

DEPARTMENT: Ethics and Compliance	POLICY DESCRIPTION: Code of Conduct Distribution and Training
PAGE: 1 of 4	REPLACES POLICY DATED: 6/1/98, 11/1/00, 1/1/01, 3/15/02, 5/1/02, 2/15/03, 4/15/03, 8/1/03, 1/30/04, 4/15/04, 8/31/05, 1/1/06, 2/1/06, 7/1/06, 1/1/09, 2/1/2012, 7/1/12, 1/1/13, 3/1/14
EFFECTIVE DATE: January 1, 2018	REFERENCE NUMBER: EC.011
APPROVED BY: Ethics and Compliance Policy Committee	

SCOPE: All Company-affiliated facilities including, but not limited to, hospitals, ambulatory surgery centers, outpatient imaging centers, home health agencies, physician practices, and all Corporate Departments.

PURPOSE: To establish requirements for distributing the Company's Code of Conduct ("Code"), collecting Code acknowledgments, and conducting orientation and refresher Code training for Company colleagues and Qualifying Individuals.

POLICY:

1. Code Distribution. Within 30 days of being hired, each new employee must receive a copy of or be provided the opportunity to electronically review the Code; acknowledge such review; acknowledge that the Code represents mandatory policy; and agree to abide by the Code.
2. Orientation Code Training.
 - a. Each new employee must receive one hour of Orientation Code Training within 30 calendar days of becoming a new employee using materials provided by the Corporate Ethics and Compliance Department.
 - b. Should an employee fail to receive Orientation Code Training within thirty (30) calendar days of becoming a new employee, the employee must receive the training immediately, and the fact that the employee did not receive the training in a timely fashion and the name of the employee's supervisor and an action plan for resolution must be reported:
 - for a hospital employee, to the Division President;
 - for an employee at the Corporate office, to the Company's Senior Vice President and Chief Ethics and Compliance Officer; or
 - for an employee in any other setting, to an individual in a position equivalent to the Division President.
3. Refresher Code Training.
 - a. Each Current Employee must receive one hour of Refresher Code Training each year using materials provided by the Corporate Ethics and Compliance Department.
 - b. Should any employee fail to receive Refresher Code Training by October 31st, the employee must be immediately suspended without pay until such time as he or she receives the training.
 - c. An employee on leave as of October 31st, who did not complete refresher training prior to taking leave, must receive the current year's refresher training within 30 calendar days of his or her return. If the employee's 30-day period crosses over into a new calendar year, and the refresher training is completed in the new calendar year, the completion will satisfy the training requirements for both years.

DEPARTMENT: Ethics and Compliance	POLICY DESCRIPTION: Code of Conduct Distribution and Training
PAGE: 2 of 4	REPLACES POLICY DATED: 6/1/98, 11/1/00, 1/1/01, 3/15/02, 5/1/02, 2/15/03, 4/15/03, 8/1/03, 1/30/04, 4/15/04, 8/31/05, 1/1/06, 2/1/06, 7/1/06, 1/1/09, 2/1/2012, 7/1/12, 1/1/13, 3/1/14
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4. Qualifying Individuals who are hired on September 1st or later will only need to receive the one-hour orientation training within 30 days of hire and are not required to receive refresher training in that year.
5. All Qualifying Individuals must receive the Code or be provided the opportunity to review it electronically, sign the acknowledgment card or be provided the opportunity to acknowledge review electronically and receive the training in accordance with this Policy.

PROCEDURE:

1. Each Facility Ethics and Compliance Officer (ECO) shall ensure that a process is established at his or her facility and the Corporate Ethics and Compliance Department shall establish and maintain a process for the Corporate Office for:
 - a. Providing a copy of, or the opportunity to electronically review, the Code to each new full-time employee within 30 calendar days of his or her employment;
 - b. Providing a copy of, or the opportunity to electronically review, the Code to each new part-time or *per diem* employee or Qualifying Individual;
 - c. Collecting a signed Code acknowledgment card from, or providing the opportunity to acknowledge review electronically by, all persons provided a copy of or electronic access to the Code pursuant to this policy and maintaining record of such acknowledgment via Code of Conduct training records in the HealthStream Learning Center (HLC);
 - d. Conducting one hour of Orientation Code training within 30 calendar days of an individual becoming a new employee or Qualifying Individual using training materials and guidance, provided by the Corporate Ethics and Compliance Department. Specific guidance on conducting Orientation training is provided in the Orientation facilitator's guide on Atlas.
 - e. Conducting one hour of Refresher Code Training annually for all Current Employees and Qualifying Individuals subject to this policy, using training materials and guidance provided by the Corporate Ethics and Compliance Department. Specific guidance on conducting Refresher training is provided in the Refresher facilitator's guide on Atlas.
 - f. Reporting the name of the supervisor of any employee who fails to receive Orientation Code Training within thirty (30) calendar days of an individual becoming a new employee and an action plan for resolution to the:
 - Division President for a hospital employee;
 - Senior Vice President and Chief Ethics and Compliance Officer for a corporate employee; or
 - An individual in the position equivalent to the Division President for any other setting.
 - g. Suspending without pay any employee required to receive Refresher Code Training who fails to receive Refresher Code Training by October 31st.

DEPARTMENT: Ethics and Compliance	POLICY DESCRIPTION: Code of Conduct Distribution and Training
PAGE: 3 of 4	REPLACES POLICY DATED: 6/1/98, 11/1/00, 1/1/01, 3/15/02, 5/1/02, 2/15/03, 4/15/03, 8/1/03, 1/30/04, 4/15/04, 8/31/05, 1/1/06, 2/1/06, 7/1/06, 1/1/09, 2/1/2012, 7/1/12, 1/1/13, 3/1/14
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2. Facilitator materials for all Code training are made available to ECOs at appropriate times and are maintained on the Company's Intranet site at Ethics & Compliance in a password-protected format.
3. Code of Conduct Orientation and Refresher training must be tracked using the HLC.
4. Whenever the Code of Conduct is reissued, communication of the changes must be provided pursuant to instructions from the Corporate Ethics and Compliance Department.

DEFINITIONS:

New Employee, for purposes of this policy, means any newly hired individual, or any individual who previously worked for a Company-affiliated facility but has not worked as an employee or contractor for the Company-affiliated facility within the 180 calendar days preceding hire. Notwithstanding the above, this term does not include part-time or *per diem* employees who are not reasonably expected to work more than 160 hours in the calendar year, except that any such individuals shall be considered a new employee subject to the requirements of this policy, at the point when they in fact work more than 160 hours during the calendar year. This definition applies exclusively to this policy and for the determination of Code of Conduct training requirements.

Please note: Any individual terminated for failure to receive Refresher Code of Conduct training in one year and re-hired in the next is considered a new employee for purposes of this policy regardless of the number of days of break in service.

Current Employee, for purposes of this policy, means any individual who at one time was a New Employee and is reasonably expected to work more than 160 hours in the calendar year or works more than 160 hours in the calendar year. (Therefore, individuals could be New Employees in one year, which would also make them Current Employees for that year, but not be a Current Employee the next year – because they do not work 160 hours. The following year if they work 160 hours, they could again be Current Employees.)

Qualifying Individual, for purposes of this policy, means (i) any officer, director, or employee of an HCA Healthcare-affiliated facility; **or** (ii) any agent or other individual who furnishes healthcare items or services to any Federal health care program beneficiary at a Company-affiliated facility for which the Company-affiliated facility claims reimbursement from any Federal health care program. Notwithstanding ii, this term does not include agents or other individuals who are not reasonably expected to work more than 160 hours per calendar year, except that any such individuals shall become Qualifying Individuals, subject to the requirements of this policy, at the point when they in fact work more than 160 hours during the calendar year.

DEPARTMENT: Ethics and Compliance	POLICY DESCRIPTION: Code of Conduct Distribution and Training
PAGE: 4 of 4	REPLACES POLICY DATED: 6/1/98, 11/1/00, 1/1/01, 3/15/02, 5/1/02, 2/15/03, 4/15/03, 8/1/03, 1/30/04, 4/15/04, 8/31/05, 1/1/06, 2/1/06, 7/1/06, 1/1/09, 2/1/2012, 7/1/12, 1/1/13, 3/1/14
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Members of some boards of joint ventures between the Company and other entities are considered **governing directors** and, therefore, are considered Qualifying Individuals. Members of most hospital boards of trustees and surgery center governing boards are **non-governing directors** and are not considered Qualifying Individuals.

Regardless of the number of hours they are providing services in a Company-affiliated facility, Non-employee Dependent Healthcare Professionals (DHPs) and Tier 1 Non-Employees, as defined in the Vetting Dependent Healthcare Professionals and Other Non-Employees Policy, COG.PPA.003, are not considered Qualifying Individuals for purposes of this policy. If a facility wants to provide Code of Conduct training to DHPs and Tier 1 Non-Employees, they may do so, but such training is not a requirement of this policy.

REFERENCES:

1. Code of Conduct
2. Vetting Dependent Healthcare Professionals and Other Non-Employees Policy, [COG.PPA.003](#)