

CODE OF ETHICAL CONDUCT



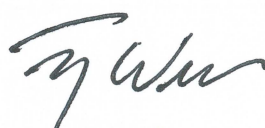
Baptist Health

A PERSONAL MESSAGE FROM OUR PRESIDENT

As members of the Baptist Health family, you and I share an obligation to protect and maintain Baptist Health's long standing reputation for honesty and integrity. We do this by making personal commitments to consistently practice our shared Christian Values of Service, Honesty, Respect, Stewardship and Performance, and by always conducting ourselves in an ethical manner.

Each of us has our own code of ethical conduct which is based on our personal values. However, when we become a part of the Baptist Health family, our conduct is expected to reflect the organization's values. This expectation applies to every person and company associated with Baptist Health. You may be asking yourself why so much emphasis is placed on ethical conduct. The reason is that Baptist Health is much more than a name. It is people like you and me working together to fulfill our mission that gives real meaning to our name. Our patients, their families and friends, and all others we come in contact with see Baptist Health through their impression of us. If we live our Values every day and conduct ourselves in an ethical manner, Baptist Health's Values will be reflected in the way we do our jobs, in our attitude, and in the way we treat others. Many people have worked very hard over the years to build Baptist Health's outstanding reputation and respect for those we serve. It is our responsibility to ensure that we honor and maintain that reputation.

Ethical conduct simply means "doing the right thing", and this Code of Ethical Conduct is our guide. Read it carefully, because it is very important that you understand your ethical responsibilities as a member of the Baptist Health family. Your commitment to our Values, ethical conduct, and serving others with your special talents and abilities will help us accomplish our mission of meeting the healthcare needs of our communities and providing high quality patient care with Christian compassion and personal concern.



Troy R. Wells
President and CEO
BAPTIST HEALTH

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OUR BELIEF

Baptist Health is more than a business; it is a healing ministry. Our healing ministry is based on the revelation of God through creation, the Bible, and Jesus Christ. At Baptist Health, care of the whole person - body, mind, and spirit - is an expression of Christian faith. We are instruments of God's restorative power and are responsible for giving compassionate care.

OUR MISSION

Baptist Health exists to provide quality patient centered services, promote and protect the voluntary not-for-profit healthcare system, provide quality health education, and respond to the changing health needs of the citizens of Arkansas with Christian compassion and personal concern consistent with our charitable purpose.

OUR VISION

Baptist Health will improve the health of Arkansans by changing the way healthcare is delivered.

OUR VALUES

In fulfilling our mission, we place special emphasis on the Values of Service, Honesty, Respect, Stewardship, and Performance.

SERVICE Quality service is the foundation of any successful business, and is even more essential in the provision of healthcare. Our success is dependent on each employee's desire and commitment to serve others.

HONESTY Adherence to the moral values of fairness, integrity, and honor in all relationships is a major priority.

RESPECT All people are to be treated as individuals, with courtesy and thoughtfulness. Respect for each person's dignity and worth is essential. Patients are to be treated with concern and compassion.

STEWARDSHIP We prudently commit our resources, using our talents and strengths in an effective and efficient manner. Our facilities and equipment are maintained with special pride.

PERFORMANCE Desired characteristics of Baptist Health employees include initiative, dedication, talent, and knowledge tempered by common sense. The highest possible performance from all employees is expected, but never at the expense of our values. It is imperative that complacency and mediocrity be avoided through innovation and progress.

Standards of Conduct

As you carry out your daily responsibilities, you will make many decisions. These Standards of Conduct have been prepared to serve as your guide to making the right choices.

- Follow The Rules
- Report Violations
- Respect Everyone
- Be Honest
- Protect Privacy
- Don't Request Gifts or Gratuities
- Don't Offer or Solicit Bribes or Kickbacks
- Avoid Conflicts of Interest
- Keep Accurate & Timely Records
- Protect Our Assets

Your compliance with our standards of conduct is a condition of your employment or other association with Baptist Health. Your failure to comply with these requirements will result in prompt, appropriate disciplinary action, including the possibility of termination.

These very basic and simple standards are explained in more detail on the following pages. If you practice them every day and use them to guide you when deciding if something is right or wrong, you will conduct yourself in an ethical manner as a vital member of the Baptist Health family.

✓ Follow the Rules

The operations of Baptist Health are governed by the laws, rules, and regulations of many federal, state, and local agencies, as well as our own policies and procedures. We are committed to consistent compliance with all applicable regulatory requirements. As a member of the Baptist Health family, it is your personal duty and responsibility to comply with all regulatory requirements, professional standards, and policies and procedures which apply to you.

“Ethical Conduct” means doing the right thing.

It is very important to remember that members of the Baptist Health family are expected to follow the rules because our Values tell us it is the right thing to do, not simply because it is required.

✓ Report Violations

In addition to your responsibility for your personal compliance, you have a responsibility to Baptist Health to report any activities which you either know or suspect are in violation of federal, state, or local laws, rules, regulations or Baptist Health policies and procedures. If you know or suspect that something is being done which violates either regulatory requirements or policies and procedures, you are expected to report that information through the appropriate channels, starting with your supervisor. Your failure to report illegal, immoral, unethical, or non-compliant activities will result in appropriate disciplinary action.

Open communication is the key to consistent compliance.

How to Report Violations

If you have questions or concerns about an activity which you either know or suspect is illegal, immoral, unethical, or non-compliant, what should you do?

- A. **Talk to your Supervisor.** You should always talk to your supervisor first about your questions or concerns. Your supervisor is responsible for creating and maintaining an environment which encourages and supports honest and open communication. Your supervisor is also responsible for addressing and responding to your questions and concerns in a timely manner. If you feel uncomfortable talking to your supervisor, or if your supervisor is involved in something you are concerned about, Baptist Health has provided several other ways for you to ask your questions and express your concerns. However, you must remember that your first communication should be with your supervisor if possible.
- B. **Contact other Baptist Health resources.** If you are unable to resolve your questions and concerns with your supervisor, you can take advantage of other resources, including your Human Resources or Corporate Compliance departments.
- C. **Call the confidential Baptist Health Compliance Line.** The Baptist Health Compliance Line is a toll-free reporting line which is available 24 hours a day, 7 days a week. Your call will be answered by an independent call service, not by a Baptist Health employee. The Compliance Line does not have caller ID, recording devices, or tracking equipment. You are encouraged to give your name to assist the Compliance Officer in investigating your report. However, if you prefer to remain anonymous, you will be assigned a confidential identification number so you can call back and receive information on the status of your report. All calls made to the confidential Compliance Line will be documented and presented to the Baptist Health Compliance Officer for review and referral or investigation if necessary. The Compliance Line's toll-free number is **1-800-991-0888**.

- D. **Contact the Baptist Health Compliance Officer.** You may contact the Compliance Officer in several ways:
1. By telephone at (501) 202-1323;
 2. By e-mail at comply@baptist-health.org;
 3. By letter addressed to:
Baptist Health Corporate Compliance Officer
9601 Baptist Health Drive
Little Rock, AR 72205
 4. In person by scheduling a meeting with the Compliance Officer.

There are many ways in which you can fulfill your responsibility for reporting known or suspected illegal, immoral, unethical, or non-compliant activities. **You are encouraged to report directly to your supervisor first.** However, you are free to use any of the means of communication described above if you are uncomfortable talking to your supervisor about your questions or concerns or if your issue is not resolved.

Protecting Your Identity

If you report a known or suspected violation in good faith, your identity will be kept confidential to the extent permitted by law, unless doing so prevents us from fully and effectively investigating the violation which you reported as required in our non-retaliation policy.

Protecting You

Baptist Health will neither tolerate nor allow any punishment or reprisal (retaliation) against you for good faith reporting of your compliance concerns to your supervisor, the Compliance Line, or the Compliance Officer. You should immediately report any such actions to the Compliance Officer.

Making False Reports

Baptist Health takes all reports of known or suspected violations very seriously. As noted above, if you make a report in good faith, you will be protected against reprisal (retaliation). However, reports of non-compliance which are known to be false when they are made will not be tolerated.

Good faith reporting of a known or suspected violation is the right thing to do.

Other Reporting

Employees also should be aware that the Federal False Claims Act and the Arkansas Medicaid Fraud Act allow individuals to bring an action (called a *qui tam* or whistleblower suit) to enforce the government's right to recover for health care fraud committed by health care providers. A summary of these laws, the protections afforded to whistleblowers under these laws, and how these laws help prevent fraud, waste and abuse in federal health care programs is available on the Baptist Health website. Anyone initiating or participating in a *qui tam* or whistleblower suit will not be discriminated or retaliated against in any manner by Baptist Health.

Baptist Health continues to be committed to complying with all applicable federal, state, and local laws, rules, and regulations. We are also committed to preventing non-compliance, and promptly identifying and correcting a non-compliant situation. But, it takes all of us working together to ensure that we are in compliance. Your personal commitment to following the rules and reporting violations is essential to maintaining Baptist Health's commitment to corporate compliance.

✓ Respect Everyone

Every individual associated with Baptist Health possesses special talents and skills which are needed to accomplish our mission. This includes members of our Board of Trustees, administrative staff, employees, physicians, patients, students, volunteers, contractors, vendors, and many more. You are expected to treat everyone you come in contact with in your role at Baptist Health with the utmost courtesy and respect.

Patient Relations

Baptist Health's primary concern is for the well being, comfort, and dignity of our patients. You are expected to treat all patients with Christian compassion and personal concern.

Harassment

Verbal, sexual, physical, or emotional harassment of any member of the Baptist Health family will not be tolerated. Harassment results from a lack of Respect for others and violates one of our basic Values. If

you experience any type of harassment, you should immediately report the situation to your supervisor. If you are not comfortable discussing the situation with your supervisor, or if you have talked to your supervisor and you do not feel the situation has been adequately addressed, you should talk to Human Resources, or you may report your concerns to the Compliance Officer either directly or through the Compliance Line.

Discrimination

You are expected to treat every person associated with Baptist Health the same. You are expected not to discriminate against any person because of their race, age, color, creed, sex, national origin, religion, sexual orientation, marital status, veteran status, disability, source of payment, or ability to pay. Baptist Health also expects others not to discriminate against you for any of the reasons listed above. If anyone feels they are being discriminated against, promptly notify a supervisor. If anyone feels they cannot do that, then either contact the Human Resources department, or call the Compliance Line or the Compliance Officer for help.

Treat everyone with dignity and respect.

✓ Be Honest

As one of our fundamental Values, Honesty is an expectation which cannot and will not be compromised. You are expected to be honest in all aspects of your role as a member of the Baptist Health family. We view dishonesty in very simple terms:

- Lying
- Cheating
- Stealing
- Falsifying records

Dishonesty is taken very seriously at Baptist Health. You are expected to be honest in all of your work-related activities.

✓ Protect Privacy

Information about Baptist Health, its patients, employees, physicians, financial status, internal operations, and other proprietary information is strictly confidential. You are not to disclose any confidential information without proper authorization. There are specific Federal privacy and security regulations outlined in the Health Insurance Portability and Accountability Act (HIPAA) which all employees are required to follow. These are national standards designed to protect who can see, obtain, or use patients protected health information (PHI).

As an employee you are required to:

- Attend/receive Baptist Health privacy and security training.
- Use your knowledge of the privacy and security regulations to protect and promote patient's privacy in your work setting.
- Direct patients and co-workers who have privacy complaints to the Privacy Officer (501-202-6776).
- Direct patients who have questions about their privacy rights (including medical record review, amendment, restriction, copies, etc.) to the Director of Health Information Management at your facility.
- Know that the Baptist Health Notice of Privacy Practices is a core document concerning HIPAA's privacy regulations. It is available in all Admissions Departments and on the Baptist Health web page.
- Know that the Baptist Health policy, "Privacy and Confidentiality of Protected Health Information (PHI)," which addresses HIPAA's privacy regulations and is available for reference on Employee Net.
- Know that the Baptist Health policy, "HIPAA Privacy and Security Discipline," is available for reference on EmployeeNet.

- Use reasonable care to prevent the unauthorized disclosure of PHI by:
 - Not discussing a patient's condition, status, treatment, etc., with co-workers, patients or their family members, or other providers in public areas, such as elevators or waiting rooms, where unauthorized persons may overhear;
 - Not leaving reports or other documents that contain PHI accessible and visible to unauthorized persons;
 - Not leaving PHI displayed on a computer screen and visible to unauthorized persons;
 - Not leaving phone messages on a patient's answering machine that may constitute PHI (e.g., an appointment reminder message that includes the patient's name and the type of practice or reason for appointment);
 - Not transmitting PHI through any communication system (i.e., e-mail, text, social network sites, etc.) that does not have proper safeguards.

- Only access electronic patient information (ePHI) when it is related to your duties as assigned.

Violations of the Federal privacy rules may subject the offender(s) to civil or criminal fines and penalties.

✓ **Don't Request Gifts or Gratuities**

Our Value of Service recognizes that quality patient care depends on each employee's desire and commitment to serve others. The Value of Performance establishes the expectation that every Baptist Health employee will provide service at their highest level of performance.

Patients, visitors, vendors, contractors, and others may attempt to give you cash as a token of appreciation for your services. While such gestures are often sincere, accepting cash and requesting gifts or gratuities from patients or other sources is strictly prohibited.

You may accept expressions of thanks through gifts of nominal value from patients or family members. This includes items such as flowers, candy, etc.

Any gift offered to an employee may be directed to the Baptist Health Foundation. This charitable gift can be given in recognition of the employee.

If someone wants to make a substantial gift or donation to Baptist Health, contact Baptist Health Foundation, (501) 202 -1839.

✓ **Don't Offer, Solicit, or Accept Bribes or Kickbacks**

You may be in a position to influence decisions related to patient referrals, purchasing goods or services, or releasing confidential information. If you are in such a position, you are prohibited from offering, soliciting, or accepting any item which could affect your decisions or cause you to use your influence or position with Baptist Health in an inappropriate or unethical manner. This applies not only to cash, but also to free or significantly discounted goods or services, office space, use of equipment, or other services provided to or by a person or company at less than fair market value.

Offering, soliciting, or accepting bribes or kickbacks will result in immediate termination of your relationship with Baptist Health.

Federal law is very strict regarding kickbacks, especially when related to physicians and the referral of patients. So, it's very important to be sure that any activity or transaction you enter into does not violate federal anti-

kickback statutes. If you are not sure, contact the Compliance Officer or call the Compliance Line.

✓ **Avoid Conflicts of Interest**

You have a duty in your role as a member of the Baptist Health family to place the interests of Baptist Health ahead of your personal interests. You are expected to avoid situations in which your personal interests conflict, or even appear to conflict with your responsibilities to Baptist Health. A conflict of interest occurs if an outside interest or activity may influence or appear to influence your ability to be objective in your decision making, affect your job performance, or result in personal financial gain.

The following are examples of situations which could result in a conflict of interest:

- Engaging in outside employment (moonlighting) which affects your work at Baptist Health
- Accepting substantial gifts from any source
- Promoting a business in which you have either a direct or indirect interest on company time
- Selling items or soliciting donations at work
- Using your position to influence the hiring of a family member or close friend
- Engaging in political activities at work
- Misusing confidential information for personal gain or the benefit of others
- Serving as an officer, consultant, director, or employee of an

organization which is a competitor of Baptist Health, or could do business with Baptist Health as a supplier, contractor, or customer

- Hiring Baptist Health vendors or contractors to perform personal work for you or your family without appropriate administrative approval
- Endorsing or giving a testimonial for a vendor, supplier, contractor, or trade organization without prior administrative approval

If you are involved in a situation or activity which could result or appear to result in a conflict of interest, you are expected to disclose that to your supervisor. If you are not sure if a conflict of interest exists, you can contact the Compliance Officer for a determination.

It is important that you avoid even the appearance of a conflict of interest.

✓ Keep Accurate & Timely Records

You are expected to ensure that all patient and business records for which you are responsible are accurate and completed on a timely basis. Failure to record information or the recording of false or misleading information will not be tolerated.

All actions and transactions, regardless of whether they are medical, financial, operational, or administrative, must be accurately documented on a timely basis according to Baptist Health's policies and procedures, and all applicable federal, state, and local laws, rules, and regulations.

It is particularly important that you remember that our medical records are the legal documents which describe the services our patients receive. They also provide supporting documentation for diagnoses and all patient charges. Therefore, it is imperative that all entries made in patients' medical records

are complete and accurate, and that services are documented when they are performed by the person who performed them.

If it's not documented, it wasn't done!

✓ **Protect our Assets**

Baptist Health's assets are for use in providing patient care and conducting authorized business. They are not to be used for personal reasons. This includes the use of items such as office equipment, computers, software, office supplies, medical supplies, and vehicles, as well as other types of property such as patient information, company records, and cash.

You are not to remove assets from Baptist Health property unless you need them to perform your job. Then, they must be returned as soon as they are no longer needed for off-site business.

You are expected to maintain and properly operate all Baptist Health assets.

Baptist Health is committed to our Value of Stewardship by utilizing our financial resources as efficiently and effectively as possible. We must be prudent buyers of goods and services, always ensuring that we get the most value for our money and that we are not wasteful.

You are responsible for protecting our assets and conserving our resources by making sure you do not waste or misuse them, and by reporting any inappropriate use by others.

Baptist Health's assets are to be used only for providing patient care and conducting authorized business.

Now You Know

- ◆ You know what “ethical conduct” means to you as a member of the Baptist Health family, that you are expected to always conduct yourself in an ethical manner.
- ◆ You know that you are expected to report known or suspected illegal, immoral, unethical, or non-compliant situations, and that your failure to report will result in disciplinary action.
- ◆ You know the various ways in which you can report such situations.
- ◆ You know that you can be confident that you will not be punished or retaliated against as a result of your good-faith reporting, but that reporting situations which you know to be false will not be tolerated.
- ◆ Your compliance with our standards of conduct is a condition of your employment or other association with Baptist Health. Your failure to comply with these requirements will result in prompt, appropriate disciplinary action, including the possibility of termination.

Now you know how strongly Baptist Health is committed to its Values and what it means to conduct yourself ethically as a member of the Baptist Health team.

APPROVAL & REVISION RECORD

February 2, 1999	Approved by the Corporate Compliance Committee
February 4, 1999	Approved by the Senior Leadership Team
February 9, 1999	Approved by the Finance/Audit Committee of the Board of Trustees
February 25, 1999	Approved by the Board of Trustees
January 19, 2004	Amended by the Corporate Compliance Committee
January 22, 2004	Approved by the Senior Leadership Team
February 10, 2004	Approved by the Finance/Audit Committee of the Board of Trustees
February 26, 2004	Approved by the Board of Trustees
September 25, 2006	Amended by the Corporate Compliance Committee
November 7, 2006	Approved by the Finance/Audit Committee of the Board of Trustees
November 16, 2006	Approved by the Board of Trustees
June 23, 2008	Amended by the Corporate Compliance Committee
September 9, 2008	Approved by the Finance/Audit Committee of the Board of Trustees
September 25, 2008	Approved by the Board of Trustees
January 12, 2010	Approved by the Board of Trustees
June 23, 2014	Amended by the Corporate Compliance Committee
January 22, 2018	Amended by the Corporate Compliance Committee and by the Compliance and Audit Subcommittee of the Board of Trustees
January 18, 2021	Amended by the Compliance and Audit Subcommittee of the Board of Trustees



Baptist Health

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