



MJHS/Elderplan Code of Conduct





Dear Colleagues,

Life is full of codes. Some are silently passed from one generation of a family or friends to the next. Others are created and updated solely to keep us as safe, healthy and as happy as possible. At MJHS/Elderplan, our Code of Conduct is public and based on our organization's long legacy of caring—for each other, as well as for those we serve. It is also built on our core values of commitment, caring, respect, excellence, honesty, accountability, sustainability and leadership.

We have established a reputation for providing quality health care and, in the case of the health plans, quality benefits and services. How? By following the standards and requirements of this Code of Conduct.

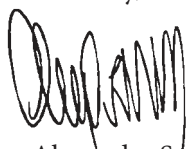
This short, yet important booklet offers all of us a roadmap to maintaining our collective high standards and expectations. Filled with much more than a list of “to-dos and to-don'ts,” our Code of Conduct includes true workplace scenarios and offers realistic, ethical solutions to a variety of situations. A series of questions and answers are also included in each section. These are meant to create a framework for the underlying principle that, when in doubt, we should always take the high road and act accordingly.

One of the most important aspects of our Code of Conduct is that there is no retaliation against, or retribution toward anyone who calls attention to any activity that does not uphold our core values, our commitment to our mission, or the people we serve and each other. In health care, trust is invaluable. That is why our non-retaliation policy is in place—to protect those who speak up when something needs to be corrected or improved.

Like a lot of codes, ours has withstood the test of time. Read the words carefully; make them part of your workplace DNA. Keep the Code of Conduct handy for future reference—so you may refer to it as needed. And, because we all work closely together, please encourage your colleagues to do the same.

Guided by our shared mission, values and the principles outlined in the Code of Conduct, we are confident that MJHS/Elderplan will remain the go-to resource for health care and health plans for generations of New Yorkers to come.

Sincerely,



Alexander S. Balko
President & CEO
MJHS Health System



Preface

The MJHS/Elderplan Code of Conduct serves as our guide for legal, moral and ethical behavior in the workplace and for understanding expectations. It is a compass by which each of us can make good decisions and is an important part of the MJHS/Elderplan Compliance Program. The Code of Conduct applies to all of the MJHS participating agencies and their programs, including both provider agencies and the health plan (Elderplan).



Content

The MJHS/Elderplan Code of Conduct	4
Mission Statement and Core Values	5
Who Must Follow the MJHS/Elderplan Code of Conduct?	6
Non-Retaliation/Non-Intimidation/Non-Retribution	6
Code of Conduct vs. Employee Handbook	7
The MJHS/Elderplan Compliance Program	7
Leadership Role In Compliance	8
Your Responsibilities and Obligations	8
Fraud, Waste and Abuse	9
The Definition of Fraud, Waste and Abuse	9
MJHS/Elderplan Fraud, Waste and Abuse (FWA) Program	10
Workplace Conduct and Employment Practices	11
Patient/Member Quality Care and Rights	11
Conflict of Interest.	12
Business Partnerships	12
Contracting	13
Gifts/Hospitality/Entertainment.	13
Inducements, Improper Referrals and Fraud, Waste and Abuse	13
Political Activity and Lobbying.	14
Confidentiality, Privacy and Security	15
MJHS/Elderplan Information.	16
Protected Health Information	16
Privacy and Security Breaches	18
Electronic Communications and Social Media	19
MJHS/Elderplan Assets	19
Intellectual Property	19
Physical Property	20
Accuracy of Records/Document Retention and Destruction	20
Requests for Information Pursuant to an Investigation or Legal Proceeding	21
Accurate Billing and Coding of Services	21
Excluded and/or Sanctioned Persons or Entities	21
Marketing and Fundraising	22
Conducting Research	22
Compliance FAQs	23
MJHS/Elderplan Code of Conduct Attestation	25



The MJHS/Elderplan Code of Conduct

The framework for providing the programs and services of MJHS/Elderplan (the organization) is contained in this Code of Conduct (the Code). It is our commitment to professional integrity, legal compliance and ethical conduct. The Code is a key part of our larger Compliance Program. The Code is a summary of MJHS/Elderplan standards of conduct and compliance policies and procedures. See MJHS/Elderplan's Compliance and Human Resources sections of the Policy and Procedures Manager (PPM) for detailed policies and procedures.

The Code gives us foundational values and standards and is built on the premise that we all know right from wrong. This means making our decisions and choosing our actions based

on alignment with applicable laws and regulations and in accordance with MJHS/Elderplan policies and procedures.

The Code does not contain all of the rules, policies and procedures we are each required to follow. It provides examples of possible situations that you may encounter, but it is not intended to be all inclusive. It provides concrete guidance in specific areas and guiding principles to consider in other situations.

Definition: The Code

Throughout this document, references to the Code of Conduct, or just "the Code," encompass MJHS/Elderplan's commitment to a culture of integrity and compliance with all applicable federal and state laws, statutes, regulations and sub-regulatory guidance, contractual commitments and MJHS/Elderplan policies and procedures.



Mission Statement and Core Values

A fundamental basis of ethical behavior lies in morals, beliefs and values. MJHS/Elderplan’s mission and core values serve as cornerstones for the Code.

Our Mission Statement

“Rooted in Jewish values and traditions and consistent with the highest standards of quality care, MJHS/Elderplan seeks to be the premier provider of health services in the Greater Metropolitan Area, ensuring access to health, supportive and community-based services across the continuum of need.”

Employee compliance with the Code ensures our actions support our mission.

Our Core Values

MJHS/Elderplan leadership created a list of “core values,” which are the building blocks of how employees should perform, interact with each other and aim to fulfill MJHS/Elderplan’s mission.

Each core value is a “brick” employees must use to build and solidify MJHS/Elderplan’s structure of excellence. Our eight core values include:

- **Commitment**—Our mission and values always come first. We are dedicated to those we serve, to each other, to the community and to our business partners.
- **Caring**—We show we care by listening, guiding, supporting and communicating with concern and kindness in all of our interactions.
- **Respect**—We welcome the opinions, values and beliefs of others. We appreciate the contributions of our staff at all levels.
- **Excellence**—We expect everyone to give the best care and service possible.
- **Honesty**—We are truthful in what we do and what we say. We insist on the same from others. We speak up when something does not seem right.
- **Accountability**—We are responsible for our actions regardless of the outcome.
- **Sustainability**—We honor the goals, actions and decisions that affect MJHS/Elderplan’s continued success. As both individuals and members of the MJHS/Elderplan family, we are committed to the future of our programs and services.
- **Leadership**—We are self-starters and motivate others by our initiatives.



Who Must Follow the MJHS/Elderplan Code of Conduct?

For the Code to be effective, everyone needs to know, understand and follow its standards and requirements. This includes all employees, volunteers, interns, officers and Board Members of MJHS/Elderplan. We also expect our first tier, downstream and related entities (FDR), consultants, contractors, temporary employees and other business partners to follow these guidelines. Failure to do so may result in disciplinary action against an employee and/or termination of a business relationship.

If you become aware of a potential violation of this Code, the law or our policies—it is your duty to report it in a timely manner. If you are ever in doubt about the Code or potential violations of the Code, ask for help. Following this Code is everyone's responsibility and enables us to deliver on our mission.

We are all in this together!

Non-Retaliation/Non-Intimidation/Non-Retribution

MJHS/Elderplan maintains a strict policy of non-intimidation, non-retaliation, and non-retribution for good faith participation in its Compliance Program, including, but not limited to: reporting potential issues, investigating issues, conducting self-evaluations, audits and remedial actions, and reporting to appropriate officials.

Report your compliance or other concern through our confidential compliance portal via the web www.mjhs.ethicspoint.com or toll-free phone number: **1-855-395-9169**.

Reported information will be forwarded to MJHS/Elderplan by EthicsPoint on a confidential and anonymous basis—if that is the preference of the person filing the report. All reported concerns will be considered and, where appropriate, investigated. MJHS/Elderplan employees who report an activity that may be in violation of a law, rule, policy or regulation are protected against retaliation by the MJHS/Elderplan Non-Retaliation/Non-Intimidation/Non-Retribution policy.

Note that our reporting tool is open to any individual who wishes to report a concern regarding irregularities at MJHS/Elderplan.



Compliance Contacts

How to Report a Potential Compliance or Other Issue, Including Fraud, Waste and Abuse (FWA)

All employees, officers, board members and other persons affiliated with MJHS/Elderplan have a duty to immediately report potential compliance issues, which include suspected fraud, waste and/or abuse. There are several ways to report a suspected violation:

- Submit your report at **www.mjhs.ethicspoint.com** or via phone by calling **(855) 395-9169**; either method will allow you to report anonymously should you choose to do so
- Contact your manager who has an obligation to, in turn, report the suspected violation to the Compliance Office
- Contact the Corporate Compliance Officer at **(718) 921-7971**
- Contact Human Resources staff (for Human Resources related issues)
- Contact the Elderplan Compliance Officer at **(718) 759-4260** (for Elderplan-related issues)

Code of Conduct vs. Employee Handbook

If you have reviewed your Employee Handbook, some of what you read here should be familiar. Both describe certain circumstances where compliance questions arise with some frequency. Here is the main difference between the two documents. The Code of Conduct's topics and examples address

common broad legal and ethical situations that may arise at MJHS/Elderplan, which may include human resources issues. In contrast, the Employee Handbook emphasizes our human resource policies and procedures and our expectations for behaviors related to employment and coworkers.

The MJHS/Elderplan Compliance Program

MJHS/Elderplan maintains a Compliance Program as required by law. It provides the foundation for supporting our legal, ethical and moral behavior. It contributes to us being a valued and trusted company in the community. In addition, MJHS/Elderplan contracts with certain federal and state government agencies to provide or administer health care and services for our patients/ members.

We provide or administer these services to patients/ members in accordance with MJHS/Elderplan's contractual and regulatory requirements. The MJHS/Elderplan Compliance Program consists of the Code of Conduct, policies and procedures and other required elements. Compliance is everyone's responsibility.



Leadership Role In Compliance

MJHS/Elderplan leaders are essential to the Compliance Program. They are role models of compliant and ethical behavior and promote an environment of integrity and trust within their departments by:

- Encouraging staff to be accountable for their actions and holding them to it.
- Expecting staff to promptly report any errors so

they can be corrected in the right way. In doing so they understand and consider that sometimes people make mistakes.

- Promoting a culture of transparency and open communication.
- Talking about relevant compliance issues at staff meetings and providing compliance education on a regular basis.

Your Responsibilities and Obligations

The first step is to understand that we are all responsible for and obligated to help prevent, detect and correct instances of potential non-compliance. To make sure we are able to recognize and properly handle potential non-compliance issues, MJHS/Elderplan is committed to:

- All-employee compliance training
- Job-specific training and education
- Implementing our policies and procedures
- Enforcing our standards through disciplinary actions
- Routine auditing and monitoring

- Promptly responding to and correcting non-compliance
- Communicating on general and specific compliance topics
- Reporting compliance activities to the Compliance Committees and Boards of Directors
- Proactively monitoring performance in meeting regulatory standards, and self-disclosing non-compliance to federal and state regulators
- Requiring our first tier, downstream and related entities, vendors and contractors to adhere to a Code of Conduct and government requirements, and to report potential non-compliance, including fraud, waste and abuse, to MJHS/Elderplan.

5 Things You Need To Know About Compliance

1. We are all responsible for compliance and obligated to report potential compliance issues.
2. Report any compliance related concerns via our anonymous reporting tool or hotline (you may choose to remain anonymous).
3. If you do not understand something, please ask.
4. Reports are investigated, as appropriate, and treated confidentially.
5. Anyone who makes a report in good faith will be protected from retaliation, intimidation, and retribution.



Fraud, Waste and Abuse

Fraud, waste and abuse (FWA) are special types of compliance issues. FWA is a big concern in the health care system, including Medicare and Medicaid programs, and we are obligated to report any FWA issues we see in our day-to-day jobs. FWA can be committed by providers, brokers, health plans, pharmacies, pharmacy benefit management companies, our members, patients, and even our fellow employees.

In addition, it is illegal to knowingly present, or cause to be presented, a false or fraudulent claim or statement to the government, as stated in the False Claims Act. False claims, fraud, dishonesty or criminal conduct of any sort on the part of any employee, officer, director or anyone doing business with MJHS/Elderplan will not be tolerated.

The Definition of Fraud, Waste and Abuse

Fraud—An intentional deception or misrepresentation made by a person with the knowledge that the deception could result in some unauthorized benefit to himself or some other person. It includes any act that constitutes fraud under applicable federal or state law.

Examples: Double-billing, forging or altering prescriptions and billing for more expensive procedures than were actually provided.

Waste—To use health care benefits or spend health care dollars in a careless or needless manner.

Examples: Duplicative tests and procedures, preventable hospital readmissions, and medical errors.

Abuse—Practices that are inconsistent with sound fiscal, business or medical practices, and result in an unnecessary cost to the Medicare, Medicaid or MJHS/Elderplan programs.

Examples: Reimbursement for services that are not medically necessary or that fail to meet professionally recognized standards for health care.

MJHS/Elderplan Fraud, Waste and Abuse (FWA) Program

As part of the overall Compliance Program, MJHS/Elderplan conducts various anti-fraud activities. At Elderplan, parts of the FWA program are administered by the Special Investigations Unit (SIU), including investigations of member, provider and vendor FWA. The purpose of the FWA program is to increase awareness of and improve prevention and detection of health care fraud. MJHS/Elderplan cooperates with regulatory and law enforcement

agencies in their investigation and prosecution of health care fraud. These efforts are making a difference. Every MJHS/Elderplan employee is trained on FWA when newly hired and Elderplan employees must take a refresher course every year as part of the required compliance trainings. Our vigilance in this area can help protect MJHS/Elderplan and maintain the quality and affordability of health care.

Delivering quality care or abusing the system?

- Q.** I've noticed one physician orders the same extensive lab work on every Elderplan member regardless of the member's diagnosis. Is he just being extra thorough or is this an issue?
- A.** You need to report this so we can find out. Ordering and getting reimbursed for unnecessary tests is not permitted and could be abuse.

Coding accurately?

- Q.** The Billing department recently hired a new employee who appears to be using the same code for similar, but different services. I have tried to educate her to use the correct codes, but she keeps using the wrong codes. I do not want to get her in trouble. What should I do?
- A.** You need to report this to your manager so that they may review this concern. Billing codes determine how much money Medicare, Medicaid and private insurance companies will reimburse MJHS for the services provided. Using the wrong code can result in less or more payments for services rendered. (Both under and over payments require review and overpayments must be repaid to Medicare and Medicaid).

What if I see fraud outside of MJHS/Elderplan?

- Q.** I was at a meeting with a broker and I learned that he misrepresented Elderplan to a member. What do I do?
- A.** Bring this concern to the attention of the Compliance Office immediately.



Workplace Conduct and Employment Practices

MJHS/Elderplan recognizes people as our greatest asset. The organization's ability to deliver quality patient/member care and services is directly related to the skills and abilities of our employees. We are committed to fair practices and welcome cultural diversity in the workplace.

MJHS/Elderplan will not tolerate acts of discrimination. All employees are treated with respect, regardless of race, color, national origin, ancestry, religion, sex (including sexual orientation, gender identity, and pregnancy), age, disability, citizenship, military status, marital status, creed, or genetic predisposition.

This policy applies to recruitment, placement, promotions, transfers, retention, compensation,

benefits, training, reduction in workforce, attendance, discipline, discharge, retirement, pension policies, human resources' programs and activities, policies and conditions of employment. MJHS/Elderplan leaders are responsible for assuring that this policy is followed at all times and that all employees know about and understand this policy.

At MJHS/Elderplan, each of us has the right to work in an environment free of harassment, intimidation and workplace violence. Accordingly, we prohibit any behavior that creates an intimidating, hostile or offensive work environment. If you observe or experience any form of harassment or violence, you should report the incident immediately.

Patient/Member Quality Care and Rights

Our primary mission is to provide quality health care and services to our patients/members. We treat all patients/members with respect and dignity, and provide or arrange for care and services that are both necessary and appropriate. In the care and services we provide, we do not discriminate based on race, color, national origin, ancestry, religion, sex (including sexual orientation, gender identity, and pregnancy), age, disability, citizenship, marital status, creed, genetic predisposition or ability to pay for health care and services. While we strive to render or arrange for care and services in an efficient manner, clinical care decisions are not based on patient/member financial means or business economics, nor are member enrollment decisions based on beneficiary health conditions.

MJHS/Elderplan has a comprehensive program to promote the quality of patient/member care and measure its effectiveness. MJHS/Elderplan

monitors quality in numerous ways, including, but not limited to, review of patient/member outcomes, implementing national initiatives related to patient/member safety and quality, and through patient/member satisfaction surveys. MJHS/Elderplan also compares the quality of its services against national standards and benchmarks in an effort to identify ways to continually improve the quality of our care and services. This establishes standards of care and services that reflect best practices, such as:

- Providing care to our patients/members with respect for their values, beliefs and cultures.
- Showing we care by listening and communicating with kindness.
- Helping patients/members make informed decisions about their health.
- Protecting the dignity of our patients.



Conflict of Interest

A conflict of interest occurs when you or a relative have employment outside of MJHS/Elderplan (or other activities or relationships) that creates an actual or potential conflict in your ability to do your job, and in particular, your ability to influence or make an objective decision that is in MJHS/Elderplan's best interest. Simply put, any such activities and relationships are not allowed without prior disclosure of the conflict and review by MJHS/Elderplan for such employment or the making of any decision. Any questions or concerns about a conflict of interest must be discussed with Human Resources' staff or the Compliance Officer.

Examples of such conflicts of interest include, but are not limited to:

- Having another job with a company that competes or contracts with or is a supplier of MJHS/Elderplan.
- Having a financial or ownership interest in a company that does business with MJHS/Elderplan.
- Making business decisions that involve friends or family.
- Having a supervisory or reporting relationship to family or close friends.

By signing this Code, you attest that you are either free of any conflict of interest or that you have disclosed any potential conflicts of interest to MJHS/Elderplan. At the time of hire, you are asked to read and attest to understanding our Conflict of Interest policy. Subsequently, you are required to report any actual or potential conflicts of interest as they arise. In addition, officers, board members, management and other key employees must complete a Conflict of Interest attestation annually. More information is provided on conflict of interest and employment of relatives in the Company Employee Handbook and the Conflict of Interest Policy.

Business Partnerships

We are committed to the long-term success of MJHS/Elderplan programs. MJHS/Elderplan is honest and fair in all of our dealings with first tier, downstream and related entities (FDRs), vendors, consultants and other business partners.

We expect the same behavior from our vendors and business partners and hold them to the same standards described in this Code. As such:

- Vendors are selected based on quality, availability, price and ability to meet the needs of our organization.
- MJHS/Elderplan does not choose vendors based on a personal relationship, inducement or offer.
- MJHS/Elderplan interacts with our vendors in a respectful and honest manner.



Contracting

MJHS/Elderplan negotiates and enters into fair and equitable contractual arrangements with reputable vendors and individuals that meet the needs of our organizations. All arrangements must comply with applicable federal and state laws. Prior to executing

arrangements for items and services, we verify that all contracted parties are eligible to participate in federal and state-funded health care programs. All contracts must be in writing, as well as reviewed and approved by the Legal department.

Gifts/Hospitality/Entertainment

Our business transactions with vendors, suppliers, contractors and other third parties must be free from influence and even the appearance of influence. You cannot accept gifts and business courtesies, with few exceptions. You may not accept anything of value, including favors, discounts on goods or services, gratuities, entertainment, or personal services payments (collectively “gifts”) (with the exception of meals in the course of actual business meetings) from any person or

organization doing or seeking to do business with MJHS/Elderplan. Likewise, you may not offer gifts or business courtesies as these may influence or be perceived as influencing others in business transactions with MJHS/Elderplan.

Similarly, our relationship with patients/members is to provide care and services. Therefore, accepting gifts from patients/members or their families is not allowed.

Inducements, Improper Referrals and Fraud, Waste and Abuse

At MJHS/Elderplan, you are not to use any financial or other type of reward that could be seen as trying to induce a person or entity to conduct business with us. In fact, inducements for referrals fall under the New York State and Federal Anti-Kickback Statutes, which state that it is illegal to knowingly and willfully solicit, receive, offer or pay remuneration (including any kickback, bribe or rebate) for referrals for services that are paid under a state or federal health care program. Various examples include trying to induce:

- Potential Medicare beneficiaries to join Elderplan (excludes nominal non-cash promotional gifts permitted by law).
- Referral sources to recommend MJHS/Elderplan programs and services.
- Employees and other licensed professionals to deny or limit care.
- Medicare or Medicaid beneficiaries to commit fraud, waste or abuse.

How much is too much when it comes to gifts?

- Q.** A vendor who does a lot of work for our department just offered my manager tickets to the Super Bowl. Can we accept?
- A.** No. This type of gift has a very high value, even if it's purely a "thank you" gesture with no strings attached.

Hospitality or illegal activity?

- Q.** Some regulators will be on-site next month and will be putting in full days at our offices. Can we provide lunch for them?
- A.** No. There are very strict guidelines regarding gifts and hospitality offered to government employees and public officials.
- Q.** A vendor sent our department a holiday gift basket of snacks. Can we accept this?
- A.** Yes, provided the contents are shared with everyone in the department.

Gratitude or conflict?

- Q.** The daughter of one of the residents who recently passed away donated a lot of art supplies, books, and magazines to the facility. Today, she brought me her mother's pendant because she wants to thank me for taking good care of her mother. Can I keep it?
- A.** No. MJHS/Elderplan employees are not permitted to accept gifts from residents, patients, members or their families.

Political Activity and Lobbying

MJHS/Elderplan employees are free to participate in and contribute to political organizations or campaigns. You must, however, do so as an individual. You may not present yourself as a representative of MJHS/Elderplan in any of these types of activities, nor may you get reimbursed by MJHS/Elderplan for anything related to these activities.

Since MJHS/Elderplan is a tax-exempt, not-for-profit organization, we must follow requirements of the Internal Revenue Service, the New York State Not-For-Profit Corporation Law and other federal and state laws. We expect you to refrain from taking part in any activity that would jeopardize the tax-exempt status of MJHS/Elderplan.

MJHS/Elderplan has many contacts and dealings with governmental bodies and officials. Our efforts are focused in our areas of expertise and consist largely of making recommendations concerning legislation or regulations being considered. In addition, we may analyze and take public positions on issues related to the operation of MJHS/Elderplan. These efforts are coordinated through our Legal department and are within the scope of Internal Revenue Service and other federal and state rules. If you have any questions about lobbying and political activity, please contact our Legal department.

Is this a business dinner or a political event?

- Q.** I bought tickets to a fundraising dinner for a local politician. I took a colleague and we discussed business. May I expense it?
- A.** No. Reimbursing you for funds given to a specific candidate would be the same as contributing to his/her political campaign, which MJHS/Elderplan is not allowed to do.

Confidentiality, Privacy and Security

We work in an industry that maintains highly sensitive personal, health and business information—the confidentiality of which is also highly regulated. Every MJHS/Elderplan employee must be aware of what confidential and proprietary information is, and maintain the privacy and security of both MJHS/Elderplan and patient/member information according to the laws, rules, regulations and sub-regulatory guidance provided by the government. To review our full policies, see the organization’s privacy and security policies and procedures and the section on confidentiality in the Employee Handbook.

Confidential means that it is not appropriate for general public knowledge; it may cause harm to an individual or organization if that information becomes public knowledge. Confidential information includes patient/member information.

Proprietary means that it is related to or involves MJHS/Elderplan. Other companies and individuals would also have proprietary information specific to them.

MJHS/Elderplan’s confidential and proprietary information is non-public information that is created, recorded or used in support of MJHS/Elderplan programs and services. It includes much of our daily work processes and outputs, including MJHS/Elderplan’s strategic planning. Public information may be found on our websites:

- MJHS: www.mjhs.org
- Elderplan: www.elderplan.org

Our patient/member’s confidential information is called “Protected Health Information” (PHI). This is discussed more in a later section.

You should never discuss any confidential information (patient/member information or proprietary information) at all in social or routine business conversations. Again, refer to the MJHS/Elderplan’s privacy and security policies and procedures.

MJHS/Elderplan Information

In general, you should use and disclose confidential and proprietary information with coworkers on a “need-to-know” basis in accordance with organization privacy and security policies and procedures. Two important concepts that restrict access to and exchange of confidential information on a “need-to-know” basis are:

- **Role-based access**, which means you are granted access to proprietary and other work-related information depending on the tasks

you perform at MJHS/Elderplan. Access to information will differ from one employee to another.

- **Minimum necessary requirement** which means that you request, use or disclose only the information necessary for the purpose of the request, use or disclosure.

MJHS/Elderplan and department-specific privacy and security policies and procedures contain permitted uses and disclosures of information.

What do I do about repeated requests?

- Q.** My coworker keeps asking me for more information than I think she needs to do her job. Do I just keep saying no?
- A.** Decisions about employee access to information are made by managers. Ask your coworker to speak to her manager about her access needs. Inform your manager if your coworker continues to ask you for more information.

Protected Health Information

Protected Health Information (PHI) is individually identifiable health information that is created or received by a health care provider, health plan or health care clearinghouse. Such information relates to the past, present or future physical health, mental health or condition of an individual. PHI either identifies or could be used to identify the individual, and may have been transmitted or maintained in any form or medium (electronic, paper or oral).

When the following identifiers (not an all-inclusive list) are combined with health care-related information, it becomes PHI.

- Full name
- Social security number
- Driver’s license number
- Health insurance ID number
- Date of birth
- Full face photo

In combination with an individual’s health care-related information, including:

- Treatment
- Diagnosis



Protected Health Information *continued*

- Medications
- Billing details

In short, an easy way to think of PHI is that it is health care or payment related information about an individual collected, used or transferred by a health care or health plan organization, or their business partners, that identifies the individual, or which there is a reasonable basis to believe the information can be used to identify the individual.

There are some MJHS/Elderplan employees who rarely or never come across PHI. For others, their jobs may revolve around processing PHI. Regardless, we are all responsible for protecting our patient/member's health information. You should always abide by your job-specific procedures for handling and protecting PHI.

Conversation or confidential information?

- Q.** I often take public transportation during the course of my workday. Is it okay to make work-related phone calls or use my laptop while in transit?
- A.** It depends. Be aware of your surroundings and remember to NEVER discuss patient/member information in public where others may hear you, and keep your laptop screen out of public view.

Privacy and Security Breaches

A privacy or security breach is when a patient/member's PHI is accessed, used or disclosed in a manner that is not permitted by law and/or under MJHS/Elderplan privacy and security policy and procedures.

MJHS/Elderplan has physical, technical and administrative safeguards in place to protect and secure confidential information, including PHI. A few examples of safeguards include:

- The physical security of electronic equipment and paper documents
- Encryption software (e.g., for computers, emails, tablets and cell phones)
- Monitoring use of electronic equipment and data files
- Using training materials and policies and procedures to educate and guide employees about appropriate access, use and disclosure of confidential information.

Despite our best efforts, sometimes unauthorized access, use and disclosure occurs. These are generally referred to as privacy and security breaches.

One of our greatest assets against unauthorized access, use and disclosures, and for addressing breaches, is you. We look to staff to follow our privacy and security practices and we rely on you to tell us if you believe confidential information will be or has been accessed, used or disclosed in a way that is not permitted. Prompt notice of potential privacy or security breaches is key to our taking prompt actions to stop and remediate a problem. If you know of a potential or suspected violation or breach of MJHS/Elderplan privacy and security policies, report it to MJHS/Elderplan's Privacy Officer or to the Compliance Office through any of the avenues of communication identified in this Code.

What do I do about an unauthorized disclosure?

Q. I accidentally sent an email containing PHI externally to a contact in my email directory who was not the intended email recipient. Do I have to report this?

A. Yes. You should immediately contact the Compliance Office, who will review the situation and work with management to take steps to prevent future disclosure, as well as mitigate the situation.

What do I do about lost documents?

Q. I am a Nurse Assessor. On the way back to the office I lost my briefcase containing several beneficiary assessment documents. I tried unsuccessfully to backtrack my steps to find the briefcase. What do I do?

A. You should immediately contact the Compliance Office and let your manager know. The Compliance Office will determine the next steps to mitigate the situation.



Electronic Communications and Social Media

The MJHS/Elderplan Social Media policy details the rules on the use of electronic communications systems and social media. Please read it thoroughly. This area is growing and changing quickly, so we simply cannot anticipate all challenges. But again, you can help ensure appropriate use by using MJHS/Elderplan's electronic communications

systems for business purposes only. For social media, make sure that your participation on external social media sites is done on your own time and that you limit the references made to MJHS/Elderplan and the work you do here. Never post patient/member information, including photos.

MJHS/Elderplan Assets

It is easy to remember: If MJHS/Elderplan supplied it to you, it is MJHS/Elderplan's property and considered a MJHS/Elderplan asset. Be aware, too, that assets include more than just equipment and

supplies. MJHS/Elderplan records, financial data, research results, business strategies, etc., are also assets to be protected.

Intellectual Property

Intellectual property ranges from the MJHS/Elderplan logo to trade secrets to any programs you may have helped to develop. Like physical assets, intellectual property belongs to MJHS/Elderplan and must be used only as designated. When you leave, and are no longer affiliated with MJHS/Elderplan, all MJHS/Elderplan property, resources and confidential information must remain with MJHS/Elderplan.

Finally, MJHS/Elderplan also respects the confidential and proprietary rights and intellectual property of other companies and individuals. We abide by all applicable laws regarding copyright, patents, trade secrets, trademarks, privacy and financial disclosures. We follow fair business practices, which means we do not use improper channels to glean information about competitors, nor do we spread false information about them.

Can I post good news?

Q. I'm a Case Manager and I would love to post updates of some of my favorite patients/ members on my Facebook® page. Is this okay?

A. No, it's not. Patient/member information cannot be posted without the patient/member's written permission. Also, remember that all information on the Internet is in the public domain.



Physical Property

While it is MJHS/Elderplan's responsibility to maintain equipment, it is your responsibility to take care of it and report any problems or issues.

For the most part, MJHS/Elderplan property must remain on site unless approval has been given to

remove it. It should go without saying that taking or using supplies, materials or equipment for personal use is not appropriate.

What if it's for a good cause?

Q. I volunteered to make flyers for the local animal shelter. May I use my department's machine to make photocopies? What if I bring my own paper?

A. No, unless it's for an organization or event MJHS/Elderplan is supporting, and you should not use Company assets for such purposes.

Q. My grandfather is in the hospital and not eating well. I am terribly worried about his health. May I take a couple of cans of liquid nutritional supplement for him from the kitchen in the nursing home where I work?

A. No, you may not. While your worry is understandable, you will need to purchase the supplements for your grandfather from a store or pharmacy. At MJHS/Elderplan, we may not use Company resources for personal benefit.

Accuracy of Records/Document Retention and Destruction

It is our responsibility to create and maintain accurate and complete records, as well as only destroy organizational records, in compliance with federal and state laws and applicable policies. MJHS/Elderplan policies provide guidance on

the proper creation, amendment, maintenance, retention and destruction of organizational records and documents. Speak with your manager or contact the Compliance Office for additional guidance.



Requests for Information Pursuant to an Investigation or Legal Proceeding

MJHS/Elderplan promptly and appropriately responds to requests for information pursuant to a government investigation or legal proceeding. These requests may come in the form of a subpoena, summons, warrant, letter or verbal request. Only certain management personnel are authorized to accept them on behalf of the organization. Accepting or acting on these requests

may expose the organization, and sometimes you as an individual, to significant fines or other types of criminal, civil or administrative penalties. If you are asked to accept a legal document or to share information of any kind for any reason, immediately consult with your manager, the Compliance Office or the Legal department.

Accurate Billing and Coding of Services

MJHS/Elderplan takes great care to assure that billing and reporting are accurate and conform to all applicable federal and state laws and regulations. We only bill for services ordered by a physician and are medically necessary and documented in the medical record. We monitor and verify that claims

are coded correctly and information provided for claims and cost reports are accurate.

Identified errors should be adjusted in a timely manner.

Excluded and/or Sanctioned Persons or Entities

An excluded and/or sanctioned person or entity is one who is not allowed to participate in federal or state health care programs (e.g., Medicare, Medicaid). Most commonly, these are individuals who have been found guilty of fraudulent billing or misrepresentation of credentials. MJHS/Elderplan cannot, directly or indirectly, employ or contract with any excluded person or entity. To this end, we screen employees, volunteers, Board of Director members, first tier, downstream and related entities (FDR), providers, vendors, contractors and others against the Office of Inspector General (OIG), U.S. General Services Administration (GSA), NYS Office of Medicaid Inspector General (OMIG) and other databases.

MJHS/Elderplan must ensure that no persons or entities employed, contracted or affiliated with MJHS/Elderplan are “excluded” in these databases. If a person or entity contracted with MJHS/Elderplan becomes excluded, MJHS/Elderplan must immediately stop such person or entity from directly or indirectly providing any care or services to MJHS/Elderplan patients/members. (See MJHS/Elderplan exclusion screening policies for more information).

If you become aware that a person or entity is excluded as described above, report it.



Marketing and Fundraising

MJHS/Elderplan requires marketing staff, home care planners, account liaisons and other business initiative representatives to embrace the highest levels of professional ethics, norms and values. They must follow current applicable policies, guidelines and regulations to avoid any appearance of impropriety.

Staff who interact with the public should promote a positive reputation for MJHS/Elderplan programs, products and services by being truthful about what we are able to provide.

We are also committed to following the rules and regulations that apply to charitable fundraising. Any inquiries about donations should be referred to the MJHS Foundation.

Conducting Research

Each MJHS participating agency must ensure that all research activities are scientifically justified, legal and ethical. The MJHS Institute for Innovation in Palliative Care maintains a Research Committee to oversee and track research activities. The Committee's responsibilities include, but are not limited to:

- Ensuring that the proposed research projects have scientific value and reflect good research practice in accordance with law and regulatory requirements.
- Ensuring that proposed research projects are consistent with the MJHS mission and values.
- Tracking and providing periodic review of ongoing research projects.

Compliance FAQs

What types of things should I report?

Individuals report issues or concerns related to potential violations of laws, regulations, policies and procedures (including the MJHS/Elderplan Code of Conduct) or any other concerns you may have. Other items may include requests for compliance guidance, questions, inquiries or even suggestions.

For example, if Elderplan is required to notify all members of the changes in their benefits by

September 30 of each year, but it looks as if we will not get the information mailed until October 15, that is a potential compliance issue.

For example, if MJHS is required to have a physician sign an order for the patient to receive care and services, and it is not signed, that is a potential compliance issue.

What if I don't understand a policy, rule or regulation?

If you do not fully understand a policy, rule, or regulation, please ask.

There are several ways to get clarification:

Ask your manager.

- Ask the MJHS Compliance Officer.
- Ask the Elderplan Compliance Officer (for Elderplan related issues).
- You may use our confidential compliance portal via the web at www.mjhs.ethicspoint.com or toll-free phone number **1-855-395-9169** to request guidance, ask questions, submit an inquiry or make a suggestion (and you may do so anonymously).

What do I do if I suspect a potential compliance issue?

We embrace the concept of shared compliance at MJHS/Elderplan. This means that we are all responsible, regardless of job title or responsibilities. If you suspect a compliance issue, file a report as soon as possible. Report your compliance or other concern through our confidential compliance portal via the web www.mjhs.ethicspoint.com or toll-free phone number **1-855-395-9169**.

What obligations do I have as a manager?

- Q.** One of my employees just came to me with something he thinks is a potential compliance issue. I'm not sure it is. What do I do?
- A.** Talk to your department head to get clarification. The employee did the right thing by reporting it to you, so it is now your responsibility and affirmative obligation to report the suspected concern to the Compliance Office. Report your compliance or other concern through our confidential compliance portal via the web www.mjhs.ethicspoint.com or toll-free number **1-855-395-9169**.

How do I report a compliance issue?

Report your compliance or other concern through our confidential compliance portal via the web www.mjhs.ethicspoint.com or toll-free phone number **1-855-395-9169**.

Why should I report?

You are obligated to report. You know firsthand what is going on at MJHS/Elderplan. Therefore, you may have knowledge of an activity that may be cause for concern. Your reporting may reduce the potential negative impact on MJHS/Elderplan and our community. Also, offering a suggestion may help us identify ways that we may improve our corporate culture and performance.

The Code requires all employees to report any situation that may be deemed a potential compliance issue, even if you were not directly involved. Failure to do so may subject you to disciplinary action. This is why we make it as easy as possible for you to report.

What happens after I report a potential compliance issue?

To most of your coworkers and other employees it may seem like nothing is happening, but every reported issue is addressed. Some compliance concerns may be presented to the Compliance Committee, senior leadership, the CEO and/or Board of Directors, as appropriate.

MJHS/Elderplan may also use the information to self-report a compliance issue to the Centers for Medicare & Medicaid Services (CMS), Office of Inspector General (OIG), New York State Department of Health (NYS DOH), Office of the Medicaid Inspector General (OMIG), or other regulators or authorities, if deemed necessary.

Will I be treated differently if I report a potential compliance issue?

No. There should be no difference in your workplace duties, responsibilities or relationships. In fact, MJHS/Elderplan has a policy against retaliation, intimidation and retribution. MJHS/Elderplan does not condone anyone retaliating against you or trying to intimidate you when you have reported something in good faith. However, please note that knowingly filing a false report is a very serious issue and will be addressed through disciplinary action, up to and including termination. If you feel you are being retaliated against or intimidated, report this through our confidential compliance portal via the web at www.mjhs.ethicspoint.com or toll-free phone number: **1-855-395-9169**.

Why do I have to take compliance training every year?

As a regulatory requirement, MJHS/Elderplan is required to provide new-hire and annual compliance training to all employees. Ongoing training is a best practice and reminds us of our compliance commitments and obligations. If you do not complete the training requirements, you may be subject to disciplinary action.



MJHS/Elderplan Code of Conduct Attestation

Please know that with your signature on this attestation page or by completing the online Code of Conduct training electronic attestation, you are attesting to your understanding of and commitment to uphold this Code of Conduct. It is your obligation to recognize and report any suspected compliance issues.

By signing this Attestation, I acknowledge that:

1. I understand that this attestation is a condition of my employment with MJHS/Elderplan.
2. I have received a copy of the Code of Conduct.
3. I have read the Code of Conduct.
4. I will comply with the MJHS/Elderplan's Code of Conduct.

Signature: _____ Date: _____

Print Name: _____

Title: _____

Agency/Department: _____