



HEARTSHARE HUMAN SERVICES OF NEW YORK

EMPLOYEE, INDEPENDENT CONTRACTOR, AND/OR VOLUNTEER

CODE OF CONDUCT

1. OBEY THE LAW

Employees, independent contractors and/or volunteers must strictly observe all laws and regulatory requirements that apply to HeartShare Human Services of New York.

Employees, independent contractors and/or volunteers are expected to be familiar with the basic legal requirements relevant to your duties. Employees, independent contractors, and/or volunteers can learn the laws and regulations through in-service training programs, from supervisors, by reviewing HeartShare policies contained in the Employee Handbook, and by asking questions of the Compliance Officer. HeartShare's Compliance Officer is Stanley Capela; he can be reached at 718-422-4248 or stan.capela@heartshare.org.

Employees, independent contractors and/or volunteers are expected to ask their supervisors if they require assistance in understanding their legal and regulatory obligations.

2. KEEP ACCURATE RECORDS

Employees, independent contractors and/or volunteers are expected to comply with HeartShare policies and government requirements regarding record keeping. All records and reports are to be prepared accurately and retained in accordance with applicable requirements.

3. REPORT INFORMATION TRUTHFULLY

All communications within HeartShare Human Services and to outside agencies must be truthful and complete.

4. BEHAVE ETHICALLY

Employees, independent contractors and/or volunteers are expected to adhere to high ethical standards when they act on behalf of HeartShare Human Services.

Employees, independent contractors and/or volunteers are expected to be loyal to HeartShare, to avoid using their positions for personal gain and to avoid conflicts of interest.

5. KEEP CONFIDENTIAL INFORMATION CONFIDENTIAL

Employees, independent contractors and/or volunteers are expected to follow HeartShare policies regarding confidentiality and protection of client information.

6. REPORT POSSIBLE VIOLATIONS

Employees, independent contractors and/or volunteers are expected to report any activity they reasonably believe is in violation of the law, ethical standards or HeartShare policies. Employees, independent contractors and/or volunteers need not be certain the violation has occurred in order to report it. Reporting enables HeartShare Human Services to investigate potential problems quickly and to take prompt action to resolve them. Employees, independent contractors and/or volunteers will not be retaliated against for reporting possible violations.

Reports may be made in person, by telephone, or in writing to any of the following persons:

- Employee, independent contractors and/or volunteer supervisors
- Any supervisor and/or director in an employee's, independent contractor's and/or volunteer's program area
- Stanley Capela, HeartShare's Compliance Officer
- William R. Guarinello, HeartShare's President & CEO

7. FORM EXECUTION

All employees, independent contractors and/or volunteers will be given a copy of the Code of Conduct. They will be expected to read and execute with date to be kept as a permanent record in their contractor/personnel/volunteer files.

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The following non-exclusive list of HeartShare policies contained in the Employee Handbook are particularly relevant to HeartShare's Employee and Volunteer Code of Conduct:

- 1.10. Employee Relationships with Clients
- 1.11. Personal Relationships Among Employees
- 6.5. Reporting Time Worked
- 9.1. Equal Employment Opportunity Policy
- 9.2. Anti-Harassment Policy
- 9.3. Reporting a Complaint of Harassment or Unlawful Discrimination
- 10.1. Employee Conduct
- 10.2. Code of Ethics
- 10.4. Violations Warranting Immediate Termination of Employment
- 10.6. Solicitation
- 10.10. Smoking
- 10.11. Alcohol Policy
- 10.12. Drug Free Workplace
- 10.13. Notification of Criminal Charges and/or Conviction
- 10.14. Publication of Articles and Other Materials Related to HeartShare
- 10.15. Complaint Resolution Process
- 11.1. Computer, Email, Telephone and Cellular Telephone Use
- 11.2. HeartShare Stationary and Business Cards
- 11.3. Equipment and Facilities at HeartShare

- 11.4 HeartShare Vehicles
- 12.1 Conflict of Interest Policy (for Board, Key Staff and Independent Contractors)
- 12.2 Conflict of Interest Policy (for all staff)
- 13.1 Preventing Fraud, Abuse and Waste
- 13.2 Whistleblower Policy
- 14.1 Confidentiality of Client Records
- 14.2 HeartShare Confidential Information Policy
- 14.3 Working on Confidential Information Off-Site

Revised: 11/11/2008