



Guided by Our Values



Ephraim McDowell
Health®

Excellence is our only standard

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MESSAGE FROM THE CEO



The Ephraim McDowell Health system offers many wonderful services to tens of thousands of central Kentuckians, and is recognized in the state as a leader for quality care. Those services and quality care are possible only because of the Associates, medical staff, board members and volunteers who are committed to our mission of providing a healing environment in the communities we serve, built on best people, practices and performance.

To assist us with achieving our mission and maintaining our quality standards, the Board of Directors of Ephraim McDowell Health, Inc. has adopted a Corporate Compliance Program, a Corporate Compliance Officer and provides this Code of Conduct.

This Code of Conduct is meant to provide guidance with recognizing and addressing ethical, legal and compliance issues to help ensure that our organization-wide integrity will be maintained. Complying with the principles established in this Code of Conduct is the right thing to do, every day.

Please review this Code of Conduct carefully. Each Associate, member of the medical staff, member of the Board of Directors and Volunteer is responsible for abiding by the standards set forth in this and supporting documents.

A handwritten signature in black ink that reads "Daniel E. McKay". The signature is fluid and cursive, with the first letters of the first and last names being capitalized and prominent.

Daniel E. McKay
President & CEO

PURPOSE OF THIS CODE OF CONDUCT

The Board of Directors for Ephraim McDowell Health, Inc. (“EMH”) and its associated entities have adopted this Code of Conduct to reinforce established expectations for ethical conduct. It is an important component to helping ensure that organization-wide integrity will be maintained and EMH’s Mission - to provide a healing environment in the communities we serve, built on best people, practices and performance - will be achieved.

RESPONSIBLE PARTIES: Compliance is everyone’s responsibility! Associates, medical staff, board members, volunteers, contractors and other individuals interacting with EMH are expected to comply with all aspects of this Code as applicable to their role. We expect our Associates to embed the principles set forth in this Code of Conduct into their everyday duties and others to comply as simply the right thing to do.

HOW TO USE THIS CODE OF CONDUCT: This Code of Conduct provides a non-exhaustive guideline of our organization’s expectations for ethical behavior and compliance with the law.

Other resources supplement this Code of Conduct including, but not limited to, policies and procedures, federal and state regulations, codes of ethics from professional organizations and departmental directives. Please access those supplemental materials should questions arise. Additional questions should be directed to a department director or the Corporate Compliance Officer. Should terms in this Code of Conduct differ from the supplemental resources, please contact the Corporate Compliance Officer.

Office of General Counsel
Compliance Officer
(859) 239-2347

OUR MISSION & VALUES

Our Mission: Ephraim McDowell Health, Inc. is committed to providing a healing environment in the communities we serve, built on best people, practices and performance.

Our Values: Friendliness, Innovation, Respect, Service, Trust (“F.I.R.S.T.”)

Friendliness: An environment filled with compassion, care and concern

Behaviors:

1. Being pleasant and professional.
2. Letting others know you are available to help them.
3. Listening carefully to what others say.
4. Making others feel welcome and special.

Innovation: The freedom and challenge to seek and apply new knowledge

Behaviors:

1. Striving for personal and professional growth.
2. Exhibiting a “can do” attitude.
3. Developing creative solutions.
4. Working smarter and being open to new ideas.

Respect: The recognition of each person as a valued, unique individual

Behaviors:

1. Treating others as you want to be treated.
2. Encouraging patients to be involved in their care.
3. Honoring and maintaining confidentiality, privacy and dignity of others.
4. Acknowledging that disagreements may occur, celebrating diversity and seeking compromise.

Service: A commitment to excellence in everything we do

Behaviors:

1. Expecting the best and exceeding expectations of those we serve.
2. Being professional in all interactions.
3. Giving your undivided attention.
4. Anticipating and responding to needs as they arise.

Trust: Adhering to principles that foster honesty, integrity, confidence and safety

Behaviors:

1. Believing in the ability of others and having confidence that individuals will do the right things for the right reasons.
2. Recognizing that patients depend on our skills and the technology we offer.
3. Being honest and expecting honesty; admit mistakes and learn from experiences.
4. Keeping promises.

PATIENT CARE

EMH's Mission "to provide a healing environment" and its Values of respect and trust are evidenced by activities of the Corporate Compliance Committee as well as documented within patient care and nursing philosophy statements. We believe that respecting patients'/residents' rights is part of caring and that conducting business in an ethical manner shows respect for Associates and the community. Further, the patient- and family-centered care philosophy has a central principle of dignity and respect. The Compliance Plan, Committee and Officer are forces to help ensure ethical business practices within the organization. Patient- and family-centered care promotes participation and collaboration in care. Respect for the individuality and dignity of each patient includes the patient's right to determine end-of-life decisions. Patient care delivery addresses the holistic nature of patients, including the physiological, psychological, spiritual and social needs. Care is delivered in the most appropriate setting of the continuum through effective communication and collaborative efforts of nursing, diagnostic, therapeutic and rehabilitative services as well as the medical staff.

Patient Rights: Patients have certain rights and responsibilities. If patients understand those rights and responsibilities, then they can contribute to the effectiveness of their treatment and to the quality of their care. Our policies, including those on Patient Rights and Responsibilities, supplement this Code of Conduct and reflect our concern for and commitment to our patients.

Confidentiality: It is the obligation of each Associate, volunteer, student, member of the medical staff and administration to protect the confidentiality of any private information that may be acquired from any source about a patient. The trust that is built in an Associate-patient relationship would be broken by disclosure of confidential information.

BILLING & CODING

Ephraim McDowell Health is committed to accurate billing of services to patients and their insurance companies, which may include governmental payers. Consistent with our F.I.R.S.T. Values, we will bill honest, accurate and complete claims that comply with applicable laws and regulations.

Ephraim McDowell Health maintains full compliance with Medicare, Medicaid, and the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) as well as managed care companies that participate in these programs. We will also comply with all rules and requirements of our commercial payers.

Ephraim McDowell Health will maintain complete and adequate records to fulfill requirements set forth in our policies and procedures, accreditation standards, and applicable laws and regulations. The records will support the coding and billing of patient services and the medical necessity of those services. It is our policy to apply the correct Current Procedure Terminology (CPT-4), Health Care Finance Administrator Common Procedure Coding System (HCPCS), and the International Classification of Disease coding principles and guidelines.

Ephraim McDowell Health will provide the appropriate information to the patient regarding the coding and billing of their services and will comply with all regulations of the Health Insurance Portability and Accountability Act (HIPAA).

CONFLICTS OF INTEREST

EMH is committed to managing conflicts of interest in our professional relationships. Conflicts of interest can arise when a person's or entity's interests conflict with the interests of our organization. When not addressed promptly, these conflicts can cause significant damage to our organization's efficiency and effectiveness, can negatively impact the morale of our Associates, and can violate state and federal laws and rules of regulatory agencies.

Conflicts of interest can take many forms and involve persons at all levels of our organization. Some examples of potential conflict situations:

- **An Associate**, physician, board member or member of the Auxiliary or the immediate family member of any of them provides goods and/or services to the organization outside of his or her scope of employment.
- **An Associate**, physician or board member is employed by an organization that provides services identical to those core functions and services provided by EMH.
- **A board member** or close family member invests or is invested in a business venture that the board member learned about in a meeting at EMH.

EMH has adopted and adheres to policies for recognizing and addressing conflicts of interest when and where they occur. These policies encourage anyone who sees what they perceive to be conflict of interest to report it to their supervisor, department director, any member of the Senior Leadership Team or the Compliance Officer. Reports may also be made anonymously. No Associate will ever be subjected to retaliation for reporting a situation which they believe in good faith violates our Mission, Vision, Values or is contrary to our culture of compliance.

LEGAL COMPLIANCE

EMH is committed to ensuring that our conduct complies with state and federal laws. Below is a non-exhaustive list of the laws applicable to our organization and the manner in which we comply with them.

Anti-Kickback

False Claims Act (31 U.S.C. § 3729–3733) & Kentucky Fraud and Abuse Control Laws:

We will comply with all aspects of the False Claims Act. By way of example only, we will not knowingly:

- Bill for services or items that were not actually provided;
- Upon obtaining money from the federal government to which we are not entitled, use false statements or records in order to retain the money (a so-called “reverse false claim”);
- Bill for services that were not medically necessary;
- Use a code to bill for a higher level of service or procedure, causing an increase in the reimbursement rate, when the medical record reflects that a lower level of service or procedure was actually provided to the patient (known as “up-coding”);
- Bill more than once for the same service or item;
- Charge rates in excess of established Medicare or Medicaid rates;
- Retaliate against any individual for investigating and reporting any suspected violations.

Harassment:

EMH is committed to providing an environment that is free from any form of physical, verbal or written conduct demonstrating harassment, hostility, intimidation or bullying, including but not limited to, age, sex, gender identity, sexual orientation, race/color, religion, national origin, veteran status, or disability. EMH expects all Associates to conduct themselves in a professional manner free from harassing behaviors of any kind. EMH also expects all patients, visitors, medical staff, volunteers, contractors, vendors and guests or any other third parties to conduct themselves in a manner free from harassment. If an Associate feels he or she has been subject to harassment from any of these parties, he or she may report the same to his or her immediate supervisor, any director, any member of the Administrative Team or the Compliance Officer. Again, reports can be made anonymously.

The Omnibus Budget Reconciliation Act of 1989, Omnibus Budget Reconciliation Act of 1993 and Balanced Budget Act (BBA) of 1995 (more commonly known as Stark I, II and III):

EMH complies with Stark, which prohibits us from accepting referrals for certain designated health services from or making referrals for certain designated health services to a physician with whom we have a financial relationship when such a referral would not meet a specific exception and therefore be inappropriate.

MARKETING & ADVERTISING

EMH's commitment to excellence extends to our marketing and advertising. Marketing materials reflect only care, treatment, and services or educational programs that are available within the scope of the correct level of licensure and accreditation directly or by contract service. Marketing efforts will not mislead the public or misrepresent the facility as to the types or quality of services available.

STEWARDSHIP

EMH's non-profit mission is to promote the general health of the communities it serves. Fulfilling this mission requires us to be prudent stewards of the assets of the organization. The ways we accomplish prudent stewardship include:

- Aligning compensation with performance
- Clearly defining contracting rights for its Associates
- Complying with policies on signing authority and delegation where appropriate
- Accurately reporting our organization's financial condition
- Reporting time and attendance accurately and being diligent in our duties
- Adhering to policies on travel expenses
- Not converting the assets of EMH for personal use
- Not making unauthorized use of company equipment, supplies, materials or services for personal or non-work purposes
- Respecting the individual rights of patients, families and our fellow Associates

WHEN CONCERNS ARISE

EMH's Corporate Compliance Program includes a component for addressing concerns when they arise.

- Phone the Compliance Officer, an Administrative Officer, or any director or supervisor.
- Write to the Compliance Officer, an Administrative Officer, or any director or supervisor.
- Speak in person with the Compliance Officer, an Administrative Officer, or any director or supervisor.
- Telephone Hotline: 866-913-0280
- Via third party website: <https://www.integrity-helpline.com/emhealth.jsp>
- E-mail the Compliance Officer, an Administrative Officer, or any director or supervisor.

When a complaint has been received, the Compliance Officer starts an investigation. If it is determined that we are in violation of a law, then we will take corrective action to fix the problem. We will also monitor the situation periodically to make sure that it does not happen again. WE WILL NEVER retaliate against an Associate who makes a good faith complaint about suspected violations of our compliance program.



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217 South Third Street | Danville, KY 40422 | (859) 239-1000

Hotline: (866) 913-0280

<https://www.integrity-helpline.com/emhealth.jsp>

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