

## Topics covered:

- Quality of Care and Services
- Confidentiality and Privacy
- Respect in Our Workplace
- Business Ethics and Compliance with Laws and Regulations
- Conflicts of Interest and Commitment
- Gifts and Gratuities
- Coding and Billing
- Safeguarding Resources / Assets
- Environmental Considerations

## A MESSAGE FROM OUR LEADERSHIP

Dear Colleague,

Since opening our doors in 1863, HSS has maintained a consistent commitment to excellence that remains at the core of our vision today. All members of the HSS family, over the course of history and today, have contributed to making us a world-renowned institution with a reputation for excellence in clinical practice, research and education.

It is our expectation that all of us who have a relationship with HSS – willingly and actively observe the principles described in our Code of Conduct and incorporate it into our everyday actions in the workplace. As an organization, we are committed to providing the best care possible for our patients, and the best environment possible for our patients, visitors and exceptionally talented and caring colleagues. To do so, we must foster a safe, respectful and inclusive workplace, embracing diverse perspectives and backgrounds.

While the Code is robust, it cannot cover every situation an individual might encounter. It is designed to provide guidance and applies to every member of the HSS family as we strive to make the right decisions and ask the right questions.

We believe that compliance is everyone's responsibility. If you are faced with a question or are concerned regarding any situation that arises at HSS, you may refer to the Code of Conduct or choose to consult with a member of our Office of Corporate Compliance at 212.774.2398.

We appreciate your commitment to following the ethical and legal standards described in the Code and thank you for all of your contributions.

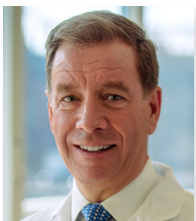
With appreciation,



A handwritten signature in black ink that reads "B Kelly".

**Bryan T. Kelly, MD**

President and Chief Executive Officer



A handwritten signature in black ink that reads "Douglas E. Padgett".

**Douglas E. Padgett, MD**

Surgeon-in-Chief

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## WHY DO WE HAVE A CODE?

Our Code of Conduct is based on the principles outlined in our **Mission, Vision and Values Statements**, and serves as the foundation of HSS' Corporate Compliance Program. It reflects our expectations and who we are and applies equally to all of us.

## DOES THE CODE APPLY TO ME?

**Yes.** The Code applies equally to employees (whether fulltime, part-time, temporary or per diem), medical staff, residents, fellows, trainees, volunteers, trustees, and anyone else working on HSS premises (including vendors) or acting as a representative of HSS.

## WHAT'S MY RESPONSIBILITY?

Read, understand and follow our Code of Conduct and policies. Complete your assigned training – it's the best way to learn and stay up-to-date.

**SPEAK UP WITHOUT FEAR OF RETALIATION.** Report actual or suspected noncompliance with the law, regulations, HSS policy or our Code of Conduct, whether the suspected noncompliance involves you or someone else who is subject to our Code, or involves conduct that you reasonably believe poses a substantial and specific danger to the public health or safety. No concern is too minor to report. HSS won't retaliate or tolerate retaliation against anyone who reports suspected noncompliance. Reporting in "good faith" means you are coming forward honestly with information you believe to be true. Individuals who choose not to report suspected or known noncompliance may be subject to disciplinary action.

**HSS LEADERS.** If you are a manager, supervisor, member of the HSS Management Committee and/or the HSS Leadership Council, or if you are a physician member of the HSS medical staff, **you are an HSS Leader.** As an HSS Leader, you must lead by example, making sure the people you manage know the Code of Conduct is a resource for them and that there is no difference between what you do and what you expect from others. You must set the highest standard of professional conduct and create a workplace where individuals feel comfortable coming forward with questions or concerns.

Everyone at HSS is responsible for reporting noncompliance. **HSS Leaders have an explicit obligation to report actual or suspected noncompliance.** HSS Leaders who fail to report actual or suspected noncompliance will be subject to disciplinary action, up to and including termination of employment and/or corrective action up to and including loss of clinical privileges under HSS Medical Staff Guidelines.

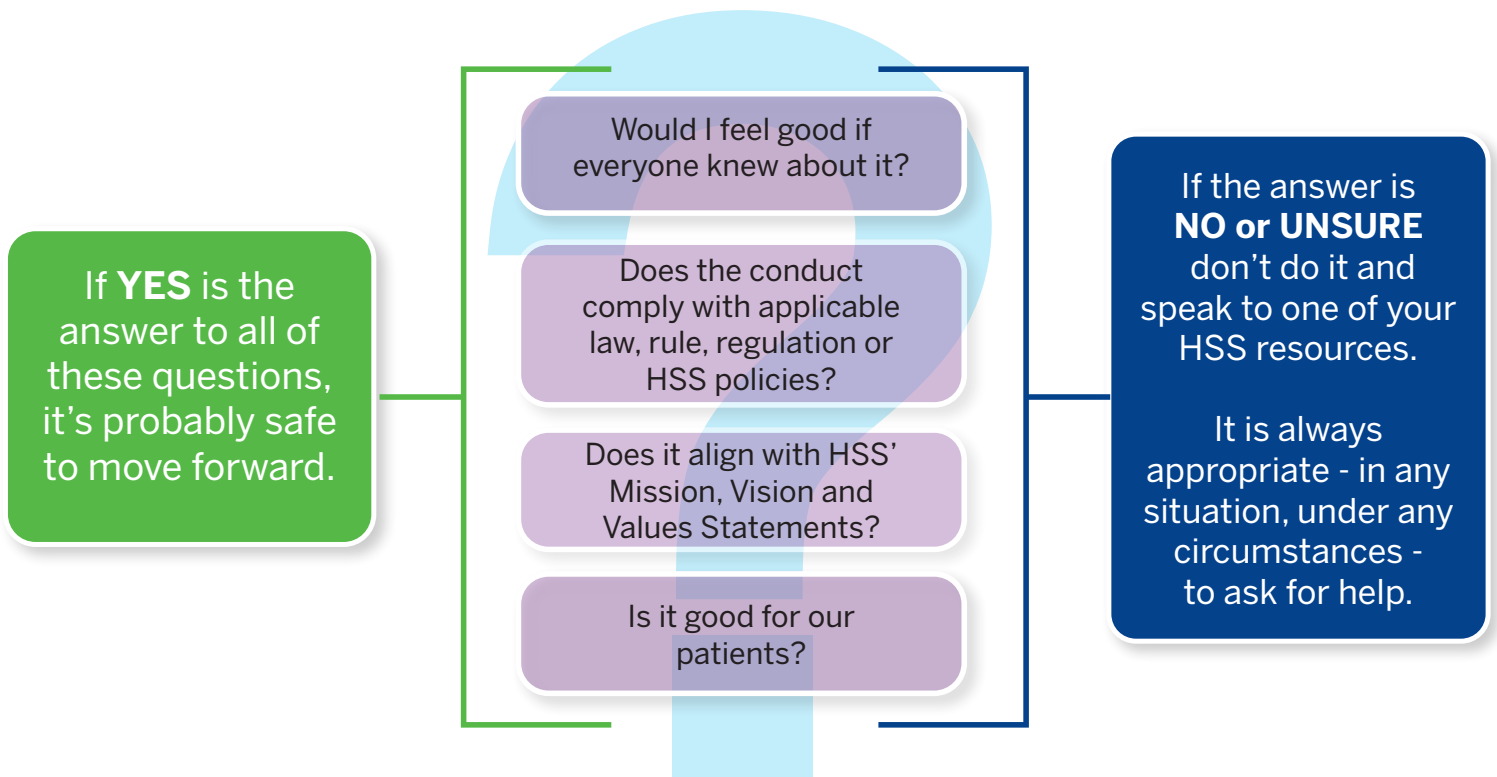
## WHERE CAN I GO FOR HELP?

Help and guidance are always available. You are not expected to navigate complex situations on your own

Our Code is a great resource, but it doesn't cover every question you may have or situation you may encounter. For more specific guidance, please review our Corporate and Medical Staff Bylaws and our policies and procedures, or contact one of the HSS resources listed on page 2.

Your manager is responsible for fostering and maintaining an environment that encourages you to raise concerns, directly or anonymously; nonetheless, if you do not feel comfortable escalating a concern to your manager, or if you have already raised a concern and feel it's not be addressed appropriately, you can report your concern to Human Resources, the Office of Corporate Compliance, the Office of Legal Affairs, or anonymously through the Confidential Helpline. Every effort will be made to assure the confidentiality of the information provided.

## WHERE DO I START IF I HAVE AN ETHICAL QUESTION?



If you have a question or concern, HSS offers the following resources to assist and support you:

### For suspected violations of our Code of Conduct, HSS policy, laws, or regulations relating to HSS:

- **Corporate Compliance:** 212.774.2398
- **Legal Affairs:** 212.606.1592
- **Confidential Helpline:** 888.651.6234 or [hss.ethicspoint.com](https://hss.ethicspoint.com)

### For Harassment, Bullying, or Discrimination Questions or Concerns:

- **Employee Relations:** 646.797.8672 or 212.774.2287
- **Corporate Compliance:** 212.774.2398
- **Confidential Helpline:** Confidential Helpline: 888.651.6234 or [hss.ethicspoint.com](https://hss.ethicspoint.com)

### For Safety, Security, and Facility Questions or Concerns:

- **Engineering:** 212.606.1460
- **Environmental Services:** 212.606.1460
- **Security:** 212.606.1840
- **S.T.A.R Occurrence Reporting**

### For Privacy and Information Security Questions or Concerns:

- **Corporate Compliance:** 212.774.2398
- **Confidential Helpline:** 888.651.6234 or [hss.ethicspoint.com](https://hss.ethicspoint.com)

### Our Confidential Helpline is ALWAYS available to you.

Our toll-free Confidential Helpline is administered by an independent company and is available 24 hours per day, 7 days per week. Calls to the Confidential Helpline are never recorded and cannot be traced.

When you call the Confidential Helpline, a representative from the independent company will document the information you share and forward that information to HSS' Office of Corporate Compliance. Corporate Compliance will ensure individuals with appropriate expertise effectively respond to your question or concern. After reporting your question or concern, you will receive a case number and that will be your reference if you want to call the Confidential Helpline to receive a status update or provide additional information.

The Confidential Helpline may be used to report concerns related to any of the principles discussed in our Code and to report complaints regarding accounting, internal accounting controls or auditing matters related to the accuracy or integrity of HSS' financial statements. These concerns are investigated and reported to the Audit and Corporate Compliance Committee of the HSS Board of Trustees.

## **Our Purpose is why we exist, our Mission defines us and our Vision helps shape our future.**

### **Purpose**

To help people get back to what they need and love to do better than any other place in the world.

### **Mission**

To provide the highest quality patient care, improve mobility and enhance the quality of life for all, and to advance the science of orthopedic surgery, rheumatology and their related disciplines through research and education.

### **Vision**

To lead the world as the most innovative source of medical care, the premier research institution and the most trusted educator in the fields of orthopedics, rheumatology and their related disciplines.

## **Our Values are the fundamental beliefs that guide us in everything we do.**

### **Diversity**

We are committed to an environment of respect, equitable treatment and opportunity for our patients, employees and communities.

### **Excellence**

We set and continually raise the bar on all that we do.

### **Gratitude**

We express appreciation every day, through words and actions, for the opportunity to serve our patients, our community and each other.

### **Innovation**

We support an environment that fosters new ideas and new approaches in everything we do.

### **Integrity**

We take pride in maintaining the highest levels of personal and professional conduct.

### **Passion**

We bring energy, commitment and enthusiasm to our work every day.

### **Teamwork**

We participate fully as members of our team, respecting, supporting and empowering one another.

## QUALITY OF CARE AND SERVICES

We are committed to providing high quality care and skilled, compassionate, reliable service to our patients and to our community in a safe and healing environment. We act in accordance with the provisions of the Patient's Bill of Rights and the following principles:

- We respect the dignity, comfort and privacy of each of our patients and treat all of them with consideration, courtesy and respect.
- We are grateful to care for patients with diverse backgrounds and respect their individual needs and values. We provide our patients with unbiased, culturally appropriate care, with consideration of their practices, beliefs, and communication preferences.
- We provide appropriate and timely care to all patients without regard to race, color, creed, ethnicity, religion, national origin, alienage or citizenship status, ancestry, culture, language, age, physical or mental disability, socioeconomic status, sex (including pregnancy, childbirth, and related medical conditions), sexual orientation, gender identity or expression, partnership or marital status, veteran or military status, genetic information, reproductive health decision-making, or any other prohibited basis.
- We respect the rights of patients to be involved in decisions regarding all aspects of their care.
- When a patient presents with an emergency medical condition, we provide that patient with a screening examination and stabilization of any emergency condition within HSS' capabilities and in accordance with applicable laws, rules and regulations, regardless of the patient's ability to pay.
- We transfer patients only after they are medically stable and an appropriate transfer has been arranged.
- We treat our patients based solely on clinical needs.
- We have a qualified practitioner properly evaluate every patient before initiating a treatment plan.
- We provide patient care that conforms to acceptable clinical and safety standards.
- All individuals employed to meet the needs of our patients have the proper credentials, experience and expertise necessary to perform their duties.
- We are responsible, at every level of HSS, for maintaining the integrity and quality of our job performance.
- We honor the right of patients to receive information regarding HSS policies, procedures, charges and the health professionals who care for them.
- We maintain complete and thorough records of patient information to fulfill the requirements established in our policies, accreditation standards and applicable laws and regulations.
- We speak up if we see something that is unsafe and could cause potential harm.
- We support our peers when they speak up.
- We are protected when we speak up.

**Question:** A patient approached me with a question, but I had a difficult time understanding what they specifically needed. Can I ask them to clarify in English?



**Answer:** No. Our patients must be able to comfortably communicate their needs and may do so in their preferred language. At HSS, our Language Services department provides interpreters to assist with patient communications. This enables us to facilitate the highest quality of care and to create a supportive environment to ensure that all limited English proficiency, hearing and visually impaired patients, as well as other patients with special requests and their families, receive care in their preferred language.



# CONFIDENTIALITY AND PRIVACY

We maintain the confidentiality of patient, HSS and other confidential and proprietary information in strict accordance with legal and ethical standards. Intentional breaches of confidentiality are not tolerated by HSS.

## HSS Patient Information

- We are committed to the privacy of our patients, employees and medical staff and handle their information with care and in accordance with applicable laws.
- We adhere to all HSS confidentiality and privacy policies and procedures.
- We access patient information for HSS job-related reasons only. We understand that accessing patient information without a job-related reason will result in disciplinary action, up to and including termination.
- We actively protect and safeguard patient information. This includes following procedures when sending patient information outside HSS (e.g., encrypting emails), and ensuring this information is secure.
- We do not access, use or disclose patient information, unless it is for treatment, payment, or healthcare operations, or we are otherwise authorized by the patient or their personal representative.
- We do not discuss patient information in any public area, including elevators, hallways, bathrooms, dining areas or any other public area where private information may be overheard by others.
- We immediately report any known or suspected confidentiality breaches to the Office of Corporate Compliance or anonymously through the Confidential Helpline.
- We understand that our responsibility to protect HSS patient information continues, even if we no longer work at HSS.

## What is Protected Health Information?

Protected Health Information (PHI) is any information that could potentially identify an individual, either by itself or when combined with other available information.

Examples of PHI include:

- Names
- Any part of an address (except state)
- Dates (date of birth, date of service, date of death)
- Phone number
- Fax number
- Email address
- Social Security number
- Medical record number
- Insurance number
- Account number
- Certificate/license number
- License plate number or vehicle serial number
- Device serial number (pacemaker)
- URL
- Internet Protocol address
- Biometric identifier (finger and voice prints)
- Full face photography and any comparable image
- Any other unique identifying number, characteristic, or code

**If you have questions about the access, use or disclosure of patient information, please contact the Office of Corporate Compliance at 212.774.2398 or call the Confidential Helpline: 888.651.6234 or [hss.ethicspoint.com](https://hss.ethicspoint.com).**

## HSS Proprietary and Confidential Information

- We will exercise care to ensure that proprietary and confidential information at HSS is carefully maintained and managed to protect its value and maintaining security of this includes limiting access to this information. Proprietary and confidential information at HSS includes but is not limited to non-public financial information, corporate strategies, trade secrets, intellectual property, patient lists, patient population, vendor lists and vendor related information, contractual terms, HSS research protocols, and HSS research data.
- We disclose HSS proprietary and confidential information only as required in the performance of our job, as expressly authorized to do so by HSS, or as otherwise required by law.
- We do not use or share insider information, which is information not otherwise available to the general public, for any direct or indirect personal gain or other improper use. One example of improper use of insider information would be disclosing pricing information on products purchased for HSS.
- We do not disclose information regarding HSS' financial performance and its contract pricing for goods and services without appropriate approval.
- We maintain computer passwords and access codes in a confidential and responsible manner and log off computer applications that may contain patient or other confidential information. We do not share login credentials, including passwords, or our electronic accounts with others.
- We understand that our responsibility to protect HSS confidential and proprietary information continues, even if we no longer work at HSS.
- Where HSS has an obligation to maintain a third party's information as confidential, we do not discuss or disclose this information to any unauthorized parties.
- We contact the Office of Corporate Compliance if we have questions about what types of information are proprietary or confidential.

**Important Note:** None of the restrictions related to HSS proprietary and confidential information prevent us from engaging in protected whistleblowing rights. Individuals will not be held liable for the disclosure of a trade secret that is made: (1) in confidence to a federal, state, local government official, or to an attorney for the sole purpose of reporting or investigating a suspected violation of law; or (2) in a complaint or other document filed in a lawsuit or other proceeding, if such filing is made under seal.

**Question:** You are riding an elevator with two other employees who are discussing a complicated patient case. Since you do not know the patient and are also an HSS employee, do you need to report this information?

**Answer:** Yes, you must report this to the Office of Corporate Compliance at 212.774.2398 or call the Confidential Helpline at Confidential Helpline: 888.651.6234 or [hss.ethicspoint.com](https://www.hss.ethicspoint.com) for further investigation. Employees must not discuss patient information in public places, which include, elevators, hallways, cafeterias, or other public areas where private information may be overheard by others. All employees have an obligation to safeguard patient information, as well as HSS proprietary and confidential information, and prevent its disclosure to unauthorized individuals.

# RESPECT IN OUR WORKPLACE

We treat all people – our patients, colleagues, vendors, community and all those who come into contact with HSS – with respect, dignity and courtesy. We recognize that our greatest strength lies in the talent of our people, who create our success and determine our reputation.

## Diversity and Inclusion

- We are committed to promoting and supporting a diverse and inclusive culture throughout all levels of our organization. To do so, we must continually learn from the many talents, cultures and backgrounds that make up HSS and ensure we maintain a positive environment where our colleagues feel valued, included, engaged and have an equitable opportunity to succeed.
- We are proud of our diverse workforce and recognize that having different perspectives is one of our most valuable assets – this allows us to think more broadly and collectively and helps us better serve and address the wide variety of needs of our patients.
- We value fairness in our employment processes (e.g., recruiting, hiring, developing, and promoting employees) and afford employees nondiscriminatory terms, conditions and privileges of employment, regardless of race, color, creed, ethnicity, religion, national origin, alienage or citizenship status, ancestry, culture, language, age, physical or mental disability, socioeconomic status, sex (including pregnancy, childbirth and related medical conditions), sexual orientation, gender identity or expression, partnership or marital status, veteran or military status, genetic information, reproductive health decision-making, or any other prohibited basis.
- We are thoughtful and respectful. At HSS, we do not make assumptions or treat others differently.

**Question:** My colleague consistently makes inappropriate racial jokes in front of my entire team, including my manager. My manager seems to laugh it off and has reprimanded the behavior, but my colleague continues to tell offensive jokes. What should I do?

**Answer:** Racial or inappropriate jokes are in violation of HSS' Code of Conduct and policies and must be reported immediately. If your manager is not adequately addressing the issue, you can report this behavior through other channels such as Employee Relations, the Office of Corporate Compliance, or the Confidential Helpline.

**Question:** I witnessed someone in my department impersonating another employee's accent at a social event after work hours. Everyone seems to laugh it off including the employee who is being impersonated. Although this was not personally about me, what can I do?

**Answer:** Raise this to your manager, Employee Relations, Corporate Compliance, or the Confidential Helpline, where you can report concerns anonymously. By raising this concern, you are providing awareness of the issue, which can help create a more positive work environment for others. At HSS, we do not tolerate discriminatory acts and respect the diversity of cultures that make up this workplace.

**Question:** I attended a meeting on behalf of my manager and noticed that whenever a female team member offered a suggestion she was often cut off or her idea was immediately dismissed. When other male colleagues brought up similar ideas, they were fully discussed. At first, I thought this may have been a one-time incident, but noticed this happened at the next meeting with the same group of individuals. Should I wait to see if this is a pattern before I mention anything to my manager?

**Answer:** Discuss this with your manager since this situation may raise concerns that certain behaviors specifically target female members of the group. Your manager will assess the situation and escalate the issue, as appropriate. If you do not feel comfortable discussing this with your manager, you can raise this to Employee Relations, Corporate Compliance, or the Confidential Helpline, where you can report concerns anonymously.

**Question:** During lunch, one of my colleagues asked me if I liked rap and R&B music. I've also noticed they make comments about my hairstyle often or tell me I look really "exotic." It seems like my colleague is trying to find commonalities and give me compliments. However, I'm a little uncomfortable when the comments are made and don't want to directly discuss it with them. Who can I go to?

**Answer:** You have several resources to discuss this situation. You can go directly to your manager, as your first available resource, Employee Relations, Corporate Compliance, or the Confidential Helpline, where you can report concerns anonymously.

**Question:** One of my female coworkers just came back from maternity leave. As everyone was welcoming her back, my colleague said, "I give you a year before you go back to be a full-time mom." She seemed a little surprised when they made the comment but didn't say anything further. Even though this doesn't directly involve me, what should I do?

**Answer:** Raise this concern to your manager since it appears that assumptions and comments are being made based on gender, which is violative of our Code and policies. Your manager will assess the situation and escalate the issue, as appropriate. If you do not feel comfortable discussing this with your manager, you can raise this to Employee Relations, Corporate Compliance, or the Confidential Helpline, where you can report concerns anonymously.

**Question:** I was assisting a nurse who was attending to a patient. The patient brought their partner to the appointment. The nurse made comments suggesting she was surprised by their age difference and seemed uncomfortable when they held hands. When she heard her next patient arrived, the nurse abruptly left mid-exam, stating an emergency came up. I noticed her attitude was more positive and accommodating with the other patient. Who can I talk to about this?

**Answer:** You should discuss what you observed with your manager, who is your first available resource. Employee Relations, Corporate Compliance, or the Confidential Helpline, where you can report concerns anonymously, are also available to you. This situation may raise concerns that a specific group of individuals are treated differently, and received disparate care, based on their relationship. At HSS, we treat all patients equitably and with respect.

## Safe, Fair and Respectful Workplace

- We show proper respect and consideration to one another, regardless of position. Discrimination, harassment, bullying, retaliation and any other inappropriate or abusive conduct by or against employees, interns, residents, fellows, volunteers, medical staff, contractors, applicants, or someone directly conducting business with HSS (e.g., patients, visitors, outside vendor, consultant, or contractor) is not tolerated. If you feel or witness another being harassed, bullied, discriminated, or retaliated against in the workplace, you should contact Human Resources, the Office of Corporate Compliance, your manager and/or the Confidential Helpline.
- Work relationships among HSS staff members and between staff members and individuals outside of HSS, such as patients, visitors, or others directly conducting business with HSS (e.g., outside vendor, consultant, contractor), should be professional and free of harassment, discrimination, bullying or any other abusive conduct.

**Question:** As I entered my patient's room, the patient's father told me he did not want a nurse of my background taking care of his child. I was startled and hurt by the comment. Is there anything I can do?

**Answer:** Raise this to your manager or someone in your management line immediately. You may also report this to Human Resources, Corporate Compliance, or the Confidential Helpline, where you can report concerns anonymously. At HSS, we foster an environment free from any forms of discrimination or harassment, and our staff members must be supported in these situations.

- We do not permit any act of retaliation against anyone who, in good faith, reports a violation of law, regulation, standard, HSS policy or our Code of Conduct.
- We support an alcohol-free workplace and abide by HSS policies prohibiting working or conducting HSS business while under the influence of alcohol, using alcohol while on HSS premises (before, during and after normal business hours), and possessing or storing open containers of alcohol on HSS premises. We understand alcohol may be consumed at certain HSS-sponsored events, trainings or meetings, but only in moderation and only with prior approval, as required by the HSS Alcohol and Drug-Free Workplace Policy.
- We support a drug and smoke free workplace and abide by HSS policies prohibiting illegal possession, manufacture, display, distribution, use or being under the influence of illegal drugs or other substances in the workplace and/or during working time or while engaged in HSS activities, except when the use is pursuant to a doctor's order and the substance does not adversely affect safety or job performance. [please note, while marijuana has been legalized under certain state laws, it remains an illegal drug under federal law and its use or possession on HSS premises or while conducting HSS business is prohibited].
- We understand suspected noncompliance with the HSS Alcohol and Drug-Free Workplace Policy will be investigated and our refusal to cooperate with the investigation, including refusal to participate in alcohol or drug testing or inspections of HSS premises, may result in disciplinary action, up to and including termination of employment.
- We expect all employees and staff to conform to the standards of their professions and exercise appropriate judgment in the performance of their duties.
- We encourage and support colleagues in developing their individual skills, talents and understanding of their jobs.
- We screen all prospective employees, medical staff and vendors upon hire and routinely throughout the year to assure that they have not been sanctioned by any regulatory agency and are eligible to perform their designated responsibilities.

## RESPECT IN OUR WORKPLACE

- We familiarize ourselves and comply with HSS policies and procedures applicable to our employment and responsibilities at HSS.
- We recognize that HSS managers, supervisors, members of the HSS Management Committee, members of the HSS Leadership Council, and physician members of the HSS medical staff are responsible for managing people and, as HSS Leaders, are prohibited from having or pursuing a romantic or sexual relationship with anyone they directly supervise or whose terms or conditions of employment they may influence.
- We understand that HSS Leaders have an explicit responsibility to disclose a current romantic or sexual relationship with anyone they directly supervise or whose terms or conditions of employment they may influence.
- If an HSS Leader fails to comply with the HSS Non-Fraternization in the Workplace Policy, including failing to disclose their own current romantic or sexual relationship with someone they directly supervise or whose terms or conditions of employment they may influence or failing to report other known or suspected noncompliance with the HSS Non-Fraternization in the Workplace Policy, we understand that HSS Leader will be subject to disciplinary action, up to and including termination of employment and/or loss of clinical privileges under the Medical Staff Guidelines.
- We do not hire members of the same family to work in the same department without appropriate approval.
- We do not allow members of the same family to supervise each other.
- We are aware that every HSS manager is responsible for fostering and maintaining a work environment in which ethical concerns can be raised. If an employee raises an ethical question or concern, the manager must address it in a timely fashion. If a manager does not know how to respond, he or she should seek assistance with his/her supervisor, Employee Relations, the Office of Legal Affairs or the Office of Corporate Compliance.
- If we do not feel comfortable escalating a concern to our manager, or if we have already raised a concern and feel it's not be addressed appropriately, we report our concern to Human Resources, the Office of Corporate Compliance, the Office of Legal Affairs, or anonymously through the Confidential Helpline.

**Question:** I was at a holiday party and witnessed a supervisor ask a new employee out for drinks after the party. Although she politely declined, I noticed she is no longer included in certain meetings organized by her supervisor. Should I report this even though I am not directly involved and am uncertain about these actions?

**Answer:** Even if you are not directly involved, you should report your concerns and potential retaliatory conduct since you have observed this situation. Employees have a responsibility to report potential or actual violations of HSS' Code of Conduct or policies. You may report your concerns to Employee Relations, the Office of Corporate Compliance, your manager or anonymously to the Confidential Helpline.

**Question:** I received an email from my colleague that contained an offensive photograph with another employee's face pasted on it. There was a caption below the photo with a derogatory comment. Others who received the email did not seem bothered by it. Since the content does not directly involve me and it doesn't appear to bother others, do I need to report it?

**Answer:** Yes, you must raise this to Employee Relations, Corporate Compliance, or the Confidential Helpline, where you can report concerns anonymously. No form of discrimination, harassment or inappropriate conduct against employees, medical staff members, patients, or those who do business with HSS is permitted.



**We follow the letter and spirit of applicable laws and regulations, conduct our business ethically and honestly, and act in a manner that enhances our collective and individual reputations.**

- We demonstrate honesty, integrity and fairness in the performance of our duties.
- We report any practice or condition that may violate any law, rule, regulation, safety standard, HSS policy, or our Code of Conduct to appropriate levels of management, the Office of Legal Affairs, the Office of Corporate Compliance, or the Confidential Helpline.
- We adhere to all applicable laws, regulations, and professional standards regarding financial reporting and disclosures.
- We are strictly prohibited from giving or receiving any form of remuneration, including payment, kickback, bribe, or rebate, to induce the referral or purchase of any healthcare service. HSS does not accept or offer payment, inducement, or any other form of remuneration to physicians, patients or others for referrals. We accept patient referrals and admissions based solely on the patient's clinical needs. We make referrals based on the patient's clinical needs and the provider's ability to render the needed service, while recognizing the rights of patients to choose their provider.
- We do not offer any improper inducement or favor to patients, physicians or others to encourage the referral of patients to HSS.
- We choose our vendors, suppliers and contractors objectively and do not accept any improper inducements or favors to influence our patients, or others connected with HSS, to use a particular product or service.
- We comply with all antitrust laws and avoid agreements or other actions that may unfairly restrain trade or reduce competition.
- We are aware of situations that may present potential antitrust issues and avoid inappropriate and sensitive discussions with competitors, vendors, contractors and suppliers regarding business issues, including prices for goods and services, salaries and benefits, payment rates and business plans.
- We are committed to full compliance with all applicable export control laws and regulations and understand our obligations regarding the export and transmission of certain data, technologies, software, and hardware.
- We comply with the letter and spirit of the United States Foreign Corrupt Practices Act and all applicable anti-bribery and anti-corruption laws. HSS employees and third party representatives do not corruptly pay, offer, promise, authorize, take, solicit or accept for personal benefit, any bribe, kickback, illicit payment, advantage or anything of value, in money or in kind, to or from any foreign official, or to or from any other person, including any representative of any actual or potential customer, partner or other counterparty.
- We market and advertise accurately and in compliance with laws and regulations.

- We provide contract payments or other benefits to clinicians and referral sources for the services and at the rates called for in the contract with them. Payments must also be supported by proper documentation that the services contracted for were, in fact, provided.
- We procure, maintain, dispense, and transport drugs or other controlled substances used in the treatment of patients, in compliance with applicable laws and regulations.
- We do not make any verbal or written false statements to a government agency or payer. We comply with the Federal and State False Claims Acts. These Acts make it a crime for any person or organization to knowingly make a false record or file a false claim with the government for payment and calls for severe civil and criminal penalties associated with defrauding the Medicare and Medicaid programs. This includes, but is not limited to, billing for services not provided or not ordered by a physician; billing for services not medically necessary; billing for more complex services than were provided; improper physician financial relationships; inaccurate or misleading cost reports, etc. HSS members who have concerns about billing and reimbursement issues are required to speak to their manager, the Office of Corporate Compliance, the Office of Legal Affairs or to call the Confidential Helpline.
- We do not pursue any business opportunity that requires unethical or illegal activity.
- We avoid receiving any personal financial gain as a result of business travel or entertainment. Our travel and entertainment expenses are consistent with our job responsibilities and HSS' needs and comply with HSS policy.
- We strive to ensure that all reports or other information required to be provided to any federal, state or local government agency are provided on time, accurately, and according to applicable laws and regulations.
- We comply with federal regulations regarding government contracts and programs in which we participate. We provide managers and employees who work in relevant areas with knowledge of the governing rules and regulations.
- We do not compromise our professional standards, judgment or objectivity to any individual. Significant differences of opinion in professional judgment will be referred to appropriate management for resolution.
- We will not enter into any joint venture, partnership or other risk-sharing arrangement with any entity that is a potential or actual referral source, unless the arrangement has been reviewed and approved by the Office of Legal Affairs.
- We do not use HSS resources, including facilities, intranet, telephone, email, supplies or our work time, for the purpose of supporting, or soliciting support for, any candidate for public office.
- We do not engage in lobbying activities on behalf of HSS that are, or may be, inconsistent with HSS' tax-exempt status.
- We do not conduct fundraising at HSS, except in accordance with all applicable laws and regulations and HSS policies and procedures.



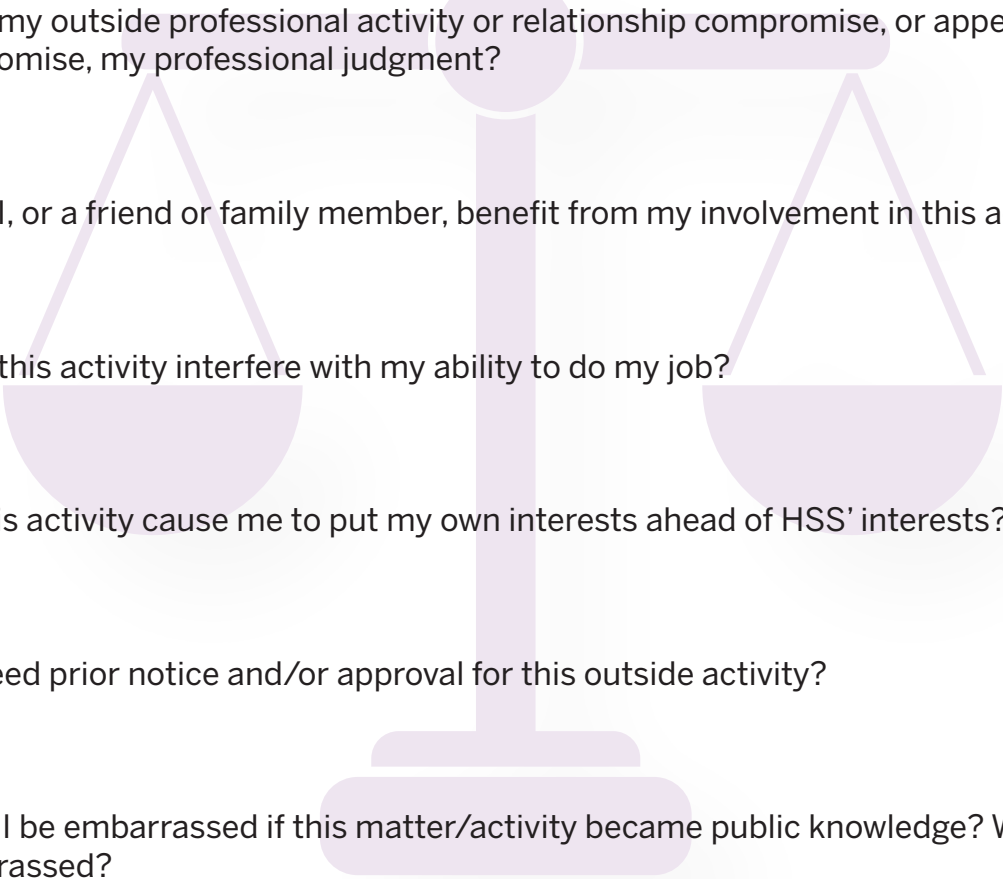
# CONFLICTS OF INTEREST AND COMMITMENT

**We perform our duties on behalf of HSS and its patients. We report our financial, associational and personal interests with outside entities and manage any potential conflicts of interest or commitment arising from those interests.**

- We devote our full time and ability to HSS during our working time.
- We do not engage in any outside professional activities that significantly interfere with our ability to fulfill our HSS responsibilities.
- We avoid engaging in conduct, or holding any interest in, or profiting personally from, an organization that has the potential to compromise or bias our professional judgment or objectivity related to our HSS responsibilities.
- We do business with individuals and companies based solely on the best interests of HSS and our patients.
- When acting as an agent of HSS, we act solely in the best interest of HSS. This obligation includes those acts formalized in written contracts, as well as everyday business relationships with vendors, suppliers, contractors, customers, government officials and government employees.
- We promptly and accurately complete our Interest Disclosure Form, which we are required to submit to HSS to comply with HSS Conflict of Interest and Commitment policies.
- We report on our Interest Disclosure Form all financial, associational, and personal interests related to our outside professional activities.
  - **Financial Interests** include ownership and/or equity interests, compensation for time-based services, and royalties from intellectual property, whether held by us or by our immediate family members.
  - **Associational interests** include uncompensated interests that confer a position of influence (e.g., membership on organizational boards of directors/trustees, advisory boards or editorial review boards, or professional or consumer advocacy organizations).
  - **Personal Interests** include non-financial relationships with an individual, rather than organizations, that could be perceived to influence our decisions related to HSS patients or business.
- We report our interests promptly and within the time frames established by HSS. We understand that certain financial interests over \$5000 USD and uncompensated associational interests may require prior notice to and/or written approval from the Office of Corporate Compliance.

## What to consider:

If presented with a situation that may involve an actual or potential of a conflict of interest, ask yourself these questions:

- 
- Could my outside professional activity or relationship compromise, or appear to compromise, my professional judgment?
  - Could I, or a friend or family member, benefit from my involvement in this activity?
  - Could this activity interfere with my ability to do my job?
  - Will this activity cause me to put my own interests ahead of HSS' interests?
  - Do I need prior notice and/or approval for this outside activity?
  - Would I be embarrassed if this matter/activity became public knowledge? Would HSS be embarrassed?

**If you have any questions, discuss the situation with the Office of Corporate Compliance.**

**Question:** I have been asked to serve on the advisory board for a not-for-profit focused on joint disorders. Since the activity is not compensated, do I need to report the activity on MyDisclosures?

**Answer:** Yes, all associational interests related to your outside professional activities must be reported, regardless of compensation. If you have any questions, contact the Office of Corporate Compliance.

## GIFTS AND GRATUITIES

**Except in limited, approved circumstances, we will not solicit or accept any gifts or gratuities from patients, vendors, suppliers, contractors, or industry representatives.**

- We do not solicit or accept cash, cash equivalents, or in-kind contributions from vendors, suppliers, industry representatives or contractors in support of any HSS activity, unless approved by the Office of Corporate Compliance or the Education Institute.
- We do not accept cash, cash equivalents, or in-kind personal gifts from vendors, suppliers, contractors or industry representatives, in any amount, or any other gift that would violate HSS policy. Cash equivalent gifts include, for example, gift certificates, store cards, etc.
- We understand many patients are grateful for the care we provide. We appreciate their gratitude, but we cannot accept gifts or cash gifts from patients. We may accept gifts from patients only if the gift is consumable or perishable (for example, gifts of food or flowers), and the gift is shared with others at HSS.
- For purposes of this section, a vendor, supplier, or contractor is any person, company, or person representing a company, that provides, or seeks to provide, goods or services to HSS. Also included are companies or individuals who are looking, or may look, to do business with HSS.
- If we have a question as to the value or acceptability of a gift, we seek advice and direction from our manager or from the Office of Corporate Compliance.

**Question:** I received a thank you card from a vendor. There is a gift card to our local coffee shop in the card. Can I keep the gift card if I share this with others in my department?

**Answer:** No. Cash and cash equivalents, such as gift cards, are never acceptable. You should report the gift to your manager or the Office of Corporate Compliance.

**Question:** I received a fruit basket from a grateful patient for my entire unit. Can I accept this?

**Answer:** Yes, this is acceptable. Since this gift is consumable/perishable, and it is intended to be shared with the whole unit, you may accept the fruit basket.

**Question:** You recently had a baby and a vendor that you have been working with for many years provides you with a contribution to your child's college fund. Is this acceptable?

**Answer:** No. Contributions to your child's college fund would be considered a cash equivalent and would not be permitted under HSS Policy or the Code of Conduct. Employees and medical staff members cannot accept gifts of cash or cash equivalents from any person or vendor that provides or seeks to provide goods or services to HSS.

**We assure coding and billing are performed accurately, and documentation exists to support the services rendered and the amounts billed. Communication among clinicians and those involved in billing is key to ensuring accurate and complete claim information.**

- We submit accurate and complete billing claims for patient services.
- We maintain appropriate documentation to support coding and billing.
- We bill for services according to medical necessity guidelines established by the various payers.
- We provide employees who perform activities that result in a claim for payment with knowledge regarding applicable laws, rules and regulations.
- We properly train staff and provide them with coding and billing updates in a timely manner.
- We notify payors of payment errors and process refunds promptly and accurately.
- We do not routinely waive patients' coinsurances and deductibles.
- We maintain complete and accurate records to fulfill requirements set forth in our policies and procedures, accreditation standards and applicable laws and regulations.
- We issue statements, communications and representations that are accurate, complete, truthful and comply with applicable laws and regulations.
- We identify errors, report them immediately to our managers or the appropriate HSS authority and correct them in a timely and appropriate manner.
- Our billing is the result of complete and accurate coding, which is based upon complete and accurate documentation of all diagnoses and procedures.
- We evaluate our coding and billing activities to identify areas for improvement.
- We respond to billing and coding inquiries and timely resolve inaccuracies in previously submitted claims that are discovered and confirmed.
- We do not knowingly present, or cause to be presented, claims for payment that are false, fictitious or fraudulent.

## SAFEGUARDING RESOURCES/ASSETS

We protect our assets and the assets entrusted to HSS, including physical and intellectual property, and protect information against loss, theft or misuse.

- We establish and maintain internal controls within our areas of responsibility to ensure the safeguarding of HSS assets, the accuracy of financial statements and all other records and reports.
- We use HSS property appropriately and take measures to prevent any unexpected loss of equipment, supplies, materials or services. We are aware that managers must approve any personal use, sale, donation, or removal of HSS equipment, supplies, materials, services or other resources.
- We understand that the names, Hospital for Special Surgery, HSS and any derivative of HSS, are assets that must not be associated with the views or activities of individual employees, or with outside individuals, organizations, or groups without specific and express authorization from HSS.
- We use HSS premises, facilities, and other resources for authorized HSS official business only.
- We report time and attendance accurately and work productively during working time.
- We issue and maintain financial reports, accounting records, research reports, expense accounts, time sheets and other documents that accurately and clearly reflect the true nature of transactions.
- We follow the laws regarding intellectual property, including patents, trademarks, marketing, copyrights, and software. We do not reproduce any copyrighted materials without the express permission of the copyright holder and/or appropriate license from the copyright holder.
- We do not copy HSS computer software unless it is specifically allowed in the license agreement.
- We adhere to established policies and procedures governing record management and comply with the record retention and destruction policies/schedules for our departments.
- We maintain and update our security measures to prevent unauthorized access to HSS data systems. We take steps to prevent identity theft by protecting Social Security numbers and other patient, medical staff, and employee data.
- We implement significant safeguards to maintain the confidentiality, integrity and availability of patient and HSS' proprietary and confidential information. Our information security standards are designed to protect electronic systems, and the patient and business information contained in them.
- We do not share login credentials, including passwords, or our electronic accounts with others.

**Question:** You are asked by a colleague for your HSS network password since they are currently locked out of the system. Are you permitted to share your password?

**Answer:** No. Sharing passwords is not permitted by HSS and presents a risk to the security of our systems, HSS, and our patients.

## We provide a safe and secure environment for patients, staff and visitors.

- We consider the safety and security of patients, staff and visitors in all of our activities.
- We exercise good judgment regarding the environmental aspects of the use of HSS buildings, property, laboratory processes and medical products.
- We comply with established safety and infection prevention policies and procedures, which are intended to avoid job-related hazards and ensure a safe work environment.
- We do not smoke or vape on HSS property, in accordance with established policies and procedures.
- We comply with all laws and regulations governing the handling, storage, use and disposal of hazardous materials, other pollutants and infectious wastes.
- We comply with permit requirements that allow for the safe discharge of pollutants into the air, sewage systems, water or land.
- We report any possible violation of HSS' safety policies and procedures, laws, regulations or standards to our manager. If we are not satisfied that the issue has been addressed, we notify the Safety Department or the Office of Corporate Compliance.
- Any individual working at HSS is always required to wear the appropriate identification card above the waist and visible. If asked, HSS staff will identify themselves by name and department.

**Question:** What should I do if I see something that requires repairs or maintenance as I walk through the facilities?



**Answer:** You should use the online work order system found on the Intranet. If it is a safety issue, reach out to Engineering at 606.1460.



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