

Conflict of Interest Policy 106 Update for Employees, Agents and Management Team

- An individual has the responsibility to identify and self-report any potential or real Conflicts of Interests (as defined in Policy 106) that impact their job or position within the organization
 - At the time of hire;
 - Prior to contract, negotiation or selection of vendors or health care providers for goods and services;
 - Prior to initial placement and during service on Mercy Health and Mercy Health Affiliated Captive LTD, Boards, Foundations and/or related committees;
 - As conflicts arise during the course of day-to-day services and business activities; or
 - Prior to discussions and decision-making

- Potential conflicts can involve financial and non-financial interests and relationships as well as adverse legal events. Good faith efforts should be made to avoid Conflicts of Interest and the “appearance of conflict.”

- Conflicts of Interest require at minimum disclosure and may require management; some conflicts may require the individual be removed from discussions, the decision-making process and/or undergo a change in job responsibilities.

- Gifts, gratuities or exclusive opportunities (e.g. Super Bowl tickets) offered by current or potential business partners are to be reported under the Conflict of Interest Policy. In particular,
 - Items or services valued at or above \$100 must be disclosed on the Conflict of Interest Disclosure Certificate
 - Items or services valued more than \$300 per item or occasion or totaling more than \$300 in aggregate from any one individual or entity in a calendar year must be declined

- Conflicts of Interest are to be disclosed at least annually by individuals holding key positions and those positions involved in contracting, vendor selection, purchasing and decision-making on behalf of the organization.

Common Examples of Reportable Conflicts and Gifts and Gratuities Under Policy 106 for Employees / Associates, Agents and Management Team

- Family member(s) who work for Mercy Health or Mercy Health Affiliated entities;
- Family member(s) who work for companies competing with Mercy Health or Mercy Health Affiliated entities;
- Other outside jobs or consulting services performed by the Associate with an outside company or provider that may provide services to Mercy Health or Mercy Health Affiliated entities;
- Other outside jobs or consulting services performed by the Associate with an outside company or provider that may compete with Mercy Health or Mercy Health Affiliated entities;
- Personal or family member ownership or investment interests in an outside company competing and/or providing goods and service to Mercy Health or Mercy Health Affiliated entities;
- Offers of money, gifts, meals, payment of any kind (cash or anything of value) or exclusive opportunities in exchange for referrals or access to business opportunities. **Note:** This type of conflict is a prohibited activity under Federal and State Anti-Kickback Law and Stark Law (for physicians);
- Offers of free services, deeply-discounted services, all-expense paid travel and seminars conducted by current or potential business partners in exchange for endorsement of company product or services;
- Knowledge of confidential information that provides the individual an “inside advantage” that could result in personal gain or profit by the individual if he/she would act on the information for outside investment or ownership opportunities;
- Offers of free services, deeply-discounted services, gift certificates or meals for past services or relationship with vendors or suppliers of health care services

If you are unsure if an offer or gift is a conflict, contact the Mercy Health Corporate Responsibility Officer at 513-639-0116 or clrice@mercy.com for assistance.