

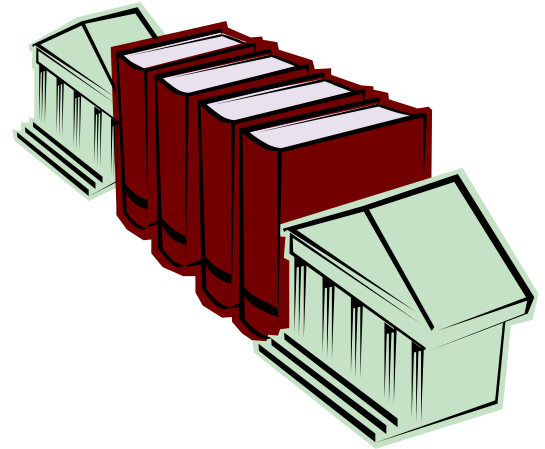


**St. Elizabeth**  
HEALTHCARE

## **Corporate Compliance Program**

# What is Corporate Compliance?

Hospitals and all healthcare providers are governed by many complex requirements (rules, regulations, statutes, laws, policies, and procedures) as they attempt to deliver high-quality health care to their patients.



**The purpose of the Corporate Compliance Program is encourage ethical conduct and a commitment to compliance with the law as well as to detect and prevent criminal conduct.**

# St. Elizabeth Corporate Compliance Program

The St. Elizabeth Corporate Compliance program includes:

- maintaining policies and procedures
- increasing awareness of applicable laws and standards through training and education;
- urging compliance with standards;
- designating a corporate compliance officer and a corporate compliance committee;

# How do they do this?

- provide ways to resolve issues, answer questions, and report concerns;
- investigate suspected misconduct;
- attempt to detect, prevent, and correct misconduct;
- provide disciplinary guidelines for misconduct; and
- monitor and audit compliance-related issues.



# Corporate Compliance Officer

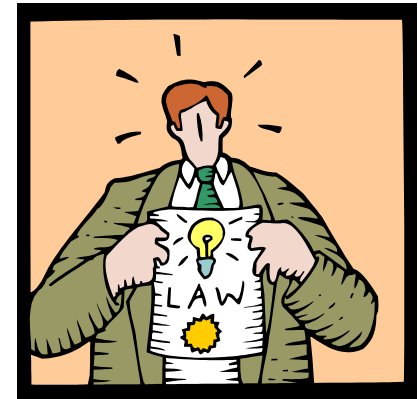
- St. Elizabeth has a Corporate Compliance Committee and a Corporate Compliance Officer.
- The Corporate Compliance Officer is responsible for all compliance activities.



The Corporate Compliance Officer is Lisa Frey, **(859) 301-5580**, whose office is located at St. Elizabeth Edgewood.

# Corporate Compliance Program

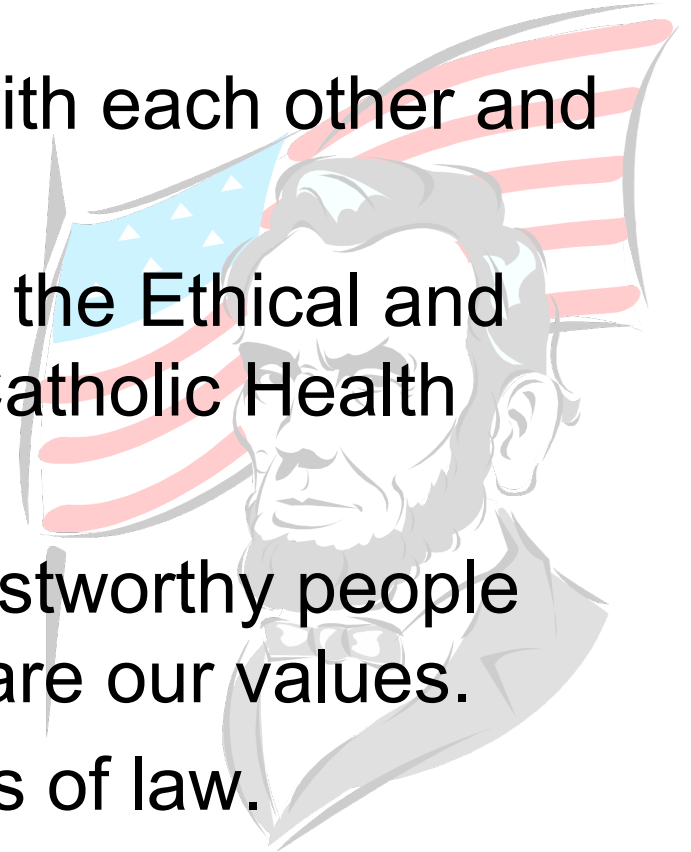
The Corporate Compliance Program requires each of us to know what is expected of us. We all should:



- Be aware of and obey relevant laws and rules;
- Ask questions when we are unsure of what the right action or decision might be;
- Speak up when we discover something that doesn't seem quite right; and
- Support others' efforts to do the same.

## **Maintain a culture that values honesty, integrity and ethics**

- Communicate honestly with each other and with our patients.
- Avoid actions that violate the Ethical and Religious Directives for Catholic Health Care Services.
- Hire and contract with trustworthy people who are qualified and share our values.
- Report potential violations of law.



# Obey All Laws and Regulations

... including all Fraud and Abuse laws.



- Fraud is intentional deception or misrepresentation with the intent of gaining an unauthorized benefit. Fraud may also include unintentional acts taken with deliberate ignorance or reckless disregard of the law.
- Abuse can occur when a facility performs tasks that do not make good medical sense and which result in unnecessary costs or reimbursement from a federal healthcare program (like Medicare and Medicaid).



# Federal False Claims Act

- The Federal False Claims Act (FCA) is a Federal law that allows any person who discovers that the Federal government is being defrauded to report it and then to sue the wrongdoer on behalf of the U.S. government.
- There are financial penalties for FCA violations.

## Federal False Claims Act (cont.)

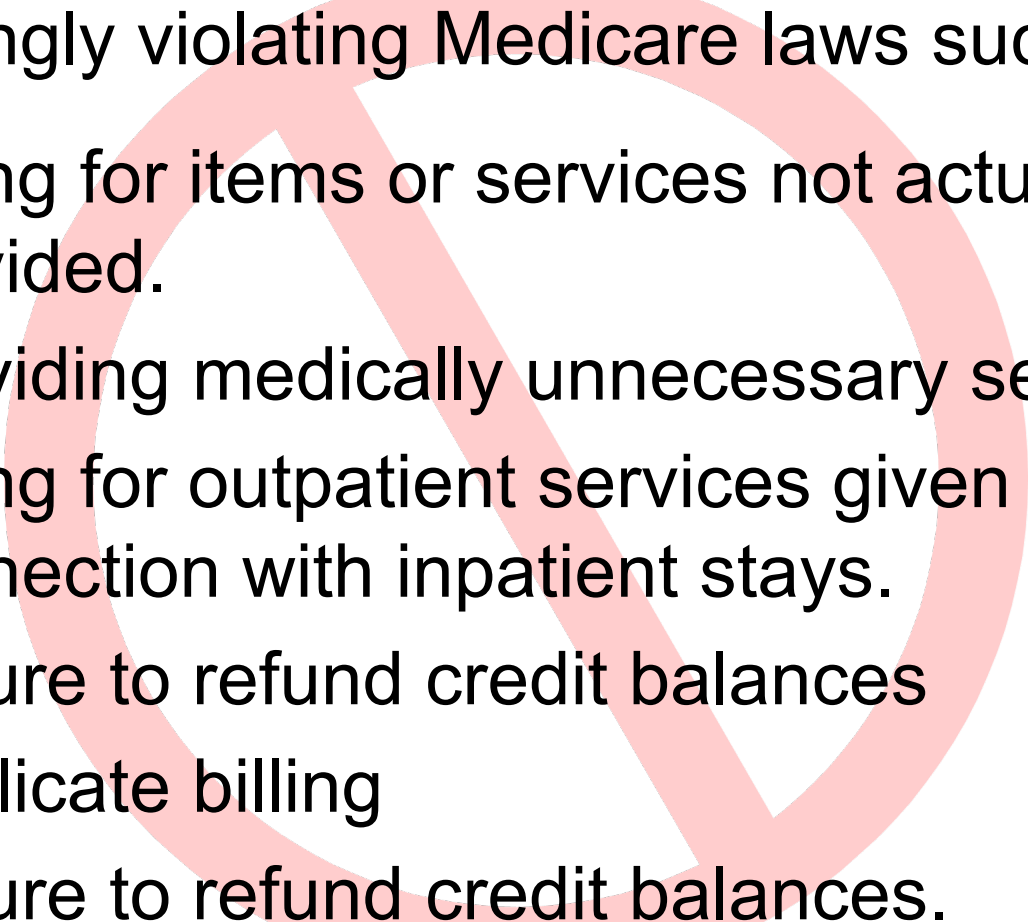
- In FCA lawsuits the Federal government can join the lawsuit.
- The FCA also contains an anti-retaliation provision which protects those who file suits.
- Any employee who discovers wrongdoing that violates the FCA is protected from being discharged or in any manner discriminated against.

# Whistleblower Protection under the FCA



- St. Elizabeth would prefer that associates report issues to the Corporate Compliance Officer.
- If any associate reports fraud and then suffers employment discrimination (which is a violation of established St. Elizabeth policies), that associate would be entitled to all relief necessary to be made whole.

# Conduct Which Violates the Federal FCA

- Knowingly violating Medicare laws such as:
    - Billing for items or services not actually provided.
    - Providing medically unnecessary services.
    - Billing for outpatient services given in connection with inpatient stays.
    - Failure to refund credit balances
    - Duplicate billing
    - Failure to refund credit balances.
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# Kentucky Fraud & Abuse Laws

- Kentucky also has laws to prohibit healthcare providers from fraudulently billing or abusing Medicaid.

Those found to have violated the Kentucky Fraud and Abuse laws shall:

- be liable for (a) restitution (b) civil payments as authorized and (c) payment of legal fees.
- be removed as providers in the KY Medicaid Program

# Protection from retaliation under Kentucky law



- Anyone who believes that a violation of the Kentucky Medicaid Fraud and Abuse laws is being committed, should report the violation to the Medicaid Fraud and Abuse hotline. The identity of the person making such a report will be kept confidential.
- Employers may not retaliate against employees who in good faith make such a report. An employee injured by employer retaliation may file a law suit to stop further violations, and to recover the actual damages sustained.

# Protect our Assets

**Use resources according to ethical and legal standards.**

- Use St. Elizabeth assets as carefully as you would your own.
- Do not use St. Elizabeth equipment, supplies or materials for personal use.
- Maintain records as required.

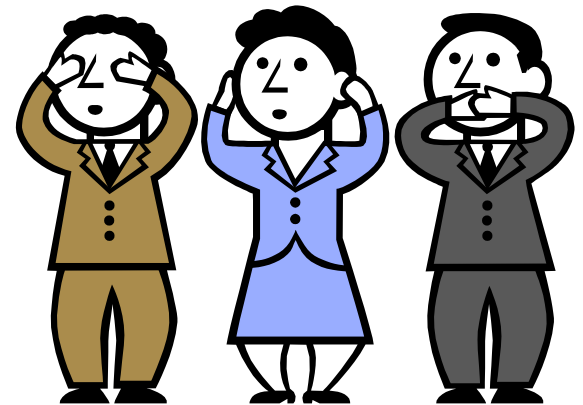


# Protect Confidential Information

Keep information about patients, associates, and St. Elizabeth confidential, making sure information is released only when appropriate.

Associates must protect:

- Patient information (HIPAA);
- Organizational ideas and strategies;
- Personnel records





# Avoid Conflicts of Interest

Associates must avoid:

- Accepting money or gifts from patients or their families
- Using information learned for personal profit or advantage
- Exerting influence on any issue where your own interests may conflict with the best interests of the healthcare system
- Investing in or owning a competing business or owning stock of a competitor

# Asking Questions & Reporting Concerns

- Associates should report promptly and in good faith any potential violations of law, regulation, or policies.
- To help resolve issues, answer questions or report concerns, St. Elizabeth uses a three step reporting process.



# How to Report Concerns

1. Contact your supervisor. If your supervisor is unable to solve the problem, contact their supervisor.
2. If you feel your problem has not been resolved, or if you would rather not report the issue to a supervisor, call Lisa Frey, the St. Elizabeth Corporate Compliance Officer, at **(859) 301-5580**.
3. You may want to report a situation without revealing your identity. For those concerns, call the Compliance Line at **1-877-815-2414**.

# About the Compliance Line

- The Compliance Line is a toll-free 24-hour hotline.
- The number is **1-877-815-2414.**
- Operators from an outside company make a complete report of your issue and send it to our Corporate Compliance Officer to resolve.
- All calls are confidential. You do not need to give your name if you would prefer not to.
- Our Compliance Line does not use Caller ID and does not try to trace calls.



# About the Compliance Line

- You may choose to remain anonymous and still receive a response to your concerns.
- You will be given a unique code number and may call back later and using this number, receive a response to your concerns.



# Should You Call?

If you have any doubt regarding:

- If an activity is legal
- If you find that a law is unclear or
- You think there is a conflict between the law and St. Elizabeth Healthcare's policy

Ask your supervisor or the Corporate Compliance Officer or call the Compliance Line.



**Call even if you are not sure of the problem.**

The Corporate Compliance Officer will look into the situation and St. Elizabeth will take all appropriate action.

# No Retaliation Policy



- St. Elizabeth forbids retaliation against anyone who reports a concern in good faith.
- Making a good faith report will not put your job or volunteer position at risk. St. Elizabeth protects every associate who reports a concern in good faith.
- Anyone who retaliates in any way is subject to immediate discipline (up to and including termination).
- Report retaliation concerns immediately to the Corporate Compliance Officer at **(859) 301-5580**.

## Issues you should report include:

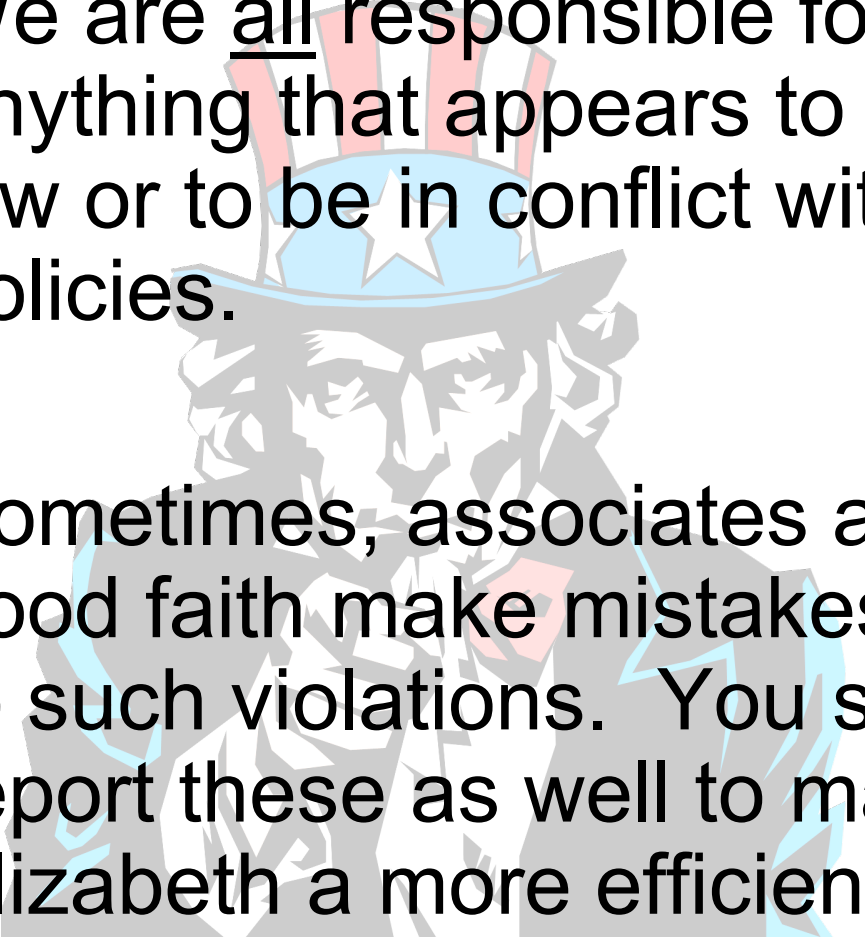
- Sexual, racial, and gender discrimination or harassment.
- Dishonest communications, including lying and obtaining goods and services under false pretenses.
- Fraud, abuse, or false claims.
- Theft or the improper use of supplies, equipment, money, or labor for personal use.
- Improper use of proprietary information (including copying copyrighted material or software programs).
- Failure to provide emergency room patients with a proper stabilizing care (EMTALA violations)



## Issues you should report include:

- Violations of patient, organization or associate confidentiality.
- Conflicts of interest
- Environmental, health or safety violations.
- Improper gifts, rewards, or discounts, especially if it appears the offers are being made to influence business decisions.

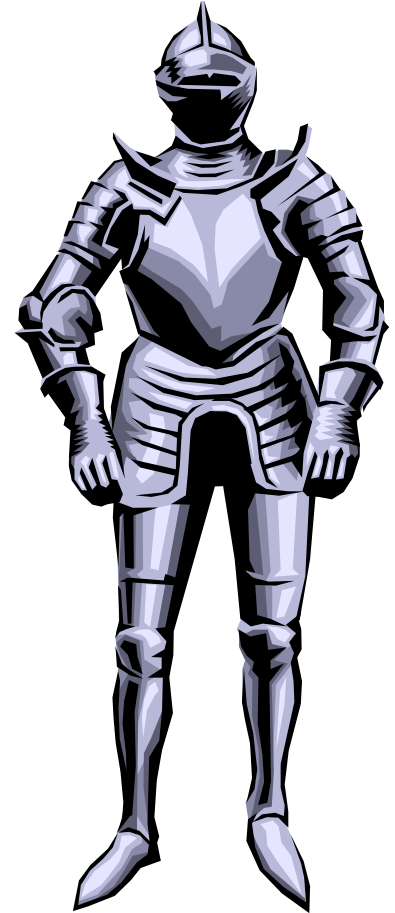


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- A faint, stylized background image of Uncle Sam, the personification of the United States. He is depicted wearing his iconic top hat with red and white stripes and a blue band with a white star. He has a white face, a goatee, and is wearing a suit with a red bow tie. The image is rendered in a low-poly, geometric style with a muted color palette.
- We are all responsible for reporting anything that appears to break the law or to be in conflict with our policies.
  - Sometimes, associates acting in good faith make mistakes that lead to such violations. You should report these as well to make St. Elizabeth a more efficient and compliant healthcare provider.

# Our Commitment to You

In return for your commitment to the Corporate Compliance Program, St. Elizabeth will:

- Enforce the Corporate Compliance Program fairly throughout the system;
- Support decisions you make by following the Corporate Compliance Program; and
- Protect any associate who reports violations or concerns in good faith. There will be no retaliation for raising concerns in good faith.



# Culture of Compliance

St. Elizabeth is committed to being compliant with all applicable laws, regulations, rules, and statutes. We want you to communicate any concerns you have.

If you have questions, **ASK!**

**Corporate Compliance Officer: (859) 301-5580**

**Compliance Line: 1-877-815-2414**

# Corporate Compliance Review

1. The Corporate Compliance Program supports associates' efforts to detect and prevent criminal conduct and encourages ethical conduct and a commitment to compliance with the law.
  - A. True
  - B. False
  
2. The Corporate Compliance Program urges each associate to speak up to ensure that St. Elizabeth remains a model of responsible and ethical practices, and that we support others' efforts to do the same.
  - A. True
  - B. False

# Corporate Compliance Review

3. The 3 step process was created to help associates:
  - A. Resolve issues
  - B. Answer questions
  - C. Report concerns or possible violations
  - D. All of the above
  
4. If I have a concern to report, I may contact:
  - A. St. Elizabeth's Corporate Compliance Officer
  - B. Compliance Report Line
  - C. My supervisor
  - D. All of the above

## Corporate Compliance Review

5. The Report Line is open 24 hours a day, 7 days a week and is totally confidential for the caller.
  - A. True
  - B. False
  
6. St. Elizabeth Healthcare forbids retaliation against anyone who reports a compliance concern in good faith.
  - A. True
  - B. False

## Corporate Compliance Review

7. Reporting a concern in good faith will put my volunteer position at risk.
  - A. True
  - B. False
  
8. According to the Corporate Compliance Program, associates have a duty to:
  - A. Use honest communication with each other
  - B. Obey all applicable laws
  - C. Report potential violations of the law
  - D. All of the above



## Corporate Compliance Review

9. Associates have a duty to avoid violating Federal and State laws and regulations.
  - A. True
  - B. False
  
10. The Corporate Compliance Program defines protecting confidential information to include:
  - A. Patient information (HIPAA)
  - B. Organizational ideas
  - C. Personnel records
  - D. All of the above

## Corporate Compliance Review

11. According to the Corporate Compliance Program, associates have a duty to:
- A. Spend St. Elizabeth's assets as carefully as the associate's own
  - B. Not use St. Elizabeth's equipment and supplies for personal use
  - C. Maintain records as required by law
  - D. All of the above

## Corporate Compliance Review

12. According to the Corporate Compliance Program, associates may not accept money or rewards, or a gift that has more than a token value, from patients or their families.
- A. True
  - B. False

## Corporate Compliance Review

13. I will comply with the Corporate Compliance Program.

A. I agree with the above statement.

B. I disagree with the above statement.