

# CALVARY HOSPITAL

*It's where life continues*



## CODE OF CONDUCT

Making A Difference

# Dear Calvary Hospital Colleague:



Our patients and the communities we serve rely on us for quality care and trust us to demonstrate integrity in everything we do. We strive to provide an ethical and compassionate approach to health care. To assist all of us in accomplishing this mission, as of January 2000, the Board of Directors adopted this Code of Conduct.

The purpose of this Code of Conduct is to inform all employees, volunteers, suppliers, and other parties of our standards. Calvary Hospital is committed to approaching all of its activities, especially compliance with laws and regulations, in an ethical manner. Since everyone at Calvary Hospital has a personal stake in this important initiative, I strongly urge each of you to review this information thoroughly and refer to it whenever situations arise requiring you to exercise your judgment.

This Code of Conduct is meant to provide you with guidance on ethical and compliance issues. At the same time, we recognize that it is impossible to cover every issue you may encounter day to day. If you have a question, or encounter a situation which concerns you, you should ask for assistance through your Supervisor, the Compliance Officer/Compliance Manager, or our Compliance Help Line at (800) 340-5877. You have my personal assurance that no retaliatory action will ever be taken against you for asking a question or raising a concern in good faith about the Code of Conduct. You will always find an "open door" when it comes to business ethics and compliance issues.

Calvary Hospital is a health care leader. Calvary Hospital must also be a leader in demonstrating sound ethical and compliance practices. We know that focusing our efforts on ethics and compliance is the right thing to do and we know that a sound compliance program will be the threshold for a stronger organization. I encourage you to join in our commitment to these goals so that we can continue to be proud of our organization and be a role model for our industry.

A handwritten signature in dark ink, reading "Frank A. Calamari". The signature is written in a cursive, flowing style.

Frank A. Calamari  
President & CEO

The image shows the exterior of Calvary Hospital, a large multi-story building with a central glass-fronted section. In the foreground, there is a courtyard with a fountain and some greenery. The text 'CALVARY HOSPITAL' is overlaid in a blue box at the top center, and 'Code Of Conduct' is written in a large, white, serif font across the middle. Below it, the tagline 'Making A Difference' is written in a smaller, white, sans-serif font.

**CALVARY  
HOSPITAL**

*Code Of Conduct*  
Making A Difference

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# *Our Leadership Goals And Values*

At Calvary Hospital, we recognize the importance of maintaining an environment of integrity, honesty, and respect. Our goal is to provide an atmosphere where patients feel valued and cared for and employees are empowered to positively influence Calvary Hospital. Together, we can work to foster this environment of ethical and compliance responsibility and achieve our mission of providing quality patient care.

Calvary Hospital's institutional ethics are grounded in our Mission Statement and our Roman Catholic heritage. Calvary Hospital stands behind its values on the belief that actions directed by these values contribute to a high standard of patient care and promote excellence of practice of all those who work within or work with the institution. The values that we believe foster our high standards and excellence include:



DIGNITY • COMPASSION • COMMITMENT  
NON-ABANDONMENT • CARING



Finally, some values are the very precondition for doing business, for example, truth telling and promise keeping. Without these moral virtues, business itself would be impossible.



## Purpose Of The

# *Code Of Conduct*

This Code of Conduct (the "Code") is intended to assist us in carrying out our day-to-day activities within appropriate moral, ethical, and legal standards. The Code is a critical component of our overall Corporate Compliance Program (the "Program"). We have developed the Code to ensure that we provide quality patient care and meet our ethical standards. If you have any questions regarding our expectations of you, of the Code, or the Program, feel free to ask your Supervisor, the Compliance Officer/Compliance Manager, or call our Compliance Help Line at (800) 340-5877.

We are committed to conducting all of our business dealings in compliance with applicable laws and regulations and avoiding any impropriety, dishonesty, or wrongdoing. We believe adhering to the principles of our Program and the Code will allow us to create and reinforce a corporate culture embracing compliance and maintaining our reputation as a leader in providing quality and appropriate patient care.

We will thrive and prosper only if our reputation for honesty, integrity, quality service, and excellent care is beyond question. We must be honest and truthful in all our dealings and avoid doing anything that is illegal or that might appear improper. Remember that we share in the continuing responsibility to serve our patients and communities and to maintain our good name and reputation in all that we do.





# Patient Relations

**Patient care administered by Calvary Hospital will be in accordance with the "Patients' Bill of Rights" in New York State.**

## PATIENT CARE

Calvary Hospital's main concern is for the well-being, comfort, and dignity of its patients. All patients are provided with service and care that is medically necessary and appropriate, in a respectful and dignified manner, without regard to race, color, creed, sex, religion, national origin, sexual orientation, marital status, age, veteran status, disability, source of payment, or ability to pay. All clinical decisions will be based upon identified health care needs regardless of how Calvary Hospital compensates or shares financial risk with any individual or entity.

Upon admission to Calvary Hospital, patients are provided with a written statement of their rights. Patients and, as appropriate, their families or representatives, will be given the information necessary to enable them to give informed consent prior to the start of any non-emergency procedure or treatment. The providers have a responsibility to inform patients about their proposed plan of care, including the risks, benefits, and alternatives available to them. Calvary Hospital respects patients' rights to make informed decisions about treatment, as well as to establish advance directives. Calvary Hospital honors patients' advance directives, within the limits of the law and the mission, philosophy, and capabilities of Calvary Hospital.

Compassion and care are part of our commitment to the communities we serve. We treat patients without regard for their ability to pay and will not withhold treatment or undertreat patients for any economic reasons. We strive to provide health education, health promotion, and illness prevention programs as part of our efforts to improve the quality of life for our patients and our communities. If you have any questions, or concerns about this policy, contact the Compliance Officer/Compliance Manager.

## PATIENT INFORMATION CONFIDENTIALITY

We collect information about each patient's medical condition, history, medication, and family illnesses to provide the best possible care. We realize the sensitive nature of this information and are committed to maintaining its confidentiality. We do not release or discuss patient-specific information with others unless it is appropriate and necessary to serve the patient, or is required by law.

Patients are entitled to expect the protection of confidentiality. Patient information shall be released in accordance with Calvary Hospital's policies and procedures with respect to the Release of Information and in accordance with New York State laws.

(See COMPLIANCE FOR ALL EMPLOYEES - Confidential Information)

# *Physician And Provider Relationships*

## **WE DO NOT PAY FOR REFERRALS**

We accept patient referrals/admissions solely based on the patient's clinical needs and our ability to render the needed services. We do not, however, pay or offer to pay anyone - employees, physicians, or other persons - for referrals of patients. No employee, or other person acting on behalf of Calvary Hospital, is permitted to enter into any agreements (especially with physicians) that are linked directly, or indirectly, to the referral of patients.

## **WE DO NOT ACCEPT PAYMENTS FOR REFERRALS THAT WE MAKE**

Our physicians and other health care providers make patient referrals solely based on the patient's clinical needs and the abilities of the referred provider to render such services. No employee or any other person acting on behalf of Calvary Hospital is permitted to solicit or receive anything of value, directly, or indirectly, in exchange for the referral of patients. Similarly, when making patient referrals to another health care provider we do not take into account the volume or value of referrals that the provider has made (or may make) to Calvary Hospital.

## **WE DO NOT ALLOW PERSONAL INTERESTS TO INFLUENCE REFERRALS**

Our policy is to inform patients of their options as to home health, hospice, durable medical equipment, home infusion, and other ancillary health care services and to promote patient freedom of choice in selecting any services that the patient may require. However, physicians are prohibited from referring patients to other health care providers in which they (or family members or owned entities) have certain financial or compensatory interests.

## **WE DO NOT PAY PATIENTS**

We do not waive insurance co-payments or otherwise provide financial benefits to patients in return for admission. Under certain circumstances, Calvary Hospital may provide for appropriate financial arrangements (such as allowing monthly payments over time) to patients based purely on their financial need.

# *Billing For Services*

## **CODING AND BILLING FOR SERVICES**

We will bill the patient when appropriate, or their insurance company (which may be the government). We are committed to preparing and submitting honest, accurate, and complete claims to third party payers and bills to patients that fully comply with the law.

Calvary Hospital is committed to full compliance with all rules and regulations of government health care programs, including Medicare, Medicaid, and the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS), as well as managed care entities participating in these government programs. Calvary Hospital will also comply with the rules and requirements of all commercial insurance programs. We bill only for services rendered and all claims shall have adequate supporting documentation in the patient's medical record. It is our policy to apply the correct Current Procedural Terminology (CPT-4), Health Care Finance Administrator Common Procedure Coding System (HCPCS), and International Classification of Disease (ICD-9-CM) coding principles and guidelines and any other regulations that apply when analyzing medical record documentation.

We do not:

- ▶ bill for items and services not rendered or not medically necessary;
- ▶ misrepresent the type or level of service rendered;
- ▶ bill for non-covered services;
- ▶ abuse the use of observation bed status;
- ▶ bill for services rendered by other providers; or
- ▶ misrepresent a diagnosis in order to obtain payment.

## **BILLING QUESTIONS OR CONFLICTS**

When employees receive a question from a patient or third party payer about an invoice or charge, they will promptly review and address the question, if authorized to do so, or will refer the matter to an individual who is so authorized. If employees are unable to resolve a dispute regarding a patient's bill, they will refer the issue to their Supervisor for resolution.

## **SUBCONTRACTS FOR BILLING SERVICES**

Subcontractors and independent contractors are "agents" of Calvary Hospital and act on behalf of Calvary Hospital while performing their duties. These individuals and entities are required to adhere to the same superior billing and coding standards that are applicable to Calvary Hospital's employees.

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## *Billing For Services*

Any subcontractors engaged to perform billing services must have the necessary skills, quality assurance processes, systems, and appropriate procedures to ensure that all billings for government and commercial insurance programs and private payers are accurate and complete. To be eligible for consideration, third party entities must also be able to demonstrate to Calvary Hospital that they have the appropriate credentials to perform any contracted work and that the necessary training has been provided to their personnel. Third party billing entities, subcontractors, and preferred vendors considered by Calvary Hospital must also have their own internal compliance program reviewed and approved jointly by the Compliance Officer and designated legal counsel.

Calvary Hospital will not enter into any incentive arrangements with subcontractors to "maximize reimbursement." These types of arrangements are expressly prohibited.

### **COST REPORTS**

A substantial portion of our business involves reimbursement under federal and state government programs that require the submission of cost reports. We must adhere to a wide range of legal and regulatory requirements in the preparation of such cost reports.

We are committed to maintaining the highest ethical and legal standards. Compliance with federal and state laws relating to all cost reports is top priority. These laws and regulations, while highly complex, define what costs are allowable and non-allowable, as well as define the appropriate methodologies to claim reimbursement for the cost of services provided to program beneficiaries. Given this complexity, all issues related to the completion and settlements of these cost reports must be communicated through or coordinated with Calvary Hospital's Finance Department.

It is important to stress that the operational units have the primary responsibility of ensuring the accuracy of information reflected on cost reports and in our books and records. It is contrary to this Code to submit a cost report that you know contains false information. If you know that a cost report contains false information, you should immediately contact Calvary Hospital's Finance Department or the Compliance Officer. You are also in violation of this Code if you have any reason to believe that a cost report contains false information, but deliberately fail to report the matter.



# Government Transactions

A large American flag is visible in the upper right corner, partially overlapping the text. Below the flag, the top portion of a classical building facade with columns is visible. The background is a light, hazy sky.

## POLITICAL ACTIVITY

Calvary Hospital's political participation is limited by law. Calvary Hospital's funds or resources may not be used to contribute to political campaigns or for gifts or payments to any political party or organization, unless expressly permitted by state and federal law and approved by the Compliance Officer.

It is important to separate personal and Calvary Hospital political activities in order to comply with the appropriate rules and regulations relating to lobbying or attempting to influence government officials. As private citizens, Calvary Hospital employees may participate in the political process if so desired. At times, Calvary Hospital may ask employees to make personal contact with members of government or write letters to present our position on specific issues, or periodically use professional lobbyists to promote our interests. If you are making these communications on behalf of Calvary Hospital, you may be engaging in regulated lobbying activities and must obtain prior approval from the Chief Executive Officer, who will confer with the Director of Public Affairs and Community Relations and the Compliance Officer to concur on its release. Lobbyists are required by law to register and disclose their activities with government bodies as to time and money spent.

Calvary Hospital may speak out on issues that impact our business and senior management is responsible for developing our position on legislative and regulatory matters. If you have any questions, concerns, or if you are contacted by legislators, the press, regulators, or other third parties regarding our position on public issues, please refer them to the Compliance Officer or the Director of Public Affairs and Community Relations.

## HIRING FORMER AND CURRENT GOVERNMENT EMPLOYEES

The recruitment and employment of former or current U.S. government employees is subject to complex rules which change frequently and vary by employee. In some cases, these rules may also apply to the immediate family of the government employee. Similar rules may also apply to current or former state or local government employees or legislators and members of their immediate families.

If a former government employee or consultant becomes an employee or consultant to Calvary Hospital, care should be exercised to ensure that the requirements of the U.S. Government Conflict of Interest Laws are not violated. Each situation should be considered on an individual basis and you should consult the Compliance Officer/Compliance Manager, Human Resources, or designated legal counsel on issues related to recruitment and hiring of former or current government employees.

# Compliance For All Employees

## CONFLICTS OF INTEREST

A conflict of interest may occur if your outside activities or personal interests influence or appear to influence your ability to make objective decisions in the course of your job responsibilities. A conflict of interest may also exist if the demands of any outside activities hinder or distract you from the performance of your job or cause you to use Calvary Hospital resources (i.e., time, computers, facilities, supplies) for non-Calvary Hospital purposes. This policy applies to the Board of Trustees, Executive Office, all employees (including physicians with private practices) and volunteers. It is important that while on the job, you think about Calvary Hospital first.

### Some examples of potential conflict situations:

- ▶ Acting as a director, partner, consultant, or employee of a firm which provides services, supplies, or equipment to Calvary Hospital. This generally means you should not have a business relationship with suppliers.
- ▶ Ownership by you or members of your family of a financial interest in a firm that is a vendor of Calvary Hospital.
- ▶ Purchase or lease of real estate which may increase in value because it is known that Calvary Hospital may have an interest in the property.
- ▶ Gifts and entertainment represent a sensitive area since these activities may create a potential conflict of interest or be interpreted by others as an attempt to influence a situation. You should not give or receive gifts if the circumstances may appear to raise questions about conflicts (see Gifts and Entertainment).



CALVARY  
HOSPITAL

## GIFTS AND ENTERTAINMENT

Calvary Hospital employees and independent contractors may not accept any gifts whatsoever from any patient, patient's family, vendor, supplier, patient referral source, or patient discharge facility or service, except for nominal gifts (e.g., basket of fruit, candy, flowers, etc.) received through the normal course of acceptable business practice.

## CONTROLLED SUBSTANCES

As part of their job responsibilities for Calvary Hospital, some employees routinely have access to prescription drugs, controlled substances, and other medical supplies such as drug samples and hypodermic needles. Many of these substances are governed and monitored by specific regulatory organizations and should be administered by physician order only. It is extremely important that these items be handled properly and only by authorized individuals to minimize risk to ourselves and our patients. If you become aware of the diversion of drugs from the organization, you should report the incident immediately.

## CONFIDENTIAL INFORMATION

Every organization develops or owns information that it wants to protect. Although you may use Calvary Hospital's confidential information to perform your job, it is not public information and should not be shared with others. Some examples of this type of information include personnel data, patient lists, financial data, research data, clinical information, strategic plans, marketing strategies, processes, techniques, computer software, and any information with a copyright.

In the course of employment, you may become aware of non-public information about Calvary Hospital and its plan for mergers, marketing strategy, financial results, or other business dealings. Generally, you may not discuss this type of information with anyone outside of Calvary Hospital. Within Calvary Hospital, you should discuss this information on a strictly "need to know" basis only with other employees who require this information to perform their jobs.

If you learn confidential information about Calvary Hospital while performing your job, (i.e., information that is not generally known by the public), you may not use that information to buy, sell, or retain securities of any company or benefit financially (from that information) in any way. This restriction also applies to your family members and others living in your household. Even if you do not buy or sell securities based on what you know, discussing the information with others, such as vendors, suppliers, and acquaintances is prohibited. If you use any insider information for personal benefit or disclose it to others prior to its release to the general public, you will be violating Calvary Hospital policy, as well as securities laws and you could be subject to civil and criminal penalties.

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## *Compliance For All Employees*



### ANTITRUST

It is our policy to fully comply with antitrust laws. Antitrust laws are designed to create a level playing field in the marketplace and to promote fair competition. Our competitors are other hospitals and facilities in markets where we operate. Antitrust laws could be violated by discussing Calvary Hospital business with a competitor, such as how our rates are set, disclosing the terms of supplier relationships, allocating markets amongst competitors, or agreeing with a competitor to refuse to deal with a supplier.

Relationships with patients and suppliers can also raise antitrust issues. The Compliance Officer should be consulted before: (1) conditioning the sale of one product on the requirement that the patient also buy another product or service or our full line of products or services; (2) refusing to deal with suppliers (including physicians) who sell to, or otherwise benefit from, competitors; and (3) refusing to do business or deal with patients or suppliers for competitive reasons, such as to lessen competition or to attempt to create or maintain a monopoly (e.g., a refusal to deal with suppliers who sell to competitors who are price-cutters).

At trade association meetings, be alert to potential situations where it may not be appropriate for you to participate in discussions. If a competitor raises a prohibited subject, end the conversation immediately. Document your refusal to participate in the conversation by requesting that your objection be reflected in the minutes, or by drafting a memo to the Compliance Officer or designated legal counsel. Prohibited subjects include any aspect of pricing our services in the market, key costs such as labor costs and marketing plans. This includes arrangements between competitors which may stabilize prices, alter production levels of a product, allocate or divide markets, territories, or customers, or refusing to deal with third parties. An unlawful arrangement may result not only from a written document or oral agreement, but also from any kind of mutual understanding which gives the parties a basis for expecting that a business practice or decision made by one will be honored by another.

For these reasons, you should avoid discussing sensitive topics with competitors or suppliers, unless you are proceeding with the advice of designated legal counsel. You should also not provide any information in response to oral or written inquiry concerning an antitrust matter without first consulting the designated legal counsel or the Compliance Officer.

## COMMUNICATION SYSTEMS

All communications, electronic mail, intranet, internet access, voice mail, or paper are the property of Calvary Hospital and are to be used for business purposes only. You should assume that these communications are not private. Generally, confidential information should not be sent through Intranet or the Internet since its confidentiality cannot be guaranteed.

Calvary Hospital may review Intranet and voice messages periodically if we have a business reason or are conducting reviews for quality control purposes. If you abuse our communications systems or use them for non-business purposes, you may lose these privileges and/or be subject to disciplinary action.

You may not use Calvary Hospital communications to:

- ▶ send harassing, threatening, or obscene messages;
- ▶ send chain letters;
- ▶ access non-business information on the Internet;
- ▶ send copyrighted documents that are not authorized for reproduction;
- ▶ conduct non-Calvary Hospital business;
- ▶ conduct a job search; or
- ▶ open misaddressed mail.



Employees must not use Calvary Hospital resources for non-official business purposes. Calvary Hospital resources include information, technology, intellectual property (e.g., copyrights, patents, and trademarks), buildings, land equipment, machines, telephones, voice mail, E-mail, copiers, computers, software, supplies, cash, and the time and skills of employees.

Examples of misuse are:

- ▶ unauthorized possession or personal use of company resources;
- ▶ permitting or directing others to misuse company resources; and
- ▶ soliciting for personal use on voice mail or E-mail such as advertisements for the sale of a personal item (e.g., a house or a car).

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# *Compliance For All Employees*

## **EMPLOYMENT PRACTICES**

Calvary Hospital is committed to providing a fair and equal opportunity work environment where everyone is treated with respect and courtesy. This means:

- ▶ we will not tolerate any unlawful harassment or discrimination for any reason and expect the same from all of our contractors, vendors, and visitors to Calvary Hospital;
- ▶ we provide equal opportunity for employment;
- ▶ we compensate and promote our employees in accordance with Calvary Hospital's policies and procedures; and
- ▶ we provide equitable benefits to all eligible employees.

No employee shall discriminate against any individual with a disability with respect to any offer, term, or condition of employment. We will make reasonable accommodations to the known physical and mental limitations of otherwise qualified individuals with disabilities.

## **A NON-DISCRIMINATORY ENVIRONMENT**

Calvary Hospital and its affiliates are equal opportunity employers and do not discriminate against employees or potential employees on the basis of race, color, creed, religion, sex, national origin, sexual orientation, veteran status, marital status, age or disability. Calvary Hospital will make reasonable accommodations for its disabled employees. Calvary Hospital will not tolerate discrimination, verbal or physical harassment, or abuse (whether or not sexually related) by employees, supervisors, vendors, subcontractors, or visitors of Calvary Hospital. Calvary Hospital is committed to actions and policies to assure fair employment, including equal treatment in hiring, promotion, training, compensation, termination, and disciplinary action.

## **DISRUPTIVE BEHAVIOR**

Disruptive behavior is a negative style of interaction with physicians, hospital personnel, contracted service employees, patients, or family members and visitors. It interferes with patient care, tends to cause distress among staff, affects morale and harms the work environment. In severe cases, disruptive behavior can reduce effectiveness and productivity, result in ineffective or substandard care and undermine Calvary's culture of care.

Calvary Hospital has a zero tolerance policy with respect to individuals engaging in disruptive behavior, any form of harassment or threatening to engage in workplace violence. Disruptive behavior includes all forms of sexual harassment and workplace violence. Specific examples of unacceptable conduct are raised voices, angry outbursts, throwing objects, verbal abuse, abusive treatment of patients, families, or staff; discriminatory actions against individuals based on race, color, religion or disability; disruption of meetings, willful disobedience and refusal to carry out tasks. Calvary employees have a responsibility to avoid these behaviors. As important, we have a responsibility to model positive behaviors that reflect Calvary's core values, and our culture of caring.



## IMPAIRMENT AND SUBSTANCE ABUSE

Calvary Hospital's facilities are alcohol and drug-free work environments. Only properly authorized individuals during the course of their job responsibilities may handle pharmaceuticals. Under no circumstances will pharmaceuticals be diverted for personal use. Employees are expected to perform their responsibilities in a professional manner, free from the effects of alcohol, drugs, or other substances which may hinder job performance or judgment. Employees suspected of being under the influence of drugs or alcohol must submit to appropriate drug or alcohol tests. An employee or independent contractor who performs an activity for Calvary Hospital while impaired or otherwise under the influence of alcohol or illicit drugs shall be immediately suspended, and may be subject to further disciplinary action, including but not limited to termination of employment, if such employee refuses to participate in Calvary Hospital's Personal Alternative Towards Health (PATH) Program. Additionally, any professional employee or independent contractor discovered to be so impaired (or under the influence) shall be subject to the applicable statutory reporting requirements.

Employees are expected to report through the established channels, any employee that they may suspect is impaired or has performed an activity while impaired.

## HEALTH AND SAFETY

We are committed to providing a healthy and safe workplace. Calvary Hospital must comply with the federal, state, and local laws, and rules and regulations that promote the protection of health and safety. Our policies have been developed to protect you and your co-workers from potential workplace hazards and all employees are expected to abide by them. You should understand how these requirements apply to your specific job responsibilities and seek advice from your Supervisor or the Compliance Officer whenever you have a question or concern.

It is important for you to advise your Supervisor or the Compliance Officer/Compliance Manager of any serious workplace injury or any situation presenting a danger of injury. This information will help us prevent these incidents either from happening or from happening again.

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## *Compliance For All Employees*

### ENVIRONMENTAL COMPLIANCE

It is our policy to comply with all environmental laws and regulations as they relate to our business. It is your responsibility to understand how your job responsibilities may impact the environment and make sure you follow local, state, and federal environmental laws and regulations, as well as Calvary Hospital policies and procedures. If you have questions about environmental regulations or the proper handling of hazardous materials, ask your Supervisor for assistance or notify the Safety Officer. Employing prospective planning enables us to respond quickly and effectively to any environmental incidents involving Calvary Hospital. If you have any questions or comments, please do not hesitate to call the Safety Officer or the Compliance Officer.

### MARKETING AND ADVERTISING

Calvary Hospital markets its services in a fair, truthful, and ethical manner. Marketing materials are designed to reflect only the services available and the level of the provider's licensure and accreditation. Calvary Hospital uses marketing and advertising to educate the public, report to its communities, increase awareness of its services, and recruit personnel.

### FINANCIAL REPORTING AND RECORDS

Calvary Hospital has established and maintains a high standard of accuracy and completeness in our financial records. These records serve as a basis for managing our business and are important in meeting our obligations to patients and others as well as complying with tax and financial reporting requirements. It is our policy to comply with the reporting requirements of applicable laws, established financial standards, and generally accepted accounting principles.

Medical and business documents and records are retained in accordance with appropriate laws, Medicare Conditions of Participation, and our Record Retention Policy. Records include paper copies, electronic files, microfiche, and microfilm. Employees must not tamper with records. Employees must not remove records from Calvary Hospital property, except in special circumstances, such as microfilming or when responding to a subpoena. Records must not be destroyed prior to the date specified in the relevant retention schedule.

### INSIDE INFORMATION AND SECURITIES

Directors, officers, and employees of Calvary Hospital can expect that in the course of performing their duties they will come into possession of "material non-public information" about Calvary Hospital or other companies with whom we do business.

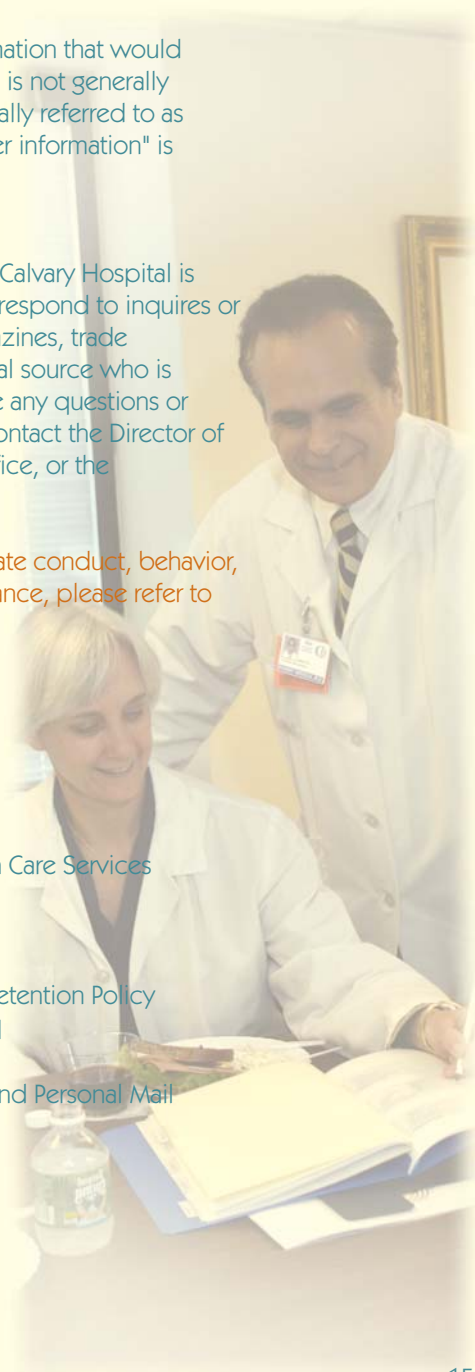
"Material non-public information" is defined as any information that would affect securities prices, either positively or negatively, that is not generally available to the investing public. This information is generally referred to as "insider information." Buying or selling stocks using "insider information" is referred to as "insider trading," an illegal activity.

## MEDIA INQUIRES

The Director of Public Affairs and Community Relations at Calvary Hospital is responsible for all contact with the media. Please do not respond to inquires or requests for information. This includes newspapers, magazines, trade publications, radio, television, as well as any other external source who is looking for information about Calvary Hospital. If you have any questions or concerns or if the media contacts you about any topic, contact the Director of Public Affairs and Community Relations, the Executive Office, or the Compliance Officer.

This Code provides general guidance regarding appropriate conduct, behavior, and appearance. For more specific information and guidance, please refer to the following documents:

- ▶ Mission Statement
- ▶ Employee Handbook
- ▶ Corporate Bylaws
- ▶ Medical Staff Bylaws, Rules and Regulations
- ▶ Patient Rights and Organizational Ethics Statement
- ▶ Ethical and Religious Directives for Catholic Health Care Services
- ▶ Administrative Policies and Procedures Manual
  - Data Confidentiality Policy
  - Conflict of Interest Policy
  - Confidential Document Storage/Destruction/Retention Policy
- ▶ Human Resources Policies and Procedures Manual
  - Acceptance of Cash or Tangible Gifts
  - Personal Telephone Calls, Personal Business, and Personal Mail
  - Equal Employment Opportunity Policy
  - Sexual Harassment Policy
- ▶ Infection Control Policies and Procedures Manual
  - HIV Confidentiality Policy
- ▶ Safety Manual
- ▶ Internal and External Disaster Plan
- ▶ Department Policies and Procedures Manuals
- ▶ Case Consult Flowcharts



# *Using The Compliance Program*

## **OUR CODE OF CONDUCT**

Calvary Hospital has established a Corporate Compliance Program, led by the Compliance Officer. The Corporate Compliance Program contains a Code of Conduct which outlines the appropriate behavior for all employees. This Code is the heart of our Program and will assist employees in carrying out their daily activities within appropriate moral, ethical, and legal standards. It is not intended to cover every situation, but is intended to help employees make the right decisions and/or ask the right questions. This Code and associated policies also apply to Calvary Hospital's relationships with our subcontractors, independent contractors, vendors, and consultants.

## **DUTY TO KNOW AND UNDERSTAND**

It is the duty of all employees and relevant third parties to know and understand the ethical standards, legal standards, and company policies applicable in performing their daily tasks. Calvary Hospital's Corporate Compliance Program is designed to assist all employees to know and understand these ethical and legal standards through training and communication.

## **DUTY TO COMPLY**

It is the duty of all employees to comply with applicable laws, rules, regulations, and the Code. Failure to do so may subject employees to disciplinary action.

## **DUTY TO REPORT ACTUAL OR SUSPECTED VIOLATIONS**

Employees must report to their Supervisor or the Compliance Officer, actual or suspected violations by employees of applicable law, rules, regulations, or the Code.

Employees have the same reporting obligations for actual or suspected violations committed by a subcontractor or vendor of Calvary Hospital. Calvary Hospital provides multiple reporting lines to ensure that employees are comfortable with whom they communicate compliance issues.

## **WHERE TO GO FOR HELP**

Employees have been provided with a number of places to go for assistance with compliance matters. Employees may contact their Supervisor, Administrator, the Executive Office, and/or the Compliance Officer. In addition, a Compliance Help Line is available 24 hours a day, seven days a week to all employees and the general public. We will make every effort to keep the identity of anyone reporting a suspected violation confidential to the extent permitted by law, unless doing so prevents us from fully and effectively investigating the suspected violation. The Compliance Help Line number is (800) 340-5877. Calls may be placed to report suspected violations, to ask questions, or to obtain advice to clarify compliance-related issues. The Compliance Officer will investigate violations and corrective action will be taken based upon findings of the investigation. There will be no reprisals against employees for good faith reporting of compliance concerns to their Supervisor, the Compliance Officer/Compliance Manager, or Compliance Help Line.

# Questions And Answers

## THE COMPLIANCE PROGRAM

Q. If I observed something in the workplace which I considered to be wrong, whom should I contact?

A. The hospital has provided several resources for you to turn to with such concerns. First, you are encouraged to talk to your Supervisor. However, if you are uncomfortable talking to your Supervisor, you may wish to speak with one or all of the following: a senior manager from your area, the Ethics Committee Chairperson, or the Corporate Compliance Officer/Compliance Manager. You may also call the Compliance Help Line at (800) 340-5877. Whenever possible, and if appropriate, you are encouraged to resolve departmental issues at the department level.

Q. If I am asked to do something which I believe violates the Calvary Code of Conduct, what should I do?

A. Don't do it! You must refuse to do anything you consider to be wrong regardless of who asks you to do it. Immediately report the request to the next level of management, notify the Compliance Officer or call the Compliance Help Line.

Q. Will I get in trouble if I report something suspicious and it turns out that I was wrong?

A. The policy of Calvary Hospital prohibits employees from being reprimanded or disciplined if they report a matter in good faith. However, if an employee reports something which he or she knows to be false in order to harm another employee, the reporting employee shall be subject to disciplinary action(s).

## ETHICAL BEHAVIOR

Q. How do I know if I am being unethical?

A. If you are worried about your actions being discovered, have a sense of uneasiness about what you are doing, or rationalize what you are doing because everyone does it, you are probably violating Calvary's Code of Conduct. Stop, think, get advice and do the right thing.

...continued

## *Questions And Answers*

### GIFTS AND GRATUITIES

Q. During a normal workday, and especially around the holidays, patients and/or family members may offer gifts of money. Should such gifts be accepted?

A. Cash gifts must never be accepted from a patient, a family member, a business partner, or any agent or company having business dealings with Calvary Hospital. Gifts may be accepted if they are consumable or perishable, such as cookies or fruit baskets.

### CONFLICT OF INTEREST

Q. My brother works for a stationery company. Can I buy my departmental stationary supplies from his company if the prices are low?

A. No. This may seem unfair, but you must avoid even the appearance of favoritism. If any relationship could influence your objectivity and create the appearance of impropriety, the Conflict of Interest policy must be applied.

### COMPLIANCE HELP LINE

Q. If I call the Compliance Help Line, will anyone in management be told that it was me who reported the violation of the Code of Conduct?

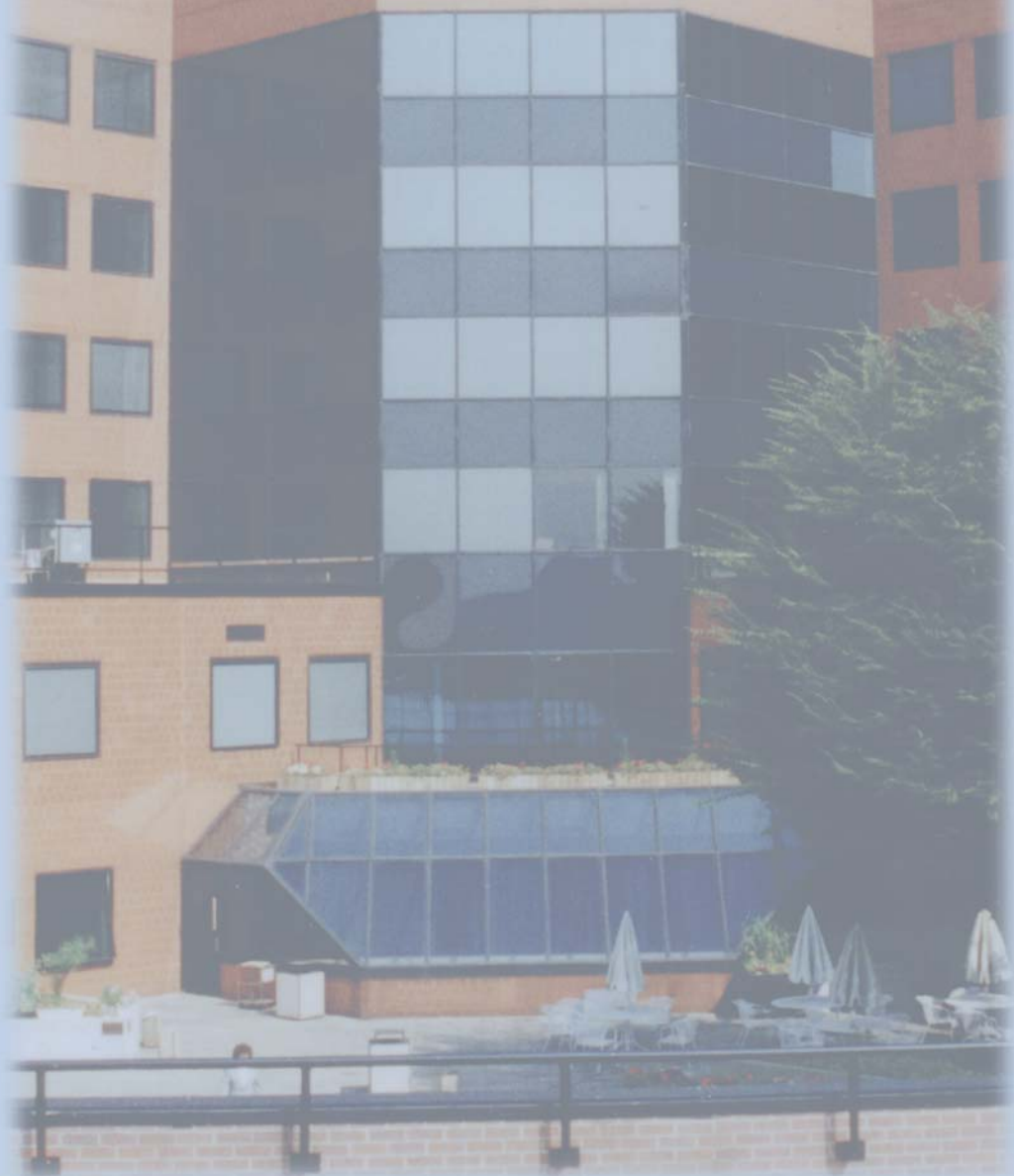
A. No. When you call the Compliance Help Line, the report received by the hospital will not identify the source of the information upon which the report is based. The identity of the person making the report is kept in the strictest confidence by the service contracted by the hospital.

Q. How will I be advised of the follow-up action taken when I file a report?

A. The company, with whom the hospital has contracted for the Help Line service, will provide appropriate feed back directly to the employee filing the complaint.



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*Code Of Conduct*  
Acknowledgement Card

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1740 Eastchester Road  
Bronx, NY 10461  
Tel: 718-863-6900

CALVARY HOSPITAL  
Brooklyn Campus  
150 55th Street  
Brooklyn, NY 11220  
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Code Of Conduct

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# Acknowledgement

I certify that I have received the Calvary Hospital Code of Conduct and understand that it represents mandatory policies of the organization.

NAME: \_\_\_\_\_

POSITION: \_\_\_\_\_

SOCIAL SECURITY NUMBER: \_\_\_\_\_

SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

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### When faced with an ethical or compliance dilemma:

- Consider all the facts and how the situation affects the operators of the hospital.
- Look at the Code of Conduct, policies and procedures, laws, regulations, and your own values. What standard applies to this situation?
- Evaluate your alternatives and decide on the best course of action to take to resolve the situation.
- Ask yourself: Is this the right thing to do? Do my actions support our Code of Conduct?
- Respond in a timely manner.

To receive help with an Ethics or Compliance concern or to report a potential violation of our Code of Conduct contact your immediate Supervisor, a member of the hospital's Patient Rights and Organizational Ethics Committee, the Corporate Compliance Officer or, call the Compliance Alert Line at:

**800-340-5877**

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Visit our website at [www.calvaryhospital.org](http://www.calvaryhospital.org)