

Code of Ethics and Business Conduct



People. Trust. Experience.

MountainStatesHealth.com

Message from the President

Welcome to Mountain States Health Alliance! I'm grateful you've chosen to join our team. I believe we have a very special organization, and the reason for that is the people who make up our health system. We're committed to bringing world-class health care to the people we serve, and we're committed to doing it with integrity. At Mountain States, we're guided by a set of principles referred to as our Code of Ethics and Business Conduct (or "the Code," as we'll refer to it here). This incorporates the ethical conduct expected of all of us as we strive to provide caring and compassionate services to others. It also represents our commitment to conducting business with integrity and in compliance with all applicable laws and regulations. The reputation of our organization is reflected in how we treat our patients, how we treat each other and how we conduct our business operations. Because this is so important, our Code is a policy of Mountain States.

We must all comply with the Code of Ethics and Business Conduct in our everyday actions. In doing so, we share a common path in pursuing a world-class health care system. The Code embodies our pledge to our patients, colleagues, physicians, volunteers, contractors, vendors/suppliers, regulators and all those we encounter in our journey. This spirit of the Code of Ethics and Business Conduct can be summed up in just a few words ...

We follow the Code of Ethics and Business Conduct because it's the right thing to do.

It's not possible to include in our Code every situation you may encounter, but we have invested in a robust compliance system within Mountain States to guide and support you should you ever have a question about a situation. The Mountain States AlertLine (1-800-535-9057) is anonymous, and we encourage you to report any activity you think puts our organization at risk due to noncompliance with policies or that you think may be illegal or unethical. We have strict non-retaliation policies so your anonymity will be protected, and actions will not be permitted to be taken against you for reporting issues in good faith.

If you have questions or concerns about the Code or other related policies or procedures, you should contact your supervisor, a member of management, your facility compliance officer or the Corporate Audit and Compliance Services Department. If you wish to remain anonymous, you can call the Mountain States AlertLine.

Again, I'm grateful you joined the Mountain States Health Alliance team. We're all in this profession to help people, and that means always doing the right thing. I believe if we all follow the best standards for conduct, we will share the satisfaction of being part of something special.

—Alan Levine



President/CEO
Mountain States Health Alliance

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Mission

Mountain States Health Alliance is committed to bringing loving care to healthcare. We exist to identify and respond to the healthcare needs of individuals and communities in our region and to assist them in attaining their highest possible level of health.

Vision

We passionately pursue healing of the mind, body and spirit as we create a world-class healthcare system.

Values

INTEGRITY—
honesty in everything we do
SERVICE—
with care and compassion
LEADERSHIP—
with creativity and innovation
EXCELLENCE—
always pursuing a higher standard

Definitions

Corporate Audit and Compliance Services (CACS): The independent advisory department of Mountain States designed to assist Mountain States in attaining its mission and vision. Promotes and helps maintain an effective system of internal controls and compliance with laws, rules and regulations.

Team member: An individual that may be employed, contracted or volunteers with Mountain States or an entity in which Mountain States is a majority member, to work in a facility, clinic, office, subsidiary or other operation owned or managed by Mountain States.

Mountain States Health Alliance: The entity known as Mountain States Health Alliance, including facilities, clinics, offices, subsidiaries and other operations that have adopted the compliance program of Mountain States.

Stakeholder: A collective reference that includes all team members, physicians/allied health personnel and vendors.

Physician/Allied Health Personnel (AHP): An individual who holds a position on the professional staff of a Mountain States facility, having been granted an appointment to such staff by the board of directors, pursuant to the Mountain States bylaws.

Vendor: An individual or entity who does business with Mountain States by providing supplies, goods or services.

I. Medical Compliance and Ethics Standards

Standard 1.1 Professional Standards

Mountain States prides itself in providing quality patient care with the utmost degree of professionalism. Team members must display a superior level of professionalism and integrity while engaged in the organization’s business. Licensed and certified team members are expected to abide by the ethical standards set forth by professional organizations. Team members should respond honestly and in good faith, striving for excellence in performing job duties, observing all laws and regulations and using Mountain States assets only for legitimate business purposes.

Mountain States mandates that team members in certain professions must maintain current licensure, registration or certification in order to practice. Mountain States will not hire or retain in employment any professional team member who cannot present a current license or valid temporary permit. Current licensure in another state does not satisfy this requirement or allow the professional to practice in TN or VA in the absence of a reciprocal agreement between the states. Failure to present evidence of licensure, registration or certification renewal on or before the renewal date may result in suspension from duty until the current license, registration or certification is obtained.

Standard 1.2 Quality Patient Care

(As our mission statement affirms, Mountain States is committed to bringing loving care to healthcare.) This is accomplished by providing care that occurs in the course of systematic processes designed to ensure the delivery of safe, effective and timely care through compassionate approaches. The delivery of quality patient care services requires specialized knowledge, judgment and skill derived from the principles of biological, physical, behavioral, psychosocial, medical and nursing sciences. Services must be planned, coordinated, provided, delegated and supervised by professional healthcare providers who assess and recognize the unique physical, emotional and spiritual needs of each person. Patient care encompasses not only the recognition of disease and health, but also education and advocacy. The medical staff, nurses and allied health professionals must collaborate as an interdisciplinary team to achieve positive patient outcomes.

Each stakeholder should strive to provide services and to achieve the best attainable outcome for patients at the lowest possible cost. Stakeholders are expected to adhere to care guidelines; requirements of accreditation bodies; federal, state and local regulations; organizational policies and other standards related to patient care. Federal agencies such as the Centers for Medicare and Medicaid Services (CMS) that administer the Medicare and Medicaid programs require

healthcare organizations to comply with health and safety standards referred to as Conditions of Participation (CoPs) and Conditions of Coverage (CfCs). These standards are the foundation for improving quality and protecting the health and safety of our patients. CMS also ensures that the standards of accrediting organizations recognized by CMS must meet or exceed the Medicare standards set forth in the CoPs/CfCs.

Standard 1.3 Emergency Care

Mountain States adheres to the Emergency Medical Treatment and Active Labor Act (EMTALA) to provide emergency treatment to patients, regardless of ability to pay. Mountain States is required by law to provide a presenting patient with a medical screening examination to determine whether an emergency exists and to provide stabilizing care within its capabilities for emergency medical conditions. Patients will only be transferred to another facility if Mountain States does not have necessary equipment or services available or the patient/family requests a transfer to another facility.

Standard 1.4 Patient Rights

Mountain States is committed to the observance of a patient's rights, personal preferences and individual values as reasonably possible. Patients will be provided information regarding their rights. Patients have a right to competent, considerate and courteous treatment and services within our capacity without discrimination as to age, race, ethnicity, religion, culture, language, physical or mental disability, socioeconomic status, sex, sexual orientation, gender identity or expression. This encompasses the right to receive care in a safe setting and be free from neglect, exploitation, verbal, mental, physical and sexual abuse and harassment from staff, other patients or visitors.

These rights also include but are not limited to the right to participate in decisions regarding the consent to or refusal of medical care; the right to receive information in a manner understood by the patient and receive assistance with communication, including an interpreter if necessary; the right to privacy and confidentiality of clinical records as outlined in the Mountain States Notice of Privacy Practices; the right to be free from restraint/seclusion unless medically necessary to ensure safety; and the right to visitors of choice.

Patients have the right to designate a surrogate decision-maker or legal representative to exercise the rights of the patient. Patients are provided information about advance directives regarding treatment decisions, financial matters and the designation of a healthcare decision-maker. Stakeholders must make reasonable efforts to determine the wishes of a patient and/or representative regarding advance directives in order to protect the rights of the patient. If a patient's decision about medical treatment conflicts with Mountain States policies, the situation should be

evaluated in accordance with Mountain States policies and applicable federal and state laws. Patients have the right to file complaints or grievances if they believe a violation of their rights has occurred; or regarding the quality or appropriateness of care. Mountain States maintains a board-approved policy regarding the patient/guest complaint and/or grievance process.

In addition, if asked to participate in an investigational study or clinical trial, patients will receive information upon which to base their decision. Mountain States will protect patients and their rights during research, investigation and clinical trials involving human subjects by providing information to make informed decisions, including but not limited to describing expected benefits, potential discomforts and risks, and alternatives; procedures to be followed and how they may refuse to participate, and such refusal will not compromise access to Mountain States services.

Standard 1.5 Patient Confidentiality

It is not only the right of every patient to expect confidentiality and privacy; it is mandated by federal and state laws. Patient information as defined by various privacy laws such as the Health Information Portability and Accountability Act (HIPAA) provide protections for individually identifiable health information held by Mountain States and other entities doing business with Mountain States. These regulations give patients a range of rights while balancing the need for health information by stakeholders to deliver patient care and for other business purposes. Stakeholders must access, use and disclose patient information only as permitted by job duties and in accordance with federal and state regulations, and Mountain States policies.

Some of the rights afforded to patients include but are not limited to the right to request to inspect and obtain a copy of the medical information used to make decisions about their care; the right to request an amendment to certain information within their medical record; and the right to an accounting of disclosures regarding release of information by Mountain States to others. Mountain States provides various avenues regarding patient privacy such as policies, the provision of a Notice of Privacy Practices, education and other methods to ensure that the rights of patients are ensured in accordance with applicable regulations.

Standard 1.6 Admission, Transfer and Discharge Practices

Admission, transfer and discharge processes are based on medical necessity, not hospital fiscal conditions. Mountain States does not admit, transfer or discharge patients simply on the ability to pay. Patients whose specific condition cannot be safely treated are transferred to an accepting organization only under specific circumstances and in accordance with Mountain States policies. Admission, transfer and discharge are conducted in an ethical manner and in accordance with local, state and federal rules and regulations and Mountain States policies.

II. Business Compliance and Ethics Standards

Standard 2.1 Conflict of Interest

A conflict of interest arises when a stakeholder's exercise of judgment or discretion in the course of job responsibilities is or may be influenced by personal considerations, or if the interests of Mountain States are compromised or jeopardized by those considerations. Stakeholders have a responsibility to put the interests of Mountain States ahead of other employment, business, financial or personal interests that they, as individuals, or family members may have. Stakeholders must refrain from engaging in an employment, business, financial or personal activity or practice that conflicts with the interest of Mountain States or the provision of healthcare to its patients or that might negatively impact the reputation of Mountain States.

Stakeholders are required to disclose any employment, consulting or other business relationships that they may have with a Mountain States competitor, customer or supplier by completing a Conflict of Interest Disclosure Statement and submitting it to CACS. Stakeholders may not use their positions at Mountain States to profit personally or to assist others in profiting in at the expense of Mountain States. Team members are required to disclose immediately, to their direct supervisor and CACS, any situation that may constitute a conflict of interest. Board members, administrative staff, department directors and other selected individuals are required to complete a Conflict of Interest Disclosure Statement annually. Team members are expected to avoid even the appearance of a conflict of interest. The existence of a conflict of interest is not always obvious. The following are a few examples of potential conflicts; other transactions may also constitute conflicts.

1. A team member or immediate family member (parent, sibling, child or spouse) directly or indirectly holds a financial interest in an outside organization that does business with Mountain States or is a competitor of Mountain States, where the interest is sufficient to potentially affect decisions or actions of the team member.
2. A team member or immediate family member serves as a director, officer, consultant, agent or in any other type of decision-making capacity of an organization that does business with Mountain States or is a competitor of Mountain States.
3. A team member or immediate family member uses confidential information obtained in the course of employment at Mountain States for personal gain or the benefit of others.
4. A team member uses Mountain States facilities, equipment or resources in any political campaign.

Team members are encouraged to consult with their supervisor or CACS to discuss any concerns.

Standard 2.2 Medical Records Coding and Billing of Third Parties

Federal and state regulations govern third party billing of our insured patients. Stakeholders are required to ensure that patient records, documents and bills are prepared and maintained accurately and completely. To achieve this, stakeholders must:

1. Abide by Mountain States policies, federal and state laws and regulations, third party requirements, etc. that govern documentation, coding and billing practices.
2. Ensure accurate, complete, truthful and timely documentation is made in the patient medical record for all services performed.
3. Use appropriate procedure, diagnosis and billing codes that are supported by adequate documentation in the medical record.
4. Ensure that services were actually rendered and appropriately documented before bills or claims are submitted for payment.
5. Take necessary steps to verify the accuracy of information and, if necessary, contact other team members or physicians to obtain additional information.

Mountain States will not knowingly submit claims for payment or reimbursement that are false, fraudulent, inaccurate, incomplete or fictitious. Team members are obligated to notify their supervisor or CACS of billing practices that deviate from policy or requests to deviate from accepted practices.

Standard 2.3 Financial Reporting and Record Keeping

Mountain States records, including but not limited to financial, clinical and personnel records, must be accurate, timely, reliable and properly retained. Financial information must reflect actual transactions and conform to generally accepted accounting principles. Mountain States maintains a system of internal controls to provide assurances that transactions are authorized by management and properly recorded. Financial records are audited annually by an external certified accounting firm selected by the Mountain States CACS of the Board.

Mountain States is required by federal and state laws to disclose certain information regarding operating costs and statistical data. These laws describe allowable costs and reimbursement practices. Mountain States is required to retain certain types of medical and business records for specified time periods. Team members must be familiar with specific policies applicable to the

information they work with and comply with the record retention and destruction requirements.

The following standards govern record keeping. Mountain States will:

- Not misrepresent facts or falsify records.
- Maintain those documents required by law and necessary to do business.
- Preserve the confidentiality of patient records.
- Maintain records in accordance with legal requirements.
- Destroy records only in accordance with the records retention policy.
- Make records available for periodic inspection by authorized persons.

Standard 2.4 Kickbacks and Referrals

Federal and state laws govern the relationships between hospitals and physicians in an effort to prohibit soliciting or receiving, or offering or paying, anything of value to induce the referral of patients or business insured by certain government programs; or in return for receiving services, supplies, patients or other business related to such government programs.

Stakeholders must NOT accept or offer anything of value in exchange for the direct or indirect referral of patients or business or for receiving services, supplies, patients or other business.

Limited exceptions are discussed in Standard 5.3 Acceptance of Gifts and Business Gratuities and Standard 5.4 Business Inducements. Any uncertainty should be resolved on the advice of CACS and/or Mountain States legal counsel prior to the offer of acceptance. Examples of prohibited kickback/referral activities include, but are not limited to, the following:

- Payments to referral sources (such as physicians or other hospitals) that exceed the fair market value of the services we are receiving or accepting payments that exceed the fair market value of the services we provide when Mountain States is the referral source.
- Giving free or unreasonably discounted goods or services to referral sources or accepting free or unreasonably discounted goods or services when Mountain States is the referral source (including free or discounted radiology, laboratory, ambulance, pharmacy and therapy services or supplies).
- Payment arrangements with vendors, suppliers or others who are in a position to make referrals to Mountain States where the payments by Mountain States are based on the amount or volume of business referred by the other party, rather than the actual value of the goods or services.

Standard 2.5 Antitrust and Competition

Team members must comply with antitrust and similar laws that regulate competition. These laws are designed to foster free and open competition in the marketplace and generally forbid any kind of understanding or agreement between competitors to fix or control fees for services, terms, conditions of treatment, patients, divide markets, boycotts or to engage in any other conduct that restrains competition. Mountain States will compete fairly in the market.

Team members cannot participate in any discussion, understanding, agreement, plan or scheme with a competitor or potential competitor that restricts competition. For Mountain States, a “competitor” may be another hospital or, depending on the circumstances, another healthcare provider. Discussions or other communications with competitors about the division of either patients, geographic areas or services; the circumstances under which business will be conducted with suppliers, insurance companies, patients or customers (including boycotts); or specific marketing efforts are prohibited. Discussions with competitors regarding the future business plans of Mountain States or pricing, reimbursement or salary levels should not occur.

Standard 2.6 Information Owned by Others

Like Mountain States, other organizations and individuals have intellectual property that must be protected, but may be disclosed for a particular business purpose. Any team member receiving another party’s confidential information must proceed with caution to prevent any accusations that the information was misappropriated or misused. Any team member having knowledge of another party’s confidential or restricted information must not use, copy, distribute or disclose that information, unless done so in accordance with the terms of an agreement. Stakeholders should not duplicate copyrighted materials in any form without written permission of the license holder for use on Mountain States premises or elsewhere.

Care should be taken in acquiring software from others. As intellectual property, software is protected by copyright laws and may also be protected by patent, trade secret laws or as confidential information. Such software includes computer programs, databases and related documentation owned by the party with whom you are dealing or by another party. The terms and conditions of software license agreements, such as provisions not to copy or distribute programs must be strictly followed. Software acquired for personal use should not be copied or used in the course of work for Mountain States or placed on Mountain States-owned computer system.

Standard 2.7 Lobbying/Political Activity

As a tax-exempt, not-for-profit corporation, laws prohibit Mountain States from donating, either directly or indirectly, corporate funds, goods or services (including team members' work time) to any individual who holds a political office or is a candidate for political office. Therefore, these general rules must be followed:

- Team members may not contribute Mountain States money or property, or the services of any team member, to a political candidate, party, organization, committee or individual, which would violate applicable law.
- Team members may personally participate in and contribute to political organizations or campaigns as private individuals, not as representatives of Mountain States, using their own personal time and funds. Team members will at all times let it be known that the views expressed are theirs as individuals and not those of Mountain States.

Mountain States may publicly offer recommendations regarding legislation or regulations being considered. Mountain States may analyze and take public positions on issues that have a relationship to the operations of the organization. These recommendations and positions may be proposed only by individuals officially appointed by Mountain States administration.

Standard 2.8 Tax Laws

As a not-for-profit organization, Mountain States has a legal and ethical obligation to comply with tax laws, to engage in activities to further its charitable purpose and to ensure that its resources are used to further the public good. To maintain this tax exemption, which is critical to the organization's continued existence, Mountain States must avoid what the tax laws refer to as "private inurement" and "private benefit." This means that non-exempt individuals or entities must pay fair market value for the use of Mountain States services, supplies, equipment, properties or other assets. Personal items cannot be purchased through Mountain States, even if the purchaser reimburses the organization. Tax returns and related information must be filed according to applicable laws.

Standard 2.9 Standards of Conduct for Vendors, Contractors and Consultants

Mountain States will enter into business relationships only with vendors, contractors and consultants (also referred to as a third party) who have in effect and abide by standards of ethics and compliance comparable to those reflected in this code. If a team member is uncertain about the standards adhered to by a vendor, contractor or consultant, prior to entering into the

business relationship, the team member is obligated to provide a copy of this code to the third party. The team member must inform the third party that Mountain States expects vendors, contractors and consultants to abide by comparable standards, to the extent applicable and relevant to their operations.

Standard 2.10 Marketing and Public Relations Practices

Mountain States aims to conduct ourselves professionally with truth, accuracy, fairness and accountability to the public, which we serve, holding to fundamental values and dignity of the individual, and the freedom of speech, assembly and the press. Mountain States marketing materials reflect only those services available, the level of licensure and accreditation, and comply with truth in advertising and non-discrimination laws and regulations. Events will be held under the auspices of Mountain States public relations must be coordinated through the appropriate Mountain States department and/or by designated individuals. Mountain States respects the privacy of our patient. Public relations involving patients or patient information will require approved authorizations unless exempted by regulation or law.

Standard 2.11 Ineligible Persons

Mountain States will not contract with, employ or grant hospital privileges to any person or company who has been excluded from participation in federally funded programs (referred to as an "ineligible person"). Pending the resolution of criminal charges or proposed debarment or exclusion, individuals and companies with whom Mountain States currently contracts who are charged with criminal offenses related to healthcare, or proposed for debarment or exclusion, will be removed from direct responsibility for or involvement in any federally-funded healthcare program. If resolution results in conviction, debarment or exclusion of the individual or company, Mountain States will immediately cease contracting with or employing that ineligible person. Before employing an individual, credentialing for medical/AHP staff or entering into a contract or agreement, Mountain States will ensure that the proposed employee, contractor, physician/AHP or vendor is not an ineligible person by performing sanction checks to verify that an individual has not been excluded from participation in federally funded programs. Sanction checks are performed monthly on all active team members, credentialed medical/AHP staff and vendors.

III. Employment Compliance and Ethics Standards

Standard 3.1 Fair and Equitable Treatment of Team Members

Mountain States is an equal opportunity employer. Team members are afforded non-discriminatory terms, conditions and privileges of employment in accordance with law, regardless of age, race, ethnicity, religion, culture, language, physical or mental disability, socioeconomic status, sex, sexual orientation, gender identity or expression, veteran status or factors protected by law. Consistent with the Mountain States philosophy of respect for the rights and dignity of each team member, harassment is not to be sanctioned or tolerated. Mountain States expects all team members to demonstrate proper respect for each other, regardless of position. It is the policy of Mountain States to comply with wage and hour laws; and statutes regulating employer-employee relationships. Management is available to discuss employment concerns that team members may have. Human resources representatives may be contacted to assist in resolving employment issues. Employment practices are set forth in policies. Team members should consult these for information.

Standard 3.2 Health and Safety Precautions

Mountain States is committed to complying with federal, state and local health and safety laws and standards. Team members are expected to know and follow safety-related standards and regulations that apply to their positions. Additionally, team members should be aware of and effectively perform duties during disasters and code situations. Team members should refer to specific policies and/or manuals regarding the environment of care or related procedures. Mountain States requires team members to report to their supervisor, safety officer or a member of the safety committee any existing or potentially dangerous condition that is a threat to the health and well-being of individuals or that is a violation of policy. Mountain States is committed to maintaining a safe workplace for our team members, patients, visitors and customers.

Standard 3.3 Use of Illegal Drugs or Alcohol

Mountain States maintains a safe working environment without the presence of illegal drugs or alcohol. Unlawful use of controlled substances is inconsistent with the behavior expected of stakeholders. Inappropriate behavior could subject stakeholders, patients and visitors to unacceptable safety risks while undermining our ability to operate effectively and efficiently. Stakeholders are prohibited from the use, sale, possession, manufacture or purchase of illegal drugs or alcohol while at work or on Mountain States premises. Stakeholders are not allowed on Mountain States premises while under the influence of illegal drugs, legal drugs improperly

used or alcohol unless at a facility seeking emergency treatment. Any stakeholder having knowledge of another stakeholder or a concern of an individual who appears to be impaired must immediately notify Mountain States management.

Standard 3.4 Pharmaceuticals, Prescription Drugs, Controlled Substances

Many stakeholders have responsibility for or access to prescription drugs, controlled substances, related supplies, paraphernalia, hypodermic needles, drug samples and other regulated pharmaceuticals in the course of their duties. Mountain States is legally responsible for the proper distribution and handling of these pharmaceutical products. Federal, state and local laws covering prescription drugs and controlled substances are intended to maintain the integrity of our national drug distribution system and protect consumers by assuring that prescription drugs are safe and properly labeled. These laws include prohibitions against diversion of prescription drugs or controlled substances, including a drug sample, in any amount for any reason to an unauthorized individual or entity. The distribution of adulterated, misbranded, mislabeled, expired or diverted pharmaceuticals is a violation of federal and state law for which severe criminal penalties may be imposed on individual violators, as well as on their employer.

Mountain States providers who dispense and/or prescribe controlled substances will comply with controlled substance monitoring programs to promote the appropriate use of controlled substances for legitimate purposes while preventing abuse and diversion of controlled substances. Stakeholders must be diligent and vigilant in their obligations to handle and dispense prescription drugs and controlled substances in accordance with laws, regulations and internal policies.

IV. Environmental Compliance and Ethics Standards

Standard 4.1 Environmental Standards

Mountain States is committed to observing and complying with all federal, state and local health, safety and environmental laws. Stakeholders are required to ensure that:

- Medical waste, environmentally sensitive materials and hazardous materials are disposed of in a proper manner.
- Infectious materials and medical equipment are properly handled and stored.
- Personal protective equipment is used appropriately.
- Spills/accidents involving infectious/hazardous materials are promptly reported and handled in the approved manner.
- Confidential patient and/or business information is properly shredded or destroyed.

Mountain States is concerned with the protection of the environment and strives to conserve natural and man-made resources. Team members are charged with using resources appropriately and efficiently, reducing waste and recycling or shredding as appropriate. Noncompliance should be reported to a supervisor, the safety officer, a member of the safety committee, the HIPAA privacy or security officer, or to the CACS department. Efforts will be made to work cooperatively with appropriate authorities to remedy any environmental contamination for which Mountain States may be responsible.

V. Basic Workplace Compliance and Ethics Standards

Standard 5.1 Confidentiality and Proprietary Information

Throughout the course of employment, stakeholders may have access to and become knowledgeable about information that is confidential and/or proprietary. Stakeholders are expected to maintain confidentiality during and subsequent to employment with Mountain States. Examples include, but are not limited to, the following:

- Medical information pertaining to patients and beneficiaries.
- Payment and reimbursement information.
- Team member records and/or negotiations with team members or organizations.
- Company financial records, business plans or strategies.
- Computer programming and processing information.
- Customer lists.
- Product and pricing strategies.

Stakeholders possessing proprietary information must handle the information in a manner as to protect against improper access, use or disclosure. Confidential or proprietary information may not be used directly or indirectly for personal gain, nor can it be disclosed to anyone or posted in publicly available sources without authorization. Team members must return all confidential and proprietary information to Mountain States upon termination of employment with the organization.

Standard 5.2 Travel and Entertainment

Travel and entertainment expenses should be consistent with team member job responsibilities and the needs and resources of Mountain States. Team members should not have a financial gain or loss as a result of business travel and entertainment. Team members are expected to exercise reasonable judgment and discretion with Mountain States financial resources and use them as carefully as they would their own. Team members are required to comply with business travel and entertainment policies, departmental travel and entertainment requirements.

Standard 5.3 Acceptance of Gifts and Business Gratuities

When gifts or items of value are offered from a vendor, patient or anyone external to Mountain States, there may be a concern that the donor's motivation is improper, such as expecting to receive special treatment in exchange for the gift. Team members should not accept gifts, entertainment or favors from a supplier, potential supplier, patient or competitor of Mountain States if it may be inferred that the gift is intended to influence, or possibly influence, the team member. Under certain circumstances, acceptance of non-monetary items may be allowed. Mountain States has adopted policies to establish the parameters around such practices.

Standard 5.4 Business Inducements

Team members may not offer, give, solicit or receive any form of bribe or other improper payment from a vendor or anyone external to Mountain States as an inducement for business or special treatment. While commissions, rebates, discounts and allowances are acceptable under certain circumstances, the rules governing those circumstances are complex. No such arrangement should be entered into without explicit approval of Mountain States management and/or Mountain States legal counsel prior to the arrangement.

Standard 5.5 Proper Use of Corporate Assets

Mountain States assets made available to team members are to be used for authorized business purposes, not for non-business or personal purposes. Team members are personally responsible and accountable for the proper use of company property and expenditure of company funds. Team members are expected to protect Mountain States assets, property, facilities, equipment and supplies against loss, theft, damage, inappropriate use or disclosure by ensuring that internal controls exist and are followed. Improper use of assets, including theft or embezzlement of funds or other property belonging to Mountain States or Mountain States customers, for anything other than an authorized purpose is a serious violation and will lead to appropriate disciplinary action.

VI. Communicating Legal and Ethical Issues

Standard 6.1 Responsibility to Report Problems or Concerns

The standards in the Code are designed to promote honesty, fairness and to ensure compliance with regulatory requirements. It is the responsibility of every stakeholder to ensure associations with patients, co-workers, community members and businesses are honest and law-abiding. This imposes on each stakeholder an affirmative obligation to know Mountain States policies, laws and regulations that relate to their responsibilities. The reputation of Mountain States depends upon each stakeholder to report questionable behavior, unethical conduct or suspected violation of policies or laws. Every stakeholder is responsible for making appropriate persons within the organization aware of potential or known concerns or problems.

Standard 6.2 No Retaliation for Reporting Problems or Concerns

Mountain States encourages stakeholders to discuss legal and ethical issues that may arise while performing job responsibilities and requires team members to report concerns to appropriate persons within the organization for investigation or follow-up. In order to protect those stakeholders coming forth in good faith to relate these issues, Mountain States has implemented a non-retaliation policy. Mountain States will not tolerate retaliation against any stakeholder who, in good faith, reports a legal or ethical concern either internally or to external parties, such as the federal government, state or accrediting bodies that govern our operations.

VII. Doing Business with the Government

Standard 7.1 Medicare and Medicaid/State Programs

Mountain States participates in Medicare and Medicaid/state programs, all of which are governed by complex laws and regulations imposing strict requirements that may be significantly different from, and more extensive than, those encountered in non-government commercial contracts. Medicare and Medicaid/state programs have multifaceted payment guidelines that identify the circumstances under which, and how much, those programs will reimburse for goods and services rendered to patients covered under those programs. These guidelines are often different than directives received from other third party payers.

Violations of these laws and regulations can result in criminal sanctions being imposed, not only on the persons actively involved, but also on the organization on whose behalf those persons act.

Mountain States could be precluded from further participation in federally funded programs. Strict compliance with Medicare and Medicaid/state laws and regulations is essential. Stakeholders are expected to strive toward compliance in performing respective duties while conducting business for, or with, Mountain States and Mountain States patients.

Standard 7.2 Federal and State False Claims Act

Federal and state governments have false claims acts to help prevent and detect fraud, waste and abuse in healthcare programs. In summary, under these acts, a civil action may be brought against any person who "knowingly" submits or causes another to submit a false or fraudulent claim for payment by a government agency, which can result in significant fines and penalties.

Under the Tennessee Medicaid False Claims Act, the Virginia Fraud Against Taxpayers Act and the Federal False Claims Act, a person (relator) may bring a civil action (referred to as a qui tam lawsuit) under each act for both the person and the state (the TN Act and the VA Act) and/or the U.S. Government (under the Federal Act). Generally, if the civil lawsuit is successful, the relator (referred to as the whistleblower) will be entitled to 15 to 30 percent of the government's recovery as well as reasonable attorney fees and costs. Under each false claims act there are protections for whistleblowers to protect them from being discharged, demoted, suspended, threatened, harassed or discriminated against as a result of lawful actions. An employee may bring an action in court for such protections under the acts.

Mountain States operates under a system-wide no-retaliation philosophy, which means team members will not be retaliated against for reporting in good faith compliance and ethical concerns.

Standard 7.3 Responding to Government Inquiries

It is a policy of Mountain States to comply with reasonable and lawful requests by government officials for information. Requests might include information related to patient care, billing and financial practices or operational issues. When possible, team members should seek to obtain government requests/inquiries in writing; if this is not possible, team members should independently document the specific request for information. Team members are expected to provide truthful and accurate information in a timely manner to a government request for information. Mountain States will not tolerate false statements made by team members to government agencies and will take action against team members for violations.

While team members are expected to comply with such requests, Mountain States is entitled to safeguards provided by law against disclosure of certain information. Examples of information that might not be subject to disclosure include, but are not limited to:

- Patient information protected by medical record privacy laws.
- Quality assurance data compiled by Mountain States to comply with federal and state requirements.
- Information collected as part of the Mountain States peer review process to review and evaluate the credentials of healthcare providers furnishing services within our organization.
- Employee records.

Team members must consult with their supervisor if there is any question concerning whether information requested by a government official is subject to disclosure. Policies may apply to disclosures of information including patient information. Team members should maintain copies of or a list identifying information disclosed in response to an audit.

Any team member receiving a subpoena from the government must notify CACS and/or Mountain States legal services immediately. Team members are not permitted to respond to subpoenas without permission and direction of Mountain States legal counsel. This measure is required to ensure that the delivery of Mountain States healthcare services and business operations are not compromised as a result of responding to a government subpoena.

Any team member who is requested to provide information regarding Mountain States operations or confidential information in response to a government request, regardless of where the request for information is made (i.e., on Mountain States premises or at the team member's home), should report the existence of the communication to their departmental director and CACS. Requests for patient information should be directed to the medical records/health information management department. Team members have the right to not respond to such inquiries before consulting with Mountain States legal counsel.

Standard 7.4 Hiring of Former Government Employees

Specific rules exist to eliminate the appearance of a conflict of interest by former government employees who, upon termination of their government service, seek employment with those who do business with the government. Clearance from Mountain States legal counsel must be obtained prior to discussing the employment or possible retention of a current or former government employee.

Standard 7.5 Offering Gifts, Meals or Gratuities to Government Personnel

Payment for meals, refreshments, travel or lodging expenses for government employees are governed by strict guidelines which prohibit any type of gratuity, with very few exceptions, and strict compliance is required. Unlike other circumstances, laws regarding this issue can easily be violated if anything of value is given to a government employee, even if there is no intent to influence an official action or decision.

VIII. Compliance Education

Mountain States is committed to providing education to team members regarding the Code. Mountain States requires that all stakeholders read this code thoroughly, attest to having read and understood it and comply with the standards contained in this code. Team members are expected to complete compliance training. New team members will receive training as part of orientation. Satisfactory completion of training and adherence to Mountain States standards and policies will be a factor in team member evaluations.

IX. Sanctions for Violations

Stakeholders are expected to abide by the Code, policies, laws and regulations that affect the operations of our business. Mountain States maintains a policy of zero tolerance for violations of Mountain States standards, policies and regulatory requirements. Disciplinary actions will be taken for:

- Authorization of or participation in actions that violate the Code.
- Failure to report a violation of the Code or to cooperate in an investigation.
- Failure by the management of a violator to detect and report a violation of the Code, if such failure reflects inadequate supervision or lack of oversight.
- Retaliation against an individual for reporting a violation or possible violation of the Code.

Disciplinary action may result in verbal or written warnings, corrective action programs, employment or contractual termination, institution of peer review, etc. as applicable. Actions will be determined on a case-by-case basis in accordance with Mountain States policies.

X. How to Report Problems or Concerns

Team members are encouraged to talk to a supervisor about concerns. Management is responsible for using resources throughout the organization to assist in upholding the standards of the Code, Mountain States policies and regulatory requirements. If an issue is raised and appears to not be receiving appropriate attention, or if the team member feels the answer from the supervisor is not acceptable, concerns should be raised to the next level and/or to the department director. If this individual is unable to resolve the issue, the issue should be elevated to the facility compliance officer, a human resources representative, CACS, Mountain States legal counsel, the ethics committee consultant and/or a vice president.

A concern may be reported anonymously by calling the Mountain States Compliance AlertLine. The Compliance AlertLine is designed to permit a stakeholder to report a compliance concern or to obtain clarification on compliance issues. Calls to the AlertLine are answered confidentially by trained operators from an external agency 24 hours a day, seven days a week. There is no caller ID function and caller identification is not required. A caller may remain anonymous and will be given a follow-up code to call back and request a status of the reported concern.

Mountain States Compliance AlertLine: 1-800-535-9057

Resources

Stakeholders may also report quality of care or patient safety issues to:

The Joint Commission:
 Online: www.jointcommission.org
 Email: patientsafetyreport@jointcommmission.org
 Fax: 630-792-5636
 Mail: The Joint Commission
 One Renaissance Blvd.
 Oakbrook Terrace, IL 60181

The Healthcare Facilities Accreditation Program:
 Online: www.hfap.org
 Fax: 312-202-8298
 Mail: HFAP c/o Complaint Dept
 142 E. Ontario St.
 Chicago, IL 60611

State of Tennessee:

Online: www.tn.gov
 Tele: 877-287-0010 (toll free)
 Mail: Division of Health Care Facilities
 Centralized Complaint Intake Unit
 665 Mainstream Dr., 2nd Floor
 Nashville, TN 37243

State of Virginia:

Online: www.vdh.virginia.gov
 Email: OLC-Complaints@vdh.virginia.gov
 Fax: 804-527-4503
 Tele: 800-955-1819 (toll-free)
 Mail: Office of Licensure and Certification
 Complaint Intake-VA Dept. of Health
 9960 Mayland Dr., Ste. 401
 Henrico, VA 23233

Other resources available throughout Mountain States include:

Coding Questions Request Line	423-431-6070
Billing/Reimbursement Patient Accounts	423-431-1700
Employment/Human Resources-Corporate	423-302-3251
Employment/Human Resources-NCH/DCH	276-439-1014
Environmental/Infection Prevention	Call Facility Main Number
Ethics Consult or House Supervisor	Call Facility Main Number
Conflicts of Interest/Corporate Compliance Officer	423-302-3394
Contracts, Kickbacks, Legal Counsel	423-302-3411
HIPAA Privacy/HIPAA Security	423-302-3401/423-302-3407



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