



Code of Conduct

Triad HealthCare Network Accountable Care Organization
Realizing Equity, Access, and Community Health (ACO
REACH) Employees and Participants

Introduction

Triad HealthCare Network (THN) knows that participation in any business is a tremendous responsibility and requires trust with our partners. THN Accountable Care Organization (ACO) Realizing Equity, Access, and Community Health (REACH) programs have been entrusted by the Centers for Medicare & Medicaid Services (CMS) and state agencies to provide excellent service and care to our patients and members. THN is focused on ensuring we remain an ACO REACH that others want to do business with, now and for many years to come.

We are committed to conducting ourselves with the highest regard for professional responsibility, integrity, and compliance with federal and state laws and regulations. The THN ACO REACH Code of Conduct guides daily application of this commitment. The ACO REACH Code of Conduct explains our responsibility for conducting business ethically. Please take a moment to carefully read this document and discuss any questions you may have with your supervisor or with THN's Compliance Officer (CO).

Success, our stakeholders obtaining the best from us now and in the future, is dependent on each of us honoring this commitment. All THN ACO REACH physician partners, ACO REACH employees, contractors, providers, and suppliers (hereinafter referred to as "ACO REACH Participants") play a key role in the Compliance & Privacy Program. This ACO REACH Code of Conduct has been adopted by the THN Board of Managers (BOM) in support of THN's Compliance & Privacy Program.

ACO Participants who are not affiliated with, or employed by, Cone Health is subject to the requirements of their own organization's compliance programs, in addition to the requirements of THN's Compliance & Privacy Program and this Code of Conduct.

Conducting ourselves and our business with integrity strengthens our compliance program, making it a core competency of THN. This Code of Conduct describes the standards by which all ACO REACH Participants are expected to conduct themselves when working for, or on behalf of, THN. This Code of Conduct may be supplemented by other THN operations policies and procedures that can be found on our website at www.triadhealthcarenetwork.com

Please join us as we all pledge to keep ethics, integrity, and compliance central to the way we do business. Thank you for your commitment to integrity and compliance!

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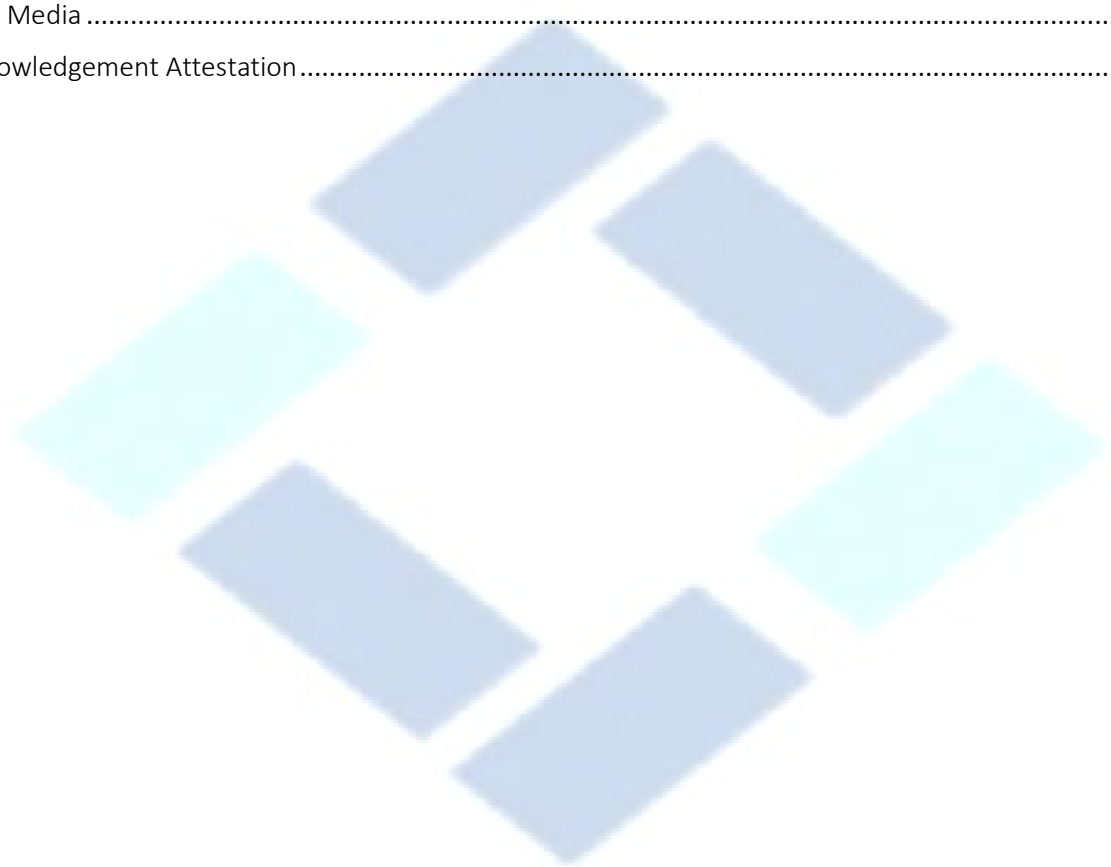
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Conducting Business with Integrity

THN is committed to conducting business with integrity and in compliance with all applicable laws and regulations. Success depends on each of us making and keeping this commitment, ensuring that all our stakeholders obtain the best from each of us now and in the future. As an organization that primarily conducts business with the federal government, THN is obligated to comply with all requirements outlined in 42 C.F.R. § 422.503 and § 423.504.

A hard copy of the Code of Conduct may be requested by contacting THN's Compliance & Privacy Department which governs the conduct of all employees; members of the Board of Managers (when acting on behalf of THN); first tier, downstream, and related entities (FDRs); contractors; and all agents of THN.

Decision-Making Framework

We are often faced with decisions involving integrity. When we are, it is helpful to have a framework to guide us through the potential issue. Here are some questions to help guide you:

1. What is the potential issue, and is it illegal or against THN's policies and procedures?
2. Who might be affected by the actions, and how might they be impacted? This includes you, our stakeholders, and THN.
3. How might the potential issue affect me, the stakeholders, and THN?
4. How do the potential issues align with your personal ethics?

Asking Questions and Reporting

Anytime you have a question about compliance and ethics, or if you suspect a potential compliance issue including potential Fraud, Waste, and Abuse (FWA), have a conversation with your supervisor, or if it is more comfortable, you may contact the Compliance & Privacy Department at 1- 336-663-5113 or send a note or letter to:

Attention: Director of Compliance
Director of Compliance & Privacy
300 East Wendover Ave. 4th floor
Greensboro, NC 27401

You may also report concerns using the Compliance and Privacy Helpline 855-809-3042 or online at www.conehealth.ethicspoint.com. If you report an issue to the Compliance & Privacy Helpline or via a note or letter to the Director of Compliance & Privacy, you can choose to do so anonymously. When asking questions or reporting potential issues, it is always a good idea to have your facts organized and to provide as much detail as possible. This helps to avoid back-and-forth between you and the Compliance & Privacy Department, and ultimately, the most thorough review possible.

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Investigation Process

All reports of potential or actual unethical behavior or non-compliance are immediately reviewed, and subsequent investigative action taken as appropriate. During the investigation, the Compliance & Privacy Department may seek assistance from other areas (e.g., human resources, audit, legal, etc.) to help ensure the investigation is conducted thoroughly and that any corrective and/or disciplinary action taken is consistent with THN's corrective action policies and procedures. Each of us is expected to cooperate fully with any investigation and to keep it confidential. The CO has an "open door" policy where anyone bringing forth a good-faith issue will be shielded from retribution or retaliation.

Non-Retaliation

In many instances, THN relies on you to report in good-faith potential issues of compliance. THN will not tolerate any retaliation, intimidation, discrimination, or other adverse actions when you are reporting potential issues. If you suspect or observe retribution or retaliation, report it immediately to your supervisor or the Compliance & Privacy Department at 1-855-809-3042.

Remember, knowingly and intentionally making false reports will not be tolerated and will be subject to corrective action.

Corrective Action

THN's Corrective Action policy applies to issues of compliance misconduct. A violation of the Code of Conduct, THN's policies and procedures, the law, or regulations may result in corrective action, including re-education, disciplinary warning steps, and termination of employment. THN may choose to take one or more of these steps as necessary and may skip one or more steps progressing to immediate termination when the circumstances warrant.

The level of corrective action will depend on factors such as the nature and severity of the issue and may result in any of the following levels of corrective action:

- Verbal Warning/Reprimand,
- Written Warning,
- Final Written Warning, and
- Involuntary Termination.

Unethical or illegal behavior that could impact our government business may subject THN to governmental corrective actions. Corrective actions may include civil monetary penalties (CMPs), sanctions, such as suspension of enrollment, or formal notices of non-compliance.

Safe Workplace

All employees are expected to conduct themselves in a manner that promotes a safe, cooperative, and professional environment that prevents disruptive behavior. You are expected to treat others with respect. THN will not tolerate any harassment, abuse, intimidation, or other retaliation.

Identification

One of the ways we can help keep our environment safe is to display our badges while at work and be aware of anyone who is not wearing one. Access to THN facilities and restricted areas requires employees to show or scan their badge. Badges should always be worn above the waist while on THN property. If you notice someone that does not have a badge, ask them if they need assistance, and if needed, escort them to the reception office and do not allow them into THN's operational areas. If, at any time, you observe any activity that violates the law or THN policy, contact your supervisor or building security immediately.

Non-Discrimination

THN's strives to deliver safe, high-quality care for all patients. We will treat all patients with respect and dignity, providing care that is both necessary and appropriate. THN and THN Participants will not deny, reduce, or limit the provision of medically necessary services to any patient.

We will not allow any form of discrimination in the provision of services, marketing, or enrollment practices. In addition, THN and THN Participants will not deny, limit, or condition services to patients based on race, color, religion, gender, sexual orientation, marital status, national origin, citizenship, age, disability, or other characteristic protected by law or any other factor that is related to health status, such as nature and extent of medical condition, medical history, or genetic information.

Non-Harassment

THN prohibits any disruptive, abusive, offensive, or impaired behavior. Prohibited conduct includes, but is not limited to:

- Inappropriate verbal communications, including profane, intimidating, or disrespectful language;
- Demeaning or condescending behavior, including condescending intonation, verbal abuse, or name-calling;
- Failure to adhere to organizational policies;
- Inappropriate physical contact, verbal outbursts, and physical threats;
- Unlawful workplace discrimination, harassment, and sexual harassment;
- Retaliation;

- Drug and/or Alcohol; and
- Violence in the workplace.

Weapons

Weapons, concealed or otherwise, are forbidden on THN property except for on-duty and off-duty, sworn law enforcement officers with federal, state, or local jurisdiction, armed ACO REACH/private police, or an armed transport service (i.e., Loomis, Wells Fargo).

If you encounter anyone who has a weapon in their possession you should immediately notify building security.

Drug and Alcohol Use

THN strives to maintain a safe, healthy, and efficient working environment. The unauthorized or unlawful use, possession, sharing, sale, purchase, manufacture, distribution, transportation, or diversion of controlled substances by employees of THN leads to safety and health risks, not only for themselves, but for others, and is prohibited. Reporting to work or being on duty (including break times and scheduled on-call time) while under the influence of alcohol or illegal drugs is prohibited.

If you suspect someone is impaired, notify your supervisor, Human Resources, or the Compliance & Privacy Department. THN has an Employee Assistance Program (EAP) in place to help employees who may have a substance abuse problem.

Integrity in the Workplace

Demonstrating integrity in the workplace means making the best possible decisions. You must be aware of the situation, careful to safeguard member and THN information, avoid potential conflicts, use THN property appropriately, ensure accurate and complete recordkeeping, and do everything you can to keep a healthy and safe workplace.

Auditing and Monitoring

Additional monitoring and compliance efforts and analytics will:

- Assess annually whether beneficiaries are being shifted into or out of MA.
- Examine ACO's risk score growth to identify inappropriate coding practices.
- Monitor for noncompliance with prohibitions against anti-competitive behavior and misuse of beneficiary data.
- Increase use of data analytics to monitor use of services over time and compared to a reference population to assess changes in beneficiaries' access to care, including stinting on care.
- Review marketing materials regularly to ensure information on the Model is accurate and beneficiaries understand their rights and freedom of choice.

- Verify annually that REACH ACO websites are up to date and provide required information.
- Audit annually REACH ACO contracts with providers to learn more about their downstream arrangements and identify any concerns.
- Investigate on a rolling basis any beneficiary and provider complaints and grievances in coordination with 1-800-Medicare, the Innovation Center liaison on models in the Medicare Beneficiary Ombudsman team, CMS regional offices, and others as appropriate.

Fraud, Waste, and Abuse

THN participates in federal programs with specific FWA requirements. There are differences between fraud, waste, and abuse. One of the primary differences is intent and knowledge. Fraud requires the person to have an intent to obtain payment and the knowledge that their actions are wrong. Waste and abuse may involve obtaining an improper payment but does not require the same intent and knowledge.

The government defines fraud, waste, and abuse as follows:

Fraud

Knowingly and willfully executing, or attempting to execute, a scheme or artifice to defraud any health care benefit program or to obtain (by means of false or fraudulent pretenses, representations, or promises) any of the money or property owned by, or under the custody or control of, any health care benefit program. 18 U.S.C. § 1347.

Waste

Waste is the overutilization of services, or other practices that, directly or indirectly, results in unnecessary costs to the Medicare program. Waste is generally not considered caused by criminally negligent actions but by misuse of resources.

Abuse

Abuse includes actions that may, directly or indirectly, result in unnecessary costs to the Medicare Program, improper payment, payment for services that fail to meet professionally recognized standards of care, or services that are medically unnecessary. Abuse involves payment for items or services when there is no legal entitlement to that payment and the provider has not knowingly and/or intentionally misrepresented facts to obtain payment. Abuse cannot be differentiated categorically from fraud because the distinction between “fraud” and “abuse” depends on specific facts and circumstances, intent and prior knowledge, and available evidence, among other factors.

If you have a question about a potential fraudulent, wasteful, or abusive activity, you should immediately raise it up to your supervisor or the Compliance & Privacy

Department. The Centers for Medicare & Medicaid Services have certain requirements for investigating and reporting fraud, waste, and abuse.

Conflicts of Interest

A conflict of interest exists when personal interests or activities influence or appear to influence in any way your actions and decisions. Conflicts also occur when we allow another interest to become more important than THN's interests. Conflicts may arise from many sources including, but not limited to, personal financial interests or those of a family member; the receipt of gifts from vendors or others whom we do business; or the use of THN's resources to benefit outside interests or our own personal interests.

It is the expectation that all THN Participants conduct their personal and professional relationships, including interactions with third party vendors, in such a way as to assure themselves, THN and the community that decisions made are in the best interest of THN without the slightest implication of wrongdoing. The exercise of judgment is required to determine if a potential conflict of interest situation exists.

THN has an annual conflict of interest process for the employees and board of managers.

Examples of potential conflicts include but are not limited to:

- Accepting gifts, donations, or entertainment from another ACO REACH in return for business;
- Holding a financial interest in an ACO REACH, by either you or a member of your immediate family, with whom THN does business and influences the direction of more business to the ACO REACH; and
- Directing THN business to an entity where a friend or relative works.

Before taking any action that might raise a conflict of interest, seek guidance from your supervisor or the Compliance & Privacy Officer.

Outside Activities

THN values and supports your involvement in the community. Sometimes these activities, including other employment, may have the potential to interfere with your work performance in a way that negatively impacts THN. If you think that your outside activities interfere with or may interfere with THN's activities, please talk to your supervisor or the Compliance & Privacy Office.

Gifts and Entertainment

Gifts and entertainment raise many questions. Employees shall not be permitted to accept gifts, money, or other gratuities from outside individuals or entities. It is acceptable to accept small tokens of appreciation if the value of the item is under \$100.

Employees should not solicit meals or entertainment from any individual or entity. In some cases, it may be acceptable to accept meals and entertainment offered by outside individuals or entities in business dealings. These must be:

- Reasonable and not excessive;
- Infrequent;
- Compliant with ACO REACH, federal, and state laws; and
- Approved by management.

There may be instances when giving gifts and entertainment is acceptable, but in doing so, you must still comply with the law and THN's policies.

Never give monetary or non-monetary gifts, either directly or indirectly, that might appear to influence, obtain, or retain business. Monetary gifts may include cash or cash equivalents (e.g., gift cards).

There are specific rules about gift giving in government-related business. Generally:

- No cash or cash equivalent, and
- Medicare Advantage or Part D is limited to \$15 per item and \$50 cumulative per calendar year.

For non-government business, employees may give nominal monetary and non-monetary gifts, and should be primarily advertising in nature. General guidelines provide the gifts to be limited to \$100 per year, per individual.

Anti-Kickback Statute

Employees should not accept kickbacks or rebates from the purchase or sale of any THN goods and services. This applies to you and your immediate family members. Kickbacks and rebates are not limited to cash or cash equivalent items, but also can be in the form of personal gain from the business dealing.

There are also strict federal laws that prohibit kickbacks. The federal Anti-Kickback Statute prohibits the direct or indirect offering, giving, soliciting, or accepting of any money, fee, commission, credit, gift, gratuity, thing of value, or compensation of any kind to improperly obtain or reward favorable treatment under any government contract. This includes kickbacks and rebates to or from a vendor, provider, or government agency, or their employees, in connection with favorable treatment under a federal health care program such as Medicare. By law, THN is required to report violations of the Anti-Kickback Statute to the government, and it is critical that all potential violations be reported to the Compliance & Privacy Department.

If you violate the Anti-Kickback Statute or other anti-fraud laws, you may be subject to disciplinary action, up to and including termination of employment and legal action.

Federal False Claims Act

Federal and state false claims acts establish liability for any person who knowingly presents or causes to be presented a false or fraudulent claim to the government for payment. It also established that the failure to return any overpayment of government funds may also be a false claim. Some examples include submitting a false claim for payment or approval; not returning overpayments; and making or using a false record or statement in support of a false claim.

If you violate the Federal False Claims Act or other anti-fraud laws, you may be subject to disciplinary action, including termination of employment and legal action.

Stark Law (Physician Self-Referral Law)

The federal Stark Law (also referred to as the Physician Self-Referral Law) prohibits a physician from making referrals to an entity for certain designated health services if the physician (or an immediate family member) has a “financial relationship” with the entity. If you violate the Federal False Claims Act or other anti-fraud laws, you may be subject to disciplinary action, including termination of employment and legal action.

ACO REACH Waivers

CMS grants waivers of certain fraud and abuse laws in connection with the ACO REACH model. The design of the Waivers is premised on the expectation that the requirements of the Accountable Care Organization Realizing Equity, Access, and Community Health (ACO REACH) Model Participation Agreement (PA) will mitigate risks of fraud and abuse. THN employees, vendors, contractors, and network Participants must comply with Waiver requirements. The Waivers include:

- Shared Savings Distribution Waiver, section 1115A(d)(1) of the Act, section 1877(a) of the Act;
- Physician Self-Referral Law Waiver, section 1115A(d)(1) of the Act, sections 1125B(b)(1) and (2) of the Act; and
- Patient Engagement Incentives Waiver, section 1115A(d)(1) of the Act, section 1128A(a)(5) of the Act (Civil Monetary Penalties for beneficiary inducements); sections 112B(b)(1) and (2) of the Act (Federal Anti-Kickback statute). Patient Engagement Incentives include:
 - o In-kind Patient Engagement Incentives;
 - o Chronic Disease Management Reward;
 - o Cost Sharing support; and
 - o AIPBP Payment Arrangement Waiver, section 1115A(d)(1) of the Act, section 1877(a) of the Act (Physician Self-Referral Law) and sections 112B(b)(1) and (2) of the Act (Federal Anti-Kickback statute).

For more information, please refer to the ACO REACH PA.

Benefit Enhancements and Beneficiary Engagement Incentives

Benefit Enhancements and Beneficiary Engagement Incentives are a means to offer certain covered services to Beneficiaries with certain changes to the coverage requirements. The Benefit Enhancements and Beneficiary Engagement Incentives include:

- 3-Day SNF Rule Waiver Benefit Enhancement,
- Telehealth Benefit Enhancement,
- Nurse Practitioner and Physician Assistant Services Benefit Enhancement
- Post-Discharge Home Visits Benefit Enhancement,
- Care Management Home Visits Benefit Enhancement,
- Home Health Homebound Waiver Benefit Enhancement,
- Concurrent Care for Beneficiaries that Elect Medicare Hospice Benefit Enhancement,
- Part B Cost-Sharing Support Beneficiary Engagement Incentive, and
- Chronic Disease Management Reward Beneficiary Engagement Incentive.

Arrangements between or among THN Participants, Preferred Providers, and others to furnish the other Benefit Enhancements and Beneficiary Engagement Incentives must comply with fraud and abuse laws and may qualify for protection under the Participation Waiver if all waiver conditions are met. For more information, please refer to the ACO REACH PA.

Eligibility to Participate

Federal and state laws prohibit THN Participants from employing, contracting, or retaining anyone who has been excluded, suspended, debarred, or is otherwise ineligible to participate in government programs. THN Participants are expected to take all necessary steps to ensure employees involved with the provision of health care remain eligible to participate in federal and state health care programs. THN has a monthly process to review employees, board of managers, and vendors.

Confidentiality and Protected Health Information

THN respects and maintains confidentiality of patient records, People and Culture information, such as team members salaries, benefits, and disciplinary actions, and all financial, marketing, planning and other types of proprietary information. Confidential business or strategic information may not be shared outside of THN without the approval of the Chief Administrative Officer (CAO) or their designee.

All team members are required to sign a confidentiality acknowledgement upon employment and annually thereafter. All affiliates such as physicians, contract service providers, purchased personnel, volunteers, committee members and students are required to sign a confidentiality statement when involved in ACO REACH projects that

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may give access to confidential information. Any information learned or created by THN team members must be treated confidentially.

THN strives to maintain the confidentiality and security of all protected health information (PHI). Federal and state laws require us to maintain the privacy and security of PHI in all forms (e.g., paper, electronic, films, images, and verbal). Federal and state laws require us to maintain the privacy and security of PHI in all forms (e.g., paper, electronic, films, images, and verbal). Data should only be used in conjunction with the treatment, payment, or operations and only the minimum amount of PHI necessary to perform those functions should be used. Any suspected breaches of PHI should immediately be reported to the Compliance & Privacy Department.

The care of each member is a personal, confidential matter and PHI must not be discussed or disclosed to any unauthorized individual or in any other unauthorized fashion. An example of an intentional violation is researching, viewing and/or sharing PHI for personal use that is not related to performing work duties. Any employee discussing or revealing confidential information will be subject to appropriate corrective action, up to and including termination, and may also be subject personally to federal penalties or prosecution.

THN will also take reasonable steps to limit incidental uses and disclosure of PHI made according to an otherwise permitted or required use or disclosure such as: discouraging staff from discussing PHI anywhere except in a closed office; training staff and managers on importance of confidentiality when dealing with PHI; and encouraging employees to follow up with health insurance carrier if they have questions about their own claims data and activity.

If an employee becomes aware of a non-permitted disclosure (i.e., breach) of PHI from a member, provider, or vendor, they should report it immediately to the Compliance & Privacy Department at <http://www.conehealth.ethicspoint.com>, or by contacting the CO at 336-663-5113. The Compliance & Privacy Department has a process to respond to non-permitted disclosures and will usually request the recipient of disclosure to destroy the information.

Team members and affiliates that violate this policy are subject to appropriate corrective action, up to and including termination.

Data Sharing

You are responsible for safeguarding THN and member information. THN has controls in place to help mitigate the risk of unauthorized use and access to information, including PHI. Be mindful of the information you have. The “minimum necessary” rule will be applied when accessing or providing personal health information. No employee or affiliate should ever discuss THN business practices, clinical situations, physician

practices, or employee performance in any situation in which they might be overheard inadvertently. Employees have a duty and responsibility to protect this information.

Record Retention

Legal and regulatory practice requires the retention of certain records for various periods of time, particularly in the tax, personnel, health, and safety, environmental, contract, corporate, and government program areas. When litigation or a government investigation or audit is pending or reasonably foreseeable, however, no relevant records must be destroyed until the matter is closed and this may include but is not limited to drafts and copies of employee's notes and/or papers. Destruction of records to avoid disclosure in a legal proceeding may constitute a criminal offense. For all pertinent THN records related to the contract during the contract term must be kept for up to 10 years from the final date of the contract period or longer if part of a regulatory investigation.

Contacts with Government Officials

Federal and state laws and regulations govern THN's contacts with elected officials and their families. There are prohibitions on what can be offered by way of gifts, meals, entertainment, etc.

When interacting with government officials, cooperate fully and honestly with them in audits and inquiries. Always be truthful and accurate. Oral and documented representations made to the government must always be clear, accurate, complete, and not misleading.

Employees should consult with the Compliance & Privacy Department on issues that involve these officials.

Contacts with the Media

All media inquiries should be directed to THN's Compliance & Privacy Department. At no time should employees speak on behalf of THN, Cone Health, or any other affiliates.

Training and Education

On an annual basis, all employees will be required to take mandatory training and complete the organizations Code of Conduct Attestation. Training includes, but is not limited to, Harassment, Privacy, Phishing Attacks, CMS Medicare Parts C & D General Compliance, and CMS Combating Medicare Parts C & D FWA training.

Proper Accounting

THN Maintains a system of internal controls that it believes provides reasonable assurance that transactions are executed in accordance with management's

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authorization and are properly recorded in accordance with appropriate accounting standards including written policies and procedures and examination by a professional staff of auditors. All employees are expected to adhere to these policies and to cooperate fully with internal and external auditor requests.

Conferences and Seminars

THN recognizes that employees may need professional development and to earn continuing educational credits for a degree or certification. Employee expenses may include their conference fees, airfare, lodging, meals, etc. THN may reimburse a vendor, business associate, or other entity with whom THN is doing business with or for expenses related to training and education on a THN purchased product or service. Outside entities wanting to do business with THN are prohibited from paying THN employee expenses. An exception may be made for written contractual agreements or when speaking at a conference or seminar. Please contact the Compliance and Privacy Department at 1-855-809-3042 for case-specific guidance.

Use of THN Assets

THN assets are to be used solely for the benefit of THN. Employees are responsible for assuring that THN assets are used only for valid THN purposes. THN assets include equipment, inventory, corporate data, concepts, business strategies and plans, financial data, and other information about THN business. These assets may not be used to provide personal gain for employees or others. Employees may not transfer any THN assets to other persons or entities, except in the ordinary course of business. In addition, employees are prohibited from using THN assets to visit impermissible web sites, including gaming and pornography. Doing so could result in disciplinary actions up to and including immediate termination of employment.

Electronic Communications

THN's electronic communication system exists for the legitimate business of THN. Use of the electronic communication system is prohibited for purposes that are not for the legitimate business of THN. Incidental use of electronic communication systems for personal, non-business purposes is permitted in limited circumstances. Information on the systems is not private.

Electronic Mail (E-Mail)

E-mail is a computer software application supplied to THN users as an aid to productivity and communication for business purposes. E-mail is intended only to benefit THN and, therefore, any e-mail failures will not give rise to damage claims by either THN affiliates or third-party users. Using THN e-mail, the affiliate or third-party user acknowledges no right to a claim exists.

All electronic communications, whether sent within THN or to persons outside THN, should be courteous and professional in all respects and should not contain any statements that may violate THN's harassment policies or that would embarrass the THN, its affiliates, or its customers. E-mail storage is a limited resource and is not to be used as a permanent storage facility. E-mails may be automatically purged from the e-mail system without notice to employees at intervals established by THN.

E-mail communications that are confidential or contain PHI are required to be encrypted by the employee. THN has a system readily available for all employees to encrypt e-mails on a case-by-case basis. Employees simply need to write "Secure" in the subject line of an e-mail that contains confidential information or includes PHI. E-mails not encrypted and containing PHI violate THN policy and could result in disciplinary action up to and including termination.

E-mail sent or received on THN's network is neither private nor confidential. THN reserves the following rights:

- To monitor all e-mail transmissions as needed to determine if e-mail is being used for other than legitimate business reasons and to protect THNE against copyright infringement, loss of trade secrets, or other business policy violations; and
- To record and disclose to others all electronic communications at any time, with or without notice. No employee or other user of the e-mail system has a privacy right in anything created, received, or sent on or from the e-mail system.

Under certain circumstances, it may be necessary for THN to review e-mail messages or logs. Such circumstances include, but are not limited to:

- Suspected violations of THN policies or illegal activity,
- Litigation involving THN results in a subpoena for production of documents, including e-mail messages,
- Urgency in retrieving vital messages when an employee is not available to give his or her approval,
- Termination of employment, and
- Upon request by a manager or supervisor.

As a result, all employees should exercise extreme caution before sending information through the e-mail system, as e-mail messages are not private and can be intercepted by other parties. E-mail users should be aware that e-mail messages can be monitored and recorded at any time and deleted e-mail may be restored. E-mail users should exercise extreme caution before sending e-mail messages to parties outside THN's network; unless they are encrypted, such messages can be intercepted and read during transmission.

Copyright Materials

THN strictly adheres to all agreements regarding the use and distribution of copyrighted material. The e-mail system may not be used to share software, but it may be used to send files and information to authorize users in accordance with all such restrictions. THN may be licensed for use of programs or material with restrictions not to copy or distribute under the penalty of law. It will be each person's responsibility to adhere to all copyright restrictions. No software may be downloaded or installed without the prior knowledge and approval of THN. In addition, the illegal downloading and copying of copyrighted software and/or other copyrighted materials is prohibited. As a means of controlling Internet usage, THN has a computer system firewall which logs all Internet usage and content.

Social Media

We are committed to protecting privacy and maintaining an appropriate work environment. Use of social media should be consistent with all policies and procedures. We trust and expect you will always use professional judgement and personal responsibility. This includes participation in social media, including activity during and off work time and /or off the premises. Make sure you know and follow the related policies regarding privacy and employee conduct; you do not post anything on social media in the name of THN without prior approval; and the equipment and work time should not be used to engage in personal social media activities. Use of THN computer systems is not private. Employees should remember that how they portray themselves on social media (Facebook, Twitter, etc.) could often result in negative professional consequences. Employees should remember they are an ambassador of THN and present their thoughts professionally. Employees must not create a hostile work environment when engaging in social media. When expressing personal opinions, the employee should be clear that their entries are their own and may not represent the views of THN. Employees should never disclose any THN information, PHI, or confidential or proprietary information on social media.

Acknowledgement Attestation

The Code of Conduct is an overview of the laws and THN policies that affect our jobs. It does not represent an employment contract or change the at-will nature of the employment relationship. If there is a conflict between the Code of Conduct and applicable law or a formal THN policy, the actual law or policy will govern.

I understand and agree that I must keep all THN operational business, People and Culture information such as team members salaries, benefits, and disciplinary actions, all financial, marketing, planning and other types of proprietary information, and all medical and patient information in confidence. I am not allowed to access any confidential information, medical record, or computer system unless necessary to perform my job duties. I may not discuss, review and/or reveal in any way confidential information that I may have access to during my employment with THN. I will adhere to all policies and regulations governing patient privacy and intellectual property whether in written or electronic form such as email and social media. It has been explained to me and I understand that I am fully accountable for my actions. I understand that violation of the THN Code of Conduct and/or policies regarding privacy and confidentiality, or any breach of confidentiality will result in immediate corrective action, up to and including termination.

I have received and understand the content in the THN Code of Conduct. I agree to comply with THN's policies and procedures and have been given the opportunity to ask questions about the applicable laws and regulations. Furthermore, I understand there is a Compliance & Privacy Helpline (855-809-3042) and that the call may be anonymous if I choose. I understand my obligation to report suspected or real compliance issues to a supervisor, human resources, or the compliance officer, and that THN has a policy of non-retaliation.

Date	
Employee Signature	
Employee Name (Please Print)	

Please complete, sign, and return to:

Director of Compliance and Privacy
 300 East Wendover Avenue, Suite 400
 Greensboro, NC 27401
Amanda.mai@conehealth.com