaliatory action against the employee, the employee may sue in State court for reinstatement to the same, or an equivalent position, any back wages and benefits, and attorneys' fees. If the employer is a health care provider and the court finds that the employer's retaliatory action was in bad faith, the court may impose a civil penalty of \$10,000 on the employer.

b. New York State Labor Law, Section 741.

A health care employer may not take any retaliatory action against an employee if the employee discloses, or threatens to disclose, certain information about the employer's policies, practices, or activities to a regulatory, law enforcement, or other similar agency or public official, to a news media outlet, or to a social media forum available to the public at large.

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<sup>3</sup> New York State Penal Law § 177 criminalizes knowingly filing, with intent to defraud, a claim for payment that intentionally has false information or omissions.

<sup>4</sup> New York State Social Services Law § 145-b criminalizes submission of false statements or deliberate concealment of material information in order to obtain public assistance, including Medicaid.

Protected disclosures are those that the employee, in good faith, believes constitute improper quality of patient care or improper quality of workplace safety. The employee's disclosure is protected only if the employee first raised the matter with a supervisor and gave the employer a reasonable opportunity to correct the alleged violation, unless the danger is imminent to the public or a patient, and the employee has a good faith belief that reporting to a supervisor would not result in corrective action. Employees are also protected from retaliatory action if the employee objects to, or refuses to participate in, any activity, policy, or practice of the employer that the employee, in good faith, reasonably believes constitutes improper quality of patient care or improper quality of workplace safety.

If an employer takes retaliatory action against the employee, the employee may sue in State court for reinstatement to the same, or an equivalent position, any back wages and benefits, and attorneys' fees. If the employer is a health care provider and the court finds that the employer's retaliatory action was in bad faith, the court may impose a civil penalty of \$10,000 on the employer.