



healthplex®



# Code of Conduct

## A Letter from the President

Each of us at Healthplex works hard every day to perform our jobs. Whether it's processing claims, answering phones, handling mail, building networks, or any of the other day-to-day tasks we need to do in order to deliver for our clients, it's easy to lose track of the bigger environment in which Healthplex works.



Because what we really provide to our clients, before any of our individual deliverables, is trust and compliance. Without these, nothing else that we do will be effective or valuable to anyone.

Every day, Healthplex is defined through the actions of our employees and our leadership. Codes of Conduct, Mission Statements, and Declarations of Core Values are just words on paper unless each of us acts with honesty and integrity. My expectation is that we will all do the right thing, every time - our mutual success depends on it.

Healthplex's Code of Conduct is the foundation of our Ethics and Compliance Program. It guides our actions, our decisions, and our operations. By understanding and following the Code, you help safeguard Healthplex's integrity and reputation.

Our Code of Conduct is grounded in our values. By following them, we are:

- Trusted
- Accountable
- Easy to do business with
- Innovative
- Enthusiastic

Living these values means holding ourselves accountable. If you identify something that you believe is not in accordance with our mission and values, speak up; we cannot fix what we do not know. Employees who elevate issues should be commended, and any retaliation against those who report ethics and compliance concerns will not be tolerated.

Millions of people depend on us to provide them with high quality, affordable health care solutions. Our company's success is built on the trust and confidence of those we serve. As these values become increasingly rare, we have to work that much harder to maintain and build our reputation. The only way to do that is by always doing the right thing, even when no one is watching.

A handwritten signature in black ink, appearing to read 'Chris Schmidt', written in a cursive style.

Christopher Schmidt  
President and Chief Executive Officer  
Healthplex, Inc.

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## Our Responsibilities

### Mission Statement

Healthplex is committed to providing access to high quality affordable dental care and to improving the oral health of our community. Our comprehensive, innovative solutions serve to build trust and deliver value.

Core Values:

- Integrity and honesty in our dealing with others.
- Respect and caring for people.
- Pride in our daily work and accomplishments.
- Pursuit of constructive change and innovation.

### Policies

Policies and procedures are drafted as instructional tools for employees on how to perform their respective job functions. They also provide direction to ensure all employees maintain compliance with applicable laws and regulations. Employees have access to all policies and procedures at all times and they are responsible to follow all rules set forth within them.

### Training

Healthplex will provide the training and education employees need to be knowledgeable about our ethics and compliance standards. In return, the company relies on employees to help ensure that upholding these standards remains a priority. Employees are expected to comply with all standards outlined in this code of conduct, as well as reporting any suspected violations of these standards.

Employees are trained on our Compliance, Privacy and Security program. All compliance training is completed within 90 days of hire and annually thereafter.

### Manager's Responsibility

Managers play a very important role to maintain an ethical and compliant atmosphere. Healthplex managers should be available to their staff to field concerns that may arise and should maintain an "Open Door" policy. A manager may report any concerns up to the Compliance Department, but may also direct employment related concerns to Human Resources.

### Enterprise Risk Management (ERM)

Healthplex is committed to controlling business, technical, and financial activities in order to minimize the associated risks.

The goal of the ERM program is to incorporate a consistent approach to risk management into the culture and strategic planning processes that support decision making and resource allocation at both

the operational and strategic levels. All employees are made aware of the importance of risk management and their responsibilities.

## **Work Environment**

### **Equal Employment Opportunity**

Healthplex is committed to equal employment opportunities. This equal opportunity commitment embraces all aspects of the employment relationship, such as recruitment and employment, promotion or job upgrading, demotion or job transfer, layoff, termination, selection for training opportunities including apprenticeship, salary administration or other forms of compensation, and the application of employee benefits as well as the policies or practices that determine eligibility for benefits.

All violations of this policy will result in discipline, up to and including termination of employment.

### **A Safe Environment**

Healthplex is committed to providing a safe and secure work environment for employees, customers, and visitors.

Healthplex has zero tolerance for violence in the workplace. Healthplex has adopted the following guidelines to deal with intimidation, harassment, or other threats of (or actual) violence that may occur on its premises during business hours. All employees, customers, and members of the public should be treated with courtesy and respect at all times. Employees are expected to refrain from fighting, "horseplay," or other conduct that may be dangerous to others. At no time are firearms, weapons, or other dangerous or hazardous devices or substances permitted in or around the premises of Healthplex offices.

### **Freedom from Harassment**

Healthplex has a policy of ensuring an environment that respects the dignity and worth of each individual and is free from all forms of harassment. Unlawful harassment, including sexual harassment, will not be tolerated. This policy applies to all employees of Healthplex, all outside contractors, vendors and clients associated with Healthplex, and all third parties doing business with Healthplex.

### **Alcohol and drug-free workplace**

Healthplex prohibits the use of alcohol or illegal substances while at work or during work hours. To promote this goal, employees are required to report to work in appropriate mental and physical condition to perform their jobs in a satisfactory manner.

## Confidentiality

It is Healthplex's policy that employees, who in the course of their employment have access to confidential information, shall not disclose this information to anyone (either Healthplex employees or non-Healthplex individuals) or use such information except as required for the performance of their duties or as authorized in writing by the Officer responsible for such confidential information.

Healthplex employees shall protect and properly use confidential and proprietary information, including Protected Health Information (PHI), pertaining to Healthplex and its members, employees, providers, business associates, and other affiliates. Healthplex employees shall use confidential and proprietary information only for its intended purposes, and as needed to perform their specific job responsibilities. Additional guidelines for handling confidential information are included in Healthplex's privacy and security policies.

### Definition of Confidential Information

Confidential information is Healthplex information, records, systems and property of perspective and covered members, employees, providers, business associate and other affiliates. It includes, but is not limited to the following:

- Any information about Healthplex's method, tactics, or strategies of conducting business
- Financial information and records
- Client or perspective or current covered member lists, names and information
- Pricing methods
- New product ideas and prototypes
- Current and projected marketing and sales statistics and studies
- Technology, programs, developments, and proposals
- Processing methods and plans
- Computer programs, designs, passwords, hardware, and software
- Group, covered member and /or provider contracts and agreements
- Health information of employees, subscribers, participants, dependents, and beneficiaries
- Information about or received from other companies with which Healthplex is under contract to ensure that Healthplex employees do not disclose similar confidential information.
- Personally Identifiable Information (PII)

## Use of Company Assets

### Passwords

Healthplex maintains a very strict password policy. This ensures that our member's PHI and Healthplex's data is kept confidential and secure. Employees should never share passwords or usernames with anyone.

## **Social Media**

Healthplex maintains a social media policy to ensure confidentiality and appropriate presentation of Healthplex in social media. Healthplex strictly prohibits the posting or sharing of financial, confidential, sensitive or proprietary information about Healthplex or any of our clients brokers, agents, or candidates, as well as any health, contact, identification or personal information of subscribers, brokers, agents, participants, dependents or beneficiaries.

Our social media policy applies to Healthplex employees, brokers, and agents for all forms of social media including, but not limited to: blogs, Facebook, Twitter, LinkedIn, YouTube and/or other social media sites and tools. These rules also apply to any comments employees may leave on other blogs or Facebook pages, edits to wikis, responses to tweets, postings on message boards/forums, opinions on online polls, or any product/services an employee might author.

Employees must make it clear that the views they express are their own and not Healthplex's views.

## **Record Retention**

Healthplex is committed to ensuring the privacy and security of confidential and protected health information in any form (oral, written, or electronic). Healthplex has adopted procedures and safeguards to retain records as necessary. Healthplex complies with applicable state and federal laws and regulations and contract terms pertaining to record retention.

## **Conflict of Interest**

### **Conflict of Interest**

All Directors, Officers, and employees have the responsibility to exercise their best care, skill, and judgment with utmost good faith in all their actions and they shall not use their positions to gain any personal benefit.

Employees, Directors or Officers of the Corporation or any member of their immediate family shall not be involved in any investment and shall not engage in any action that is not in the best interest of the corporation. The interests of the organization must be the first priority in all decisions and actions.

The existence of a conflict of interest may not of itself be evidence of wrongdoing. Employees, Directors, or Officers of the Corporation have the duty to promptly report any actual or possible conflicts of interest that might exist. An employee has the duty to report to its supervisor, while Directors and Officers of the Corporation have the duty to report to the Board of Directors of Healthplex. A failure to do so might result in disciplinary or legal action, where applicable.

All Directors and Officers of the Corporation shall sign a Conflict of Interest form at the Board of Directors' annual meeting in September of each year. In the event there is any change in circumstances that would cause a modification of an individual's answer to the Conflict of Interest form previously submitted, and the change in circumstance could potentially create a conflict of interest, said individual shall immediately notify the chairman of the Board of Directors or the President of Healthplex and report any additional information that may potentially result in a conflict of interest.

All Employees, Directors and Officers of Healthplex shall be responsible for promptly reporting an actual or potential conflict of interest pertaining to themselves or any other Employee, Director or Officer of Healthplex.

Any individual who reports in good faith any conflict of interest of any other individual shall not be subjected to retaliation, retribution, or harassment. Reporting in good faith shall mean that an individual believes the problem or information they are reporting is accurate. Any retribution, retaliation, or harassment shall be responded to with disciplinary action.

### **Political Activity**

Corporate funds and assets cannot be used for political contributions of any kind unless expressly authorized by senior management.

When an employee engages in political or civic activities as an individual they must represent their views as their own and not as a representation of Healthplex's views. Political activities may not be conducted on company time.

## **Conducting Business**

### **Accepting Gifts and Entertainment Gifts**

Accepting gifts or favors offered for services performed or for business relationship is considered improper. Healthplex employees shall refuse to accept any gift or other gratuities which could reasonably be considered to influence one's judgment in regards to Healthplex's affairs.

Recognition gifts or promotional items (advertising novelties) of nominal value may be accepted if the gift cannot reasonably be considered to influence the recipient's judgment. Nominal value is considered an amount of \$50 or less under most circumstances. Prize drawings, such as door prizes at events sponsored by vendors or others seeking to do business with Healthplex, may be accepted only if eligibility is open to anyone in attendance. Certain gifts, including cash and cash equivalents (such as gift certificates), are strictly prohibited.

### **Entertainment**

Modest entertainment offered on an infrequent basis is an acceptable part of conducting business; however, entertainment, which is more than an incidental part of a business trip, shall not be accepted. Entertainment and recreational activities, which are offered in connection with out-of-town business travel, may be accepted as long as the entertainment/recreation is only incidental to travel which otherwise involves a substantial business purpose. An out-of-town trip intended primarily to foster a business relationship does not amount to a substantial business purpose of accepting entertainment and recreation. Any business trip in which entertainment or recreation is more than incidental to the travel shall be reported to and cleared in advance with one's Department Supervisor.

### **Offering Gifts or Entertainment**

Employees must never offer money directly or indirectly to influence, obtain, or retain business. This may be considered an illegal bribe or kickback in violation of company policy.



### **Anti-kickback Statute**

Healthplex employees shall not accept or provide anything of value to induce the referral of business. Employees who have authority to negotiate or approve contracts, authorize payments, or authorize benefits or services must understand and follow anti-kickback rules. The state and federal anti-kickback laws specify criminal penalties for individuals or entities that knowingly and willfully offer, pay, solicit, or receive something of value to induce the referral of business. Even an attempt to offer a kickback or an attempt to accept a kickback may violate the law.

### **Procurement**

Healthplex maintains an honest and proficient procurement process. Relations with suppliers must be free from influence of gifts and kickbacks.

### **Agreements with Contractors**

All agreements between Healthplex and their contractors must clearly outline the services provided as well as performance standards to ensure adequate completion of duties by the standards of Healthplex and its upstream entities.

Non-employees must comply with Healthplex policies and its Code of Conduct. Violation of policy or code of conduct will result in sanctions, up to and including termination of contract.

## **Business with the Government**

### **Exclusions**

Healthplex does not hire, recruit, or do business with any individual or entity that is excluded from participation in government programs.

Prior to hiring an individual or engaging an entity, Healthplex ensures that all employees, temporary employees, contractors, consultants, governing body members, providers, and vendors are not sanctioned or excluded from participation in government programs.

Screenings are conducted monthly by the Compliance Department through the Office of Inspector General (OIG) and System for Award Management (SAM) Formerly the Excluded Provider Parties List (EPLS).

Providers are similarly screened as part of the credentialing and re-credentialing process.

### **Government Investigations**

Healthplex may be called upon to assist government officials in conducting audits or investigations.

Healthplex supports full cooperation of all employees with government auditors.

## **Detecting and preventing Fraud, Waste, and Abuse (FWA)**

Healthplex maintains a Corporate Compliance Program that includes activities for the detection, prevention, and investigation of fraud, waste, and abuse. The Healthplex's Special Investigations Unit (SIU) is charged with maintaining a program to detect, investigate, prevent, and recover the loss of

corporate, government, and customer assets resulting from fraudulent and abusive actions committed by providers, members, subcontractors, and employees. The Compliance Program maintains a toll-free, 24-hour hotline, (1-(888)-468-5180) where potential fraud and abuse issues can be reported directly or where employees, contractors, and agents can report compliance concerns anonymously. In addition, the SIU can be reached directly at 1-(516)-542-2797. SIU acts on referrals received from internal and external sources of potential fraud and/or abuse. Additionally, SIU uses other methods to identify potentially fraudulent activity such as claim data extracts.

## Reporting

### Non-Retaliation

Once a problem or suspected violation has been reported, Healthplex pledges to quickly investigate and resolve the problem. All Healthplex employees may anonymously report potential violations or unethical or illegal conduct. Failure to do so could pose a risk to Healthplex or, in the case of illegal activities or regulatory violations, a risk to employees, co-workers, or members.

Healthplex will not retaliate against any employee who reports in good faith a potential, suspected, or confirmed act of non-compliance. No employee shall be subject to retaliation, retribution, or harassment by his/her supervisor or another employee.

### Reporting Fraud, Waste, and Abuse or other Potential Compliance Violations

It is important for Healthplex and our employees to recognize the importance of preventing and detecting Fraud, Waste, and Abuse. Healthplex is responsible for reporting to various state and federal government agencies known or suspected fraud or abuse by any person or entity with which the company operates/conducts business. Healthplex employees shall avoid situations and conduct that involve or consist of actual or potential fraud or abuse.

The following methods of communication are available to access the Compliance Officer to report suspected Fraud, Waste and Abuse or other Compliance issues:

- Face to Face
  - Discuss the situation with their supervisor;
  - Report the situation directly to Healthplex's Compliance Department.
- Compliance Officer's Direct Line – (516) 542-2743
- Reporting Hotlines
  - Compliance – (888) 468-5180
  - Special Investigations Unit - (516) 542-2797
- Email – [Complianceofficer@healthplex.com](mailto:Complianceofficer@healthplex.com)
- Compliance Employee Suggestion/Question Box located in the employee kitchens.

## Relevant Laws

### False Claims Act (FCA)

Healthplex educates all employees on the False Claims Act to create awareness and the ability to detect and prevent possible Fraud. The FCA is a Federal and State laws that prohibit any person from knowingly presenting or causing to present a false claim to the government for payment. Under the FCA,

individuals and entities are liable for three times the loss to the government, plus civil fines for each occurrence. Those reporting a false claim may be entitled to a percentage of the funds recovered.

### **Stark Law**

The Stark Law is also referred to as the Physician Self-Referral Law. The Stark Law prohibits a physician from making a referral for certain designated health services to an entity in which the physician (or a member of his or her family) has an ownership/investment interest or with which he or she has a compensation arrangement.

### **Whistleblower Protection Act**

Healthplex may not intimidate, threaten, coerce, discriminate against or take other retaliatory action against any individual reporting suspected or actual non-compliance, misconduct, or other illegal or harmful acts in good faith.

### **Corrective Action**

Healthplex determines the appropriate response to non-compliance issues on a case-by-case basis. Managers and supervisors are responsible for disciplining staff in an appropriate and consistent manner and are held accountable for complying with applicable standards, policies, and procedures. Confirmed issues of non-compliance or violations of company policy will be addressed with appropriate action which may include retraining, reassignment, probation, or termination.