

HARRIS HEALTH SYSTEM

POLICY AND REGULATIONS MANUAL

Policy No: 3.36
Page Number: 1 of 6
Effective Date: 03/27/2008
Board Motion No: 14.04-46
Last Review Date: 08/09/2019
Due For Review: 08/09/2022

TITLE: COMPLIANCE HOTLINE

PURPOSE: To provide guidance regarding Harris Health System's Corporate Compliance Hotline.

POLICY STATEMENT:

Harris Health System (Harris Health) is committed to the timely handling and resolution of issues reported to Harris Health's Corporate Compliance Hotline (Hotline). The Hotline provides a means for confidential and/or anonymous reporting of alleged violations of federal law(s), state law(s), local law(s), regulation(s), the Harris Health Code of Conduct (Code), or Harris Health policies and procedures.

I. DEFINITIONS:

- A. **ADVERSE ACTION:** An Adverse Action is an action taken against a workforce member who makes a good faith report regarding fraud, abuse or wrongdoing; or who participates in a Harris Health investigation relating to fraud, abuse, or wrongdoing. Examples of Adverse Actions include, but are not limited:
1. Employment actions such as termination, demotion, suspension, refusal to hire, and denial of training and/or promotion;
 2. Actions affecting employment such as threats, unjustified negative evaluations, unjustified negative references, or increased surveillance;
 3. Discrimination and/or harassment;
 4. Bullying by intimidation, humiliation, or social isolation, which can occur directly or indirectly (e.g., via e-mail);
 5. Creating a hostile and/or intimidating or offensive working environment; and
 6. Any other actions that are likely to deter a workforce member from reporting illegal conditions, violations of law, rules, policies, procedures, or cooperating with an investigation.
- B. **ANONYMOUS REPORTING:** Reporting of alleged violations of laws, regulations, the Code or Harris Health policies and procedures by an individual who does not disclose his/her identity.

- C. **CONFIDENTIAL REPORTING:** Reporting of alleged violations of laws, regulations, the Code, or Harris Health policies and procedures by an individual who discloses his/her identity. The reporter's name will not be disclosed by Harris Health without the caller's authorization unless the disclosure is required by law.
- D. **GOOD FAITH:** Any action taken with honest intent and free from coercion or intimidation that does not take unfair advantage of another person. Actions of Good Faith are aligned with standards of decency and honesty or lawfulness of purpose.
- E. **RETALIATION:** Any adverse action taken against a workforce member because the workforce member has reported fraud, abuse or wrongdoing; or has cooperated with an investigation.
- F. **WORKFORCE:** Harris Health System Board of Trustees, employees, Medical Staff, trainees, contractors, volunteers, and vendors.

II. POLICY ELABORATION:

- A. All Workforce members are responsible for reporting known or suspected misconduct, including actual or potential violations of state law(s), federal law(s), regulation(s), Harris Health policies or procedures, or the Code. Workforce members may confer with their supervisors, other management, the Corporate Compliance Officer (CCO), or call the Hotline to report potential compliance issues.
- B. The Hotline permits potential compliance issues to be reported anonymously. If in the course of investigating a report to the Hotline, an Anonymous Reporter's identity is discovered, the reporter's identity will remain confidential unless disclosure of the Anonymous Reporter's identity is required by law. The CCO will not disclose the identity of an Anonymous Reporter or Confidential Reporter unless required by law or in order to accurately conduct an investigation.
- C. The Hotline telephone number (800-500-0333) is conspicuously posted in common work areas.

HARRIS HEALTH SYSTEM

POLICY AND REGULATIONS MANUAL

Policy No:	3.36
Page Number:	3 of 6
Effective Date:	03/27/2008
Board Motion No:	14.04-46
Last Review Date:	08/09/2019
Due For Review:	08/09/2022

- D. Potential compliance issues reported in Good Faith will be taken seriously and any Workforce member who commits or condones Retaliation against a Workforce member for reporting an issue will be subject to disciplinary action up to, and including, termination.
- E. All those who are employed in the Hotline operation are expected to act with the utmost discretion and integrity in assuring that information received is acted upon in a reasonable and proper manner and that confidentiality and anonymity are maintained as required.

III. PROCEDURES:

A. Calling the Hotline:

1. Reporting anonymously to the CCO may be done by directly calling the Hotline.
2. All callers to the Hotline hear the same pre-recorded message explaining that a report to the company will be generated from questions answered during the phone interview. All callers are then given the opportunity to speak with a live operator.
3. No attempt will be made to identify a caller who requests anonymity. Whenever callers disclose their identity, their identity will be held in confidence to the fullest extent practical and allowed by law. The caller may be asked to call back in case additional information is needed. Callers can be provided a reference number to protect their identity.
4. The Hotline is available twenty-four (24) hours a day, three hundred sixty-five (365) days a year.

B. Response and Investigation:

1. All calls made to the Hotline will be logged by the CCO's designee. The log will include the nature of the issue reported, the date and time reported, the source of the information, and the person(s), department, or facility affected.
2. The CCO will determine what action is required to address the reported allegation or potential violation.

HARRIS HEALTH SYSTEM

POLICY AND REGULATIONS MANUAL

Policy No:	3.36
Page Number:	4 of 6
Effective Date:	03/27/2008
Board Motion No:	14.04-46
Last Review Date:	08/09/2019
Due For Review:	08/09/2022

3. The Hotline investigation may involve other departments, as appropriate, for advice or investigation. In the event that the CCO is not satisfied that a matter referred to another department was appropriately addressed and resolved, the CCO will be responsible for and is authorized to further investigate or take the matter to other appropriate persons in positions of authority.
4. The CCO will determine whether credible evidence of misconduct was found from the investigation and whether the misconduct violated any criminal, civil, or administrative law. The CCO will promptly take appropriate action as required.
5. Disciplinary or corrective action for all substantiated allegations is an integral part of the Compliance Program.

IV. RESPONSIBILITIES:

- A. The CCO is responsible for the daily operation of the Hotline. This includes ensuring that all Hotline calls are logged and addressed in an appropriate and timely manner, as well as in accordance with this and all related compliance policies and procedures. Other responsibilities include:
 1. Ensuring proper functioning of the Hotline;
 2. Establishing reporting and records maintenance procedures;
 3. Conducting appropriate investigations and follow-up;
 4. Referring calls when appropriate;
 5. Reporting Hotline activity to the Executive Corporate Compliance Committee (ECCC) and the Board of Trustees;
 6. Maintaining security for all calls and related documents; and
 7. Ensuring that information regarding the use of the Hotline is available to all employees.
- B. The CCO will report at least quarterly to the ECCC and the Board of Trustees regarding Hotline activity. This report will include the total number of calls received, acted upon, and general results from the Hotline operation. In addition, the report will include any recommendations for improvements or corrective actions arising from investigations.

HARRIS HEALTH SYSTEM

POLICY AND REGULATIONS MANUAL

Policy No:	3.36
Page Number:	5 of 6
Effective Date:	03/27/2008
Board Motion No:	14.04-46
Last Review Date:	08/09/2019
Due For Review:	08/09/2022

- C. The CCO has primary responsibility for the Hotline operations and will regularly review the function of the Hotline to ensure adherence to established policy and procedures.

V. NON-RETALIATION:

Harris Health is committed to an environment of non-Retaliation for Workforce members who report potential compliance issues in Good Faith. No Adverse Action will be taken against a Workforce member who reports a perceived issue, problem, or violation to management, human resources, the CCO, or the Hotline or acts as a whistleblower pursuant to the Federal False Claims Act or other law. Any form of Retaliation against a Workforce member for reporting fraud, abuse, or wrongdoing, or cooperating in an investigation regarding a potential compliance issue is strictly prohibited and will result in disciplinary action, up to and including termination.

HARRIS HEALTH SYSTEM

POLICY AND REGULATIONS MANUAL

Policy No:	3.36
Page Number:	6 of 6
Effective Date:	03/27/2008
Board Motion No:	14.04-46
Last Review Date:	08/09/2019
Due For Review:	08/09/2022

REFERENCES/BIBLIOGRAPHY:

Department of Health and Human Services Office of Inspector General. Publication of the OIG Compliance Program Guidance for Hospitals. 63 Fed. Reg. 35, 8987 (Feb. 23, 1998), located at <http://oig.hhs.gov/authorities/docs/cpghosp.pdf>.

Department of Health and Human Services Office of Inspector General. OIG Supplemental Compliance Guidance for Hospitals. 70 Fed. Reg. 4858, 4865 (Jan. 31, 2005), located at <http://oig.hhs.gov/fraud/docs/complianceguidance/012705HospSupplementalGuidance.pdf>

United States Sentencing Commission. Guidelines Manual

Harris Health System Policy and Procedures 3.31 Preventing and Reporting Fraud, Abuse, or Wrongdoing.

Harris Health System Policy and Procedures 3.58 Non-Retaliation for Reporting Fraud, Abuse or Wrongdoing.

Harris Health System Code of Conduct.

OFFICE OF PRIMARY RESPONSIBILITY:

Harris Health System Office of Corporate Compliance

HARRIS HEALTH SYSTEM

POLICY AND REGULATIONS MANUAL

Policy No: 3.36
 Page Number: 7 of 6
 Effective Date: 03/27/2008
 Board Motion No: 14.04-46
 Last Review Date: 08/09/2019
 Due For Review: 08/09/2022

REVIEW/REVISION HISTORY:

Effective Date	Version # (If Applicable)	Review/ Revision Date (Indicate Reviewed or Revised)	Approved by:
	1.0	Approved 02/11/2008	Vice President, Legal Affairs
		Approved 02/11/2008	Vice President of Corporate Compliance
		Approved 02/20/2008	Executive Corporate Compliance Committee
		Approved 02/26/2008	HCHD Policy Review Committee
		Approved 03/13/2008	Board Corporate Compliance Committee
03/27/2008			HCHD Board of Managers (No. 08.3-237)
		Approved 03/02/2010	HCHD Policy Review Committee
	2.0	Revised/Approved 11/13/2012	Operations Policy Committee
	3.0	Revised/Approved 04/08/2014	Operations Policy Committee
		Approved 04/24/2014	Harris Health Board of Managers (No. 14.04-46)
	4.0	08/09/2019 Expedited Executive Approval via Rapid Cycle	CEO
		Required Post-Approval Rapid Cycle Review Complete 06/09/2020 Approved	Structure and Organizational Standards Committee