Catholic Health Compliance Program Handbook and Code of Conduct

April 16, 2020

Catholic Health

Dear Colleague:

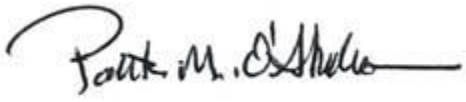
Catholic Health is committed to providing the highest quality of healthcare to members of our community. In parallel with our tradition of clinical excellence, we have developed a Compliance Program in order to ensure that all of our business relationships are conducted according to the highest ethical and legal standards.

Catholic Health depends on each of its employees to abide by the standards set forth in the Compliance Program. To assist employees in the fulfillment of this responsibility, the Compliance Program Handbook has been created to inform employees and other persons acting as agents of Catholic Health of the standards that they are expected to uphold. The Handbook does not describe every law or regulation that must be followed to fill this gap. Catholic Health will provide a more detailed explanation of laws and regulations that apply to specific job functions through the training and education process.

At the same time that Catholic Health pledges to provide necessary education and training, it remains the responsibility of employees or other persons acting as agents of Catholic Health to learn, understand and obey the law. If you are uncertain about what the law requires of you in any particular situation, it is your responsibility to ask for guidance. Your supervisor, the director of your department, and the compliance officer are available to answer questions. We have also developed a helpline for those staff members who feel more comfortable making confidential inquiries or reports. I can assure you that individuals who make good-faith inquiries about legal or ethical duties will receive a timely and substantive response.

The Compliance Program Handbook and other policies and procedures included in the Program have been designed to preserve the integrity of Catholic Health and protect its employees and agents. Thank you for your daily efforts on behalf of our patients and Catholic Health, and appreciate your commitment to our Compliance Program.

Yours truly,



Patrick M. O'Shaughnessy
President and Chief Executive Officer

COMPLIANCE PROGRAM HANDBOOK AND CODE OF CONDUCT

Catholic Health and its affiliated entities (collectively, Catholic Health and individually, a Catholic Health Entity) relies on its employees, independent contractors and major suppliers to conduct the Catholic Health's business in the highest of legal and ethical standards. This Compliance Program Handbook (Compliance Handbook) has been developed to provide guidance to Catholic Health employees, independent contractors and major suppliers (collectively, recipients) about how Catholic Health 'does business'. If you have a question about this Compliance Handbook or any legal, ethical or compliance related matter, you should contact one of the following people:

- your immediate supervisor
- the Director or Vice President of your department
- the Catholic Health Compliance Officer, Pegeen E. McGowan, who can be reached at (631) 465-4151 or at pegeen.mcgowan@chsli.org
- Entity Compliance Officers who may be reached as follows:

Name	Entity	E-mail	Phone #
Deborah Sakkatos	Catholic Health Home Care Good Shepherd Hospice Nursing & Rehabilitation Entities (Good Samaritan, Our Lady of Consolation, St. Catherine of Siena)	deborah.sakkatos@chsli.org	631-828-7413
Cathy Cahill	Catholic Health Medical Group	cathy.cahill@chsli.org	631-465-4232
Averie LeGrand-Rivera	CHS Physician Partners (ACO/IPA)	averie.legrand-rivera@chsli.org	516-838-8156
Mariana Harris	Good Samaritan Hospital	mariana.harris@chsli.org	631-376-3686
Lisa Giglia	Mercy Hospital St. Joseph Hospital	lisa.giglia@chsli.org	516-705-2372 516-520-2311
Michele McGrath	St. Charles Hospital St. Catherine of Siena Hospital	michele.mcgrath@chsli.org	631-476-5524 631-784-7204
Bernadette Catanzaro	St. Francis Hospital & Heart Center	bernadette.catanzaro@chsli.org	516-562-6580

We realize that there may be occasions where, for instance, a recipient would prefer to obtain advice or report a compliance issue on a confidential or anonymous basis. Catholic Health has instituted a confidential "helpline" for this purpose. The toll-free Compliance Helpline can be reached by calling:

(866) 272-0004

Catholic Health Compliance Program Handbook and Code of Conduct
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CATHOLIC HEALTH COMPLIANCE PROGRAM
AND THE
COMPLIANCE PROGRAM HANDBOOK

I. INTRODUCTION TO CATHOLIC HEALTH'S COMPLIANCE PROGRAM AND COMPLIANCE HANDBOOK

What is the Compliance Program?

The Catholic Health Compliance Program (the Program) is a means to ensure that all employees and agents of Catholic Health are conducting their business activities in an ethical and legal manner. The primary focus of the Program is to detect and prevent violations of law before they occur. The Program is overseen by the Catholic Health Compliance Officer. The basic components of the Program include:

- The Compliance Program Handbook, which sets forth the standards of conduct that recipients are expected and required to follow. In addition, Catholic Health has adopted various compliance policy and procedures to address various aspects of the Compliance Program;

- Designation of a Compliance Officer with the responsibility for the day-to-day operations of the Program. The Compliance Officer reports directly to the Catholic Health Board of Directors through the Compliance and Audit Committee;

- Training and education programs to make sure recipients are conducting business in a legal and ethical manner;

- Routine identification and evaluation of compliance risk areas; routine monitoring procedures to make sure business activities such as coding, billing, purchasing, cost reporting, etc. are being performed properly;

- Ways to report actual or suspected misconduct to the Compliance Officer, as well as ways to get answers to compliance questions and problems, including a confidential Compliance Helpline;

- Mechanisms for responding to compliance issues as they are raised (e.g. investigational protocol);

- Disciplinary policies to make sure that everyone from the CEO and down is disciplined in the same way for the same offense;

- Periodic reports to the Catholic Health and Entity Board of Directors, through the Compliance and Audit Committee, regarding compliance activities and revisions to the Program when necessary; and

- Policy of non-intimidation and non-retaliation for good faith participation in the Compliance Program.

Who is covered under the Catholic Health Compliance Program?

All board and board committee members, employees, volunteers, medical staff, vendors and ACO participants (collectively, recipients) of Catholic Health and each entity affiliated with Catholic Health[1] (collectively, Catholic Health and individually, a Catholic Health Entity) are covered under Catholic Health's Compliance Program.

What is the Compliance Handbook?

The Compliance Handbook is an outline of the different components that make up the Catholic Health Compliance Program. The Compliance Handbook has been designed to assist recipients in comprehending what is expected of them when working on behalf of or providing services to Catholic Health. Clearly, the Compliance Handbook cannot answer every question or concern a person might have about whether something is ethically or legally appropriate. However, it can and should be used as a reference when clarifying whether certain behaviors or activities are appropriate.

What if the Compliance Handbook does not answer my question?

The Compliance Handbook is a starting point for getting questions answered. Catholic Health also has internal policies and procedures, both department specific and System-wide, that detail the methods and means by which recipients should conduct their work activities. Recipients are expected to be familiar with policies and procedures that apply to their job functions and should consult these policies when questions arise. In addition to written policies and procedures, management personnel are available for, and are expected to provide, guidance to individuals under their supervision. As such, questions can be directed to an immediate supervisor, a director or vice president of a department or the Compliance Officer.

Catholic Health strongly encourages recipients to use the above resources to get their questions answered. However, as an additional resource, Catholic Health has instituted a confidential Compliance Helpline, which serves two purposes. It functions as a confidential helpline for employees and others who are required to report questionable conduct or activities. It also serves as a resource for individuals to get answers to general questions about the Compliance Program or specific questions about legal or regulatory requirements. Catholic Health is committed to maintaining the confidentiality of all Compliance Helpline calls. Confidential information received via the Catholic Health Compliance Helpline will be provided to a third party only in extreme circumstances (for example, if Catholic Health is ordered to disclose such information by a court of law). ***The Compliance Helpline toll-free number is (866) 272-0004.***

[1] Catholic Health Entities include Good Samaritan Hospital, Mercy Hospital, St. Catherine of Siena Hospital, St. Francis Hospital® & Heart Center, St. Charles Hospital, St. Joseph Hospital, St. Catherine of Siena Nursing & Rehabilitation, Our Lady of Consolation Nursing & Rehabilitation, Good Samaritan Nursing & Rehabilitation, Catholic Health Home Care, Good Shepherd Hospice, CHS Physician Partners entities (ACO, IPA) and CHS Services, Inc., as well as any related organization that is included in the consolidated financial statements of the entities listed herein.

What if I know of or suspect that another employee is violating the Compliance Handbook and I don't report it?

It is the duty of every recipient to report any actual or suspected violations of the Compliance Program (or internal policies and procedures, federal and state laws, etc.). If you are aware of actual or suspected misconduct and you fail to report it, you will be subject to disciplinary action, up to and including termination. The Compliance Helpline can be used for confidential reporting.

Will I be punished for raising a question about the Compliance Handbook or for reporting what I think is inappropriate behavior under the Compliance Program?

No. Retaliation against any recipient for reporting something that he or she sincerely believes may be a violation of the Compliance Program (or internal policies and procedures, federal and state laws, etc.), or for participating in good faith in an investigation of suspected misconduct, is strictly prohibited. If you ask a good faith question or make a good faith report and thereafter you believe you are being punished or retaliated against in some way, you should immediately report this to the Compliance Officer.

Questions or reports made in good faith are protected activities, even if it turns out that the report of misconduct was mistaken. However, deliberately making a false report is not a protected activity and will result in disciplinary action. Also, self-reporting of your own inappropriate conduct will not result in immunity but will be considered a factor in determining the appropriate discipline.

I am uncomfortable with the idea of 'squealing' or telling on my co-workers or staff members -- why does the Compliance Handbook require that I do this?

Catholic Health realizes that some recipients may be reluctant to question or report misconduct, especially when they are not absolutely certain that the conduct is wrong. Catholic Health does not consider such questioning or reporting 'squealing'. The simple truth is that U.S. government officials have made fraud and abuse within the healthcare industry a top priority and, as a result, the federal and state governments are actively pursuing enforcement activities against healthcare facilities. Consequently, co-workers or others who do not conduct themselves appropriately threaten Catholic Health's core business. Without holding each and every employee responsible for reporting actual or suspected misconduct, the Compliance Program would likely be ineffective in its goal of detecting and preventing violations of law. At its heart, the reporting requirement is the 'right thing to do' and that is why Catholic Health has included it in its Compliance Program.

I'm a manager. Are my responsibilities under the Compliance Handbook any different from a person who is not a manager or supervisor?

Yes. Managerial personnel are responsible for helping to create and maintain a work environment in which ethical concerns can be raised and openly discussed. They are also responsible for discussing the Compliance Program and Compliance Handbook with their staff, emphasizing the importance of the Compliance Program, taking appropriate action to detect and correct any violations of the Compliance Program (or internal policies and procedures, federal and state laws, etc.), imposing consistent and appropriate discipline when indicated, and not condoning or

ignoring misconduct that comes to their attention. If an individual that you supervise is found to have violated the Compliance Program (or internal policies and procedures, federal and state laws, etc.), and it is determined that such misconduct was reasonably foreseeable by you, you too will be subject to disciplinary action, up to and including termination.

II. STANDARDS OF CONDUCT

The general standards of conduct to which recipients will be held are outlined in this section. This section does not explain every law or regulation a person must follow as part of his or her duties. Catholic Health will provide its employees and others performing services on its behalf with more detailed communications and training regarding the laws and regulations that apply to a person's specific job function. However, it is the responsibility of every individual to learn, understand, and obey the law. *If you are unclear about the right thing to do, it is your responsibility to ask.*

General Standards of Conduct:

Catholic Health maintains a reputation as reputable and upstanding members of the Long Island healthcare community. As such, all recipients must:

- *Obey the law* when conducting business on Catholic Health's behalf, including checking with a supervisor or the Compliance Officer before undertaking any action that an individual feels may not be lawful;

- Be *honest and truthful* in all of their dealings with one another and with people or organizations that do business with Catholic Health; and

- *Participate in Catholic Health's Compliance Program*, including reporting actual or suspected misconduct and working to correct any improper practices that are identified.

Conflicts of Interest:

It is Catholic Health policy that all employees and others providing services to or on behalf of Catholic Health act in the best interest of Catholic Health at all times. A conflict of interest may exist whenever a recipient is in a situation in which his or her decision-making abilities on behalf of Catholic Health may be impaired or compromised based on his or her relationship (or the relationship of his or her family member) with another person, entity, or organization. All recipients have a duty to report potential conflicts of interest to the applicable Catholic Health Entity Compliance Officer. Many conflicts can be resolved in a way that is mutually acceptable to Catholic Health and the individual involved.

To minimize the likelihood of a conflict of interest, recipients are required to:

- If required per the Catholic Health Conflict of Interest Policy, complete the Annual Conflict of Interest Disclosure Statement and return it to the Compliance Officer within the specified time period so that Catholic Health is made aware of conflicts in a timely manner;

- Not use their positions, or the knowledge they gain from being in such positions, for personal advantage;

- Follow reasonable and customary business practices when it comes to giving or receiving gifts. Gifts can ***never*** be given or received for the purpose of influencing the business decision of the recipient. 'Reasonable and customary business practices' are generally limited to providing gifts of nominal value on an occasional basis pursuant to the Catholic Health Gift Policy. Giving or receiving cash or cash equivalent is never acceptable. An appearance of impropriety or undue influence is created when such items are offered and accepted with frequency or are of significant value;

- Not offer or receive kickbacks or improper inducements to influence decisions made by or on behalf of Catholic Health, specifically:

  - Catholic Health does not pay physicians, patients, home health agencies, nursing homes, equipment suppliers or any other person or organization for referrals to Catholic Health healthcare entities;

  - Physicians directly employed by Catholic Health or who provide services to Catholic Health under a contract, are paid based on the value of the services actually provided, not the value of actual or potential referrals;

  - Catholic Health does not ask for or accept payment from physicians or other healthcare providers or facilities in return for referring patients to or from Catholic Health healthcare entities. Rather, the sole criteria behind all purchasing decisions must be only in the best interest of Catholic Health. All purchasing decisions must be made with the purpose of obtaining the highest quality product or service at the most reasonable price;

  - Catholic Health does not ask for or accept anything of value, including free goods or services, discounts, rebates or allowances unless permitted by and obtained in accordance with law and internal policies and procedures (e.g., discounts or rebates on supplies purchased through the Supply Chain are permitted if in compliance with existing policies and procedures);

  - Catholic Health does not provide gifts, cash, offers of employment or anything else of value to government employees in connection with a business transaction, even if there is no intent to influence an official action (e.g., an employee may not buy lunch for a New York State Department of Health surveyor); and

  - Staff applying for grant monies obtain the appropriate internal approvals before receiving and using such monies, use the monies solely for the purposes of the grant activity, and do not accept grant monies from a company in return for promising to use the company's products.

In order to achieve Catholic Health's compliance goals, it is imperative that our vendors, contractors, ACO providers/suppliers and agents (collectively vendors) also agree to abide by certain standards of conduct and comply with government regulations and requirements, as outlined in the Catholic Health policies and procedures, including the Catholic Health Compliance Vendor Policy. A vendor is any person or entity which or who, on behalf of Catholic Health,

furnishes, or otherwise authorizes the furnishing of, healthcare items or services, performs billing or coding functions, or is involved in monitoring of healthcare provided by Catholic Health.

General Business Practices:

It is Catholic Health's mission to provide high quality healthcare services, consistent with the highest ethical, business and legal standards. Catholic Health is dedicated to delivering competent, collaborative and professional services to all whom it serves. In continued pursuit of excellence, Catholic Health expects and requires recipients to make the following standards part of their everyday job activities:

- Promoting integrity and honesty in its dealing with third-party payors, regulatory agencies, employees, vendors, physicians and other healthcare professionals;

- Ensuring justice for all who are encountered, including staff;

- Submitting accurate claims for services and ensuring that all billing issues are resolved according to applicable law, organizational policies and payor contracts;

- Refusing gifts, monies or free business services from vendors who are seeking to influence purchasing decisions;

- Ensuring all providers providing services at Catholic Health are properly licensed pursuant to applicable state requirements;

- Ensuring all business records are accurate and truthful, with no material omissions. Catholic Health assets and liabilities must be accounted for and in compliance with financial reporting and tax requirements. Similarly, all reports submitted to governmental agencies, insurance carriers or other entities must be accurate;

- Ensuring business and medical records are maintained in accordance with Federal and state regulation;

- All marketing activities and advertising must be truthful and not misleading and must be supported by evidence to substantiate any claims made. Recipients should disparage the service or business of a competitor through the use of false or misleading representations. All marketing activities and advertising must also be based on the merits of the services provided and not on any promise, express or implied, of remuneration for referrals;

- Ensuring that confidential medical information is appropriately safeguarded and shared only with persons or entities that have a legal right to such information; and

Recipients are taught to incorporate these standards in various ways: by attending new hire and annual orientation sessions, participating in monitoring and auditing activities, and being evaluated against these standards on a daily basis and during annual performance reviews.

Coding, Billing and Claims Development and Submission:

Catholic Health is committed to ensuring that all billings to Medicare, Medicaid and other third-party payors are truthful, accurate and meet the requirements of applicable laws, regulations and contractual requirements. To ensure that claims are coded and billed correctly, Catholic Health relies on a multitude of individuals such as physicians, nurses, medical record coders, patient accounts representatives, registrars, laboratory technicians, pharmacists, data entry clerks, etc. ***Therefore, it is absolutely essential that clinical and coding/billing staff communicate with one another effectively.*** Prior to submitting a claim for payment, recipients involved in the coding, billing or development of claims are responsible for the following:

- Ensuring that medical record documentation is accurate, legible, timely and supports the services billed and that Catholic Health is billing only for services actually rendered;

- Ensuring that the medical necessity of any tests ordered is established in the medical record prior to submitting a bill;

- Ensuring that all coding is based on, and supported by, the medical record documentation and is performed in accordance with the applicable coding conventions for the type of coding being done (e.g., inpatient diagnosis coding is performed using the ICD-10-CM coding guidelines; physician evaluation and management services are coded using the AMA/HCFA E&M guidelines);

- *Not* engaging in coding techniques designed to ensure a higher reimbursement rate than that to which Catholic Health is actually entitled, including but not limited to upcoding and unbundling of services;

- *Not* engaging in billing procedures designed to ensure that Catholic Health is paid more than that to which it is entitled, including but not limited to duplicate billing, billing for discharge in lieu of transfer, billing separately for outpatient services provided within the applicable DRG window for inpatient admissions (a.k.a. the Medicare Three-Day Window rule), etc.;

- Ensuring overpayments to third party payors and individuals are identified and resolved in a timely manner; and

- Ensuring that cost reports are prepared in compliance with legal and third-party payor requirements.

Training and education, including written and/or electronic resources and supervisory support, will be provided to all recipients involved with coding, billing and other claims activities so that they can successfully perform their job functions. In addition, governmentally designated high-risk activities shall be monitored and audited in a manner and with a frequency that will reasonably ensure that such activities are being properly and accurately performed. Such high-risk activities include proper primary diagnosis coding to ensure correct DRG grouping, proper bundling of certain laboratory and radiology tests, proper billing of patients with certain DRGs who are transferred to post-acute care facilities, compliance with the inpatient DRG Three-Day window, and the like.

Confidentiality:

It is imperative that we maintain the confidentiality of the patients' medical information. There are numerous ramifications for breaches in confidentiality, not the least of which is the potentially negative impact on Catholic Health's good reputation. Likewise, failure to maintain the confidentiality of Catholic Health's business practices and financial information and records can also impact Catholic Health's ability to remain competitive in an increasingly competitive healthcare market.

There are a variety of ways that information, both confidential and otherwise, is maintained either in paper or electronic form. Thus, confidential information can be disclosed through a number of different sources.

Catholic Health maintains written policies and procedures to binds recipients regarding confidentiality and other record-keeping issues so that confidential information is properly created, retained, disclosed and disposed of. In addition, Catholic Health provides compliance training to new employees and annually for existing employees; department/function-specific training; and education necessary to ensure compliance with such policies. Formal and informal monitoring and auditing is also performed.

All recipients are required to follow these general rules:

- Hold patient information in the strictest of confidence; confidential medical information will not be disclosed to anyone unless authorized by the patient or otherwise permitted by law and internal policies and procedures;

- Know the requirements of the documentation and/or record-keeping policies and procedures that apply to your jobs (or to specific activities that are part of their jobs) ***and follow them***;

- Consult with a supervisor or other knowledgeable resource (for example, the Privacy Officer, Director of Health Information Management, Catholic Health General Counsel, Risk Management or the Compliance Officer) if you have questions about releasing confidential information;

- Do not share information, verbally, in writing or electronically, with anyone until you have confirmed the individual's legal right to receive it *(This includes ensuring that confidential patient information disclosed to other employees or agents is disclosed only on a need-to-know basis.)*;

- Secure confidential information in an appropriate manner. This includes logging off a computer in an appropriate manner;

- Safeguard any computer passwords; and

- Do not destroy documents other than in accordance with Catholic Health policy.

In addition to confidential patient information, confidential information acquired by personnel about the business of Catholic Health must be held in confidence and may not be used as a basis

for personal gain by personnel, their families, or others. Such confidential information includes, but is not limited to, customer lists, development plans and information about pending or contemplated business deals. If any recipient receives confidential information pertaining to Catholic Health, they must not use the information for their own or their family's benefit or disclose it to others for their personal use.

Environmental Health and Safety:
Catholic Health is committed to ensuring the health and safety of its employees, agents, visitors and others who conduct business at its facilities. Compliance with some basic standards will help to ensure Catholic Health's goal of a safe environment for all.

Catholic Health requires all recipients to:

- Know the requirements of the safety policies and rules that apply to your jobs or to specific activities that are part of your jobs ***and follow them***;

- Make sure you have received appropriate training or education prior to performing an activity that has a health or safety risk;

- Promptly report unsafe situations to your supervisor and/or the supervisor of the department responsible for correcting the unsafe situation, including escalating the concern up the chain of command if the unsafe situation is not satisfactorily resolved; and

- Promptly report work-related injuries to your supervisor or the Employee Health Service.

Human Resources:
Catholic Health is dedicated to enhancing a work environment that continues to attract and retain an exceptional workforce. Therefore, it is Catholic Health's policy to:

- Hire, promote and compensate employees based solely on their qualifications, work performance and potential, without regard to race, color, religion, national origin, age, sex, disability, sexual orientation or veteran status;

- Maintain a work environment free of harassment of any type, including sexual, racial, ethnic or religious harassment, as well as workplace violence;

- Incorporate adherence to and enforcement of the Compliance Program as an element of an employee's annual performance appraisal and as a factor when making decisions regarding promotion;

- Provide training and education programs of sufficient quantity and quality so as to enable employees to perform their jobs effectively, including training and education regarding Catholic Health's Compliance Program; and

- Ensure that individuals who are excluded from participation in federal or state healthcare programs are not hired or retained.

Questions or concerns regarding workplace issues such as those listed above should be directed to the Director of Human Resources, the Catholic Health General Counsel and/or the Compliance Officer.

Safeguarding Property and Other Assets:
Catholic Health's property and assets are intended to help recipients carry out Catholic Health-related business. It is the responsibility of recipients to protect Catholic Health's property and assets and to prevent their misuse. Carelessness, theft, inefficient use or waste of Catholic Health property and assets impacts Catholic Health's ability to provide high quality services and can jeopardize the reputation of Catholic Health, thus jeopardizing its ability to keep people employed. Generally speaking, Catholic Health's property and assets should *not* be used for personal purposes without prior approval of a direct supervisor.

Responding to Government Inquiries:
In this era of weeding out healthcare fraud and abuse, it is not uncommon for an institution to be the subject of a government investigation. It is Catholic Health policy to fully comply with the law and to cooperate with any reasonable demand in the course of a government investigation. However, Catholic Health also has an obligation to protect the legal rights of the organization as a whole, as well as the rights of its employees. As such, recipients should abide by the following guidelines:

- Except for departments that have established protocols or processes for the receipt of document requests (e.g., risk management, HIM, appeals, etc.), upon receipt of a telephone call, letter, subpoena, court order, etc., requesting the production of Catholic Health documents, an employee must immediately notify (a) his or her supervisor and/or department head, and (b) promptly contact both the Catholic Health Compliance Officer and the Catholic Health Legal Department by telephone. If applicable, the employee must also forward a copy of any document received to the Catholic Health Legal Department via fax at (516) 705-2760 or via email delivery. The appropriate email address will be provided upon contacting the Catholic Health Legal Department.

- Absent a search warrant, do not permit or provide access to or a copy of any Catholic Health documents to a government agency without the express permission of the Compliance Officer and/or the Catholic Health Legal Department;

- If there is a search warrant, obtain the name and title of the lead agent and the name of the government agency and a copy of the search warrant, *and immediately (a) contact someone in senior management such the Catholic Health Entity President/Chief Administrative Office and (b) contact the Compliance Officer and the Catholic Health Legal Department*; and

- All employees must not alter or destroy records or other property other than in compliance with the Catholic Health policies and procedures (i.e. Catholic Health Record Retention and Destruction Policy which can be found on the Catholic Health Intranet – System-wide Policies).

With regard to requests for interviews, recipients should understand that they are under no obligation to submit to an *interview* with a government investigator. A request for a *voluntary*

interview is very different from a subpoena or court order requiring someone to testify. The decision whether to submit to *an interview* is up to the individual. However, prior to agreeing to submit to an interview, Catholic Health asks that the individual contact the Compliance Officer and/or Catholic Health General Counsel. Contacting the Compliance Officer and/or Catholic Health General Counsel in advance of a voluntary interview ensures that individual's requests for legal assistance are addressed in a timely manner. It also provides Catholic Health with the opportunity to make available information that may assist an individual in deciding whether to submit to the interview.

III. ASKING QUESTIONS AND REPORTING PROBLEMS: COMPLIANCE PROCEDURES

As previously discussed, Catholic Health's commitment to promoting ethical and legal behavior requires that employees and agents who know of or suspect violations of the Compliance Program (including violations of federal or state laws, internal policies and procedures, the Compliance Handbook, etc.) have a duty to report such violations. Catholic Health also *strongly* encourages recipients to ask questions if they are unsure about the legality or ethics of a particular situation. ***It is always better to ask a question than to risk handling the issue inappropriately or incorrectly.***

Where to Report:

A recipient should report actual or suspected violations of ethical or legal standards to the Compliance Officer or to their supervisor or department head, who will report the violation to the Compliance Officer. If the recipient has a concern about contacting the Compliance Officer, supervisor or department head directly, the report can be made anonymously or confidentially through the toll-free Compliance Helpline by calling (866) 272-0004. Upon receiving a report of possible unethical or illegal conduct, the Compliance Officer will conduct an appropriate investigation, consulting with the Catholic Health General Counsel and/or outside compliance counsel if necessary.

What to Report:

A report can be made even if a recipient is not absolutely certain that a violation has occurred. A recipient must only have a reasonable belief that a violation has occurred before filing a report. Reporting enables Catholic Health to quickly investigate potential problems and to take prompt action to deal with them. Recipients are *required* to report actual or suspected misconduct through one of the internal reporting mechanisms discussed in this Compliance Handbook.

Consequences of Reporting:

Recipients will ***not*** be disciplined or retaliated against for reports made in good faith. The identity of a recipient making a confidential report will be zealously guarded and will be protected to the degree permitted by law. Anonymous reports will also be accepted and investigated.

Calling the Compliance Helpline:

In addition to being available to anonymously or confidentially report actual or suspected misconduct, the toll-free Catholic Health ***Compliance Helpline – (866) 272-0004***, can be used to obtain answers or advice about whether certain activities or conduct are ethical or legal. The Helpline is monitored by the Entity Compliance Officer or a Helpline coordinator, who will forward the report directly to the Compliance Officer. The Compliance Officer will be responsible for investigating and/or following up on inquiries or reports.

A caller who requests anonymity is asked to provide details regarding his or her concern so that the Compliance Officer can investigate the matter. The caller will not be required to give his or her name. In such a case, the caller will be assigned a number that can be used if the caller wants to call back and provide additional information or receive follow-up information. Given the size of Catholic Health, the more details the caller provides, the easier it will be for the Compliance Officer to investigate the concern or answer the question.

Please Note: *Anonymity is different from confidentiality*. A caller who requests *anonymity* does not give his or her name. A caller who requests *confidentiality* **does** provide his or her name; however, the Compliance Officer does not disclose the caller's name to anyone absent an extreme circumstance, such as being ordered by a court of law to disclose the caller's identity.

Corrective Action for Violations of Compliance Program Standards:

Violations of Compliance Program standards will result in corrective action designed to ensure that the problem cannot occur again. Corrective action may include, among other things, additional training and education for involved personnel, follow-up monitoring, progressive discipline (up to and including termination), revision of policies and procedures and/or the Compliance Program and voluntary disclosure to government agencies.

Catholic Health Compliance Program Handbook Acknowledgment Form

I certify that:

- ☐ I have received the Catholic Health Compliance Program Handbook and Code of Conduct;

- ☐ I understand that the Catholic Health Compliance Program Handbook and Code of Conduct represents mandatory policies of Catholic Health; and

- ☐ I understand that non-compliance with the policies and standards referred to or contained in the Compliance Program Handbook and Code of Conduct will result in disciplinary action, up to and including termination if indicated.

Signature: _____

Printed Name: _____

Entity: _____

Position/Title: _____

Department: _____

Employee #: _____

Date: _____