

Baptist Health

CORPORATE COMPLIANCE CHARTER

Baptist Health and its subsidiaries have a long-standing reputation for conducting both business and patient care activities with the highest level of ethical behavior and in compliance with applicable governing laws, rules, and regulations. Baptist Health recognizes the problems that both misconduct and non-compliance in the healthcare industry can pose to society. As a Christian-based, values-driven organization, Baptist Health is committed to ensuring that it consistently operates under the highest ethical, moral and legal standards. .

As evidence of Baptist Health’s commitment to continued compliance with all applicable federal, state, and local laws, rules, and regulations, the Board of Trustees has directed, by resolution, the development and implementation of a comprehensive Corporate Compliance Program.

DEFINITIONS

Baptist Health -- “Baptist Health” includes all hospitals, facilities, and other subsidiaries that are owned or controlled by Baptist Health, Inc.

Executive Leadership Team -- This group is composed of the President/CEO, Chief Financial Officer, Chief of Hospital Operations, Facility Presidents, General Counsel, Chief Medical Officer and additional Executive Officers of B Baptist Health as deemed appropriate.

Corporate Compliance Program -- The “Corporate Compliance Program” is:

1. the compilation of all detailed, written policies and procedures which define how Baptist Health seeks to prevent non-compliance, detect it if it occurs, and take appropriate corrective action to ensure that such behavior does not recur.

and

2. an effort by Baptist Health to ensure that such policies and procedures are implemented, followed, and continuously updated.

OIG - The term “OIG” refers to the Office of Inspector General, United States Department of Health and Human Services.

SEVEN ELEMENTS OF AN EFFECTIVE CORPORATE COMPLIANCE PROGRAM

This Corporate Compliance Charter serves as a guide for the development and implementation of Baptist Health’s Corporate Compliance Program.

The seven essential elements for an effective corporate compliance program as described by the OIG and adopted by Baptist Health are summarized below:

1. Designation of a Corporate Compliance Officer and a Corporate Compliance Committee,
2. Establishment and update of written policies and procedures,

3. Development and implementation of effective training and education programs,
4. Creation of effective lines of communication,
5. Enforcement of standards through well-publicized disciplinary guidelines,
6. Application of auditing and monitoring processes, and
7. Response to detected offenses and development of corrective action plans.

ELEMENTS AS DEFINED BY BAPTIST HEALTH

1. DESIGNATION OF A CORPORATE COMPLIANCE OFFICER AND A CORPORATE COMPLIANCE COMMITTEE

This charter is implemented under the guidance and supervision of the Corporate Compliance Officer. The Corporate Compliance Officer is appointed by the President with advice and consent of the Compliance and Audit Committee of the Board of Trustees. The Corporate Compliance Officer reports operationally to the President/CEO and administratively to the Compliance and Audit Committee. The Corporate Compliance Officer's primary responsibilities include:

- Developing and managing the Corporate Compliance Program;
- Reporting on a regular basis to the Board of Trustees, Executive Leadership, and Corporate Compliance Committee on the status of the program;
- Periodically revising the Corporate Compliance Program;
- Developing, coordinating, and participating in a multifaceted educational program and seeking to ensure that all appropriate employees and management personnel are knowledgeable of, and comply with, pertinent federal and state standards;
- Ensuring that physicians, independent contractors, suppliers, and other agents who furnish medical services to Baptist Health are aware of the requirements of the Corporate Compliance Program;
- Coordinating with human resources, accounting, procurement and centralized credentialing staff to ensure that appropriate background checks are performed for all employees, medical staff, and suppliers;
- Coordinating compliance auditing and monitoring activities;
- Investigating and acting on matters related to compliance and reports of non-compliance; and
- Developing policies and programs that encourage managers and employees to report suspected fraud, abuse and other improprieties without fear of retaliation.

The Corporate Compliance Officer is provided with sufficient staff, financial resources, and equipment necessary to enable the development, implementation and maintenance of an effective Corporate Compliance Program. The Corporate Compliance Officer is supported in the development and implementation the Corporate Compliance Program by a multidisciplinary Corporate Compliance Committee representing all hospitals and key subsidiaries of Baptist Health. The Committee members are recommended by the Corporate Compliance Officer and President/CEO and approved by the Executive Leadership Team. The Corporate Compliance Committee meets at least eight times a year or more frequently as needed. The Corporate Compliance Officer chairs the Corporate Compliance Committee.

The committee assists the Corporate Compliance Officer with developing standards of conduct and policies and procedures to promote compliance within Baptist Health, identifying potential risk areas, advising and assisting with compliance initiatives, approving and reviewing the annual implementation plan, and reporting on and addressing compliance related issues within their respective entities. The interrelationship between the Corporate Compliance Officer, the Corporate Compliance Committee, and the Executive Leadership Team ensures that issues related to the development, implementation, and maintenance of the Corporate Compliance Program are subjected to review by a diverse group of individuals from throughout Baptist Health.

2. ESTABLISHMENT AND UPDATE OF WRITTEN POLICIES AND PROCEDURES

Written policies and procedures are the means by which organizational expectations and operating processes are communicated to those responsible for completing tasks at Baptist Health. Corporate Compliance places special emphasis on policies and procedures related to standards of conduct and high-risk areas.

The policies and procedures related to standards of conduct are summarized in our formal Code of Ethical Conduct. The Code of Ethical Conduct is provided to all Board members, executive staff, administrative staff, employees, students, volunteers, professional staff, independent contractors, suppliers and all other interested parties and is available at all times on the Baptist Health website. All Baptist Health personnel are required to acknowledge in writing that they have received, read, and understood the Code of Ethical Conduct.

3. DEVELOPMENT AND IMPLEMENTATION OF EFFECTIVE TRAINING AND EDUCATION PROGRAMS

One of the most important components of the Corporate Compliance Program is education. It is our policy that all employees complete initial Basic Compliance and Ethics training during the New Employee Orientation process. This training includes a review of the “Baptist Health Code of Ethical Conduct” that emphasizes the seven elements of an effective compliance program. This document is available on EmployeeNet to each employee for his or her future reference, the following designated groups receive additional compliance and ethics information and/or training, based on their relationship to Baptist Health.

Training

Employees
Board of Trustees
Students
Baptist Health

Information

Professional Staff
Suppliers
Volunteers
Non Baptist Health Students

Training is tracked to ensure compliance. These records provide documented evidence of basic compliance education participation for all applicable individuals.

Areas which are at high risk for fraud and abuse receive annual specialized training related to compliance. This training is more extensive and detailed than general compliance training sessions. Specialized training is developed and implemented for employees who work in areas such as Coding/ Health Information Management, Accounting, Patient Financial Services, and Patient Care. Detailed curriculum for specialized training is developed by the departmental management in consultation with the Corporate Compliance Officer and the Corporate Compliance Committee. Additional specialized training is developed based on the results of ongoing monitoring and auditing.

4. CREATION OF EFFECTIVE LINES OF COMMUNICATION

An open line of communication between the Corporate Compliance Officer and Baptist Health personnel, professional staff, independent contractors, and suppliers is essential for the success and effectiveness of the Corporate Compliance Program. While employees and others associated with Baptist Health are encouraged to report and resolve problems and concerns through the appropriate chain of command, it is imperative that the Corporate Compliance Officer be accessible to receive reports and address concerns expressed by individuals who are uncomfortable discussing specific issues with their supervisors. Individuals are able to access the Corporate Compliance Officer in a number of ways such as the following:

- Confidential Hotline
- Voice Mail
- Internal E-Mail
- Personal Meeting
- Direct Phone Call
- Direct Mail (letter, memo, etc.)
- Confidential Web-based Reporting

These means of accessing the Corporate Compliance Officer are communicated through various methods. Policies ensure that those who report non-compliance in good faith are protected from any reprisal or retribution. All reports of non-compliance are documented and tracked, along with related referrals, investigative findings and corrective actions.

Since two-way communication is essential for an effective compliance program, there is regular distribution of compliance information through various channels such as EmployeeNet, *The Connection*, e-mail, and Physician Fast Facts.

5. ENFORCEMENT OF STANDARDS THROUGH WELL-PUBLICIZED DISCIPLINARY GUIDELINES

Baptist Health's Corporate Compliance Program is rendered ineffective if appropriate disciplinary actions related to acts of non-compliance or failure to detect and report non-compliance are not enforced consistently. Disciplinary procedures for non-compliant behavior are based on:

Baptist Health's Progressive Discipline policies and procedures. Enforcement policies related to the professional staffs, students, independent contractors, and suppliers have been developed and implemented.

The Corporate Compliance Officer is responsible for ensuring that all reports of non-compliant behavior are thoroughly investigated, documented, and resolved, and that disciplinary actions are taken by appropriate management and administrative personnel in accordance with the Human Resources Progressive Discipline Policy #V-09 and related Corporate Compliance policies. Situations which could involve possible litigation or other legal action are referred to legal counsel by the Corporate Compliance Officer.

Strict adherence to the Corporate Compliance Program and laws and regulations applicable to Baptist Health and its subsidiaries is a condition of employment or association with Baptist Health. Performance evaluations include reference to adherence to the Code of Ethical Conduct.

Baptist Health is committed to maintaining high quality care and service as well as integrity in its financial and business operations. Therefore Baptist Health conducts appropriate screening of employees, medical professionals, students, and suppliers to ensure that they have not been sanctioned by a federal or state law enforcement regulatory or licensing agency. Policies and procedures for ensuring due diligence in hiring, credentialing and retaining personnel and suppliers have been implemented. Baptist Health will take appropriate action on employees, physicians, and suppliers if the screening documents a problem.

Contracts and other arrangements with physicians, laboratories, providers, referral sources, and other persons or entities will be entered on standard contracts approved by legal counsel. Non-standard contracts will be reviewed by legal counsel to verify that no compliance standards are violated. In addition, all contracts between Baptist Health and physicians or any person meeting the definition of a "disqualified person" under the IRS Intermediate Sanctions Provisions must receive final approval from a committee of the Board of Trustees.

6. APPLICATION OF AUDITING AND MONITORING PROCESSES

Another important element of the compliance program is the use of audits and/or other risk evaluation techniques to monitor compliance and assist in the reduction of identified problem areas.

The Corporate Compliance Officer and the Corporate Compliance Committee develop auditing

policies and procedures and a comprehensive annual plan for routine auditing and monitoring. The plan focuses on high risk areas identified by the OIG, Medicare fiscal intermediaries and carriers, law enforcement agencies, internal reviews, OIG Special Fraud Alerts, OIG audits and evaluations, and outside legal counsel.

In addition to audits completed by internal and external reviewers, a comprehensive plan of self-auditing by individual departments is monitored quarterly. All records of monitoring and auditing activities are maintained by the Corporate Compliance Officer. The results of audit findings are reported to the Compliance and Audit Committee of the Board and the Corporate Compliance Committee.

7. RESPONSE TO DETECTED OFFENSES AND DEVELOPING CORRECTIVE ACTION PLANS

In addition to the comprehensive plan for routine auditing and monitoring, audits and investigations of reported or suspected instances of non-compliance are conducted under the supervision of the Corporate Compliance Officer.

Upon reports or reasonable indications of suspected non-compliance, the Corporate Compliance Officer will initiate prompt steps to investigate the conduct in question to determine whether a material violation of applicable law or the requirements of the compliance program has occurred, and if so, take steps to correct the problem. As appropriate, such steps may include an immediate referral to criminal and/or civil law enforcement authorities, a corrective action plan, a report to the Government, and the submission of any overpayments, if applicable.

Depending upon the nature of the alleged violations, an internal investigation will include interviews and/or a review of relevant documents. Internal and external counsel, auditors, or health care experts may assist in the investigation. Records of the investigation will contain documentation of the alleged violation, a description of the investigative process, copies of interview notes and key documents, a log of the witnesses interviewed and the documents reviewed, the results of the investigation, e.g., any disciplinary action taken, and the corrective action implemented.

ANNUAL EVALUATION OF EFFECTIVENESS

The Corporate Compliance Officer will oversee an annual review of the Corporate Compliance Program and the Annual Implementation Plan.

SUMMARY

BAPTIST HEALTH Baptist Health is proud of its reputation for consistently practicing the values of service, honesty, respect, stewardship, and performance. As a values-driven organization, BAPTIST HEALTH Baptist Health is committed to complying with all applicable laws and regulations.

Approved by the Finance/Audit Committee of the Board of Trustees on November 10, 1998

Approved by the Board of Trustees on November 19, 1998

*Revision #1: Approved by the Corporate Compliance Committee on December 1, 1998
Approved by the Finance/Audit Committee of the Board of Trustees on February 9, 1999*

Revision #2: Approved by the Finance/Audit Committee of the Board of Trustees on May 14, 2002

*Revision #3 Approved by the Corporate Compliance Committee on February 24, 2003
Approved by the Finance/Audit Committee of the Board of Trustees on May 13, 2003*

*Revision #4 Approved by the Corporate Compliance Committee on June 26, 2006
Approved by the Finance/Audit Committee of the Board of Trustees on September 12, 2006
Approved by the Board of Trustees on September 28, 2006*

*Revision #5 Approved by the Corporate Compliance Committee on April 23, 2012
Approved by the Compliance and Diversification Committee of the Board of Trustees on June 11, 2012*

*Revision #6 Approved by the Corporate Compliance Committee on June 27, 2016
Approved by the Compliance and Diversification Committee on October 24, 2016*

*Revision #7 Approved by the Corporate/Audit Committee on October 19, 2020
Approved by the Corporate Compliance Committee on October 26, 2020*