

COXHEALTH

COXHEALTH - CORPORATE/Corporate Compliance

TITLE: Compliance Code of Business Conduct and Ethics

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PURPOSE:

The purpose of this policy is to establish CoxHealth's expectations for how its employees, volunteers, medical staff members (including those with ambulatory privileges), contracted physicians, students and members of the Board of Directors (collectively "Members") will comply with all applicable laws and regulations; will act with integrity, respect and compassion in all business and patient care dealings; and promote the standards of CoxHealth within our corporate family and the community at large.

POLICY:

As CoxHealth Members, we are called upon to perform our jobs and carry out many responsibilities. All Members are charged with promoting the highest standards of ethics and compliance with the federal and state regulations and complying with all CoxHealth policies and procedures. It is imperative that all Members must be familiar with this Code of Business Conduct and Ethics ("Code of Conduct"); must support the Corporate Compliance Program, and must adhere to the requirements set forth therein. The failure to do so may expose CoxHealth and its members to civil liability, criminal liability, or even exclusion from participation in federal health care programs.

ACCESS TO CARE

CoxHealth is committed to providing and supporting health care excellence in partnership with the communities we serve. Patient care and service is provided without regard to race, color, religion, national origin, handicap or disability, financial status, age, sex, sexual orientation, gender identity, or ability to pay. Patient admission, transfer and discharge decisions are based upon the patient's medical condition. Patients shall be informed of their medical condition, presented with treatment options and each patient's decision will be respected. Any person who needs emergency treatment at appropriate facilities in our system will be treated in compliance with EMTALA (Emergency Medical Treatment and Active Labor Act.). CoxHealth makes every attempt to provide high quality care with respect and dignity for all patients in our clinics, hospitals, long-term care, and rehabilitation facilities.

ACCURACY OF RECORDS

All documents, financial reports or records, which include the patient's medical record, are to be completed timely and in a clear, complete and legible manner. Intentionally false or misleading

wording in any record is not permitted. A signature that cannot be read must have a printed name below the signature. Any corrections or changes must be done according to CoxHealth policy. Contact the Health Information Management Department for assistance if you are unsure about correction of medical records.

ANTITRUST LAWS

Antitrust Laws were created to promote free and open competition. Sharing prices, costs, or profit information with our competitors or from one vendor to another is a potential example of an antitrust violation. In the negotiation of contracts, the acceptance of discounts, rebates or price adjustments should not be done unless there is a legal basis for doing so. Likewise, agreements to fix prices, or boycott a specific competitor or vendor are illegal, and these practices will not be tolerated at CoxHealth. CoxHealth will select vendors and suppliers based upon quality, price and services offered and not on inappropriate criteria.

BILLING, CHARGING, AND CODING FOR SERVICES

CoxHealth and its Members, as applicable, are responsible for filing claims for reimbursement that adhere to federal and state guidelines concerning fraud, abuse, and false claims. Billing for the reimbursement of services not documented or provided to the patient could be considered a “false claim” and could result in financial penalties. Examples of false claims include upcoding (coding to increase reimbursement); falsification of the medical record (documenting to receive a higher level of compensation); undocumented claims (billing for services not supported by the diagnosis or documentation); and bundling/unbundling of claims (improper billing of Medicare or Medicaid claims). Members should never code or bill solely to be paid if the service was not provided or documented. A Member who has concerns or questions should notify his/her Supervisor or the Corporate Compliance Department right away. Depending on the circumstances, the Corporate Compliance Department will work with other departments to contact insurance payors, government entities and other relevant third parties. See the “Prohibition of False Claims” policy and the “Corporate Compliance Program” for additional information.

CORPORATE COMPLIANCE PROGRAM

The Corporate Compliance Program provides a framework which helps CoxHealth ensure that it conducts business in an honest and ethical manner and in accordance with state and federal rules and regulations. The Corporate Compliance Program also establishes a mechanism to detect, correct and prevent errors that result in violations of the laws and regulations governing health care as well as violations of CoxHealth policies. Ongoing training, education, auditing, and monitoring projects are completed to assess compliance with all laws and regulations. Compliance education must be completed annually and Member completion is documented by the Corporate Compliance Department. Members who do not complete mandatory compliance training shall be appropriately counseled and, as applicable, may be subject to further action under CoxHealth’s progressive discipline policies; corrective action under the Medical Staff Bylaws and accompanying manuals; and contracts or other documents. Open communication of

possible violations of our own policies and procedures or the federal and state regulations governing health care is an important part of the success of CoxHealth. Members who report a possible concern in good faith will not be punished or retaliated against for making that report. See the Corporate Compliance Program for additional information regarding making a report.

COMPLIANCE HOTLINE

An internal Compliance Hotline has been set up as part of the Corporate Compliance Program. The Compliance Hotline gives Members and others a confidential and anonymous reporting system and such reports will be shared only on a need-to-know basis. Members are required to report known violations of federal or state health care laws and regulations, or violations of CoxHealth's internal policies and procedures.

The Compliance Hot Line is: (417) COX-LAWS / 269-5297 -or- Toll Free (888) 340-5297

CONFIDENTIALITY

The relationship between a health care provider and a patient is personal and strictly confidential. Members - may have access to information about our patients in the course and scope of doing their jobs. We have a duty to protect patient health records and our organization's business records from theft, fraud, loss and inappropriate use. Patient information, financial information and business information is to be released only according to CoxHealth policy. Members shall not freely share information about a patient or his/her condition in the elevator, hallway or in areas where visitors or other patients may overhear. Members must also not share information with another Member who is not providing direct care for that patient. Further, a Member may not look up his/her own family member's information or the information of any other person they are not presently providing direct care for as part of his/her current work duties for CoxHealth.

Members should not seek paper, printed, or electronic access to any confidential information out of curiosity, for malicious purposes or for financial gain. Access to patient information, or employee information that is not appropriate, will result in disciplinary action. Please know that electronic access to confidential information is monitored on an ongoing basis and can be audited upon patient or Member request.

CONTRACTING

Due to the complexity of the laws and regulations governing health care, CoxHealth must carefully monitor its contracts with federal and state governmental agencies, insurance companies, and other payers and suppliers. Members responsible for negotiating contracts must examine any existing or proposed contracts for compliance with those laws and ensure other Members with a need to know have been informed of contractual obligations. In addition, Members must not violate the Anti-kickback Statute, the Stark Law, the False Claims Act or CoxHealth policies relating to contractual relationships with physicians or outside entities. See the Contracting Policy Manual.

CORPORATE ASSETS AND RESPONSIBLE STEWARDSHIP

All Members are charged with protecting and preserving CoxHealth's corporate assets by following procedures to prevent their loss, theft or unauthorized use. Using corporate assets for unlawful purpose or unauthorized personal benefit and failing to keep accurate and complete records of all assets, liabilities, revenues, expenses or financial transactions are prohibited. This policy applies to all assets and resources from copiers and office supplies to phone and fax usage. Further, CoxHealth assets may not be sold, loaned, given away, or disposed of without proper authorization as set out in CoxHealth policy.

Members are expected to be responsible financial stewards of corporate assets and finances and shall properly document all assets and liabilities; accurately reflect all transactions; and retain information about those transactions in accordance with CoxHealth policy, applicable laws and regulations. Travel and entertainment expenses shall be consistent with proper business purposes and needs. Members should not gain financially as a result of business travel and entertainment. Reports filed reflecting the nature and extent of expenses incurred for travel and entertainment, business purchases and other expenses should be accurate and complete. It is the responsibility of those who approve such reports to take reasonable steps to ensure their accuracy.

CONFLICTS OF INTEREST – BUSINESS INTERESTS AND RELATIONSHIPS

Members have a duty to avoid financial, business, or other relationships that might be opposed to the interests of CoxHealth or might cause a conflict with the performance of their duties. Examples of conflicts of interest include the following: a Member working a second job and/or making business commitments during work time; a Member using their position to get a benefit, to refer a service to a relative or to receive a payment; or a Member accepting a gift or entertainment in exchange for the execution of a contract.

Conflicts of interest for employees, medical staff members, board members and volunteers must be reported to the Corporate Compliance Department via an online reporting system. For vendors, a copy of the Conflict of Interest policy is distributed and a form completed as part of the VendorMate registration process. A file will be maintained of all reported conflicts of interest. Please call your Supervisor, department Director, the Corporate Compliance Department or the Human Resources Department if you have concerns or questions.

CONFLICTS OF INTEREST – FAMILY MEMBERS

When a Member is in a position to influence decisions or outcomes involving a “family member,” as that term is defined in the Bereavement Leave policy, that Member is obligated to notify his/her supervisor of the potential conflict of interest and to remove himself/herself from the conflict. Examples of conflicts of interest relating to family members include, but are not limited to: employment issues such as hiring, compensation, job assignments, or discipline; financial arrangements and debt write-offs; expediting access to care; or any other circumstance that may provide inappropriate, unfair advantage to a family member of a CoxHealth Member.

COOPERATION WITH REGULATORY AGENCIES, GOVERNMENTAL BODIES AND ACCREDITATION ORGANIZATIONS

Members shall cooperate with regulatory agencies, governmental bodies, and accreditation organizations while working within the scope of their position at CoxHealth. All information provided by Members, whether written or verbal, to regulatory agencies, governmental bodies, accreditation organizations and other external organizations shall be accurate and truthful to the best of that Member's knowledge. Any Member who believes that any untrue statement has been made is obligated to report his/her concerns to his/her supervisor. Members should not attempt to answer any questions that are beyond their knowledge and should refer such questions to supervisors. Notify the Corporate Compliance Department or the Legal Department if you are contacted by a government agency seeking information about CoxHealth.

DISRUPTIVE BEHAVIOR

In order for CoxHealth to provide the highest level of patient care possible, all members must treat each other with respect and dignity. The American Medical Association broadly defines disruptive behavior as "a style of interaction with physicians, hospital personnel, patients, family members and others that interfere with patient care." These behaviors interfere with the effective, efficient delivery of patient care, negatively impact patient and Member morale, and prevent team members from effectively working with each other. As such, disruptive behaviors exhibited by Members will not be tolerated. Disruptive behaviors will subject the offender to progressive disciplinary action pursuant to applicable CoxHealth policies or the Medical Staff Bylaws, accompanying manuals, contracts or other document as applicable.

Examples of disruptive behaviors include (but are not limited to) the following:

- The use of abusive, offensive or degrading language toward, or in the presence of, patients, families, visitors, and other Members;
- Inappropriate comments, spoken or written, in patient records or other official documents, attacking or challenging the quality of care in the facility (concerns about quality of care should be documented in the online Incident Reporting system);
- Intimidating or threatening physical actions as well as actual physical abuse or assault, including the striking of another person;
- Criticism of a personal rather than professional nature addressed to the recipient as a way to intimidate, belittle or to insinuate incompetence;
- Inappropriate or unsolicited touching;
- Throwing, dropping or intimidating use of instruments or equipment;
- The use of sexually explicit or suggestive language; and
- Disrupting facility meetings or operations or disrupting a Member's ability to perform his/her assigned job function.

Examples of desirable behaviors include (but are not limited to) the following:

- Private, constructive criticism directed to correct an individual's professional, performance-related deficiency;

- Supportive, encouraging comments directed to members of the care team whose performance exceeds expectations;
- The treatment of other care team members with respect, dignity and courtesy;
- The use of clear, concise language in all directions and other communications.
- Conducting oneself in a professional manner and refraining from actions that are reasonably felt by others to represent intimidation

Incidents or patterns of disruptive behavior can be reported to a Member's direct supervisor, the Human Resource Department (269-6954), the Human Resource Hotline (417-269-6696), the Corporate Compliance Department (269-7655) or the Compliance Hotline ("COX-LAWS"/-269-5297, or Toll Free 888-340-5297).

EMPLOYEE RELATIONS & EQUAL OPPORTUNITY EMPLOYMENT

We are committed to equal opportunity for hiring, recruitment, retention, transfers, promotion, and education without regard to race, religion, national origin, sex, age or physical disability. Our goal is to compensate employees with wages, salaries, and other benefits in relation to responsibilities, performance, and service. Members are expected to respect and cooperate with all personnel in each department and facility within the system. In addition, we expect Members to treat each other, visitors, patients, and customers with respect and compassion and refrain from conduct that may be harmful or otherwise inconsistent with CoxHealth's Values.

ENVIRONMENTAL HEALTH AND SAFETY

Cox is committed to providing a safe and healthy environment. Procedures for throwing away medical waste, environmentally sensitive and hazardous materials must be followed at each facility. If you have questions or concerns about proper procedure see the Policy Manager for information or contact Environmental Services or Infection Control.

Using alcohol or illegal drugs is not allowed at any worksite. Members of CoxHealth may have access to prescription drugs, controlled substances and other medical supplies as part of their job; however, each Member has a legal and ethical responsibility to maintain control over these items and report any possible problems and/or missing drugs to your immediate supervisor, the Human Resources Department or the Corporate Compliance Department.

ETHICAL STANDARDS

CoxHealth is committed to maintaining its reputation as an organization that is honest in its dealings with others, and which has respect and compassion for those we serve and interact with on a daily basis. CoxHealth recognizes and takes seriously its ethical responsibilities to patients, medical staff, the community, and all others who seek assistance or do business within our health care system. Members are expected to behave in a positive way that demonstrates our organization's Mission, Vision and Values.

GIFTS

See Policy entitled “Giving or Receiving Gifts and Gratuities”. Members are not to solicit, take or offer any bribe, kickback, gratuity or other payment made to influence a business decision. Doing so is improper violates CoxHealth policies, and is potentially against the law. Members may not take or ask for anything of value from a third party, a patient or patient’s family members for these same reasons. Providing free services or accepting free items can also create conflicts of interest, violate federal and/or state laws, violate Medicare/Medicaid conditions of participation or violate managed care contract provisions such that these actions are inappropriate. Members may not offer anything of value to a government official or other third party in an effort to influence business or to gain special treatment as an individual or for CoxHealth.

Every Member is personally responsible for ensuring that acceptance of any favors or courtesies is proper and could not reasonably be thought of as an attempt to secure or extend favorable treatment. Flowers, cards, candy and other like expressions of appreciation by patients, their family members or vendors may be received on behalf of a department or unit. Whenever gifts are offered that are not allowed by this policy, they should be graciously declined with an explanation of our policy. Refer to the policy entitled “Giving or Receiving Gifts and Gratuities”.

HARASSMENT

Our organization is committed to maintaining a work environment that is free from harassment. In keeping with this commitment, CoxHealth will not tolerate the harassment of any individual coming in contact with our facilities or any Members, students, patients, visitors, and vendors. If you feel you or someone else at CoxHealth is being harassed, please contact your supervisor, the Human Resources Department, the Human Resource Hotline or the Compliance Hot Line or Corporate Compliance Department. See the Harassment policy for more information.

HUMAN TRAFFICKING

Human trafficking is a modern form of slavery. Human trafficking has many faces: forced or bonded labor; domestic servitude and forced marriage; organ removal; and exploitation in the sex trade and warfare. Victims are subjected to force, fraud, and/or coercion. Victims can be children, teenagers, women, and men. CoxHealth and its Members can help victims of human trafficking by being alert to the problem and realizing the patients they are treating may be victims. We can help by:

- Raising awareness throughout CoxHealth with educational programs, posters, and fliers;
- Asking Members, especially those delivering primary care and emergency services, to be alert to signs that their patients may be victims of human trafficking;
- Providing contact information and resources to victims regarding help in escaping trafficking situations; and

- Becoming involved in community-wide coalitions and educational opportunities made up of health care and other service providers, including law enforcement agencies, and other interested groups.

INDEPENDENT CONTRACTORS/VENDORS

Vendors and independent contractors will be given a copy of the CoxHealth Code of Conduct and the Vendor Representatives policy. All Vendors and independent contractors are expected to follow these policies. These policies include a Vendor/Physician Financial Disclosure Statement for Participation in Product Evaluation Process. Additionally, all Vendors shall be responsible for verifying their employees have not been excluded from participation in Medicare/Medicaid or other government programs. Vendors should become familiar with the government listings whereby they can verify their employees are not excluded.

Additionally, all Pharmaceutical Representatives shall receive a copy of the Pharmaceutical Representative Code of Conduct and must agree to abide by such.

INTELLECTUAL PROPERTY

In the course of their duties, Members may have access to the proprietary information of CoxHealth. Proprietary information is information that is confidential, privileged or of a competitive value to CoxHealth (for example, management reports, marketing studies, marketing plans, financial statements, internal memoranda, reports of patient records, or patients lists). Members must respect the confidential nature of this information.

CoxHealth is committed to respecting the intellectual property rights of others. All software used in connection with CoxHealth's business must be properly licensed and used in accordance with the license. Further, Members must respect patents, trademarks and copyrights and other intellectual property laws. For further information on copyright laws, see the policy entitled "Copyright and CoxHealth".

Inventions or techniques created by employees of CoxHealth or its subsidiaries during the course of their employment are the property of CoxHealth unless there is a written agreement with CoxHealth stating otherwise. If employees use CoxHealth patents, techniques, publications, and/or trade secrets in their work, they shall not disclose such information to others. The use of CoxHealth intellectual property for personal purposes is prohibited.

LEADERSHIP

Physicians, Administrators, Supervisors, Managers and other members of the CoxHealth management team serve as role models for day-to-day operations and are expected to be familiar with and abide by all provisions of the Code of Conduct.

MARKETING

The CoxHealth trademark, trade names and service marks can only be used with permission of the Marketing Department or Corporate Communications in accordance with the policy governing their use. CoxHealth has such a policy in order to maintain the quality, value and reputation of our services and to insure our trade name is not misused. See the Marketing and Design Standards policy for more information.

All marketing and advertising is intended to be truthful so not to mislead, deceive or omit pertinent or significant information, nor to create unrealistic expectations in the consumer's mind.

NO RETALIATION

Retaliation against any person who in good faith reports a concern, potential violation of the Code of Business Conduct and Ethics, Corporate Compliance Program, CoxHealth policy or applicable laws is strictly prohibited. Additionally, Members should be aware that the Federal False Claims Act and attendant state laws protect whistleblowers from retaliation. Anyone pursuing a *qui tam* case or who raises a concern of any type through the CoxHealth Corporate Compliance Hotline, the Human Resources Hotline, the Patient Safety Hotline, a report to an Accrediting body, any government agency or any other method may not be discriminated or retaliated against in any manner by their immediate supervisor, or anyone at CoxHealth for filing the lawsuit or complaint. Anyone who believes they have been, or are being, retaliated against should immediately contact the Corporate Compliance or the Legal Department.

PATIENT RIGHTS

Patients have a right to considerate care that protects their dignity and privacy. A patient's spiritual and cultural values will affect a patient's response to care. We will respect each patient's spiritual and cultural values and beliefs consistent with the law and with ethical behavior. We encourage patients to be involved with their care, and we remain committed to talking to our patients about ethical responsibilities and patient rights. Patients shall be treated without regard to race, color, ancestry, veteran status, national origin, gender identity, age, sex, sexual orientation, religion, disability, or any other classification protected by law. See the Patient's Bill of Rights policy for more information.

PHYSICIANS SELF-REFERRAL LAW - "THE STARK LAW"

The Stark Law, known colloquially as the physician self-referral law, 42 U.S.C. §1395nn prohibits physicians from making referrals for specific health services to any entity or business in which the physician or a family member has a financial relationship unless an exception applies. CoxHealth is committed to complying with the requirements of the Stark Law. Violations of the Stark Law may result in the imposition of significant penalties against CoxHealth and individual violators, including civil monetary penalties or exclusion from participation in Federal health care programs. Members are prohibited from providing anything of value (cash payment or gift of any kind) to any physician or physician's family member without contacting the Corporate Compliance Department. It is important to ensure that the payment or giving of non-monetary

compensation is tracked and falls into a Stark Exception. This includes honorariums for speaking engagements, Continuing Medical Education, event tickets, flowers, meals, etc. Questions regarding these referrals should be directed to the Legal or Corporate Compliance Department. See the Compliance with the Stark Law and Anti-Kickback Physician Referral Laws policy for more information.

POLITICAL ACTIVITY & CONTRIBUTIONS

CoxHealth encourages all employees to vote and be active in politics if they so choose; however, the activity must be on personal time and without any financial expense to CoxHealth. Members should consult with the Corporate Compliance Department, Corporate Communications or the Legal Department before agreeing to participate in a political activity that could involve our organization (e.g. supporting/opposing a candidate for office, supporting/opposing an issue).

PRODUCT ENDORSEMENT

Members are not permitted, as a representative of CoxHealth, to endorse or recommend any particular product or service that is allied with or connected to the health care industry, without the prior approval of the Vice President of Corporate Communications.

REFERRAL FOR BUSINESS – THE ANTIKICKBACK STATUTE

The federal Anti-Kickback Statute, 42 U.S.C. § 1320a-7b does not allow payments, gifts, or other compensation to be made or accepted in exchange for the referral of health care business. The Anti-kickback Statute has safe harbors that may apply to certain transactions. CoxHealth will not participate in, and will not permit any Members to participate in arrangements that violate or pose a serious risk of violating the Anti-Kickback statute. Since this is a criminal statute, violations may expose CoxHealth and individual Members to substantial fines, exclusion from participation in Federal health care programs or even incarceration. Contact the Legal or Corporate Compliance Department if you have questions.

REPORTING RESPONSIBILITY

Members of CoxHealth will promptly notify their supervisor, a Vice President, President, the Legal Department, the Corporate Compliance Department, or call the Compliance Hotline to report any possible violations of law or any improper activity by Members or others affiliated with our organization.

REPORTING RESPONSIBILITY – DISQUALIFICATION FROM PARTICIPATION IN FEDERAL HEALTH CARE PROGRAMS

Any Member that becomes ineligible to participate in any federal health care program, whether by listing in a “disqualifying database”, conviction of a crime under 42 U.S.C §1320a-7(a), or any other reason, shall immediately report their disqualification to their supervisor, Human

Resources, or the Corporate Compliance Department. The failure of a Member to immediately report his/her disqualification to CoxHealth shall be grounds for immediate termination. For purposes of this paragraph, the “disqualifying databases” include the List of Excluded Individuals and Entities, the System for Award Management database (SAM.gov), and/or the Specially Designated Nationals List.

RESEARCH

Through research on pharmaceuticals, medical devices novel treatment strategies, we have the potential to improve the lives of people in our community and contribute to general healthcare knowledge. CoxHealth participates in human subject research in accordance with applicable federal regulations and definitions. All human subject research at CoxHealth must be approved and overseen by an appropriate Institutional Review Board (IRB) or ethics board. Protecting research participants’ rights, safety, and confidentiality are primary responsibilities for our clinical investigators. Contact the CoxHealth Center for Research and Innovation, or the Corporate Compliance Department for information regarding research at CoxHealth.

VIOLATIONS

The standards contained in this Code of Conduct are important, and therefore any violation will subject the offender to some form of discipline. CoxHealth discipline policies will be applied to any violations of the Code of Business Conduct and Ethics by Members. The failure to report suspected improper activity, including violations of federal or state health care program requirements or CoxHealth policies may also constitute a violation. Possible disciplinary measures may range from a verbal or written warning to termination, corrective action up to and including removal from the Medical Staff, termination of a contractual relationship, exclusion from the approved vendor list or removal from the Board of Directors. In addition, the matter will be referred to the appropriate government agencies as required by regulation/law. The Member may also be responsible in a civil suit for losses or other damages caused by his or her conduct.

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Bereavement Leave	/CoxHealth - Corporate/Human Resources (HR)/Time off & Leaves
Corporate Identity Standards (formerly Marketing & Design Standards)	/CoxHealth - Corporate/Administrative (ADM)
Patient Bill of Rights	/CoxHealth - Corporate/Patient Rights (PR)
Stark and Anti-Kickback Physician Referral Laws	/CoxHealth - Corporate/Corporate Compliance

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