

Prologue Ethical Standards

PURPOSE: Prologue employees have the duty to adhere to the highest ethical standards.

POLICY: Prologue employees shall always conduct themselves in a manner that is professional, appropriate and culturally sensitive in interactions with and on behalf of persons served. Furthermore, Prologue is committed to ethical practices in its dealing with the public, in marketing of its services and its business relations and operations by providing accurate information and advertising.

PROCEDURE:

Prologue employees are expected to behave ethically. As Prologue strives to be person-centered and honor an individual's right to self-determination, employees are expected to respect individual's stated goals and needs in the delivery of services.

Prologue subscribes to the ethical guidelines of the behavioral health care provider community, among them, the U. S. Psychiatric Rehabilitation Association. Each employee receives a copy of the Practitioner Code of Ethics guidelines at Orientation. Employees are expected to review the Code and model behavior to its tenets. Employees who are licensed and/or certified professionals are also expected to be knowledgeable and follow that discipline's ethical code (e.g., Society for Human Resource Management, Board of Accountancy, Board of Social Work Examiners, Board of Nursing, Maryland Rules of Professional Conduct for Lawyers, plus any other codes of conduct that may be relevant) during the individual's employment with Prologue.

A. Employees have a duty to individuals served.

1. Employees are to make every effort to support self-determination and support the individual's full participation in the recovery process by seeking engagement of individuals using accepted practices that respect self-determination.
2. Employees are to demonstrate respect towards cultural identities and preferences of individuals using services and respect the rights of others to hold opinions, beliefs and values, including spiritual and religious, different from their own.
3. All Prologue employees are expected to be proficient in job functions and responsibilities and be alert to and resist the influences and pressures that may interfere with the performance of duties.

4. Employees are expected not to exploit professional relationships for personal gain and are to refrain from entering into personal relationships outside the work environment with individuals receiving services. Examples of such prohibitions are detailed in these policies:

- a) Prologue's Social Media Policy prohibits (EMP4.9.1) sharing of information about persons served in personal posts, "friending" persons served and engagement on social media during work hours;
- b) Prologue's Conflict of Interest Policy limits acceptance of gifts (ADM 01/EMP4.7);
- c) Witnessing Documents Policy outlines when employees may witness legal documents (LE06); and
- d) Prologue's Solicitation in the Workplace Policy (ADM 04) addresses limitations on personal fundraising.

B. Employees also have a duty of loyalty to Prologue.

1. Employees must refrain from waste, fraud and abuse and have a duty to report to a Program Director or supervisor others who may be engaging in such activities. Examples of fraudulent or deceptive practices include
 - employees who falsify timecards, service forms or expense reports
 - individuals who misuse Prologue funds or property
 - employees who submit billing for services not rendered
2. Employees, volunteers or others who engage in personal relationships with individuals disrupt the balance of the professional relationship and such relationships are prohibited. Furthermore, employees who wish to donate personal property for use by persons served must donate to Prologue and Prologue shall distribute the items to avoid personal boundary issues.
3. An employee who believes or suspects that some financial or other ethical improprieties (including personal relationships) are taking place has the duty to report by notifying a supervisor or Program Director. Prologue's Chief Executive Officer shall designate a Program Director or other member of the Management Team to investigate.
4. An employee who wishes to report possible improprieties anonymously can do so by submitting a complaint in writing in the Compliance Concerns Mailbox, located on the 3rd floor copy room at 3 Milford Mill Road Office.
5. All efforts will be made to protect the confidentiality of those who report financial and ethical improprieties and choose not to do so anonymously. However, in certain situations, legal requirements may make it impossible

to keep the individual's identity confidential.

6. In accordance with the Sarbanes-Oxley Act, no retaliatory action may be taken against anyone who reports truthful information about possible improprieties.

C. Investigation Process

1. All complaints regarding ethical, financial or other improprieties are to be referred to the Program Director or Management Team member to investigate promptly.
2. The investigation shall include a review of all relevant records, interviews and inspections if needed.
3. Findings and recommendations shall be forwarded to the Chief Executive Officer no later than seven days after receipt of the complaint is received.
4. The CEO shall make a determination of action to be taken and shall advise the complainant within five days of receiving the findings.

Prologue offers trainings on these topics regularly. Anyone who has any concerns or questions about responsibilities in any matter involving Prologue and the individuals served is encouraged to speak with a supervisor or Program Director. An employee's failure to adhere to this policy may lead to disciplinary action by Prologue.