

**MEMORIAL HERMANN HEALTHCARE SYSTEM**

**STANDARDS OF CONDUCT**

**JULY 1, 2011**

Dear Employee Partners,

Memorial Hermann Healthcare System is dedicated to providing high quality health services in order to improve the health of the people in Southeast Texas. A key element of this is having ethical standards and integrity. We are committed to achieving our mission in full compliance with our values as well as all applicable laws. To assist us in fulfilling this commitment while operating in a complex and highly regulated environment, we have a Corporate Compliance Program. An important part of our Corporate Compliance Program is our Standards of Conduct.

The Standards of Conduct create a uniform code and are guidelines to clarify specific ethical questions that may arise in the course of your work. Please become familiar with the basic concepts outlined in the Standards of Conduct. If any aspect of the Standards of Conduct is unclear to you or if you have questions or concerns about a situation you are facing, I hope you will feel comfortable discussing your questions and concerns with your supervisor or senior management. If you do not wish to do so or if your supervisor/senior management is not able to address your issue, you may call the Compliance Helpline or the Corporate Compliance Officer, which is discussed in more detail in these Standards.

We are committed to honoring the community's trust at Memorial Hermann and are asking you to partner with us in maintaining our uncompromising values.

Sincerely,

Dan Wolterman  
President and CEO  
Memorial Hermann Healthcare System

## TABLE OF CONTENTS

1. Introduction.....	1
2. Memorial Hermann’s Mission, Values and Culture.....	2
3. Partners in Caring.....	4
4. Quality of Care.....	5
5. Compliance with Laws and Regulations.....	6
6. Human Resources.....	8
7. Billing and Coding.....	9
8. Protection and Use of Information, Property and Assets.....	10
9. Conflicts of Interest.....	11
10. Physician, Patient and Vendor Gifts.....	12
11. Health and Safety .....	14
12. Physicians and Allied Health Professionals.....	15
13. Vendors and Contractors .....	17
14. When in Doubt .....	19
15. Communication and Reporting Process .....	20
16. Compliance Helpline and Non-Retaliation Policy .....	21
17. Responsibility of Employee Partners and Management .....	22
18. Certification and Acknowledgement .....	23

## INTRODUCTION

Memorial Hermann Healthcare System is committed to the goal of serving our patients, physicians, employee partners and the communities we serve in an ethical, legal and responsible manner. Further, Memorial Hermann is committed to providing all services in full compliance with all applicable laws, regulations and guidelines, as well as with our own policies and procedures. We are particularly sensitive to requirements applicable to federal health care programs and the submission of accurate billings.

The Standards of Conduct, as well as all statutes, regulations, guidelines, and Memorial Hermann policies and procedures must be observed by everyone. No one, regardless of position, will be allowed to compromise adherence to the Standards, statutes or regulations. Failure to comply can result in serious damage to our standing in the community, regulatory action against the corporation and individual employee partners, and employee partner corrective action.

If you have questions about these Standards or about any Memorial Hermann policies or practices, you should raise the questions with your supervisor first. Our supervisory staff has been charged with a special obligation to be available and responsive to employee partners when questions arise about adherence to the Standards. If the response received from the supervisory staff does not resolve the issue(s) concerning applications of the Standards, you are invited to address your concerns to higher levels of management, or call Human Resources or the Corporate Compliance Officer.

The Standards of Conduct adopted by Memorial Hermann are intended to ensure that we meet our compliance goals in a highly regulated business environment. The Standards are designed to provide general guidance, and do not replace the policies and procedures of the corporation. In seeking additional guidance and direction regarding the Standards, employee partners are encouraged to refer to Memorial Hermann Policies and Procedures. The Standards are a “living document,” which will be updated periodically to respond to changing conditions. Therefore, Memorial Hermann reserves the right to modify or amend the Standards at any time.

## **MISSION**

Memorial Hermann is a not-for-profit, community-owned, health care system with spiritual values, dedicated to providing high quality health services in order to improve the health of the people in Southeast Texas.

## **VALUES**

- ◆ In collaboration with others, we are committed to assessing and creating health care solutions which meet the needs of individuals in our diverse communities.
- ◆ We are stewards of community resources and are committed to being medically, socially, financially, legally, and environmentally responsible.
- ◆ We are devoted to providing superior quality and cost-efficient, innovative and compassionate care.
- ◆ We collaborate with our patients, families, physicians, employees, volunteers, vendors, and communities to achieve our Mission.
- ◆ We support teaching programs that develop the health care professionals of tomorrow.
- ◆ We support biomedical research and implementation of innovative technology to expand our knowledge and learn how to provide better care.
- ◆ We provide holistic health care which addresses with dignity the physical, social, psychological, and spiritual needs of individuals.
- ◆ We are committed to the growth and development of the intellectual and spiritual capabilities of our employees.
- ◆ We have high ethical standards and expect integrity, fairness, and respect in all our relationships.

## VISION

Memorial Hermann will be the preeminent health system in the U.S. by advancing the health of those we serve through trusted partnerships with physicians, employees and others to deliver the best possible health solutions while relentlessly pursuing quality and value.

## BRAND PROMISE

We advance health.

## CULTURE

- ◆ **Innovative:** We discover, develop and implement new ideas, technologies, partnerships and processes.
- ◆ **Accountable:** We accept responsibility for our actions and decisions and the impact they have on those we serve.
- ◆ **Empowered:** We create and embrace change, readily adapting to new situations and encouraging all to be part of the solution.
- ◆ **Collaborative:** We build trusting relationships through open communication and productive teamwork integrating all parties to create the best solution.
- ◆ **Compassionate:** We genuinely care about people. We are sensitive to the needs of others and strive to make a difference.
- ◆ **Results Oriented:** We make timely decisions. We take an intentional approach, integrating data and evidence in all decision-making to achieve desired outcomes.
- ◆ **One Memorial Hermann:** We value the whole over the individual parts of the System.

# **PARTNERS IN CARING**

## **A Process and a Philosophy**

Since its inception in 1988, Partners in Caring has come to represent the underlying pulse of our healthcare System, a source of energy, interaction and support for all employees. Partners in Caring is an employee-driven process that strives to establish a unique environment, where patients, families, employees, physicians and all others who enter any Memorial Hermann facility know they are in a special, caring place. Core to this process is the philosophy and expectation that all employees will treat everyone with the same dignity and respect they want for themselves.

To drive this process and philosophy throughout the System, Partners in Caring created a four-part plan. The plan includes strategies that will:

1. **Strategically Strengthen Our Culture.** Partners in Caring collaborates with key partners to enable employees, volunteers and physicians to live the Memorial Hermann culture. To foster the Memorial Hermann culture, the PIC Steering Committee and Administrative Team for each facility will jointly develop strategic plans that support the Memorial Hermann Operating Principles and Behaviors.
2. **Organize Community Support.** Partners in Caring will continue to manage blood drives and food drives, and look for new opportunities to create positive experiences for our community.
3. **Celebrate, Recognize and Support Employee Partners.** Partners in Caring is dedicated to recognizing the efforts and talents of fellow employees by sponsoring a variety of formal and informal recognition programs. Partners in Caring supports fellow employees who are experiencing a crisis or catastrophe through the administration of the Partners in Caring Employee Fund and Paid Time Off Bank.
4. **Be a Mobilizing Force.** Partners in Caring will continue to provide the structure and flexibility to meet the organization's expected and unexpected needs.

## QUALITY OF CARE

**STANDARD OF CONDUCT:** We are committed to providing quality care and services. Our first responsibility is to our patients and their families we serve.

- ◆ We have a responsibility at every level of the organization to maintain integrity and quality in our job performance.
- ◆ We have a responsibility to address any deficiency or error by reporting it to a supervisor who can assess the problem, take appropriate action and follow the problem to resolution. Knowledge of safety or quality of care concerns are expected to be immediately reported internally to a charge nurse, manager, or director of the unit in which the issue has occurred. If they are not available, hospital administration should be notified. Additionally, if the employee still has concerns, they may contact the Compliance Helpline or the Joint Commission on Accreditation of Healthcare Organizations. There will be no retaliation or disciplinary action taken against anyone who reports a concern in good faith.
- ◆ We will encourage each employee partner to continually evaluate existing methods of delivering services and report any suggestion to their unit or hospital management.
- ◆ We will respect the human dignity of each patient by responding to all patient questions, concerns and needs in a timely and sensitive manner.
- ◆ We will continually monitor and evaluate the delivery of care and related services to assure that appropriate standards of practice are met.
- ◆ We will strive to ensure that patient admissions, transfers, and discharges are medically appropriate and in accordance with legal requirements.
- ◆ We will employ appropriately licensed and properly credentialed health care providers possessing the required expertise and experience to care for our patients.
- ◆ We endeavor to not discriminate against any patient for any reason including race, ethnicity, religion, sex, sexual orientation, national origin, age, marital status, disability, citizenship, or any other classification protected by law.

## COMPLIANCE WITH LAWS AND REGULATIONS

**STANDARD OF CONDUCT:** We are committed to ethical standards of business and professional ethics and integrity. We will provide patient care and conduct business while following all applicable laws, regulations and policies. We aim to:

- ◆ Promptly report to management, the Corporate Compliance Officer or the Compliance Helpline when any possible violation of law, regulation or policy has occurred. All compliance issues or reported concerns will be acted upon in a fair and truthful manner. Any retaliation or other negative action against any person who in good faith reports a suspected violation will not be tolerated.
- ◆ Comply with all requirements of the federal and state false claims laws (including the False Claims Act and the Texas Medicaid Fraud Prevention Act) and the role of such laws in preventing, detecting, reporting and correcting incidents of fraud, waste and abuse in government health care programs.
- ◆ Not provide, solicit or receive kickbacks, bribes, rebates or anything else of value in order to influence the referral of patients or services.
- ◆ Have all agreements with individuals or organizations that may be possible referral sources in writing and approved by appropriate management and legal counsel.
- ◆ Bill payors and patients in compliance with all applicable laws, regulations and policies.
- ◆ Compete in the market solely on the merit of our services. Marketing information, both oral and written, provided to patients and others will be clear, correct, and non-deceptive.
- ◆ Maintain complete and accurate patient medical records and keep all such information confidential.
- ◆ Not employ, contract with or bill for services rendered by an individual or entity that is excluded or ineligible to participate in government health care programs. Memorial Hermann routinely searches the federal and state Office of Inspector General and the General Services Administration's lists for excluded and ineligible persons.
- ◆ Have employee partners who are providers of professional health care services properly licensed and trained prior to administering patient care.
- ◆ Have all drugs or other controlled substances used in patient treatment maintained, dispensed, transported and disposed of in compliance with all applicable laws and regulations.

- ◆ Comply with all requirements of the Emergency Medical Treatment and Active Labor Act (EMTALA), including providing a medical screening examination to all who seek emergency treatment.

## HUMAN RESOURCES

**STANDARD OF CONDUCT:** We recognize that our employee partners are our most valuable assets. We are committed to creating a workplace where employee partners are treated with respect and fairness while being empowered to get the job done at or above expectations. We will strive to:

- ◆ Treat everyone with dignity and respect.
- ◆ Provide a work environment for all employee partners free from harassment and intimidation. We will not tolerate verbal or physical harassment (including sexual harassment).
- ◆ Review and evaluate each employee partner's performance periodically in an objective and consistent manner.
- ◆ Continually build confidence and professionalism in every employee partner.
- ◆ Maintain open lines of communication so that the views of each employee partner may be considered and their opinions given proper respect.
- ◆ Show respect and consideration for one another, regardless of status or position.
- ◆ Maintain personal employee partner information with appropriate confidentiality.
- ◆ Apply the Standards of Conduct and personnel policies equally to all employee partners regardless of position in the workplace.
- ◆ Provide reasonable training opportunities to assist employee partners to build and maintain professional skills.
- ◆ Ensure that our employee partners are employed, trained, promoted and compensated on the basis of personal competence and potential for advancement without regard for race, ethnicity, religion, sex, national origin, age or disability, as well as any other classifications as required by law.
- ◆ Encourage each employee partner to continually evaluate existing methods of delivering services in order to discover more effective ways of allocating resources for patient care and support services.
- ◆ Have all employee partners in a position requiring licensure/certification will be properly licensed/certified by the appropriate federal, state, local or professional agency.

## BILLING AND CODING

**STANDARD OF CONDUCT:** We are committed to fair and accurate billing that is in accordance with all federal and state laws and regulations. Our goal is to:

- ◆ Bill only for services that are medically necessary, actually provided and documented in the patient's medical record.
- ◆ Not knowingly submit for payment or reimbursement a claim we know to be false or fraudulent.
- ◆ Assign diagnostic, procedural and billing codes that accurately reflect the services that were provided. Upcoding, unbundling or any other means of artificially enhancing reimbursement is unlawful and strictly prohibited.
- ◆ Periodically review coding practices and policies, including software edits, to ensure they are consistent with all applicable federal, state and private payor health care program requirements.
- ◆ Regularly review our records for patient credit balances and promptly refund any overpayments.
- ◆ Not routinely waive insurance co-payments or deductibles.
- ◆ Submit all claims for services to Medicare, Medicaid and other federally funded or private payor health care programs with accuracy and correctly identify the services ordered.
- ◆ Timely return any Medicare or Medicaid overpayments to governmental health care programs.
- ◆ Maintain all records in a secure location for the period of time required by law. The premature destruction or alteration of any document in response to, or in anticipation of, a request for those documents by any government agency or court is strictly prohibited.
- ◆ Respond in a direct, timely and honest manner to all questions and complaints related to a patient's bill.

## **PROTECTION AND USE OF INFORMATION, PROPERTY AND ASSETS**

**STANDARD OF CONDUCT:** We are committed to protecting Memorial Hermann property and information against loss, theft, destruction and misuse. We strive to:

- ◆ Honor the privacy of patients and not reveal or discuss patient-related information except with health care personnel involved in their care, and with payors and others duly authorized to review patient information.
- ◆ Release patient records only in accordance with Memorial Hermann policies.
- ◆ Maintain the confidentiality of quality assurance, peer review and health care services review information in accordance with laws and regulations.
- ◆ Correctly use and care for all property and equipment entrusted to us.
- ◆ Protect confidential corporate information and not use or reveal such information except in the proper performance of duties.
- ◆ Maintain and keep all supplies secure.
- ◆ Dispose of all surplus or obsolete property and equipment according to established procedures.
- ◆ Not permit the creation of unauthorized copies of computer software licensed to Memorial Hermann or use personal software on Memorial Hermann computer equipment.
- ◆ Not knowingly communicate or transfer any information or documents to any unauthorized persons.
- ◆ Not use computers, e-mail, facsimile machines or other technology to communicate privileged and confidential information to unauthorized recipients. Further, the use of technology to send offensive, discriminatory or harassing messages is prohibited.

## CONFLICTS OF INTEREST

**STANDARD OF CONDUCT:** We are committed to acting in good faith in all aspects of our work. We will avoid situations in which personal interests, activities or relationships create or appear to create a conflict of interest. A conflict of interest may exist whenever an employee partner or a related party (such as a family member, friend, or business associate) receives a personal benefit from any decision or action taken by the employee partner on behalf of Memorial Hermann. We are resolute in our intention to:

- ◆ Not offer, accept or provide gifts or favors, such as meals, transportation or entertainment that might be interpreted as an inducement.
- ◆ Maintain unbiased relationships with actual and potential vendors and contractors.
- ◆ Exercise the duties of loyalty, good faith, honesty and fair dealing in all activities and transactions related to Memorial Hermann.
- ◆ Not misuse our position with Memorial Hermann for personal gain.
- ◆ Not accept outside employment or contracting arrangements that conflict with the interest of Memorial Hermann.
- ◆ Not use Memorial Hermann resources and property (including supplies, equipment, facilities or personnel) in conducting outside business activities.
- ◆ Not use or disclose Memorial Hermann information that is confidential, proprietary or not generally known to the public.
- ◆ Ensure that employees, patients, physicians and vendors are not disturbed, interfered with or solicited while carrying out their job duties.
- ◆ Not employ or have a Memorial Hermann business relationship with a relative without making it known to our supervisor.
- ◆ Report actual or perceived conflicts of interest to a supervisor.
- ◆ Not accept a gift that violates the current policy on Receipt of Gifts and Favors from Vendors.
- ◆ Not employ a person to be supervised by, or to supervise, another member of the person's family unless the situation is warranted by special circumstances. In such situations, special oversight will be arranged so that a conflict of interest does not occur between family members with respect to their Memorial Hermann duties.

## PHYSICIAN, PATIENT AND VENDOR GIFTS

**STANDARD OF CONDUCT:** We are committed to avoiding situations that might create an actual or potential conflict of interest by limiting the offering or acceptance of certain gifts and favors that involve our physicians, patients and vendors. It is never appropriate to give or receive gifts or favors, such as meals or entertainment, that might be interpreted as an inducement. It is always best to seek assistance from your supervisor if you have any questions about the appropriateness of a gift or favor. We will strive to:

### Physicians:

- ◆ Only provide gifts to physicians that have been budgeted by your facility and that do not exceed \$300 per physician per year from the entire Memorial Hermann system.
- ◆ Never provide cash or gift cards of any amount to physicians.

### Patients:

- ◆ Never accept cash of any amount from a patient/family member.
- ◆ Never accept non-cash gifts (including gift cards) in excess of \$25 from a patient or patient's family.
- ◆ Never accept any gifts that might influence or appear to influence the provision of patient care or our duties and responsibilities to Memorial Hermann.

Vendors (including any individual or entity doing business or seeking to do business with Memorial Hermann):

- ◆ Never accept cash of any amount from a vendor.
- ◆ Never accept gift cards in excess of \$25 from a vendor.
- ◆ Never accept substantial gifts (multiple gifts or favors from the same outside individual/concern with a cumulative value in excess of \$300 in a calendar year), excessive or unusual entertainment or other favors from an individual/concern which does or is seeking to do business with Memorial Hermann or is a competitor of Memorial Hermann.
- ◆ Never accept a benefit or gift in exchange for referring a patient for health care services to a particular vendor or health care provider.
- ◆ Receive approval prior to accepting reimbursement for expenses related to any educational opportunity offered by a vendor. Honorariums or other payments offered by a vendor or other outside concern for participating in a survey or speaking engagement should never be accepted.

- ◆ Report all gifts received from vendors on the Vendor Gift Log maintained by your department director.

## HEALTH AND SAFETY

**STANDARD OF CONDUCT:** We are committed to maintaining a workplace that protects the health and safety of our patients and employee partners. We are determined to:

- ◆ Comply with all safety and health requirements whether established by management, federal, state or local laws, or accrediting organizations.
- ◆ Take all reasonable precautions and follow all safety rules and regulations to maintain a safe environment for our patients, employee partners, physicians, visitors, and vendors.
- ◆ Provide an environment that is free from violence. Unauthorized weapons of any kind are strictly prohibited.
- ◆ Follow all laws and regulations regarding the disposal of medical waste and hazardous material.
- ◆ Promptly report to a supervisor, and complete a report in the online occurrence reporting system, any accidents involving injury to an employee partner, patient, physician or visitor.
- ◆ Promptly report to a supervisor all spills or accidents involving medical waste or hazardous materials and take action right away to help prevent harm.
- ◆ Provide training in safe work practices to reduce hazards to the health and safety of employee partners and others.
- ◆ Have supervisors be responsible for inspecting the work area under their control for health and safety risks, eliminating or reporting risks, be familiar with health and safety procedures, and train their employee partners in health and safety precautions.
- ◆ Not permit the manufacture, sale, possession, distribution or use of illegal drugs or alcohol at work. Reporting to work while under the influence of illegal drugs or alcohol will not be tolerated.
- ◆ Safely store, secure and count all drugs and pharmaceuticals. Missing drugs will be promptly reported to supervisors.

## PHYSICIANS AND ALLIED HEALTH PROFESSIONALS

**STANDARD OF CONDUCT:** Memorial Hermann is committed to providing all health care services in full compliance with all applicable laws, regulations and guidelines, as well as with its own policies and procedures. Memorial Hermann is particularly sensitive to requirements applicable to federal and state health care programs. Compliance by physicians who practice as members of the hospital medical staff and other allied health professionals (e.g., nurse anesthetists, nurse practitioners, physician assistants, psychologists, etc.) is important to Memorial Hermann's overall compliance efforts.

- ◆ Physicians and allied health professionals associated with Memorial Hermann must comply with all applicable federal and state laws and regulations, professional and accrediting standards and Memorial Hermann policies.
- ◆ The Memorial Hermann Standards of Conduct ('Standards') shall be made available to all physicians and allied health professionals associated with Memorial Hermann upon application for appointment or reappointment for medical staff credentialing and privileging. By their signature, they shall acknowledge receipt of the Standards and that it is their responsibility to read and comply with the procedures and policies set forth in the Standards.
- ◆ All physicians and allied health professionals who practice at a Memorial Hermann facility are responsible for understanding the requirements of the Memorial Hermann Standards of Conduct.
- ◆ Physicians and allied health professionals associated with Memorial Hermann are encouraged to participate in compliance training and educational programs that complement the Memorial Hermann Standards of Conduct, compliance requirements, and other rules and regulations. Further, they are encouraged to develop compliance programs in accordance with the OIG's Compliance Program Guidance for Individual and Small Group Physician Practices.\*
- ◆ Memorial Hermann will promptly and thoroughly investigate alleged misconduct by physicians and allied health professionals performing services within the Memorial Hermann work environment.
- ◆ Memorial Hermann will have physicians and allied health professionals who provide medical services through Memorial Hermann screened for exclusion, debarment or other ineligible status utilizing the federal and state Office of Inspector General, as well as the General Services Administration's lists of excluded and ineligible persons. Further, physicians and allied health professionals must promptly report to Memorial Hermann if they have been excluded, debarred or are otherwise ineligible to participate in government health care programs.

- ◆ The Memorial Hermann Compliance Officer has authority to request and review all documents and other information that are relevant to compliance activities, including those concerning physicians and allied health professionals.

\*provided upon request

## VENDORS AND CONTRACTORS

**STANDARD OF CONDUCT:** Memorial Hermann is committed to providing all health care services in full compliance with all applicable laws, regulations and guidelines, as well as with its own policies and procedures. Memorial Hermann is particularly sensitive to requirements applicable to federal and state health care programs and the submission of accurate bills for all services provided. Compliance by vendors, contractors and consultants conducting business on behalf of Memorial Hermann or in the Memorial Hermann work environment is important to Memorial Hermann's overall compliance efforts.

Memorial Hermann:

- ◆ Will make available the Standards of Conduct to all vendors, contractors, and consultants with whom Memorial Hermann conducts business.
- ◆ Will provide access to written compliance policies that identify specific areas of risk to the hospital associated with the services. All contractors, vendors, consultants and others doing business with Memorial Hermann will be responsible for understanding and fully complying with policies applicable to their activities.
- ◆ Will promptly and thoroughly investigate alleged misconduct by vendors, contractors and consultants performing services for or on behalf of Memorial Hermann.
- ◆ Through the Memorial Hermann Compliance Officer, will strive to review all pertinent documents and other information relevant to compliance investigations, including those of or pertaining to outside individuals and entities such as vendors, contractors, consultants, suppliers, agents and others.
- ◆ Will have all vendors, doing business with Memorial Hermann screened for exclusion, debarment or other ineligible status utilizing the federal and state Office of Inspector General, as well as the General Services Administration's lists of excluded and ineligible persons.

All vendors and others doing business with Memorial Hermann shall be committed to:

- ◆ Complying with all applicable federal and state laws and regulations, and professional and accrediting standards.
- ◆ Attesting to and acknowledging receipt of the Standards of Conduct and that it is their responsibility to read and comply with the policies and procedures set forth in the Standards of Conduct.
- ◆ Following all Memorial Hermann policies applicable to their presence in or relating to the Memorial Hermann work environment and/or work on Memorial Hermann's behalf such as the Vendor Gift Policy and the Vendor Management Policy.

- ◆ Participating in, or developing for their own use, compliance training and educational programs which will complement the Memorial Hermann Standards of Conduct, compliance requirements, and applicable rules and regulations. Further, they are encouraged to develop compliance programs in accordance with applicable OIG Compliance Program Guidance documents.
  
- ◆ Promptly reporting to Memorial Hermann if they become excluded, debarred or otherwise ineligible to participate in government health care programs.

## WHEN IN DOUBT

### Warning Signs and a Quick Quiz

There may be times when you are unsure whether an activity or a situation is unethical or illegal. If you are not sure, pursue it until you are confident that it is either resolved, or that the right person in your organization knows the facts and can take action. A delay on your part could be serious for you, for others, and for the organization.

There are words and phrases that raise “red flags” about potential problems, and should send a warning signal to you. The following are examples of such words and phrases:

“Well, maybe just this once.”

“Everyone does it.”

“No one will ever know.”

“Shred that document -- no problem.”

“No one will get hurt.”

If you hear comments like these or you begin to say things like this, then the following “quick quiz” could be helpful as a guide for what needs to be done next:

“Does it break a law, regulation, policy or Standard of Conduct?”

“How will I feel about myself afterwards?”

“What would my family, friends, our physicians or patients think?”

“How would it look if it were in the newspaper tomorrow?”

“Is it fair and honest?”

If you are not comfortable with any of your answers to the above questions, or if you are still not sure whether an activity is wrong, contact your supervisor or call the Memorial Hermann Compliance Helpline. The four-step communication and reporting process outlined in the next section should be a helpful guide.

## COMMUNICATION AND REPORTING PROCESS

Memorial Hermann wants to create an open environment for communication for you to be able to address compliance related questions and concerns. A clear process for reporting potential compliance violations is also an important part of the Memorial Hermann Corporate Compliance Program.

If you have a question or concern about an activity being unethical, illegal, or wrong, or suspect a violation, use the following process to get answers to your questions and to report concerns. Throughout this process your identity will be kept confidential as much as possible.

1. Talk to your supervisor first as he or she should be familiar with the laws, regulations, and policies that relate to your work.

If your question or concern involves a human resources related matter, you may also speak with someone from your local Human Resources department.

2. If you are not comfortable contacting your supervisor, or if you don't receive a satisfactory response, talk to another member of your management team.
3. If for any reason you feel you cannot follow the previous steps, or if you want to remain anonymous, you may call the Memorial Hermann Compliance Helpline.

Memorial Hermann Healthcare System Compliance Helpline

713-448-4140

or 1-877-448-4140

Espanol 1-800-297-8592

(Other language translators are also available)

4. You may also choose to report your concerns to the Chief Compliance Officer.

Chief Compliance Officer: 713-338-4113

## **COMPLIANCE HELPLINE 1-877-448-4140**

We recognize that there are times when questions or problems cannot be addressed through the normal communication and reporting process. When this happens, you should use the Compliance Helpline. We have employed an outside company to take Helpline calls, so callers who do not wish to give their names can remain anonymous. The operators of the Helpline are trained to assist you in resolving questions and reporting concerns. The Helpline may be reached at 1-877-448-4140 or 713-448-4140. Multiple languages can be accommodated.

Calls to the Helpline will not be traced or recorded. You will remain anonymous, unless you choose to identify yourself. If you do give your name, your identity will be protected to the extent allowed by law. (See Non-Retaliation Policy below)

The information from calls made to the Helpline will be reviewed by the Memorial Hermann Chief Compliance Officer and will be responded to fairly. All concerns will be carefully investigated before any action is taken. The rights of all staff, including anyone who may be the subject of a Helpline call, will be respected and protected. Corrective actions taken will not be made public.

## **NON-RETALIATION POLICY**

Employee partners, volunteers, contractors, medical staff and anyone else engaged in work at Memorial Hermann should be able to ask questions, seek clarification and report potential or actual noncompliance without fear of retaliation. No disciplinary action or retaliation will be taken against you when you report a compliance issue "in good faith". This means an employee partner believes the information being reported is true. We value and respect the dignity of the individual; therefore, you will be treated fairly and with respect.

## **RESPONSIBILITY OF EMPLOYEE PARTNERS**

All employee partners are expected to follow all federal, state and local laws, regulations, and Memorial Hermann policies. Anyone who has knowledge of a violation must report this information. If you do not report a violation, you may be subject to disciplinary action even if you were not directly involved. Reporting does not protect you from disciplinary action regarding your own performance or conduct, but, should you be directly involved, your honesty will be considered in evaluating appropriate corrective action.

## **RESPONSIBILITY OF MANAGEMENT**

Management must demonstrate and promote a commitment to ethical and legal behavior that is consistent with Memorial Hermann's mission and values. As a leader, you have the obligation to ensure that employee partners under your supervision:

- ◆ Know about and follow all federal, state and local laws, regulations, and Memorial Hermann policies within the scope of their responsibilities;
- ◆ Know the procedure for reporting suspected or actual violations; and
- ◆ Encourage others to ask questions and to report actual or suspected violations.

If an employee partner comes to you with a question regarding compliance with a federal, state or local law, regulation, and Memorial Hermann policy, you are responsible for:

- ◆ Taking steps to ensure the employee partner does not experience retaliation;
- ◆ Maintaining the employee partner's confidentiality to the extent practical;
- ◆ Collecting accurate information regarding the employee partner's report;
- ◆ Pursuing the right process so that reports of violations or suspected violations can be further investigated; and
- ◆ Informing the employee partner that you have followed through on his or her report.

# Certification and Acknowledgement

I have received and I will read the Memorial Hermann Healthcare System Standards of Conduct. I understand that the Standards of Conduct apply to my employment and/or contractual relationship and that following all laws, regulations, policies and the Standards of Conduct is a condition of that relationship. I will seek advice from my supervisor, another manager, a Human Resources representative, or the Corporate Compliance Officer, or I will call the Compliance Helpline with any compliance questions or issues.

My signature means that I have received the Memorial Hermann Healthcare System Standards of Conduct dated \_\_\_\_\_, and that I acknowledge that it is my responsibility to read and comply with the procedures and policies set forth in the Standards of Conduct and with any new or revised policies located therein.

\_\_\_\_\_  
Signature Employee Number/Tax I.D. Number

\_\_\_\_\_  
Printed Name Company/Organization Name

\_\_\_\_\_  
Position Division/Department

\_\_\_\_\_  
Date