



CODE OF CONDUCT



WHO SHOULD READ THE CODE?

This Code of Conduct (the “Code”) applies to employees, trustees, officers, faculty, medical staff, residents, fellows, students, volunteers, trainees, vendors, contractors, subcontractors, independent contractors, consultants, sponsored individuals and agents of NYU Langone Health.

WHO IS COVERED UNDER NYU LANGONE HEALTH?

“NYU Langone Health” includes NYU Langone Health System, NYU Langone Hospitals (including all inpatient and ambulatory facilities), NYU Grossman School of Medicine, NYU Grossman Long Island School of Medicine, NYU Langone MSO Inc., NYU Imaging Inc., and all entities that are controlled by any of them, except where specifically excluded. This Code has also been adopted by the Family Health Centers at NYU Langone; therefore, for purposes of this Code, “NYU Langone Health” also includes the Family Health Centers at NYU Langone Health and any entity controlled by it, except where specifically excluded.

This Code is not a contract of employment nor does it create any rights or expectations regarding continued employment or benefits at NYU Langone Health. All employment is deemed at-will (i.e., can be terminated by the employee or NYU Langone Health at any time, with or without cause) unless a written contract of employment exists setting forth a specific duration and executed by an authorized NYU Langone Health signatory. Notwithstanding the statements in this Code, NYU Langone Health remains free to repeal, modify, or amend the Code, and to change wages, benefits, and all other working conditions, without prior notice.

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LETTER FROM THE DEAN & CEO

Dear Colleague,

I am proud to introduce our Code of Conduct, a key element of our Corporate Compliance Program. The Code supports our mission, values, and policies to promote and ensure conduct that is honest, ethical, and lawful. It is important that you understand your personal obligations under this Code.

NYU Langone Health has a long-standing commitment to excellence, which includes demonstrating the highest level of ethical and legal conduct and daily decision-making when interacting with our patients, our colleagues, our community, and our business partners. Our Code explains this commitment in greater detail and provides guidance on how to make ethical decisions that are reflective of our core principles.

This Code applies to every member of the NYU Langone Health community: trustees, officers, faculty, employees, medical staff, students, residents, fellows, volunteers, trainees, consultants, vendors, contractors, sponsored individuals, and agents of NYU Langone.

While the Code is comprehensive, it cannot cover every situation you might encounter. It's up to each individual to seek advice when faced with a question about any of the principles outlined in the Code. As a member of the NYU Langone community, you are also required to familiarize yourself with this Code on at least an annual basis.

Additionally, it is your responsibility to report any matters you believe to be a violation of the Code; federal, state, or local laws and regulations; or NYU Langone Health policies. If you become aware of a potential violation, you should immediately report it to your supervisor, through the NYU Langone Health confidential Compliance Helpline at 866-NYU-1212, or online (form available on Inside Health), or directly to the Compliance Office. We will not tolerate any form of retaliation against you for reporting any compliance concerns in good faith.

As you read through this Code, you will see that compliance is the responsibility of every member of the NYU Langone community. Collectively, it takes each of us to achieve the standards set forth in this Code. We are all responsible for being stewards of the institution by embodying the values that define our culture and foster excellence in everything we do. I am asking each of you to join me in making a personal commitment to uphold this Code of Conduct without exception.

Sincerely,



Robert I. Grossman, MD

Dean and CEO

NYU LANGONE HEALTH'S MISSION & VALUES

The mission of NYU Langone Health is to serve, to teach, and to discover. We are committed to making world-class contributions that place service to human health at the center of an academic culture devoted to excellence in research, patient care, and education. We shall provide the facilities and personnel necessary to carry out these functions in the most professional manner possible, and in all activities, we shall maintain the highest standards of excellence and consideration for the dignity of the individual.

Education

In educating the physician, we shall merge the best traditions of the past with the most relevant content and vital teaching methods of the present. Our goals are to instill in each student a respect for their profession and the people they serve, to provide for the continuing education of physicians throughout their careers, and to foster an atmosphere of learning for all staff throughout NYU Langone Health.

Research

We shall stimulate research into the fundamental basis of life processes, as well as the nature of diseases and disorders and the means by which they can be overcome. We shall encourage collaboration among independent researchers, interpret the value of research to patients and the general public, and foster a spirit of inquiry throughout NYU Langone Health.

Patient Care

We shall place the patient at the center of all efforts. In providing direct patient care, we shall serve patients from everywhere we offer care and those referred from other areas of the nation and the world. We shall provide professional care and treatment for patients in accordance with high standards of medical service, offer programs of health education, and maintain a climate in which each member of the healthcare team can learn and carry out their responsibilities in the most professional manner possible.

Values

We have set the standards for patient care, scientific research, and medical education. We have built a tradition of service that has touched the lives of countless people in the New York metropolitan area, across the country, and around the world. Our strength as an institution is based on the individual acts and the spirit of dedication of our physicians, healthcare professionals, scientists, employees, and students.

To ensure that we remain at the forefront of the medical profession and a place where people can build successful careers, we have adopted a set of values that are designed to reflect not only our history, but also our commitment to the future. The values are meant to complement, not replace, our existing professional codes of ethics and responsibilities. They are intended to be used as a means to enhance the way we deliver services to our patients, their families, visitors, and our colleagues.

We believe the five values—Performance, Respect, Integrity, Diversity, and Excellence—will enable us to build on our tradition of service, to foster a culture of collaboration and teamwork, and to better meet the needs of those we serve.

- **Performance** – Accountable, responsible, and dedicated to learning and growing professionally by collaborating with one another.
- **Respect** – Communicate openly and professionally, share resources, listen to one another, and recognize one another's contributions.
- **Integrity** – Foster a culture of the highest ethical standards, trust, and honesty.
- **Diversity** – Create a community of cultural competence and opportunity by embracing a wide breadth of resources, skills, ideas, and knowledge.
- **Excellence** – Passionate about promoting quality, innovation, and safety to achieve world-class patient care, education, and research.

FOUNDATION STATEMENT — YOUR PERSONAL COMMITMENT

All members of the NYU Langone Health community are expected to make decisions that are guided by principles of honesty, integrity, high ethical standards, and a personal commitment to the mission and values of NYU Langone Health.

QUALITY OF CARE — COMMITMENT TO OUR PATIENTS

We are committed to providing high-quality, compassionate, and skilled patient care in a safe and healing environment. Everyone, even those not working directly with patients, has a responsibility to:

- Provide patients with care that is medically necessary, appropriate to the situation, safe, and in compliance with professionally recognized standards of care;
- Involve patients in decisions regarding their care;
- Adhere to infection prevention and control practices;
- Maintain complete and accurate records of patient information that fulfill the requirements of NYU Langone Health policies, accreditation standards, and applicable federal, state and local laws and regulations;
- Identify opportunities to improve service and quality of care;
- Ensure every patient receives important information about their rights, including, but not limited to, informational materials prepared by the State of New York and the [NYU Langone Health Notice of Privacy Practices](#);
- Maintain current credentials, expertise, education, training, and competence to provide patient care;
- Seek clarification from your supervisor about your employment responsibilities or NYU Langone Health policies that you do not understand;
- Courteously and professionally assist patients and visitors in person, on the phone, and by other means of communication;
- Protect patients' privacy and confidentiality. Protected Health Information (PHI) should only be used or disclosed as permitted under the Health Insurance Portability and Accountability Act (HIPAA) and state laws and regulations;
- Assist patients in communicating compliance or quality of care-related issues to the Office of Patient Relations, to the Compliance Office directly or via the confidential Compliance Helpline as described on page 16;
- Inform management of any issues that may interfere with your ability to fulfill your professional responsibilities;
- Report patient care incidents and issues that do not appear to meet, or that violate, NYU Langone Health's standards of quality. You should report such violations to your supervisor, the Compliance Office directly, the confidential Compliance Helpline as described on page 16, or if appropriate, to the Centers for Medicare and Medicaid Services, The Joint Commission, New York State Department of Health, or other regulatory agencies. We will not take disciplinary action against you if you report a concern in good faith;
- Take pride in your job and do it to the best of your ability. Every member of the NYU Langone Health community contributes to our success, our mission, and our ability to provide quality patient care, cutting-edge research, and education to future physicians; and
- Fulfill your personal responsibilities to report quality measures. You should promptly and efficiently fulfill your responsibilities regarding compliance with, but not limited to, the standards provided below:
 - Conditions of Participation for Hospitals (Centers for Medicare and Medicaid Services)
 - Hospitals—Minimum Standards (New York State Public Health Law)
 - Standards of The Joint Commission, Commission on Accreditation of Rehabilitation Facilities, College of American Pathologists, Accreditation Council for Graduate Medical Education, and other accrediting/certifying agencies
 - Requirements for accreditation by the Liaison Committee on Medical Education (LCME)
 - Standards adopted by the Magnet Recognition Program, recognizing excellence in nursing service
 - Measures provided by the National Quality Forum
 - Leapfrog Group Hospital Safety Grade Measures
 - Recommendations and guidelines issued by other regulatory and voluntary groups identified as appropriate by NYU Langone Health

CONDUCT WITH PATIENTS, COLLEAGUES, & OTHERS

NYU Langone Health's values should guide us in our relationships with patients and their families, visitors, colleagues, vendors, and others. We need every member of the NYU Langone Health community's commitment to uphold the reputation of NYU Langone Health and to:

- Create the best possible experience for our patients, their families, and visitors.
- Take the initiative to find safe, creative, and effective solutions to patient-related concerns.
- Maintain positive work relationships with colleagues, vendors, and others with whom we do business. Demonstrate respect for your colleagues by communicating positively with them, whether oral or written, and treating them with dignity in your interactions.
- Treat each person respectfully and as a unique individual. NYU Langone Health will not tolerate discrimination against or harassment of anyone on the basis of race, color, creed, religion, sex, sexual orientation, gender and/or gender identity or expression, transgender status, gender dysphoria, genetic information, marital or partnership status, parental or caregiver status, familial status, national origin, ethnicity, citizenship status, veteran or military status, age, disability, height or weight.
- Follow the specific guidelines, in addition to this Code of Conduct, outlined in NYU Langone Health policies, and the policies applicable to your position in the NYU Langone Health community, such as the Faculty Handbook, Residency Training Program Contract, GME House Staff Manual, Postdoctoral Handbook, Student Handbook, Staff Handbook, NYU Langone Health Human Resources Policies and Procedures, Compliance & Privacy Policies and Procedures, By-Laws and Rules and Regulations of the Medical and Dental Staff, Policies and Procedures for Graduate Medical Education, Patient Care and Safety Standards, and the Administrative Policy and Procedures Manual.
- Refrain from engaging in disruptive behavior. Disruptive behavior is any inappropriate behavior, confrontation, or conflict, ranging from verbal

abuse to physical, sexual, or other forms of harassment that interferes with an individual's ability to carry out their responsibilities or creates a hostile work environment. While employees are permitted to engage in protected conduct under the National Labor Relations Act and certain whistleblower activity under limited circumstances, as prescribed under NY Labor Law, all members of the NYU Langone Health community are expected to demonstrate professionalism and respect. Examples of disruptive behavior include, but are not limited to:

- behavior that is offensive, obscene, defamatory, threatening, intimidating, harassing, shaming, bullying, retaliatory, discriminatory, hateful, racist, sexist, or results in public humiliation;
- behaviors that, by virtue of their intensity, repetitiveness, or content, otherwise endanger or compromise the health, safety, or well-being of oneself, another person, or the NYU Langone Health community;
- comments about lack of competence in front of patients or colleagues that are not conveyed in an appropriate environment;
- any behavior that fails to support a culture of safety.
- Encourage a positive work environment, free from disruptive behavior by:
 - promoting respectful, courteous, and collegial relationships with all;
 - encouraging the reporting and investigation of disruptive behavior in a non-retaliatory environment; and
 - implementing the necessary actions to remedy disruptive behaviors.
- Refrain from speaking or creating the impression of speaking on behalf of NYU Langone Health without permission from the Office of Communications and Marketing.
- Refrain from disclosing confidential or proprietary information, including internal communications meant for members of the NYU Langone Health community, or emails that contain business, financial, or other Confidential Information of NYU Langone Health or any NYU Langone Health community member.

- Abide by the social media and communications standard, as described in the next section at all times.

SOCIAL MEDIA AND COMMUNICATIONS

As an NYU Langone Health workforce member, you are an extension of the NYU Langone brand. It is expected that you act in an appropriate, professional and respectful manner when you provide or communicate information to either the general public or the NYU Langone Health community. Use the following guidelines in social media and external communications:

- Keep the content you post appropriate and accurate.
- Be respectful of others and employ common sense. Remember that your personal use of social media has the potential to impact the organization's overall reputation. Make clear that the information conveyed is in your individual and personal capacity. If you do mention, share or tag NYU Langone Health in any posts or comments, clearly identify as a colleague by using #teamNYULangone. Do not make any false or misleading statements about NYU Langone Health or members of the NYU Langone community. Communications of all matters related to NYU Langone Health must be factual, current, accurate, and authentic.
- Protect the privacy of patients, caregivers, workforce members and third-party vendors. Protected Information (such as PHI) or Confidential Information may not be used in social media or external communications, unless the appropriate prior consent is obtained and is in compliance with federal, state and local regulations, including HIPAA and the Family Education Rights and Privacy Act (FERPA). This includes photos, date of admission or discharge, diagnosis or prognosis and other treatment information. Some information should never be shared publicly such as social security number and address. Do not provide individual medical advice.
- Do not knowingly misrepresent your employment-related information such as your employer, title, job function, length of employment and education information.
- Check with the Communications team before posting anything that mentions our vendor partners, products, devices or treatments that you use as work. This implies endorsement and is generally not posted to NYU Langone's social media platforms unless reviewed by Communications and the Office of General Counsel first. This includes customers, vendors, or patients who might mention a company or product on social media.
- Do not make statements, on social media or other platforms, about the NYU Langone Health community, its members, or outside parties that are in breach of this Code.
- Members of the NYU Langone Health community are permitted to engage in protected concerted activity and certain whistleblower activity as prescribed under the law, however they may not post or share statements that are offensive, obscene, defamatory, threatening, intimidating, harassing, shaming, bullying, retaliatory, discriminatory, hateful, racist, sexist, or result in public humiliation. This includes posts, symbols, or photographs that are shared from other social media sites or posted on your social media page by others. If you see a post from somebody in the NYU Langone Health community that may be in violation of our policies, you should report it to Communications or call the Compliance Helpline at 866-NYU-1212. We also urge you to review your own online activity and remove anything that may violate our policies. Those who do not follow these policies will face consequences up to and including termination.

- Communication on social media and all external communication must adhere to the same standards as outlined in Conduct with Patients, Colleagues and Others section of this Code on page 5.

Refer any media questions or potential risks identified to the Communications team. Refer to the [Social Media Policy](#) for more details on how to handle media or other external communications

on behalf of NYU Langone Health or contact the Office of Communications & Marketing at 212-404-3500 or socialmedia@nyulangone.org.

If you are aware or become aware of non-compliance with the Social Media Policy, report it to the Employee Labor Relations Department, Compliance Office, or the Compliance Helpline as described on page 16.

EMERGENCY CARE (EMTALA)

The Emergency Medical Treatment and Labor Act (EMTALA) is also known as the patient anti-dumping statute. This federal statute sets the rules for providing medical services and treatment to individuals with an emergency medical condition without consideration of the individual's insurance coverage or ability to pay.

Any individual who presents to an NYU Langone Health emergency room or any other NYU Langone Health facility will be given appropriate medical screening examinations or, if necessary, stabilizing treatment by qualified medical professionals upon their request or if a request has been made on their behalf. They are also

entitled to these services regardless of race, color, religion, creed, sex, sexual orientation, gender and/or gender identity or expression, transgender status, gender dysphoria, genetic information, marital or partnership status, parental or caregiver status, familial status, national origin, ethnicity, citizenship status, veteran or military status, age, disability, diagnosis, weight, height, or socioeconomic status.

If you are in a role working with patients, you are expected to comply with NYU Langone Health's [EMTALA Policy on Screening, Stabilization, and Transfer of Individuals with Emergency Medical Conditions](#).

PHARMACEUTICALS, PRESCRIPTION DRUGS, & CONTROLLED SUBSTANCES

If you have responsibility for, or access to, prescription drugs, controlled substances, over-the-counter drugs, or any medical supplies (for example, needles), you have a duty to:

- Follow the laws, regulations, policies, procedures, and standards that apply to your responsibilities. You should become familiar with federal, state and local laws, NYU Langone Health policies, and Patient Care and Safety Standards that govern your work with these drugs and medical supplies, including but not limited to the handling of waste and expired drugs.
- Keep all drugs and medical supplies secure. You should take particular care to keep drugs

and medical supplies secured at all times and be sure they are never available to, or provided to, anyone who does not have a valid prescription or order from a provider licensed to prescribe and/or a medical need for use of supplies. Controlled substances must be secured at all times.

- Report security problems. If you are aware of, or suspect a lapse of security or the inappropriate distribution, handling or diversion of drugs or medical supplies, you must report it immediately to your supervisor, Security, the Compliance Office directly, or via the confidential Compliance Helpline as described on page 16.

ENVIRONMENTAL HEALTH & SAFETY

NYU Langone Health has health and safety policies and procedures to protect the environment and ensure that all individuals on-site, including patients, visitors, and Workforce Members are protected from undue health risks and unsafe conditions. To maintain these safety standards, we must all:

- Comply with all health and safety and environmental laws and regulations, and NYU Langone Health policies including the shipping, handling, use, storage, transportation, and disposal of all hazardous, radioactive, medical and chemical wastes.
- Comply with NYU Langone Health's permits that allow for the safe management of waste discharge.
- Contract only with reputable, and where applicable, licensed vendors to evaluate, monitor, remediate, transport, and/or dispose of hazardous materials and conditions.
- Comply with NYU Langone Health policies on maintaining an alcohol, drug, and smoke-free workplace.
- Only have food and drinks in areas that are allowed per NYU Langone Health policies regarding infection control and health and safety.
- Accurately maintain the records required by federal and state laws and regulations.
- Perform all assigned duties in a safe and responsible manner.
- Report suspected violations. If you suspect a violation of an environmental or occupational safety or health law, or an unsafe condition, you must report it immediately to your supervisor or Environmental Health and Safety, the Compliance Office directly, or via the confidential Compliance Helpline as described on page 16.
- If you work in an off-site location you must also comply with the applicable safety standards for your specific patient, client, or resident populations.

LAWS, REGULATIONS, & POLICIES

All members of the NYU Langone Health community must obey the letter and spirit of the laws, regulations, and policies that are applicable to them. You have a responsibility to:

- Familiarize yourself with the federal, state and local laws and regulations that relate to your position and facility and uphold both the written words and the meaning behind those words.
- Maintain any licenses and/or credentials required for your position.
- Familiarize yourself with and avoid the actions that constitute professional misconduct if you are a licensed professional governed by a state board.
- In addition to this Code of Conduct, learn and comply with NYU Langone Health's policies that relate to your position. These policies are included in our mission, values, By-laws and Rules and Regulations of the Medical and Dental Staff, Policies and Procedures for Graduate Medical Education, Faculty Handbook, Residency Training Program Contract, Postdoctoral Handbook, Student Handbook, Staff Handbook, NYU Langone Health Human Resources Policies and Procedures, Compliance & Privacy Policies and Procedures, and Patient Care and Safety Standards, and Administrative Policy and Procedures Manual. Many of our organization-wide policies can be found via NYU Langone Health's Policies and Procedures intranet site, Inside Health. You should also learn and follow the policies and procedures within your own department.
- Ask questions. If you have questions about laws, regulations, or NYU Langone Health policies, or your responsibilities, you should ask your supervisor, Human Resources, the Compliance Office, or the Office of General Counsel.

- Immediately Inform NYU Langone Health if you become excluded from participating in federal or state healthcare programs. NYU Langone Health receives money from the federal and state government agencies, including entities such as Medicare, Medicaid, Tricare, and the National Institutes of Health. Since we receive these funds, we cannot employ, contract, or do business with excluded individuals or entities that are temporarily or permanently sanctioned,

suspended, debarred, and/or otherwise ineligible from participating in a program funded by the federal or state government. If you learn that you or any person/entity subject to the Prohibition Against Employing or Contracting with Ineligible Persons and Exclusion Screening Policy have become excluded, you must immediately contact the Compliance Office.

RESPONSIBILITIES OF MANAGERS & SUPERVISORS

If you have management or supervisory responsibilities, you have an additional duty to:

- Keep up with regulatory changes that affect your areas of responsibility.
- Seek out internal and external professional learning and development opportunities for yourself and those who report to you.
- Act as a role model in demonstrating your understanding of and commitment to comply with federal, state and local laws and regulations as well as standards of accrediting agencies.
- Ensure that departmental policies and procedures

are current, maximize efficiency, and cover all required areas and standards pertinent to the specialty as well as any anticipated areas of risk.

- Make sure your department obtains all necessary licenses, permits, and approvals required for operations.
- Support regulatory initiatives including ensuring and advocating that all required education and training is completed in a timely manner.
- Never engage in retribution, retaliation, intimidation, or harassment of another employee or NYU Langone Workforce Member.

ACCURATE & TRUTHFUL DOCUMENTATION

If you are responsible for documentation, financial reporting, or coding and billing, you must perform your duties accurately and truthfully. You have a duty to:

- Create and maintain thorough, accurate records. Promptly document records as required by your job, following legal requirements, ethical professional standards, and departmental policies.
- Fairly and accurately represent the financial condition of NYU Langone Health or any area you are responsible for.
- Ensure that the financial transactions you report reflect actual transactions and conform to Generally Accepted Accounting Principles (GAAP).
- Accurately record all assets and liabilities in their appropriate accounts, including, but not limited to, departmental funds, revenues, and expenses.

- Avoid fraudulent financial reporting practices, such as the following:

- Hiding expenditures, funds, assets, or liabilities;
- Knowingly providing false, inaccurate, or incomplete information to another employee, management, auditors, legal counsel, government agencies, or accreditation organizations; or
- Providing untrue statements of material fact or omitting material facts.

- Produce cost reports or financial statements that are true, correct, complete, and prepared in accordance with regulatory requirements.
- Take responsibility. If coding or billing is done on your behalf, you should have a thorough knowledge of the claims and verify that they are accurate. You should never sign a document

- without being certain it is accurate and complete.
- Bill Medicare, Medicaid, and commercial payors only for medically necessary and/or appropriate to the situation services that are performed and documented within a health record. Promptly report and return identified overpayments that do not meet this criteria.
- Only assign and report billing codes that are clearly and consistently supported by documentation in the health record.
- Avoid coding practices that are considered as fraud or abuse, such as the following:
 - Using “default codes” or selecting codes because they guarantee payment, instead of coding and billing the products and services actually provided;
 - “Upcoding,” or selecting the code for a more serious diagnosis or more extensive procedure than is actually performed;
- “Unbundling” a group of procedures and coding them separately in order to receive a separate payment for each procedure, when one or more are components of a global code;
- Billing for medically unnecessary services; or
- Cutting and pasting or copying forward substantial portions of a prior note and not making updates pertinent to the current date of service.
- Immediately report any improprieties that you suspect in accounting, internal controls, auditing, or submission of fictitious or fraudulent claims to the Compliance Office directly, or via the confidential Compliance Helpline as described on page 16.

ANTI-KICKBACK & PHYSICIAN SELF-REFERRAL

NYU Langone Health prohibits soliciting, receiving, offering or paying anything of value in exchange for referring patients, products, or services. If you accept or make referrals, you must:

- Adhere to NYU Langone Health guidelines on accepting referrals. If you are in a position to accept patient referrals and admissions, you must do so based solely on the patient’s medical needs and our ability to render the services needed. You should never offer anything of value, directly or indirectly, to physicians or anyone else in exchange for referral of patients.
- Adhere to guidelines on making referrals. If you are in a position to make referrals, you will not solicit or receive anything of value, directly or indirectly, in exchange for referring patients.
- Not demand or expect anything in return for referring business. If you are in a position to make referrals to another healthcare provider, you will not take into account the volume or value of referrals that the provider has made, or may make, to NYU Langone Health.
- Learn the rules that apply to the Stark Law that govern physician self-referrals for Medicare and Medicaid patients.
- Not refer patients for “Designated Health Services” to a facility that you or an immediate family member have an ownership/investment interest in, or compensation arrangement with, if services are being paid for by Medicare or Medicaid, unless a specific exception applies. The Centers for Medicare and Medicaid Services (CMS) have identified the following as Designated Health Services under the Stark Law regulations:
 - Clinical laboratory services
 - Physical therapy services
 - Occupational therapy services
 - Outpatient speech-language pathology services
 - Radiology and certain other imaging services
 - Radiation therapy services and supplies
 - Durable medical equipment and supplies
 - Parenteral and enteral nutrients, equipment, and supplies
 - Prosthetics, orthotics, and prosthetic devices and supplies
 - Home health services
 - Outpatient prescription drugs
 - Inpatient and outpatient hospital services

INVESTIGATIONS, ACCREDITATIONS, SURVEYS, AUDITS, OR INQUIRIES

NYU Langone Health fully cooperates with requests from governmental agencies, accrediting organizations, external auditors, and internal parties concerning our operations. We need everyone's commitment to:

- Uphold NYU Langone Health's policy on [Responding to Governmental Investigations and Law Enforcement Requests](#).
- Immediately report any requests you receive from a government investigator to your supervisor, who will contact the Office of General Counsel or the Compliance Office for further guidance.
- Follow the direction provided by the Office of General Counsel if you are asked to surrender documents to external investigators.
- Cooperate with representatives from accrediting licensing agencies such as CMS, the NYS Department of Health, and The Joint Commission (including Standards for Certified Home Health and Hospice), and the

- Commission on Accreditation of Rehabilitation Facilities (CARF) in an open and honest manner.
- Notify the Chief Regulatory Officer if an inspector from a licensing or accreditation agency contacts your department or arrives on site.
- Cooperate with all investigations, examinations, and audits from both internal and external parties.
- Never destroy or alter records requested for an investigation or provide untruthful or misleading statements on, or about, those documents.
- Never pressure or suggest to anyone to hide information from, or provide false information to, government investigators, accreditation surveyors, internal parties, or external auditors.
- Never engage in retribution, retaliation, intimidation or harassment of an employee who reports a good faith concern to their supervisor, Human Resources, the Compliance Office, or the Office of General Counsel.

PRIVACY & CONFIDENTIALITY

Protected Information is any information created, maintained, received or transmitted by NYU Langone Health that may identify an individual (including Protected Health Information "PHI") and which is subject to federal, state, or local laws and regulations (e.g., student educational records, social security numbers, personal information about employees).

PHI is included as a part of Protected Information and is individually identifiable health information that is transmitted or maintained in any form (oral, electronic, or paper) that:

- Identifies or could be used to identify an individual
- Is created or received by a healthcare provider, health plan, employer, or healthcare clearinghouse And relates to the:
 - past, present, or future physical or mental health or condition of an individual
 - provision of healthcare to an individual; or

- past, present, or future payment for the provision of that healthcare

Examples of PHI as defined by HIPAA include:

- Names
- Photos
- Addresses
- Certificate/license numbers
- Telephone numbers
- Vehicle identifiers
- Fax numbers
- Biometric identifiers
- Social security numbers
- Device identifiers & serial numbers
- Medical record numbers (MRNs)
- Web URLs (e.g. social media pages)
- Health plan numbers
- IP addresses
- Account numbers
- Email addresses
- Dates (admission, discharge, etc.)
- Other unique identifiers

Confidential Information includes the following classes of information that are not intended for the public:

- Business arrangements. Our financial and contractual arrangements with suppliers and managed care companies.
- Plans. Information about our strategic plans, potential acquisitions, and planned investments.
- Marketing. Our marketing efforts or future plans.
- Financial information. Our prices, professional fees, reimbursements, and salary levels.
- Research Information. Research proposals, unpublished research data and results, and invention disclosures.

Every member of the NYU Langone Health community is responsible for safeguarding Protected and Confidential Information about NYU Langone Health. You have a duty to:

- Safeguard Protected and Confidential Information to prevent accidental, intentional, or inadvertent uses or disclosures to anyone who does not have a business purpose to know.
- Follow NYU Langone Health's privacy and security guidelines outlined in the following:
 - [Privacy, Information Security, and Confidentiality Agreement](#)
 - [Workforce Members IT Policy](#)
 - [HIPAA Privacy Policies](#)
 - Other information security policy and programs
 - Guidance communicated by the Compliance Office, Human Resources/Employee and Labor Relations, and MCIT
- Access and use Protected Information only to perform your job responsibilities and for no other purpose.
- Limit the access, use and disclosure of Protected and Confidential Information to the minimum amount needed to accomplish the business purpose required to perform your duties and responsibilities.
- Refrain from sharing Confidential Information concerning NYU Langone Health with representatives from other hospitals, healthcare providers, medical schools, entities that may compete with NYU Langone Health or other third parties.

- Comply with NYU Langone Health's guidelines for reporting breaches of PHI.
- If you discover that unsecured PHI has been accessed, used, or disclosed, or if you find or receive PHI that you are not authorized to have, you must immediately report the incident to the HIPAA Helpline, or the Compliance Office directly as described on page 16.
- Disclosures of any other Protected or Confidential information to parties that do not have a business purpose to know must also be reported via the Compliance Helpline, or directly to the Compliance Office as described on page 16.

Regardless of whether you work directly with patients or not, you have a duty to protect PHI as set forth in federal and state regulations, like HIPAA. Whether accessing, using, or disclosing Protected Information (including but not limited to PHI) or Confidential Information, you must comply with laws, regulations, and NYU Langone Health Policies by:

- Encrypting all email containing Protected or Confidential Information being sent to recipients outside NYU Langone Health, by using SendSafe secure email.
- Securely disposing of equipment that contains Protected or Confidential Information including, but not limited to, medical devices, computers, telephones, mobile devices, printers, and scanners by contacting MCIT.
- Properly disposing of paper that contains Protected or Confidential Information by shredding it with a crosscut shredder or placing in designated shred bins.
- Safeguarding Protected or Confidential Information by locking or logging off your computer, not sharing your passwords and changing them often, using unique passwords for your personal and work accounts, and locking your doors and drawers.
- Only using mobile and portable devices equipped with NYU Langone Health encryption and data erasing software to access NYU Langone Health data.
- Refraining from sharing Protected or Confidential Information in casual conversations or in public areas where disclosures might be overheard.

- Not accessing Protected or Confidential Information in the view of unauthorized individuals.
- Only using an NYU Langone Health issued email address (e.g., @nyulangone.org or @med.nyu.edu) to conduct all NYU Langone Health business.
- Not transporting Protected or Confidential Information on unencrypted or unsecure portable devices, or if necessary, only utilize those devices that are issued or managed by MCIT.
- Not sharing Protected or Confidential Information using text messaging, websites, social media or other situations where disclosures might be accessed or viewed.
- Only using MCIT supported and authorized communication methods when sharing or transmitting Protected or Confidential Information.
- Accessing NYU Langone Health Information offsite via webmail or the Inside Health portal.

PROTECTION & USE OF NYU LANGONE HEALTH'S ASSETS

Every member of the NYU Langone Health community is responsible for protecting NYU Langone Health's assets from loss, damage, theft, misuse and waste. These assets include:

- **Time** – You will work productively and report your time and attendance accurately.
- **Equipment and supplies** – You will not remove NYU Langone Health's supplies and equipment from the premises for personal use. These supplies and equipment include personal protective equipment, vehicles, machinery, tools, computers, printers, telephones,

pharmaceuticals, and medical devices, as well as office medical, cleaning, and food supplies.

- **Departmental funds** – If you are in a supervisory or management position, you will maintain careful internal controls and accurate records of departmental funds, including cash and cash equivalents (ex. gift cards). You will exercise appropriate oversight of financial reports, expense accounts, and timesheets.
- **Records** – You will comply with all record retention and destruction policies and schedules that apply to your job responsibilities.

POLITICAL PARTICIPATION

NYU Langone Health's funds, time, and equipment should not be used for political activity of any kind, including campaigning for (or against) a political candidate. Participation in political campaigns could jeopardize NYU Langone Health's tax-exempt status. This can be prevented by each member of the NYU Langone Health community by complying with the following guidelines:

- Participate in political activity only as a private citizen, not as a representative of NYU Langone Health. You are entitled to participate in, or contribute to, any political organization or campaign you choose. However, you cannot use your NYU Langone Health title, affiliation, email address, letterhead or otherwise create the impression that any related correspondence is from NYU Langone Health.

- Use your own funds for any political participation and do not attempt to be reimbursed by NYU Langone Health. This includes contributions through professional organizations to Political Action Committees (PACs).
- Refrain from providing or offering any benefit in an attempt to influence government officials. If you are responsible for conducting transactions or handling contracts with governmental agencies, you should ensure that they are handled honestly and ethically.
- Report inappropriate requests for benefits. If a government representative requests or demands any type of benefit from NYU Langone Health, you should report it immediately to the Office of Government and Community Affairs or the Office of General Counsel.

CONFLICTS OF INTEREST

Members of the NYU Health community have a duty to avoid situations in which our business or personal interests influence (or appear to influence) our ability to act in the best interest of NYU Langone Health. In addition, we each have a duty to protect NYU Langone Health's reputation and carry out its mission with integrity. All members of the NYU Langone Health community are required to comply with all NYU Langone Health conflicts of interest policies, including the Policy on Conflicts of Interest in Business Affairs. In addition, faculty members are also required to comply with the Policy on Faculty Conflicts of Commitment and the Policy on Faculty Consulting. NYU Langone Health's conflicts of interest policies require all individuals to disclose new and anticipated conflicts of interest on an ongoing basis. In addition specific members of the NYU Langone community (see below) are required to submit an Annual Disclosure to the Conflicts of Interest Management Unit ("CIMU"). Members of the NYU Langone Community will also be required to complete a conflict of interest disclosure form upon request.

If you believe you have a conflict of interest, you should disclose it. Among other things, you also have a responsibility to:

- Learn to recognize and report situations that raise actual or potential conflicts of interest. Examples of conflicts that should be recognized and disclosed include, but are not limited to:
 - If you or a member of your immediate family is an owner, a part-owner, or an employee of, or is otherwise receiving money from or holds an interest in, a company that:
 - Does business with NYU Langone Health;
 - Proposes to do business with NYU Langone Health;
 - Competes with NYU Langone Health, or
 - Solicits employees from NYU Langone Health.
 - If you have an interest in intellectual property that is the subject of sponsored research at NYU Langone Health.

- If you or an immediate family member engage in outside activities, including employment, that may compete or interfere with the operations of NYU Langone Health.

You are required to submit an annual disclosure if you are one of the following:

- Faculty (full-time appointment or otherwise compensated employed full or part-time)
 - Chairs, vice chairs, executive vice presidents, vice presidents, deans, associate and assistant deans, and department/division administrators
 - Director-level and above employees
 - Supply Chain Management/Purchasing employees and anyone involved in purchasing decisions and/or contract negotiations on behalf of NYU Langone Health
 - Investigators and all other key personnel on grants; investigators, co-investigators, sub-investigators, and research coordinators on Institutional Review Board (IRB) applications
 - Members of any oversight committees related to patient care, purchasing, research, or education
 - Employees of the Offices of Compliance, General Counsel, Government Affairs, and certain staff of the Office of Science and Research
 - Trustee or officer of any NYU Langone Health entity
 - Regardless of position, you are also expected to immediately submit a conflict of interest disclosure if you have or may have a conflict of interest.
- In addition, members of the NYU Langone Health community are expected to refuse personal gifts or benefits from vendors, patients, or others. NYU Langone Health's [Policy on Acceptance and/or Solicitation of Gifts or Benefits from Vendors, Patients, or Other Third Parties](#) includes guidelines that outline appropriate practices for receiving and responding to gifts and/or invitations in alignment with federal and state laws and regulations.

- You should also never use your position to profit personally or to assist others in profiting at the expense of NYU Langone Health.

Intellectual Property

- Employees are expected to adhere to NYU Langone Health policies concerning the use of NYU and NYU Langone Health names, trademarks and logos in outside activities, as outlined in the Social Media Policy and policies on Endorsements and the Use of the NYU and NYU Langone Health Name.
- Employees are encouraged to consult with the Office of General Counsel or Technologies, Opportunities, and Ventures (TOV) to discuss any use of intellectual property held by NYU or by personnel to avoid conflicts of policy, interest, or commitment.

Research Conflicts of Interest

If you are a research investigator or other research team member involved in research at NYU Langone Health, you have an obligation to conduct research that is free from any appearance of impropriety or conflict of interest and are required to comply with the Policy on Conflicts of Interest in Research and Sponsored Programs. Pursuant to that Policy. All potential conflicts of interests must be disclosed, evaluated, and managed and/ or eliminated.

Among other things, you have a responsibility to:

- Perform research with objectivity and trustworthiness that maintains the integrity of the research, as well as the institution, and is in the best interest of the subjects enrolled in the study.
- Understand the [Policy on Conflicts of Interest](#)

[in Research and Sponsored Programs](#) and stay informed of any laws and regulations related to conflicts of interest in research.

- Disclose any financial interests and/or relationships related to Sponsored Programs that you, or your immediate family members, have with any entity that may reasonably appear to affect or be affected by the design, conduct, or reporting of the research.
- Disclose all domestic and foreign consulting and other outside business activities, whether paid or unpaid. All interests and affiliations, financial or other, related to a foreign institution of higher education or the government of another country must be disclosed to the Conflicts of Interest Management Unit (CIMU) and the research sponsor, as required.
- Adhere to any stipulations issued in relation to research that have been implemented to manage any potential conflicts of interest that may exist. All potential conflicts of interests must be disclosed, evaluated, and managed or eliminated under the [Policy on Conflicts of Interest in Research and Sponsored Programs](#).
- Complete any required training, such as the PHS Investigator training on promoting objectivity in research.

You can contact the Conflicts of Interest Management Unit (“CIMU”) for further guidance on how to disclose actual or potential conflicts of interest or if you have any questions related to actual or potential conflicts. The Conflicts of Interest Management Unit can be reached at cimu.disclosures@nyulangone.org.

SCIENTIFIC & CLINICAL RESEARCH

NYU Langone Health is committed to developing and conducting research with the highest ethical standards. If you are involved in research, you have a responsibility to conduct research with integrity and in accordance with scientific best practices, as well as in compliance with federal, state, and local laws and regulations, and NYU Langone Health policies, including:

- Obtaining all required approvals and follow all NYU Langone Health guidelines, policies, and procedures, including those of the following:
 - Sponsored Programs Administration and Research Finance, for guidance on complying with the administrative and fiscal requirements for government-sponsored research as well as research sponsored by industry and non-profit organizations;
 - IRB for approval of all research involving human subjects;
 - Institutional Animal Care and Use Committee, for approval of all research involving animals;
 - Institutional Bio-Safety Committee, for approval of all research involving recombinant DNA and highly infectious agents;
 - Institutional Review Entity for approval of all research involving dual use research of concern;
 - Embryonic Stem Cell Research Oversight Committee for approval of research involving

- human embryonic stem cells; and/or
- Clinical Research Support Unit, which facilitates the conduct of clinical research studies, such as contract and budget negotiations and business development.
- Maintain accurate, truthful, and complete accounting, record keeping, and billing records.
- Comply with governmental and sponsor requirements, as well as NYU Langone Health policies and procedures including those relating to:
 - Clinical Research and Billing;
 - Cost Transfers on Sponsored Projects;
 - Institutional Cost Sharing;
 - Effort Reporting and Payroll Verification for Sponsored Projects Program Income Earned on Sponsored Projects; and
 - Charging Direct Costs to Sponsored Projects.
- Disclosing and reporting resources related to your research endeavors, all affiliations and appointments, and any other requirements of the research sponsor.
- Never participating in research misconduct by fabricating or falsifying data or results, or plagiarizing; concerns about research misconduct must be reported to the Research Integrity Officer at 212-404-4079 via the Compliance Office.

PRIORITIES IN RESEARCH COMPLIANCE

Some high priorities include, but are not limited to:

- Protecting research participants and upholding their rights during clinical trials and other research, and fully informing them of their rights and responsibilities, risks, expected benefits, and alternatives.
- The humane care and use of laboratory animals in biomedical and behavioral research and education.
- Compliance with federal and state laws and the terms of sponsored research agreements when applying for funding, performing research and reporting interim and final results.

- Maintaining high ethical standards in the responsible conduct of research, including disclosure of financial interests that may create the appearance of a conflict of interest.

In addition, researchers must be familiar with:

- Appropriate grants stewardship and accountability. Researchers must ensure funding agencies and research sponsors are charged only for what is accurate and satisfactory work; and for which the sponsors have agreed to pay and for work actually performed.

- Protection of Human Subjects. Researchers must complete required training in research ethics and regulations as a prerequisite to conducting research with human subjects.
 - Data integrity principles. Researchers must maintain accurate and complete data, in accordance with contractual requirements and applicable NYU Langone Health policies to ensure research integrity, protect privacy and confidentiality, and protect intellectual property rights.
 - Research misconduct requirements.
- Researchers must not engage in research misconduct – meaning fabrication, falsification or plagiarism – in any scientific activities. Any instances of research misconduct must be promptly reported to the Research Integrity Officer via the Compliance Office.
- There are many requirements that apply to researchers. Specific regulatory or compliance questions should be directed to the Compliance Office via email at compliancehelp@nyulangone.org or the Compliance Helpline at 866-NYU-1212.

RESPONSIBILITY TO REPORT

Compliance is the responsibility of every member of the NYU Langone Health community. If you suspect a violation of the Code, NYU Langone Health policies, or federal, state, or local laws, you must immediately report it, even if you are not sure if it is a true violation. In compliance with the [Compliance Concerns: Reporting, Investigating, and Protection from Retaliation Policy](#), use one of the following methods to report your concern:

- Make a report to your supervisor. Schedule a meeting, if appropriate, so you can discuss the issue confidentially and thoroughly. Be prepared to present any evidence you have to support your allegations.
- Make a report to a representative from the Compliance Office, Human Resources, or the Office of General Counsel. If you are uncomfortable talking with the person who supervises your work, you can contact any one of the following areas:

- **Compliance Office:** 212-404-4079 or One Park Avenue, 3rd Floor, New York, NY 10016
- **Compliance Fax:** 929-455-9412
- **Compliance Email:** compliancehelp@nyulangone.org
- **Compliance Helpline:** 866-NYU-1212 or 866-698-1212 (May be anonymous) or <https://compliancenyulmc.alertline.com>
- **HIPAA Helpline:** 877-PHI-LOSS or 877-744-5677 or <https://compliancenyulmc.alertline.com>

- **Human Resources Department—Employee Relations:** 212-404-3787
- **Office of General Counsel:** 212-404-4076
- **Patient Relations:**
Tisch Hospital: 212-263-6906
NYU Langone Orthopedic Hospital: 212-598-6336
NYU Langone Hospital—Brooklyn: 718-630-7314
NYU Langone Hospital—Long Island: 516-663-2058

The Compliance and HIPAA Helplines are multilingual, toll-free, and available seven days a week, 24 hours a day. When calling the Compliance Helpline, you do not need to reveal your identity and can request that your report remain anonymous. You should give enough specific information to enable a complete investigation of the issue you are reporting. Whether your report is anonymous or not, your compliance concern will only be shared with others who have a need to know in order to conduct an effective investigation and to determine an appropriate course of action. In some instances, your identity might need to be revealed in order for an investigation or legal proceeding to move forward.

If you know of, or suspect, a violation and do not report it, you could be subject to disciplinary action. Failure to report a violation, cooperate with investigations, or complete any required trainings and corrective actions are violations in themselves and could result in disciplinary action.

POLICY ON AFFIRMATIVE ACTION/EQUAL OPPORTUNITY

NYU Langone Health is committed to a policy of equal treatment and opportunity in every aspect of its relations with its faculty, students, and staff members, without regard to age, military or veteran status, citizenship status, color, disability, marital or parental status, partnership status, caregiver status, familial status, national origin, race, creed, religion, sex, gender, gender identity or expression, transgender status, gender dysphoria, genetic information, sexual orientation, weight, height or any other protected class as established by law. This includes, but is not limited to, recruitment, hiring or appointment, selection for training, transfer, layoff, promotion, granting of tenure, rates of pay and other forms of compensation, benefits and participation in educational, social, and recreational programs sponsored by NYU Langone Health and all other terms and conditions of employment.

It is the policy of NYU Langone Health, in accordance with Title VI of the U.S. Civil Rights Act of 1964 and Section 504 of the Rehabilitation Act of 1973, and Title IX of the Education Amendments of 1972, not to discriminate on the basis of race, color, creed, religion, sex, sexual orientation, gender, gender identity, gender expression, transgender status, gender dysphoria, genetic information, marital status, partnership status, caregiver status, familial status, age, national origin, citizenship status, disability, military or veteran status, or any other protected class as established by law in any educational program or activity.

Inquiries regarding the application of Title IX and its implementing regulations may be referred to the Title IX Coordinator (titleix@nyulangone.org, 212-404-3825, One Park Avenue, 4th Floor, New York, NY 10016,), or to the Office for Civil Rights at <https://ocrcas.ed.gov/contact-ocr>.

NON-RETALIATION POLICY

All members of the NYU Langone Health community are protected from retaliation, retribution, intimidation and harassment if in good faith and with reasonable belief, you report violations of this Code, NYU Langone Health policies, or federal, state, and local laws.

There will be no retaliation against you if, in your reasonable belief, you raise concerns or questions about misconduct or report violations of this Code, NYU Langone Health policies, or federal, state, or local laws. Examples of retaliation

include, but are not limited to, termination of employment, unjustified negative performance reviews, harassment, or exclusion from department meetings or social activities.

Reported compliance concerns are considered to be made in bad faith if they are reported maliciously (with ill intent) or with reckless disregard for their truth or falsity. Individuals making reports in bad faith may be subject to disciplinary or other employment action by NYU Langone Health and may also be subject to legal claims by the individuals about whom the bad faith reports were made.

If you report a violation and believe you are experiencing retaliation, retribution, intimidation or harassment, you should report it to the Compliance Office or Human Resources. Anyone who retaliates against someone who has raised a concern or reported a violation of the Code may be subject to disciplinary action or other employment action.

DISCIPLINARY ACTION

Violations of this Code, NYU Langone Health policies, or federal, state, and local laws, could result in serious disciplinary action.

Any member of the NYU Langone Health community who violates this Code of Conduct, may be subject to disciplinary action, up to and including termination. The specific disciplinary action will depend on the nature and severity of the violation. Disciplinary actions will be consistent with the manual and documentation applicable to your position in the NYU Langone Health community (e.g., Faculty Handbook, provisions of applicable labor contracts, Residency Training Program Contract, GME House Staff Manual, Postdoctoral Handbook, Student Handbook, Staff Handbook, NYU Langone Health Human Resources Policies and Procedures, By-Laws of the Medical and Dental Staff, Rules and Regulations of the Medical and Dental Staff, Patient Care and Safety Standards, and the Administrative Policy and Procedures Manual).

Examples of actions subject to disciplinary action specific to this Code include the following:

- Participating in activities that violate this Code.
- Encouraging, directing, facilitating, or permitting activities that violate this Code.
- Failing to report suspected violations of this Code; and
- Failing to detect violations of this Code that should have been discovered in the course of your supervisory or management responsibilities.