


Hebrew SeniorLife Administrative Policies and Procedures

Policy Title:	Hebrew SeniorLife Code of Conduct
Responsible Department:	Legal & Compliance
Original Effective Date:	01/01/09
Date Last Approved:	06/07/19
Supersedes:	10/10/18
Approved By:	 Rachel Lerner, General Counsel and Chief Compliance Officer

I. PURPOSE:

This Code of Conduct (the “Code”) is adopted as supplementary to the Mission and Cultural Beliefs of Hebrew SeniorLife and its subsidiaries and affiliates (collectively, “HSL”), and as part of HSL’s commitment to providing services in an ethical manner and in compliance with all applicable laws and regulations.

II. SCOPE:

The code applies to All HSL employees, officers, directors, trustees, volunteers, students, consultants or contractors (collectively, “Employees”) performing services on the HSL campuses or elsewhere on behalf of HSL.

III. POLICY:

It is each Employee’s responsibility to become familiar with, and adhere to, the Code and all other HSL policies. The Code is posted in public areas at each HSL campus and is available on our website. Any questions regarding the Code’s requirements can be directed to your immediate supervisor, HSL’s Chief People Officer, or HSL’s Legal and Compliance Department.

1. We are committed to obeying the law.

HSL mandates that all organizational activities are conducted in compliance with this Code, all other HSL policies and procedures, applicable laws and regulations. HSL also takes precautions to ensure that individuals and entities that have been sanctioned from participating in government payment programs do not work at or do business with HSL. Any suspected violation of this Code, or other compliance violation or wrongdoing should be reported in accordance with HSL’s “Reporting and Investigating Suspected Misconduct” policy without fear of retribution or retaliation. All concerns or complaints regarding illegal or dishonest activities, or other suspected misconduct, should be reported immediately and directly to the Chief Compliance Officer via any of the following reporting mechanisms:

- An immediate supervisor (who then shall report to the Chief Compliance Officer)
- To the Compliance Hotline, at 1-800-273-8452 (anonymous reporting is available)
- Verbally to the Chief Compliance Officer in-person or by phone at (617) 971-5211

- In writing or by e-mail to the Chief Compliance Officer at:

HSL Chief Compliance Officer
1200 Centre Street
Boston, MA 02131
ComplianceOfficer@hsl.harvard.edu

HSL takes all reports of suspected Code or other compliance violations or wrongdoing seriously and investigations are handled in a manner that is as confidential as possible. As soon as practicable upon receipt of a report, the Legal and Compliance Department will determine whether misconduct has occurred and will take actions as appropriate.

HSL's Legal and Compliance Department should also be contacted immediately regarding any government inquiry or investigation. Employees are expected to cooperate fully with internal and external compliance-related activities and investigations. Violations of this Code and/or laws and regulations governing HSL's operations may subject Employees to progressive discipline, up to and including termination, and reporting to external authorities if appropriate.

2. We promote a positive, safe and secure environment for Employees, patients/residents and families.

All Employees want and deserve a workplace where they feel respected, satisfied and appreciated. Providing an environment that supports honesty, integrity, respect, trust, responsibility, and citizenship permits us the opportunity to achieve excellence in our workplace.

Employees are expected to perform their job responsibilities in a professional manner and in accordance with HSL's Cultural Beliefs, human resources and other applicable policies. These principles extend wherever you are performing HSL job duties, whether on campus or off-campus in the community, as well as when engaging in work-related activity on social media. We uphold high standards of professional practice, such that only properly qualified individuals shall provide care to HSL patients/residents. Anyone holding professional licenses and certifications has an individual responsibility to maintain such licenses and certifications in good standing through timely renewals, and (where required) to maintain the appropriate level of continuing education.

HSL is an equal opportunity employer. HSL does not tolerate harassment or discrimination of any kind, especially involving race, color, religion, age, gender, national origin, ancestry, military status, disability, marital status, veteran status, sex, sexual orientation, gender identity or expression, pregnancy and pregnancy-related conditions in its employment or care practices.

We are committed to a drug-free workplace. Using or being under the influence of alcohol, an illegal drug, or any other controlled substance while working is prohibited. Tobacco smoking is limited to designated areas. The only exception to this policy is during HSL sponsored and approved events where alcohol may be present. Notwithstanding, Employees are permitted to take legally prescribed and/or over-the-counter medications in the recommended dosages consistent with appropriate medical plans while performing their job. However, if such drugs alter or interfere with job performance or cause safety concerns, supervisors must notify Occupational Health Services (OHS) immediately.

Each of us is responsible for observing standard precautions when applicable and for assisting others to do so, and for abiding by all health and safety laws and regulations. We handle HSL property and property belonging to patients/residents with care and respect and in accordance with HSL policies.

3. We respect confidentiality and privacy rights.

Confidential information is one of HSL's most valuable assets. We must always protect and respect the privacy of patients, residents, families and other Employees. It is the responsibility of each HSL Employee to safeguard confidential information by keeping it secure, limiting access to those who have both, the authority to receive the information, and a "need to know" the information in order to perform their job duties, and by not otherwise disclosing the information in violation of our patients'/residents', or Employees' rights to privacy under federal and state laws and regulations. Employee responsibilities include, but are not limited to: avoiding discussion of confidential information (on cell phones or in person) when in public areas such as hallways, elevators, lunch room, etc.; securing documents that contain confidential information; and adhering to all HSL policies and procedures related to confidentiality and HIPAA Privacy and Security rules.

HSL has created technical, administrative and physical safeguards to protect the integrity and confidentiality of our computer systems and the data on our systems. At all times Employees should guard their user IDs and passwords, and otherwise maintain the security of our systems. Improper disclosure of confidential information subjects HSL and the responsible Employee to potential civil or criminal liability. Please seek assistance from your immediate supervisor, the Privacy Officer, or the Legal and Compliance Department with any questions involving confidentiality.

4. We keep accurate and complete records.

All patient/resident records must be created with care and completed in compliance with all clinical, research, quality, reimbursement, and cost-reporting regulations. Only services that are medically appropriate, actually rendered, and properly documented shall be billed. All clinical, billing and financial records must be completed promptly and accurately by the appropriate personnel. Misrepresenting facts, falsification, or improper altering of records will not be tolerated and will be subject to progressive discipline, up to and including, termination of employment. All clinical, financial and other HSL documents are created, maintained and destroyed in accordance with applicable HSL record retention policies, laws and regulations.

5. We obey all antitrust laws.

HSL is committed to abiding by antitrust laws, which are designed to create a level playing field in the marketplace and to promote fair competition. These laws prohibit practices that restrain trade, such as: price fixing and boycotting suppliers or customers; setting prices with the intent to run a competitor out of business; disparaging, misrepresenting, or harassing a competitor; stealing trade secrets; and offering or accepting bribes or kickbacks. Antitrust laws also prohibit agreements between competitors regarding prices to be charged, bidding, clients to be solicited or geographic areas to be served. It is not unusual to obtain information about other organizations, including competitors and other companies with which we do business, through legal and ethical means, such as public documents, journal articles and spoken information. It is not acceptable, however, to obtain proprietary or confidential information about another organization through illegal means or in violation of a contractual agreement.

To avoid even the appearance of collusion, Employees should avoid discussing topics such as price policies, fees, and terms or conditions of the sale of services or products with a competitor. Trade and professional association meetings, conventions, and seminars are of particular concern because competitors often attend.

Employees should exercise caution in conversations at such events even during the social or entertainment portion of the programs. Because antitrust laws can be complex, Employees should consult with the Legal and Compliance Department with any questions and to report any concerns.

6. We avoid conflicts of interest.

As individuals we avoid taking part in any decision where we may benefit personally from the outcome. Conflicts of interest arise from financial or other business relationships with our patients/residents, suppliers or competitors that interfere with, or which appear to interfere with, HSL interests. Employees should avoid outside employment or activities that could have a negative impact on their job performance, conflict with their obligation to HSL, or negatively impact HSL's reputation in the community. Examples of conflicts include: receipt of improper personal benefits as a result of your position with HSL; accepting loans or guarantees from HSL; and owning, or having a substantial interest in a company that is a competitor, lessor, customer or supplier to HSL.

Conflicts of interest may also arise in circumstances where HSL Employees are asked to serve as patient/resident's health care proxy (HCP), power of attorney (POA) or durable power of attorney (DPOA) or to witness and/or notarize patient/resident or other signatures on legal, medical or other documents. We abide by HSL's various policies on these topics and make disclosures or seek guidance as required.

Employees must avoid even the appearance of a conflict of interest by fully disclosing facts, which may appear to be a conflict of interest, and abiding by the decision of management or the HSL Board, as the case may be, as to any potential conflict. Because it is impossible to describe every potential conflict of interest, we necessarily rely on each Employee to exercise good judgment, to seek advice when appropriate, and to adhere to ethical standards in the conduct of your professional and personal affairs.

7. We do not offer or accept gifts, kickbacks, favors or other potentially improper inducements.

Employees must abide by HSL's policies regarding acceptance of gifts from residents, patients or families. Employees are further prohibited from accepting or giving anything of value to an individual or organization with whom the HSL does, or may do, business if it appears that one of the purposes of the gift, service, or favor may be to encourage or reward referrals of patients either to or from HSL. Gifts to or from referral sources may be considered kickbacks and may violate both HSL policies and federal and state law. Any questions regarding whether a certain gift or arrangement could constitute an "improper inducement" should be directed to your immediate supervisor or HSL's Legal and Compliance Department.

8. We collaborate with philanthropic donors to further HSL's charitable mission.

We are responsible for allocating donated funds carefully and collaborating effectively with donors to further HSL's charitable mission. We adhere to the highest standards in the solicitation, acceptance, recording and use of donated funds.

9. We only engage in legally permitted political activities.

Federal and state laws restrict the use of corporate assets and govern the activities of non-profit organizations, such as HSL, in connection with elections. HSL encourages Employee involvement in civic affairs and participation in the political process; however, that involvement and participation must be on an individual basis, on an Employee's own time and expense. Employees may not use work time for personal political fundraising and must otherwise abide by HSL's solicitation policies. Senior management or other designated individuals may participate in legally permitted political activities to fulfill their responsibilities as advocates for HSL and our patients and residents, but HSL resources may not be used to support any political organization, candidate, or office holder. HSL advocacy activities must always be conducted in accordance with legal and ethical lobbying standards.

10. We respect HSL property and proprietary information and use HSL's assets wisely.

We recognize that the community has entrusted assets to us to be used to further HSL's mission. We invest and use assets with care and respect to achieve the mission of our organization and to guard against theft, waste or abuse. HSL assets should be used for the benefit of HSL and may not be used by Employees or others for personal gain. Further, we do not share proprietary information with outside persons, such as competitors, suppliers or outside contractors, unless specifically authorized. "Proprietary information" includes, for example, business strategies, pricing information, financial data, research protocols, and intellectual property. This requirement continues to apply even after leaving HSL employment or service.

HSL-owned technology is provided for business use. Resources include, but are not limited to, telephone, mobile devices, computer, e-mail, and internet access. Employees must use these resources in accordance with HSL policies. Generally, Employees should not expect any confidentiality or privacy when using such systems. Under no circumstances should HSL's technology be used to access, store or distribute content that is illegal, harassing, offensive or inappropriate.