COMPLIANCE
Resource Guide

Renown HEALTH
The Compliance Resource Guide highlights your responsibilities under the Renown Health (“Renown”) Compliance Program and Code of Conduct. Renown is committed to operating in accordance with the highest ethical standards and creating a culture of compliance throughout the organization.

As a Renown employee, you have a duty to always conduct yourself in the best interest of Renown and its customers. The Renown Compliance Program, Code of Conduct, and compliance policies provide you with guidelines for performing your job in compliance with applicable healthcare laws, regulations, and Renown policies.
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Tools for **SUCCESS**

- **Renown Compliance Program and Code of Conduct**
  - Inside Renown>Department Sites> Corporate Compliance

- **Compliance policies and procedures**

- **Your leader**

  - **Renown Health Vice President, Compliance and Privacy Officer, Melinda Montoya**
    - 775-982-5596
    - melinda.montoya@renown.org

- **Confidential Reporting Form**
  - Inside Renown>Department sites> Corporate Compliance> Report a compliance concern

- **Anonymous Compliance Hotline**
  - 800-611-5097

**Reporting concerns:** Compliance at Renown depends on total commitment from everyone. If you have questions or concerns, now or in the future, please utilize the tools available to you.
What is COMPLIANCE?

Compliance means acting responsibly and providing care in an honest, ethical manner. Renown has developed a Compliance Program and Code of Conduct to help you understand how to do your job within the limits of the law. The Renown Compliance Program is based on seven elements recommended by the Office of Inspector General*.

Compliance is YOUR RESPONSIBILITY

You have the responsibility of performing your job duties in accordance with all laws, regulations and Renown policies and procedures. You also have a duty to report any suspected misconduct or potential compliance violations. Renown offers you multiple methods for reporting their concerns.

Employees reporting compliance concerns in good faith will be protected from retaliation by Federal and Nevada law, as well as Renown’s Non-Retaliation Policy.

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*Office of Inspector General: The Office of Inspector General (OIG) of the U.S. Department of Health and Human Services (HHS) is the governmental forefront of the Nation’s efforts to fight waste, fraud and abuse in Medicare, Medicaid and more than 100 other HHS programs.
Renown COMPLIANCE PROGRAM

To demonstrate its commitment to providing high quality of care in an honest and ethical manner, Renown has developed the Compliance Program. The Program is designed to address fraud and abuse laws, false statements and false claims, privacy and security, and Medicare and Medicaid requirements.

In addition, Renown has developed a Code of Conduct and compliance policies and procedures to help you understand your role in compliance.

The Program is not just a written document; it is an active part of the Renown culture and an important tool for ensuring we are satisfying our mission. The success of the Program is dependent on you and your commitment to doing the right thing. To make sure the Program is operating as intended, Renown will periodically assess the effectiveness of the Program.
The **SEVEN ELEMENTS** of an Effective Program

The Program was developed to address the seven elements of an effective compliance program identified by the Office of Inspector General (OIG).

1. Compliance Officer and Compliance Committee
2. Policies and Procedures
3. Training and Education
4. Open Lines of Communication
5. Auditing and Monitoring
6. Enforcing Disciplinary Standards
7. Responding to Detected Offenses

The Program is designed to proactively identify and resolve potential compliance issues. Renown’s ongoing compliance activities are performed to address the risks associated with each of the seven elements.
The **CODE of CONDUCT**

The Code of Conduct serves as a reminder to all employees of Renown’s commitment to excellence and dedication to conducting business with integrity. The Code of Conduct sets the expectations for your conduct with respect to compliance. Although the Code of Conduct is a valuable resource for you, it cannot cover every possible scenario. You are responsible for reading, understanding, and following the standards set forth in the Code of Conduct.

**LAWS and REGULATIONS:**

You are expected to follow all Federal and Nevada laws and regulations as well as Renown policies and procedures. These rules are designed to eliminate fraud, waste and abuse in the health care system. The following are guidelines for providing care, submitting claims, and establishing relationships between health care providers.

**You need to be familiar with the following:**

1. The Emergency Medical Treatment and Active Labor Act (EMTALA)
2. Fraud and Abuse Laws
   a. False Claims Act
   b. Nevada False Claims Act
   c. Anti-Kickback Statute
   d. Physician Self-Referral “Stark” Law
3. Tax Status
4. Anti-Trust
1. **EMTALA: The Emergency Medical Treatment and Active Labor Act**
   
a. Access to emergency services regardless of an individual’s ability to pay

b. When EMTALA applies, the hospital must provide:
   - Medical screening examination
   - Stabilizing treatment, if needed, and
   - Transfer, when appropriate

c. Prohibits delaying care to discuss payment or insurance coverage

2. **Fraud and Abuse LAWS**
   
a. False Claims Act
   - Prohibits knowingly and willfully making false or fraudulent statements to get a claim paid by the government

   - Federal False Claims Act
   - Knowingly submitting false or fraudulent claims for payment of United States Government funds
   - Criminal and administrative penalties assessed
   - Includes “whistleblower” provision, which allows a private person with knowledge of a false claim to bring a civil action on behalf of the Government to recover the funds paid
b. Nevada False Claims Act
   ◦ Nevada Submission of False Claims to State or Local Government Act
   ◦ Imposes liability for false claims if the State of Nevada or a political subdivision provided any portion of the payment
   ◦ Nevada “whistleblower” provisions protect the individual against discharge, demotion, suspension, threats, harassment and discrimination

c. Anti-Kickback Statute
   ◦ Prohibits knowingly and willfully asking for, offering, giving or receiving something of value (cash or in kind) in exchange for referrals of Medicare or Medicaid business

d. Physician Self-Referral “Stark” Law
   ◦ Limits the referrals for particular services a provider can make to an entity in which he or she has a financial interest

Report any suspicions of fraud or abuse immediately!
EXAMPLES of Medicare Fraud

A. Incorrectly reporting diagnosis or procedures to maximize payments

B. Billing for services not furnished and/or supplies not provided

C. Billing both Medicare and the beneficiary and/or other insurer for the same services

D. Billing non-covered or non-chargeable services as covered items

E. Misrepresenting dates and descriptions of services furnished or the identity of the beneficiary or individual who furnished the services

F. Providing unnecessary services
Duty to REPORT

Renown is dedicated to meeting its legal and ethical obligations, including the duty to investigate and report compliance violations. You are the eyes and ears of the organization. If you see or hear something that you believe violates a law, regulation or policy, it is your duty to report the suspected misconduct or compliance violation via:

• Your supervisor

• Renown Health Vice President, Compliance and Privacy Officer, Melinda Montoya 775-982-5596

• Anonymous Compliance Hotline 800-611-5097

• HIPAA Privacy Line 775-982-8300

• Confidential reporting form found on the intranet

All reported concerns will be promptly and thoroughly investigated. Renown has a Non-Retaliation Policy that protects employees who report potential compliance violations in good faith. Retaliation against an employee making a report is strictly prohibited.
QUALITY of Care

• Provide only medically necessary services
• Treat all patients with dignity and respect
• Act in the best interest of the patient
• Ensure proper documentation of services provided

Workplace CONDUCT

• Safe workplace
• Zero tolerance for:
  ◦ Harassment
  ◦ Discrimination
Business and Personal CONDUCT
You are expected to act in the best interest of Renown and its customers. Inappropriate or disruptive conduct will not be tolerated.

FINANCIAL Reporting
Use Renown’s assets and resources in the most effective and efficient manner. Documentation and reporting of financial information must be timely and accurate.

GOVERNMENT Relations
It is important to separate personal political activities from your professional duties.

Research, Investigations, and CLINICAL TRIALS
Follow all applicable research guidelines and privacy policies and maintain the highest standards of ethics and accuracy.

COMMUNITY Relationships
It is Renown’s vision that we are recognized as a true and trusted community partner.
PRIVACY and Confidentiality

- Personal information
- Proprietary information
- Social media

Protected Health Information

- Related to patient’s past, present, or future physical/mental health or condition
- At least one of 18 personal identifiers
- Any format – written, oral, electronic

Use & Disclosure

- Without authorization
  - To the individual
  - Treatment, payment, or healthcare operations
  - National priority purposes
  - Incidental use
  - Limited data set
- With patient agreement or opportunity to object
  - Limited information to family or friends
  - Facility directory

Protect and secure
Access, use, disclosure
Minimum necessary standard
HIPAA – The Health Insurance Portability and Accountability Act of 1996

• Privacy and confidentiality of patient information
  ◦ Access, use and disclosure

Security

• Physically
• Technically
• Administratively
SECURITY

Safeguarding Patient Information
• Paper records
• Electronic PHI
• Verbal communications

Security Administration
• Authorized/Unauthorized devices
• Approved software
• Computer session rules

Passwords
• Individualized
• Strong construction

Using Information Assets
• Sending/Receiving
• At rest

Access
• Appropriate: __________________________________________

________________________________________________________________________

• Inappropriate: ________________________________________

________________________________________________________________________
CONTACT Information

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