Code of Excellence
Our Commitment to Ethics and Integrity
Spectrum Health is a leading health system recognized for high integrity, quality, innovation, expertise and compassion. Our strong values guide our behaviors and actions with every interaction. As we serve people throughout our communities and support one another as colleagues, we are committed to living our values.

We strive to improve health for all. This is our mission, which requires the highest professional and ethical standards from each of us as we serve our communities.

Our Code of Excellence sets clear expectations for our words, behaviors and actions. The Code’s values can help each of us make the best decisions possible and provide exceptional experience to all individuals.

Spectrum Health’s reputation of integrity is one of our greatest strengths. I am grateful for your commitment to our mission and to our community. Thank you for living our values every day.

Sincerely,

Tina Freese Decker
President & CEO
Our Code of Excellence at a Glance

Living by the Code

Excellence in Our Actions

• We understand our responsibilities
• We know what is required of us
• We take responsibility for our work and actions
• We seek guidance when we have questions
• We raise concerns so that they can be addressed
• We always do the right thing
• We do not retaliate against others for doing the right thing

Excellence in Our Reputation

• We manage conflicts of interest
• We maintain professional qualifications
• We uphold professional standards of conduct

Excellence in Our Relationships

• We serve others respectfully
• We protect the privacy and confidentiality of patients, members and others we serve
• We respect the rights of patients, providers, members, others we serve and vendors
• We promote equal opportunities for a diversity of backgrounds, skills and perspectives
• We protect information belonging to other members of our team
• We provide a work environment free of harassment
• We follow good business practices with contractors and suppliers/vendors
• We are honest and accurate in our marketing materials
• We uphold fair practices with our competitors
• We protect the security of patient, member and business-sensitive information

Excellence in Our Operations

• We follow good business practices to avoid fraud, waste and abuse
• We ensure that claims are coded, billed and processed accurately
• We protect information from misuse or improper access or disclosure
• We record business information honestly, accurately, completely, timely and clearly
• We monitor and audit activities

Excellence in Our Environment

• We protect the health and safety of others
• We maintain an alcohol-free and drug-free work environment
• We properly handle and dispose of toxic and hazardous waste
• We protect the environment

Code of Excellence Acknowledgment

• We sign an acknowledgment that demonstrates our commitment to our Code of Excellence

Appendix

This revised system wide Code of Excellence was approved by Christina Freese Decker, President & CEO, March 26, 2019.

Board Resolution Single COE 6-24-14.
Spotlighting ...

**Excellence in Our Actions**

- We understand our responsibilities
- We know what is required of us
- We take responsibility for our work and actions
- We seek guidance when we have questions
- We raise concerns so that they can be addressed
- We always do the right thing
- We do not retaliate against others for doing the right thing

The promise we make:

To encourage and make it safe to speak up, disagree, share concerns, make suggestions, question decisions, admit mistakes or near misses, and try new ways of doing things.

To take time daily to praise people, listen carefully to their needs and demonstrate our commitment.
The reputation for excellence at Spectrum Health (inclusive of Spectrum Health Delivery System and Priority Health) is built on the hard work and responsible conduct of the thousands who have worked with and for us over many years. Each interaction we have with a patient*, member**, colleague, others we serve, our community, vendor or other outside party is an opportunity to strengthen the excellence of our actions. It is our opportunity to put people first, to know them and their unique story.

This Code of Excellence (Code) applies system-wide to all employees, providers, agents, contractors, consultants, students, vendors, suppliers and volunteers.

*This Code uses the term “patient” to apply to anyone receiving health care services.

**The term “member” refers to someone who is a plan member of Priority Health.

Be Responsible
Each of us is expected to:
• Review and follow the Code
• Promote our mission and values
• Comply with all laws, regulations and applicable policies and procedures
• Seek guidance when unsure of the right course of action
• Raise concerns and instances of actual or potential ethical or compliance issues
• Provide assistance to management as requested, such as participating in investigations related to potential issues or wrongdoing

If we manage or supervise staff and others, we are expected to:
• Use the People First concepts of know me, include me and empower me
• Set the right example regarding responsible conduct
• Ensure that employees attend educational sessions and complete required online and in person trainings that help them understand their responsibilities, including those pertaining to ethics and compliance
• Help create and maintain a culture within our work group that values responsible conduct and encourages employees to seek guidance and report concerns

• Ensure that employees reporting to us comply with this Code and related laws, rules and policies
• Never sacrifice ethical and compliant behavior in the pursuit of business objectives
• Report suspected or actual compliance issues to your leader or compliance department immediately

Use Resources
A wealth of resources exists to assist with questions and concerns:
• Leader—Our principal resource are our supervisors/managers. They are most familiar with our work duties and responsibilities.
• Other members of the leadership team—The management team, including the executive team and the legal department, can provide guidance.
• Human resources—Get help with all types of employee relations issues, including fair employment, respectful treatment and employee privacy issues.
• People First—know me, include me, empower me.

Overview
Patient Experience
Your compliance department.

Ask Questions
If you are unsure about what to do in a given situation, help is available. Pursuing the answer to a question in good faith is always the right thing to do. Discussing the matter with your leader, human resources, the legal department or your compliance department is encouraged. These people can help determine the most appropriate action.
Report a Concern

You can report a concern in a number of different ways:

| *Spectrum Health Integrity Help Line (Anonymous) | 877.319.0266 |
| *Website | spectrumhealth.alertline.com/gcs/welcome |

| *Priority Health Providers and Members Integrity and Compliance (Anonymous) | 800.560.7013 |

Organizational Integrity and Compliance 616.486.2741
organizationalintegrity@spectrumhealth.org

*These resources are available 24 hours a day, seven days a week. Calls and online submissions are handled by an outside company that then refers the confidential report to the compliance department for follow-up or investigation. All contacts are treated confidentially, to the limit allowed by law. If you prefer, you can make an anonymous report. Providing as much information as possible will help us review the validity of the report and investigate any potential misconduct.

To obtain the name and contact information of your compliance officer, visit the InSite directory on the organizational integrity and compliance department page, click here to view the compliance organizational chart.

Have a concern? Report concerns and suspected misconduct to the Integrity Help Line (877.319.0266). These reports may be made anonymously.

Raise Concerns

Empower me is one of our People First concepts. By raising concerns in good faith (with a sincere belief in the truth of our report) about actual or potential problems or improper practices, we have an opportunity to improve everyone’s work environment. Concerns may include actions of managers, colleagues, affiliated providers, contractors or others who affect our operations. Leaders help resolve concerns or take them to someone who can. If it is too uncomfortable to speak to your leader, contact human resources, the legal department or your compliance department, or call the Integrity Help Line at 877.319.0266. You can also report a concern through the Integrity Help Line website, spectrumhealth.alertline.com/gcs/welcome.

If for some reason you are not satisfied with the investigation or the resolution of a matter that you reported, you should make a second report through a different channel. Taking this extra step will help ensure that your concern is understood and thoroughly investigated.

Reporting your own misconduct, while not relieving you of responsibility, will be considered in addressing the matter. While reporting concerns is encouraged, intentionally filing false reports will be considered cause for discipline, up to and including termination.

Q. My boss and co-worker are friends outside of work, and it is really hard to report concerns because of that. When I found my co-worker looking in personnel files, I voiced my concerns to my boss about this issue. I think my boss is retaliating against me, because a few days later, my job duties changed. What do I do?

A. We always recommend that you try to talk with your leader first, but if you are too uncomfortable, we urge you to contact any of the following to help resolve the concern: human resources, your compliance department, the Integrity Help Line at 877.319.0266 or spectrumhealth.alertline.com/gcs/welcome. We take our commitment to our Code very seriously, and that includes providing a retaliation-free workplace.

Q. If I report a concern, will I get in trouble?

A. No. You will not be reprimanded or subject to discipline if you suspect and report in good faith that you think something is wrong. As a team member, you have a duty to report any known or suspected compliance or ethical concerns. If you have knowledge of a problem and fail to speak up, you have not met your obligation under this Code.
Ensure Non Retaliation
Don’t be afraid to speak up and promote an ethical culture. Retaliation against anyone seeking help or raising a concern of suspected misconduct in good faith is not permitted. We will discipline anyone found to have engaged in retaliatory actions, including harassment. If you think that you have been retaliated against or suspect retaliation against someone else, you should report this matter to your compliance officer or the Integrity Help Line. All instances will be investigated, and disciplinary action will be taken as appropriate. The information you provide will be handled confidentially. See the Non-retaliation policy on InSite for more information.

Address Errors and/or Misconduct
An investigation of potential errors and/or misconduct will be conducted. If an issue is verified, we will take corrective action, which may include:
• Identifying the root cause of the issue and making changes to help avoid future occurrences
• Informing applicable government authorities
• Making restitution to affected parties
• Reporting and returning identified overpayments (in collaboration with the compliance department)
• Disciplining violators if a blatant or intentional violation of rules has taken place

If appropriate disciplinary actions for responsible individuals are required, they may include suspension, restitution, or in more extreme cases, termination and referral for government investigation. See the Performance Correction and Internal Review Policy on InSite for more information.

Policies
Policies are available for review on InSite in the Tools and Resources section by selecting Policies and Procedures in the same area on InSite.

Ensure Regulatory Compliance
Health care and business operations in general are governed by various federal, state and local laws and regulations. These rules cover a wide array of activities, from how we deliver services to how we market and bill for those services and conduct our daily work responsibilities.

Everyone is expected to be knowledgeable about and follow these rules. Spectrum Health and responsible individuals may be subject to significant penalties for violating them.

Waivers and Exceptions
Waivers or exceptions to this Code are uncommon. Any waivers will be in keeping with the spirit of the Code’s standards. Exceptions to this Code require the written approval of the President & CEO of Spectrum Health System, or her designee.
Spotlighting ...

Excellence in Our Reputation

- We manage conflicts of interest
- We maintain professional qualifications
- We uphold professional standards of conduct

The promise we make:

Excellence is not an endpoint or a way of distinguishing ourselves as better than someone or something else. It is a journey, a mindset and a process. It is a set of beliefs without limits that guide us to be the best we can be. We take responsibility for our work and our work areas. We collaborate with others and we resolve concerns.
Over many years, our employees and partners have worked together to serve our diverse communities. Our combined efforts have earned us a reputation for commitment to patient and member health through quality service. We have earned this reputation by our dedication to professional competence and loyalty to our mission. We will sustain our excellent reputation through ongoing vigilance in the services we provide.

Conflicts of Interest

We are committed to managing potential conflicts before they arise. Preventing and/or managing conflicts of interest provides patients, members and others who depend on us the excellent health care and business environment they deserve. Conflicts of interest are unavoidable in some situations. Conflicts can be managed through full disclosure and lack of involvement in decisions related to the conflict of interest. These conflicts are described below and in more detail in applicable policies.

A conflict of interest occurs when a personal interest actually interferes, or may be perceived to interfere, with our ability to make decisions that are in the best interests of our organization, our patients and members. A personal interest also may become a conflict of interest when it benefits a competitor or disrupts our work responsibilities.

Conflicts may arise that involve you or a member of your family. Examples include, but are not limited to:

Outside personal activities in which you have a relationship with another organization, such as a supplier, provider, business partner, competitor or others we serve

Professional activities outside your Spectrum Health role that involve using your professional expertise for another organization/service or cause, such as:
- Employment/service with or consulting for a competitor/supplier
- Acceptance of sponsorship by a supplier
- Unauthorized attendance at a supplier education meeting
- Unauthorized participation in vendor surveys
- Service on a supplier panel
- Service as a board member for an organization that may create a potential conflict of interest

See Additional Professional Income (Non-Physicians) / Additional Professional Income Physicians and Psychologists on InSite for more information

Financial interests in Spectrum Health’s business partners or competitors, especially when there is a potential to benefit financially at the expense of Spectrum Health

Business opportunities that you learn about in your work for Spectrum Health or that may compete with any Spectrum Health business

Relationships with family members or close friends, such as personally recruiting, working with or conducting Spectrum Health business with them, or serving them as patients or members

Soliciting colleagues or others while at work for outside business or other personal interests

Distributing or posting materials for an outside organization or cause

Political activities and contributions in any election campaign in support of or in opposition to a candidate for local, state or national public office, in a manner that is perceived as being on behalf of Spectrum Health or in any employee’s official capacity. Lobbying activities regarding public policy positions also should be done in consultation with the Spectrum Health Government Affairs and Public Policy department or Community Relations

Q. My partner manages a training and consulting firm. Can my partner submit a proposal to my department to become a vendor?

A. Generally yes, but before any proposal is submitted, report this relationship to your manager by completing a Conflict of Interest Disclosure (see below section titled “Disclosure of Potential Conflicts of Interest”). This report will result in a management plan that removes you from participating in any discussions or decisions related to the proposal.

If you think a situation might create a conflict of interest, ask yourself the following questions:
- Would others think this might affect how I do my job?
- Could it affect any decision I might make at work?
- Will I or someone in my family gain anything from my relationship with the third party?
- Do I feel under any obligation because of my relationship with the third party?
- Would I be embarrassed if anyone knew about the situation?
- How might the situation look to customers or suppliers? Would they question whether they have been treated fairly?
- Does the relationship benefit a competitor?

If the answer to any of the above questions is yes or even perhaps, you may have a conflict of interest to disclose and to discuss with others.
For information regarding approved and prohibited political activities, see the Advocacy and Government Affairs policy on InSite.

Disclosure of Potential Conflicts of Interest

If you or your leader feel that you have a potential conflict of interest, you may need to fill out a Conflict of Interest Disclosure questionnaire to report the relationship. The matter should be discussed with your leader, compliance or the legal department. They can help you determine whether the situation should be disclosed and, when appropriate, how to manage the relationship so that it does not become an actual conflict.

**Step 1:** Remove yourself from participating in any discussions or decisions in the matter until submission and review have been completed.

**Step 2:** Contact our conflicts of interest coordinator by sending an email to conflictsofinterest@spectrumhealth.org or calling 616.486.2430. Submit your contact information and you will receive instruction and access to the questionnaire process.

**Step 3:** You will receive an email with a link to the current conflicts of interest questionnaire to be completed upon receipt.

**Step 4:** Once submitted, the matter will be reviewed by your conflict of interest committee in consultation with compliance and/or legal departments.

Under the Spectrum Health Conflicts of Interest Policy, you have an ongoing obligation to update your submission should your circumstances change throughout the fiscal year.

Gifts and Business Courtesies

Employees of Spectrum Health are responsible to conduct business actions with honesty, integrity and fairness.

It is critical to avoid any impropriety when giving or receiving gifts from individuals who do business or are seeking to do business with Spectrum Health. Gifts or other incentives should never be used to improperly influence relationships or business outcomes.

Under no circumstances may an employee solicit a gift, meal or entertainment. Nothing should be accepted in exchange for purchasing/using products or for a commitment to continue using products. Nothing should be accepted that would interfere with a health care professional’s practice patterns or prescribing practices.

For additional information, please review the Gifts and Business Courtesies Policy. The purpose of this policy is to mitigate risk under Anti-kickback and Stark Laws and to promote our already strong culture of integrity.

**Search policies for keywords such as service shortfalls, patient transportation assistance, lodging assistance, free screenings and other free items offered to patients, as these types of services are many times entirely appropriate, with the correct safeguards in place. For more information, contact your compliance department.**

You must never promise, offer, provide or accept anything of value if it can be perceived as a bribe, kickback or payment intended to directly influence your judgment. An example of this could be using Spectrum Health’s services or purchasing a vendor’s product. Something of value also can include nonmonetary benefits, such as in-kind services or favors. This includes providing anything to a government or political official or employee with the intent to influence. You must never ask, solicit or suggest to others that you would like to receive a business courtesy, gratuity or anything else of value.
Qualifications and Professional Standards

We serve our patients and members best when we are competent in our jobs. We maintain the highest standards in accordance with various federal, state and local laws and regulations regarding health care. We maintain current certificates of need, licenses, permits and accreditations. We complete required in person and online trainings. We also are expected to maintain professional standards applicable to our positions and to comply with respective professional standards of conduct.

Disclosure of Exclusion from Participation

An individual can be excluded from participation in federal and state funded health care programs for having misdemeanor convictions related to health care fraud. For example, suspension, revocation or surrender of license, defaulting on health education loan or scholarship obligations or criminal offenses : (unlawful manufacture, distribution or dispensing of controlled substances, theft or other financial misconduct). Any person (employee, provider, volunteer, student, contractor, vendor, etc.) excluded from participating in federally funded programs (Medicare/ Medicaid/CHAMPUS, etc.) due to sanctions, loss of license, criminal activity, etc., must immediately inform the compliance department of such exclusion.
Spotlighting ...

Excellence in Our Relationships

• We serve others respectfully
• We protect the privacy and confidentiality of patients, members and others we serve
• We respect the rights of patients, members, others we serve and vendors
• We promote equal opportunities for a diversity of backgrounds, skills and perspectives
• We protect information belonging to other members of our team
• We provide a work environment free of harassment
• We follow good business practices with contractors and suppliers/vendors
• We are honest and accurate in our marketing materials
• We uphold fair practices with our competitors
• We protect the security of patient, member and business-sensitive information
Spectrum Health Values

- Compassion
- Collaboration
- Curiosity
- Courage

Our business is about people - our patients, members, physicians and other health care providers with whom we collaborate; suppliers and other business partners; our surrounding communities; our employees, insurers and others that pay for our services; and even regulators that oversee our industry federal and state health care programs. Strong relationships mean a strong Spectrum Health. We must all remain committed to excellence in our relationships.

Successful relationships are built on trust. Being honest, following laws and regulations and acting with integrity are behaviors and actions that build and maintain trust.

We Serve Our Patients, Members, Families and Communities

Our mission is to improve health, inspire hope and save lives. In this effort, we treat everyone with respect and provide people-centered quality health care services. We do not discriminate based on race, color, sex, national origin, handicap/disability, age, HIV status, marital status, sexual orientation, gender identity, gender expression, religious beliefs, sources of payment for care or other protected class. Clinical care is always based on a patient’s identified health care needs. We maintain professional boundaries. We are responsible for beginning, maintaining and ending encounters by maintaining a professional relationship with our patients and members. We value the diversity of our care team; therefore, we will not comply with a patient/family request that a care team member be of a particular race or ethnicity. See Addressing Patient Preference for Health Care Team Member(s).

We strive to demonstrate quality in all clinical and nonclinical health care operations. No job is too big or too small. All aspects of what we do are interdependent and affect the quality of care we provide to our community. Any possible failures in following the policies, procedures, standard work and guidelines should be communicated to the appropriate leader so that we can maintain quality services.

We strive to assure patients and/or families that they will be involved in all aspects of their care. We obtain and confirm a patient’s informed consent for treatment.

As applicable, each patient or patient representative is provided with a clear explanation of care, including:

- Diagnosis
- Treatment plan
- Right to refuse or accept care
- Care decision dilemmas
- Estimates of treatment costs
- Risks and benefits associated with available treatment options

The U.S. Health Insurance Portability and Accountability Act (HIPAA) places heavy restrictions on how health care organizations handle patient and member data, commonly called protected health information (PHI). When working or coming in contact with patient and member data, we are responsible for knowing policies on how HIPAA applies. It is important that we follow these rules and related procedures.

We Ensure Confidentiality and Privacy

We are committed to ensuring and protecting the confidentiality and privacy of our patients, members and their representatives. We collect information about a patient’s and member’s medical condition, history, medication and family illnesses to provide the best possible care and health plan. We assure that individuals’ health information is properly protected while allowing the flow of health information needed to provide and promote high quality health care.

Spectrum Health also provides an opportunity for patients and members to resolve confidentiality complaints. If a patient or member clearly expresses a concern that his or her privacy has been violated, we communicate the concern to the appropriate compliance or privacy area.

We are expected to be knowledgeable about and comply with HIPAA privacy regulations. Our HIPAA policies and procedures are available on In Site under Policies and Procedures, Departments, Privacy.

Q. Does HIPAA apply to looking up my child’s or partner’s lab results or claims using my work access? Can I look up my own lab results or claims?

A. You may not look up your own or any family member’s confidential medical information using your work access. Doing so will result in performance correction up to and including immediate termination. You may access this information via appropriate methods, such as MyHealth, or by filling out an authorization form available from health information management.
All employees are bound by the Spectrum Health Acceptable Use Policy, which outlines the rules for appropriate and secure use of our resources including network, application or other Information Technology Services resources. This policy is designed to enhance the security and ensure the integrity of our networks and data. Key points of the Acceptable Use policy include:

- Complete required HIPAA and security awareness training annually to remain aware of current threats
- Scrutinize email attachments before opening to avoid activation of malicious code
- Being responsible for appropriate use of assigned resources
- Only accessing files and computer systems for which you are authorized
- Using only authorized software
- Not downloading or installing software or applications without authorization and assistance from appropriate personnel
- Not executing software, code or processes that may disrupt normal utilization of the network or applications

Violations of the Acceptable Use Policy may result in performance correction including, but not limited to, verbal/written warning, suspension of access, termination of employment and/or legal action required by U.S. law. See the Spectrum Health Acceptable Use Policy on InSite for more information.

Social Media

Working in the health care environment makes it unacceptable to share any information that involves a patient by word or image through social media. Doing so can lead to disciplinary action up to and including termination. See the Social Media Policy on InSite for more information.

Respect Patient and Member Rights and Responsibilities

Patients are accepted in compliance with applicable laws. We provide the appropriate diagnostic and treatment services to all patients with emergent conditions, regardless of their ability to pay for health care.

Rights and Responsibilities information is available to all patients in several forms. Each patient care area has Rights and Responsibilities posters with key information in both English and Spanish. Brochures and the Patient Resource Guide are available in both languages with complete information. See Patient Rights and Responsibilities Policy on InSite for more information.

Priority Health members have rights and responsibilities. Priority Health makes rights and responsibilities information available to all members in member handbooks and other appropriate documents. In addition, this information is also available at priorityhealth.com.

Nurture Relationships with Contractors and Suppliers/Vendors

We work with contractors and current and prospective suppliers to achieve the best outcomes for our patients and members and to advance our mutual interests. In working with these parties, we will act in a respectful, fair and reasonable manner, consistent with all applicable laws and good business practices. We promote competitive bidding, when practical.

We will follow policies, procedures and good business practices in source selection, negotiation and determination of contract awards and the administration of all purchasing activities. Our selection of contractors and suppliers is made on the basis of objective criteria, including quality, technical excellence, price, delivery, adherence to schedules, service, maintenance of adequate sources of supply and a supplier's ability to meet our needs - not on personal relationships and friendships.

Care must be taken when exchanging gifts and business courtesies with contractors and suppliers. Please see “Gifts and Business Courtesies” in the “Conflicts of Interest” section on page 10.

Build Relationships with Colleagues

Excellence in serving our community depends on how well we work together as colleagues. The more that we can trust and rely upon each other, the better we can meet our commitment to improving the health of the communities we serve. One of the People First concepts is empower me which includes the concept of success and recognition. Celebrate successes no matter how small or big. Recognize each other for the work being done or the contribution made to our success.
We will conduct ourselves in a manner that ensures the orderly and efficient operation of business and creates a safe and harmonious work environment. We follow these guidelines:

• Behave in a manner consistent with our Values
• Demonstrate accountability
• Keep commitments, communicate honestly and directly, and exemplify high ethical standards
• Provide the highest-quality customer service
• Strive for excellence in every situation
• Treat others with dignity, respect, courtesy and care
• Work cooperatively with others as part of a team

Strengthen Relationships with Providers and Provider Groups

Especially in the context of our Delivery System entities, our relationships with providers and provider groups must meet strict regulatory standards, including the provision of anything of value to providers, their relatives, their group or their staff.

This includes payment for services rendered, use of space, equipment and staff time, and any other item that is provided by either party. The legal or compliance department can provide consultation prior to entering into such relationships.

<table>
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<th>Key things to remember when interacting with providers:</th>
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<tr>
<td>• Various laws and regulations, including the Stark Law, regulate the way we work and interact with providers, provider groups and their staff who are employed and/or not employed by Spectrum Health.</td>
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<tr>
<td>• Any business arrangement between a Spectrum Health Delivery System entity and providers must be evaluated by legal counsel prior to commencing the arrangement in order to ensure compliance with numerous laws and regulations, such as provider-based rules, tax-exempt status and other laws.</td>
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Embrace Inclusion and Diversity

A work environment thrives when it embraces people from a multitude of backgrounds, with differing skills and a variety of perspectives. Every unique, diverse and different viewpoint creates an opportunity for us to leverage our workforce. We make the effort to get to know, listen to and appreciate colleagues and their contributions to our mission. Diverse perspectives improve our effectiveness. We support diversity initiatives that foster an environment in which all are valued and have a voice.

Provide Equal Employment Opportunities

Our employees provide a wide complement of talents, contributing to workplace excellence. We are committed to providing an equal opportunity work environment where everyone is treated with fairness, dignity and respect. See the Equal Employment Opportunity Policy on InSite for more information.

As an affirmative action employer, we follow all laws, regulations and policies related to nondiscrimination based on age, race, sex, gender identity, gender expression, pregnancy, marital status, height, weight, color, religion, national origin, disability, childbirth, sexual orientation, U.S. military status, status as a disabled, or other legally protected category. This applies to all decisions regarding recruiting, hiring, compensation, evaluations, promotions, transfers, staff reductions, corrective action and terminations. Reasonable accommodations are made for known physical and mental limitations of otherwise qualified individuals with disabilities. See the Accommodations Policy on InSite for more information.

Maintain Respectful Treatment

Mutual respect allows all employees to do our best work in pursuit of our common mission. We expect our employees to be respectful of others; employees rightly should expect the same respect from colleagues. We do not tolerate harassment of any employee, vendor, patient, member or visitor. We do not engage in any degrading jokes, slurs, intimidation, derogatory comments or other inappropriate conduct, nor do we tolerate others who do so.

Any form of sexual harassment is prohibited, including unwelcome sexual advances or requests for sexual favors related to employment decisions. We do not engage in or tolerate verbal or physical conduct of a sexual nature that may interfere with work performance or create an intimidating, hostile or offensive environment. See the Harassment Free Workplace Policy on InSite for more information.
**Types of harassment include:**

- Abuse
- Conduct of a sexual, racial or other nature that interferes with an individual's work performance or creates an intimidating, hostile or offensive work environment
- Display of offensive material
- Offensive jokes
- Threat of dismissal or loss of promotions based on sex, race, age, color, national origin, disability, religion, sexual orientation, gender identity or gender expression
- Threatened or actual violence
- Unwanted physical contact

**Prevent Workplace Violence**

Any form of violence will not be tolerated in the workplace. This includes any threatened or actual violence, stalking, fighting, or injuring or attempting to injure others. In our commitment to a safe workplace, no firearms (with the exception of security and police officers), other weapons, explosive devices or other dangerous materials are permitted on any of our premises, owned or leased.

If any form of harassment or violence is observed or experienced, it must be reported to a leader, human resources or your compliance department. See the Harassment Free Workplace Policy on InSite for more information.

**Practice Ethical Marketing and Communications**

External communications must demonstrate the same sense of responsibility that our internal communications do. To convey our dedication to excellence in service, we are committed to responsible marketing.

Marketing and communications include:

- Advertising
- Community events and seminars
- Data collection
- Direct mail
- Public relations
- Publications
- Web communications

In marketing and communications, we practice confidentiality, honesty, accuracy and decency. We do not exploit the suffering of others in marketing materials. Permission must always be obtained from patients, family members, visitors, members, staff, contractors and providers prior to the use of pictures, video, general information or identifying information in public relations activities.

**Participate in Fair Competition (Antitrust Law Compliance)**

Antitrust laws are intended to promote fair and vigorous competition. These rules encourage us and other health care systems to continually strive to better serve our patients, members, and community. While we compete for patients and members, we always do so fairly. Fair competition rules cover a broad range of interactions with competitor health care systems, vendors and suppliers that may otherwise reduce competition.

We avoid discussions or agreements with employees or representatives of other competing health care providers or health plan systems about competitively sensitive information such as costs, price setting, terms with suppliers or vendors, allocation of market share among competitors, strategies, or marketing plans.

If a competitor raises an inappropriate subject, you must:

- End the conversation immediately
- Request that your refusal to participate in the conversation be documented in the meeting minutes, if you are in a meeting
- Notify legal counsel or the compliance department

Employees must avoid discussing competitively sensitive topics with competitors or suppliers, unless the discussion is consistent with the advice of legal counsel.

In addition, no one on behalf of Priority Health shall discuss or share with Spectrum Health Delivery System representatives any Priority Health information related to:

- its negotiated rates with other providers,
- potential provider pricing strategies,
- any of Priority Health’s individual strategies regarding managed care contracting or dealings with other providers, or
- Priority Health’s strategic plans or planned competitive initiatives with other providers.

Likewise, Spectrum Health Delivery System representatives are prohibited from discussing or sharing with Priority Health:

- current and potential pricing,
- payment and contracting arrangements, or
- strategies with other health plans.

We must always consult with the legal department before providing any information in response to an oral or written inquiry concerning an antitrust matter. Also, it is important to avoid any conversation with a supplier that may suggest an attempt to limit competition among suppliers. An example of this might be unilaterally refusing to do business with a certain supplier.
Outside Inquiries
We provide truthful, accurate information to the news media, general public and others who have an interest in our activities. We provide information to outside parties only if we are authorized to do so. If we receive a request from an outside party for Spectrum Health business information, we need to check with the communications department before fulfilling the request or refer the request directly to the communications department. All inquiries from the news media should be directed to the communications department.

We take seriously our responsibility to the public through regulatory oversight. All regulatory compliance inquiries should be coordinated with your compliance department and legal counsel. We must provide complete, factual and accurate information as part of regulatory requests, surveys and inspections. During surveys and inspections, we are courteous and cooperative. We will provide governmental or external auditors with the information to which they are entitled during a review, inspection or audit.

We never fail to provide accurate information, and we must not obstruct, mislead or delay the provision of information or records as requested. We must never conceal, destroy or alter documents, or make false or misleading statements. We must not attempt to cause another person to fail to provide accurate information or records relating to a possible violation.

See also: "Ensuring Regulatory Compliance" on page 7.
Spotlighting ...

Excellence in Our Operations

- We follow good business practices to avoid fraud, waste and abuse
- We ensure that claims are coded, billed and processed accurately
- We protect information from misuse or improper access or disclosure
- We record business information honestly, accurately, completely, timely and clearly
- We monitor and audit activities

The promises we make:

We contribute all we can to improving decisions, policies and actions by fully expressing opinions and disagreements, regardless of the level or position of the person we need to address. We freely and promptly share information with those who need it.

To hold people accountable to mutually agreed-upon goals and objectives, whenever we have a concern with the performance or behavior of others, we take action to make sure the problem is addressed; first, by speaking directly and respectfully with the person involved, and then if unsuccessful, by engaging the chain of command to resolve outstanding issues.

As a nonprofit health care system, we have limited resources. We are committed to using our resources wisely. The health of our patients and members depends upon us being responsible guardians of our operations. Excellence in service demands excellence in resources.
Q. We are really driven by making budget and staying on target. Sometimes that means we take shortcuts to get the work done, but I think we may be unintentionally breaking the rules. What should I do?

A. Health care has many laws and regulations to ensure that the highest quality of care is provided and that we are paid appropriately for these services. If you think there may be a problem, asking the question is the right thing to do. You can go to your leader, speak with any member of the leadership team, your compliance department, contact the Integrity Help Line at 877.319.0266 or spectrumhealth.alertline.com/gcs/welcome.

Q. We recently changed our work processes in the lab. During this time, we may have double-entered some of the charges. What should I do?

A. Inform your leader of your concern immediately. Timing is important, because if there is an error, resolving it quickly will reduce potential penalties. You may be asked to coordinate with your leader and the compliance department to validate whether the charges were actually entered twice.

Q. I keep seeing physician claims that have no documentation to support the coding and charges. What should I do?

A. Discuss your concerns with your leader and your compliance department. We may need to offer education or review the documentation further.

Q. We perform many procedures, but it seems that some of the patients do not need them. I'm not a doctor, but this does not feel right. What should I do?

A. All the services that we provide must be medically necessary, with the exception of elective services such as cosmetic surgery. This is not only a requirement for us to be paid, but is crucial to protect our patients or members from harm. If you suspect that patients or members are receiving care that is not necessary, contact your leader or your compliance department immediately.
Scientific and Clinical Research
We follow high ethical and legal standards in any research performed by professionals in any setting. All human subject research must be preapproved by the Institutional Review Board. In keeping with good clinical practice and regulations, we ensure that protections are provided for human subjects, including the use of the informed consent process, where required. Participation in research is voluntary, and a patient’s right of refusal is honored and respected and does not impact or compromise access to services.

In performing any aspect of research we strive to maintain the highest ethical standards in all written and oral communications regarding research. We also comply with applicable state, federal and local research policies, regulations and guidelines. We adhere to research authorship, attribution and other intellectual property standards and related policies.

Research misconduct is not tolerated. Research misconduct includes, but is not limited to, falsifying, plagiarism or copying results from other studies without performing the research. We will follow our misconduct policy and act promptly to address and resolve any and all allegations.

As in all accounting and financial record keeping, we must submit only true, accurate and complete costs related to research grants and studies.

Using Sensitive Information
How we use business and proprietary information impacts our relationships with patients, members, suppliers and colleagues as well as the success of Spectrum Health. When we use information entrusted to us carefully and responsibly, we safeguard our assets and reputation, and strengthen our relationships.

Business Information
Confidential and Other Nonpublic Information
We must safeguard business and proprietary information from improper disclosure, keep it stored in a safe location, share it only with colleagues and others who are authorized to have it, and dispose of it according to applicable procedures. See the Professional Conduct policy on InSite for more information.

Likewise, business partner/vendor information should be handled as carefully as all system information. When we accept others’ business information, we must understand restrictions regarding its use. Confidential information should be viewed or provided to others only with a legitimate business reason, and, if providing confidential information to others, we must ensure that they understand and agree to maintain its confidentiality.

Confidential information includes:
- Patient and member information
- Business practices
- Customer lists
- Clinical information
- Contract terms
- Employee data
- Employee lists
- Financial data
- Information pertaining to affiliations
- Marketing strategies and techniques
- Pricing and cost data
- Proprietary computer software
- Research data
- Strategic plans
- Trade secrets

Joint Ventures
We have several joint ventures which serve the surrounding communities in partnership with other health care or business entities. Although partially owned by Spectrum Health, they are separate entities that may require Spectrum Health consultant services at arm’s length. Each joint venture is its own entity, separate and apart from the party owners and their other business interests.

For questions about Spectrum Health Joint Ventures, please review the Joint Venture Policy on InSite, contact the legal department or your compliance department.

Respect Intellectual Property
Intellectual property includes information protected by copyrights, trademarks, service marks or patents and should be safeguarded by using the appropriate symbol. The legal department should be notified if our intellectual property is being used inappropriately or without permission.

A trade secret is another form of intellectual property. Its improper disclosure could cause its owner financial harm. Our trade secrets must be stored in a safe location. Trade secrets cannot be shared with others who are not specifically authorized to receive them. Likewise, we do not accept others’ trade secrets without permission.

Protect Technology and Communications
Employees are responsible for safeguarding physical access to devices. When devices are no longer in use, they should be logged out or locked according to department procedure. When transporting devices off-site, keep them on your person at all times. If a device must be left unattended in a vehicle, secure it in the trunk of your vehicle or other nonvisible location.
As technology improves the quality of health care and other services that we deliver, it becomes extremely important that we protect vital electronic media and other communication systems. Our communication systems are intended for business use.

Communications systems include:
- Computers and computer system access
- Email
- Internet access
- Pagers
- Mobile phones and personal digital assistants such as smartphones and tablets
- Telephones
- Voice mail
- Credit card readers

Confidential information should only be sent through email (or via the Internet) when it is encrypted or secured in a manner acceptable to the information security officer.

We enjoy limited personal use of these systems in accordance with policy. These communications are not private and may be monitored as part of any normal communications monitoring procedures. Abuse of this privilege may lead to its loss and further corrective action.

Employees must only use approved and authorized software obtained through appropriate means. Unapproved or unauthorized software may contain security vulnerabilities.

Q. A new co-worker does not yet have access to a network application needed to perform his or her duties. Can he or she borrow my password in order to have access?

A. No. All new employees must wait to be assigned their own password. Protecting a password is the responsibility of its owner. You are accountable for all actions associated with it. It is your legally binding electronic signature. Keep tight control over your password and change it when prompted to help protect our data.

Keep Accurate Records of Transactions

Keeping accurate records of business transactions builds our reputation of integrity. Entries recorded in our records must be accurate, complete, fair, timely and understandable. No part of our record may be falsified or improperly altered. We must never create or approve a record that is intended to mislead, conceal or improperly reflect the true intention of a transaction. Financial records must follow generally accepted accounting principles and other applicable standards.

Records can relate to financial, operational, claims or regulatory transactions, or other activities. They include documentation of business activities, transactions, payments, receipts, applications, agreements, bids, contracts, accounts and assets. Records may include paper documents, such as letters and memos; computer-based information, computer files on USB; or saved on any other medium that contains information about the organization or its business activities.

We follow standards, policies and procedures related to record retention, destruction and disclosure. Proper maintenance of records will prevent inadvertent destruction or disclosure, which can lead to stringent penalties for Spectrum Health and responsible employees.

Federal and state false claims acts and, specifically, the Federal Fraud Civil Remedies Act impose heavy penalties for improper recording of business transactions and record destruction regarding health care claims for payment to the government, whether made intentionally or unintentionally. Penalties may apply to Spectrum Health or individual employees. Therefore, we must understand the purpose of any business transaction that we make, assist with or approve.

See also: “Outside Inquiries” on page 17.
Spotlighting ...

Excellence in Our Environment

- We protect the health and safety of others
- We maintain an alcohol-free and drug-free work environment
- We properly handle and dispose of toxic and hazardous waste
- We protect the environment

Monitor Operations

An important step toward safeguarding resources is active oversight of those resources. Managers are expected to regularly monitor their operations to ensure compliance with laws and regulations and policies and procedures. Any concerns identified during monitoring activities must be reported immediately to your compliance department. The internal audit and compliance departments supplement these activities with additional monitoring and auditing activities.

A commitment to excellence means that we care about the good health of not only our patients and members, but also our employees. We maintain a workplace with the basic essentials for good health. We act in safe and healthy ways and do our jobs with clear minds. Our concern for good health extends to our community with a concern for how our operations affect the environment.
Health and Safety
As a health system, a core priority for us is the health and safety of our patients, members, visitors, employees and other members of the team. We have established policies and procedures to ensure this objective. We are all expected to know the health and safety policies that apply specifically to our jobs and to our facilities overall. We must immediately report to our leader any serious workplace injury or any situation that presents a danger of injury so that it can be corrected.

See also: “Maintaining Respectful Treatment” on page 15.

Substance Use and Diversion
The safety of our employees, patients, members and visitors is of critical importance to our mission.

Employees must not report to work under the influence of alcohol or a prohibited substance, with a detectable level of alcohol or a prohibited substance in their system, or with the odor of alcohol or a prohibited substance on their breath or body.

We may require an employee to undergo prohibited substance and/or alcohol testing if there is reasonable suspicion that the employee has possessed, used or is under the influence of alcohol or a prohibited substance or has been involved in the diversion of prohibited substances.

Refusing to cooperate fully with required testing is grounds for termination. Substituting or adulterating any bodily substance or specimen submitted for testing, or falsely representing that the body substance or specimen is the employee’s own sample likewise will be grounds for termination. Where the circumstances warrant it, tested individuals whose results are positive may be offered a “Last Chance Agreement” to adhere to expectations, including compliance with an approved treatment program.

No employee may perform any work while using any prescription or over-the-counter medication that could impair the employee’s ability to perform job duties in a safe and effective manner. Employees who are using medication are responsible to determine whether the medication could have an adverse effect on safety or performance. If unsure about the effects of a medication, employees are encouraged to consult their physician. If, after such consultation, employees have reason to believe that a medication could impair their ability to perform their job duties, or create a safety risk to themselves or others, they are required to report that information to the Integrated Disability Management (IDM) Department of human resources immediately. We will work with employees to resolve any performance or safety concerns related to the medication and will honor all legal requirements for the confidentiality of any medical information provided.

If you learn about the diversion of these items from our facilities, or from another institution or organization where we provide services, you must immediately report the incident to a leader, human resources or your compliance department, via the Event Reporting System (ERS) or the Integrity Help Line (Anonymous) 877.319.0266.

Q. I often cover breaks for my co-worker, Susie. Her patients often complain that they have pain, but their medication records show they have recently received pain medication. Susie appears to be very sleepy and grouchy after her breaks. I think she may be taking the drugs from the patients and using them herself. What should I do?

A. Talk with your charge nurse or leader right away. You can call human resources, your compliance department or the Integrity Help Line. For our patients’ sake, we need to ensure that Susie is not under the influence of drugs. Patients must have their pain properly managed. Lastly, if Susie is diverting the drugs, that would be considered theft.

Environmental Protection
Our commitment to our local communities and their health and safety calls for us to safeguard the natural environment. We have a commitment that sustainability is present at every level of the organization. We are focused on healing our patients and the planet because we know that it’s the right thing to do. We understand the connection between human and environmental health and we are committed to reducing our environmental impact. Each of us has the responsibility to take measures that demonstrate this commitment. Such measures include:

- Adhering to procedures for handling and disposing of medical and other waste, especially toxic and hazardous materials
- Following all environmental protection policies and procedures
- Following our recycling practices
- Reducing energy use and unnecessary waste
Spotlighting ...

Code of Excellence Acknowledgment

We sign an acknowledgment that demonstrates our commitment to our Code of Excellence.
CONFIDENTIAL

Spectrum Health System Code of Excellence

Code of Excellence Acknowledgment

I acknowledge the following to demonstrate my commitment to our Code of Excellence ("the Code"):

• I understand that it is my responsibility to review and be familiar with the Code's contents and all related policy statements within the Code.
• I am aware of my obligation to seek guidance when unsure of the proper course of action and report concerns and suspected violations of the Code or other policies applicable to me, to a member of leadership, human resources, compliance, or the Integrity Help Line.
• I understand that I am not permitted to retaliate against another person for raising a concern or reporting a suspected violation.
• I am aware that any breach of the Code or other policies applicable to me subjects me to performance correction up to and including termination of employment or other relationship with Spectrum Health.
• I am not currently excluded from participation in Medicare, Medicaid or any health care program at a federal or state level. I understand that it is my responsibility to immediately disclose to the compliance department any current or future federal or state program exclusion or another event that makes me ineligible to perform work related directly to federal or state health care programs.
• I understand that I am expected to inform my leader of potential conflicts of interest that I may encounter so that they may be properly addressed.
• I understand that it is my responsibility to disclose and eliminate any conflict of interest or to receive preapproval for any potential conflict of interest per policies and procedures.
• I agree to comply with the standards contained in the Code and all related policies and procedures as part of my continued employment or association with Spectrum Health. This includes a commitment to a work environment that is free of harassment and promotes equal opportunities for all employees.

Name   Date   Employee ID

Signature

Code of Excellence 03.2019
Appendix

The Prevention and Detection of Health Care Fraud, Waste and Abuse

**Federal and State Laws**

The government has taken steps to **prevent and detect fraud, waste and abuse** in the U.S. health system. In accordance with the Deficit Reduction Act of 2005, information regarding the federal and state false claims laws and related qui tam/whistleblower provisions will be communicated to all employees, agents and contractors. In addition, this information is shared through the distribution of the Code of Excellence.

**A. The Federal False Claims Act**

The federal False Claims Act is a law that deals with fraud in any federally funded program or contract. Examples of federal programs covered by the FCA are Medicare and Medicaid.

1. **General Provisions**

The FCA establishes liability for any person who knowingly presents or causes to be presented a false or fraudulent claim to the U.S. government for payment. A “claim” includes any request or demand for money that is submitted to the U.S. government or its contractors. In addition, no person can knowingly and improperly avoid or decrease an obligation to repay the government. The term “knowingly” is defined as:

1) Having actual knowledge of false information in the claim
2) Acting in deliberate ignorance of truth or falsity of the information in a claim
3) Acting in reckless disregard of the truth or falsity of the information in a claim

The FCA does not require proof of a specific intent to defraud the U.S. government.

Health care providers, organizations or employees who violate the FCA may be subject to civil monetary penalties for each false claim that is submitted. Penalties of up to three times the amount of damages also may be ordered. The provider, organization and/or employee also may be excluded from participating in federal health care programs.

Significant civil monetary penalties may also apply to health care organizations and/or employees who knowingly makes or causes to be made any false statements, omission or misrepresentation of a material fact in the application, bid, contract to participate or enroll in a federally funded health care program or who knows of an overpayment and does not report the overpayment without delay.

2. **FCA Qui Tam “Whistleblower” Provisions**

The FCA allows any person with actual knowledge of an allegedly false claim to file a lawsuit on behalf of the U.S. government. Such persons are called “whistleblowers.” In order to file a qui tam suit, a whistleblower must meet several requirements as outlined below.

The whistleblower must file his or her lawsuit on behalf of the government in federal district court. Once filed, the lawsuit is kept confidential or “under seal” while the government investigates the allegations and decides how to proceed. If the government decides that the lawsuit has merit, it may intervene. In this case, the U.S. Department of Justice will try the case. The government may decide not to intervene. In this case, the whistleblower can continue with the lawsuit on his or her own.

If the lawsuit is successful, the whistleblower may receive an award ranging from 15 percent to 30 percent of the amount recovered. The whistleblower also may be entitled to reasonable expenses, such as attorney fees. If a court finds that the whistleblower planned or initiated the false claims, the award may be decreased. If the whistleblower is convicted of crimes related to the false claims, no award will be given.

The FCA contains important protections for whistleblowers who file claims in good faith. Depending on the circumstances, these protections may not apply to whistleblowers who file frivolous claims, file claims in bad faith or were directly involved in certain aspects of these claims. Retaliatory conduct against an employee who files an FCA lawsuit, or tries to stop or prevent an FCA violation, may entitle the employee to additional relief, including reinstatement of employment, back pay and compensation for costs or damages.

**B. The Program Fraud Civil Remedies Act**

The Program Fraud Civil Remedies Act of 1986 provides for administrative remedies against any person who makes, or causes to be made, a false claim or written statement to certain federal agencies, including the Department of Health and Human Services. The Program Fraud Civil Remedies Act addresses lower-dollar fraud and generally applies to claims of $150,000 or less.

**C. The Michigan Medicaid False Claims Act**

The Michigan Medicaid False Claims Act is a state law that is designed to prevent fraud, kickbacks and conspiracies in the Michigan Medicaid program (Medical Assistance Program).

The MMFCA establishes liability for any person who knowingly presents or causes to be presented a false or fraudulent claim for payment to Michigan’s Medicaid program. A “claim” means an attempt to cause the Michigan Department of Social Services to make a payment. The term “knowingly” is defined as:
1) Being aware that his or her conduct is substantially certain to cause the payment of a Medicaid benefit and
2) Not including errors or mistakes, unless there is a persistent tendency to cause inaccuracies

Health care providers, organizations or employees who violate the MMFCA may be subject to both criminal and civil penalties. Violation of the MMFCA is a felony punishable by four years or less in prison, or a fine of $50,000 or less, or both. Civil monetary penalties are equal to the full amount received plus triple damages. The provider organization or employee may be excluded from participating in the Michigan Medicaid program.

2. MMFCA Qui Tam “Whistleblower” Provisions

The MMFCA allows any person to file a civil lawsuit to recover losses to the state of Michigan. Such persons are called “whistleblowers.” In order to file a qui tam suit, a whistleblower must meet several requirements as outlined below.

The whistleblower must file his or her lawsuit. A suit filed under the MMFCA will be dismissed unless the attorney general is notified and has an opportunity to oppose the dismissal. If the government decides that the lawsuit has merit, it may intervene. In this case, the attorney general will prosecute the case. The whistleblower has the right to continue as a party to the action, subject to certain limitations. The government may decide not to intervene. In this case, the whistleblower can continue with the lawsuit on his or her own.

If the lawsuit is successful, the whistleblower may receive an award ranging from 15 percent to 30 percent of the amount recovered. If a court finds that the whistleblower actively participated in the false claims, the award may be decreased. If the whistleblower is convicted of crimes related to the false claims, no award will be given. If the court finds that the action brought by the whistleblower was frivolous, the court may fine the whistleblower.

The MMFCA contains important protections for whistleblowers who file claims in good faith. Depending on the circumstances, these protections may not apply to whistleblowers who file frivolous claims, file claims in bad faith or were directly involved in certain aspects of the claim. Retaliatory conduct against an employee who either files under the MMFCA or cooperates in an MMFCA lawsuit may entitle the employee to additional relief, including reinstatement of employment, back pay and compensation for costs or damages.

D. Anti-Kickback Statute

As required by the Anti-Kickback Statute, all employees are prohibited from knowingly or willfully offering, paying, soliciting or receiving remuneration (the transfer of anything of value, directly or indirectly, overtly or covertly, in cash or in kind) in order to induce and reward business payable (or reimbursable) under the Medicare or other federal health care programs. An Anti-Kickback Statute violation may be established without showing the individual had specific knowledge of laws or intent to violate the statute. Claims that violate the Anti-Kickback Statute may also violate the False Claims Act.

E. Freedom of Information Act

The Freedom of Information Act makes information collected by government agencies available to the public. It is important to note that information provided to the Centers for Medicare and Medicaid under the Part D program that would be considered proprietary in nature or that would tend to stifle the availability of discounts or rebates will not be released by CMS.