I. **SCOPE:**

This policy applies to (1) Tenet Healthcare Corporation and its wholly-owned subsidiaries and affiliates (each, an “Affiliate”); (2) any other entity or organization in which Tenet Healthcare Corporation or an Affiliate owns a direct or indirect equity interest greater than 50%; and (3) any hospital or healthcare facility in which an Affiliate either manages or controls the day-to-day operations of the facility (each, a “Tenet Facility”) (collectively, “Tenet”).

II. **PURPOSE:**

The purpose of this policy is to ensure the safety of any individual in a Tenet Facility and to ensure that the Administrator on Call immediately and effectively reports allegations of sexual or physical abuse, neglect or assault to the appropriate authorities and within Tenet. This policy is intended to cover the reporting of allegations that could involve potential criminal conduct.

This policy does not cover the following allegations of abuse:

1. Allegations of unintentional failure to meet professionally recognized standards of care are not governed by this policy. For example, an unintentional medication error would be governed by the Clinical Operations policies CO-2.008 Event Reporting and CO-2.010 Sentinel Event Response and Reporting (or PPREVC905 Serious Reportable Events/Sentinel Events, if applicable) and not this policy. However, the intentional provision of the wrong medication for the purpose of causing harm would be governed by this policy.

2. Allegations relating to conduct between employees is not governed by this policy but should be addressed under the applicable Human Resources Policy (i.e., HR.ERW.10 Sexual and Other Unlawful Harassment, HR.ERW.09 Employee Conduct and Work Rules). If an employee is subjected to conduct by a patient, that employee should work with his/her Human Resources department.

3. Allegations of abuse, assault or neglect of a patient that occurred in a location other than a Tenet Facility (e.g., at home or at a non-Tenet facility prior to a patient’s arrival) are not governed by this policy. Contact the Facility’s assigned Counsel in the Law Department’s Regulatory Group (“Regulatory Counsel”) for guidance on proper reporting of these allegations.

III. **DEFINITIONS:**

A. “Immediate” means at the time of witnessing conduct or receiving an allegation of conduct that is the subject of this policy. The requirements in this policy for
IV. POLICY:

All individuals in Tenet Facilities, including patients, have the right to be free of abuse, neglect and assault. The Administrator on Call (AOC) or designee of each Tenet Facility is responsible for immediate reporting of allegations of abuse, neglect or assault occurring in the Tenet Facility to the local police and/or other appropriate authorities and to Tenet so that the proper investigation of alleged criminal or other inappropriate conduct may be conducted by those authorities. The designee must be a senior-level or similar position with facility-wide responsibilities, such as a house supervisor, risk manager, or assistant Chief Nursing Officer, etc. All Tenet Facilities are responsible for immediately implementing measures to protect any individual impacted by such conduct and for taking immediate and effective corrective action in response to such allegations.

V. PROCEDURE:

A. Tenet Facility Implementation

1. Reporting Conduct to Police or Authorities

Any employee or member of the Facility Medical Staff who witnesses or receives an allegation of sexual or, physical abuse, neglect or assault of any patient or other individual in the Tenet Facility must immediately ensure the safety of that individual and must immediately make contact with the Facility AOC or designee. The Facility AOC or designee must
verify the safety of the individual and **immediately** make contact with the local police department and/or other appropriate authorities to report the allegation.

The Facility AOC or designee may contact Regulatory Counsel for advice if the matter is reportable. If Regulatory Counsel is unavailable, the Facility AOC or designee should resolve any ambiguity by reporting the event to the local police department and/or other appropriate authorities. The Facility AOC or designee may contact Regulatory Counsel directly using their office lines or mobile phones, or by utilizing the Abuse Hotline at (469) 893-8800 during business hours and at (214) 458-0812 after hours and on weekends.

2. Reporting Conduct to Regulatory Counsel directly or through Abuse Hotline

All allegations under this policy must be reported to Regulatory Counsel or the Abuse Hotline immediately (within 24 hours) even if the Tenet Facility believes the allegation is unsubstantiated. Regulatory Counsel will advise on reporting to other authorities, including state licensing agencies and other agencies as appropriate or required by Federal, state or local law or regulation. The Facility AOC or designee may contact Regulatory Counsel directly using their office lines or mobile phones, or by utilizing the Abuse Hotline at (469) 893-8800 during business hours and at (214) 458-0812 after hours and on weekends.

3. Notifying Facility Leaders

After the Facility AOC or designee notifies Regulatory Counsel of the allegation, the AOC or designee must notify the Compliance Officer, Risk Manager, Human Resources Leader, Communications Officer and appropriate A-Team members regarding the incident. If the designee is making the notifications, the designee must notify the AOC. Notification must occur within 24 hours of notifying Regulatory Counsel.


The Tenet Facility employee must create an event report pursuant to the Clinical Operations policies CO-2.008 Event Reporting and CO-2.010 Sentinel Event Response and Reporting (or PPREVC905 Serious Reportable Events/Sentinel Events, if applicable) and complete the corporate notification process described in these policies.
<table>
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<tr>
<th>Regulatory Compliance Policy</th>
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<td>Page: 4 of 6</td>
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5. Investigating Allegations

All internal reviews will be directed by Regulatory Counsel and Employment Counsel. Before conducting interviews that are required to complete the root cause analysis indicated by the Sentinel Event Response and Reporting Policy, the Tenet Facility must coordinate with Regulatory Counsel to ensure that interviews do not conflict with interviews that may need to be conducted by local law enforcement. In responding to allegations of abuse, assault or neglect made by a patient, the Tenet Facility also is required to follow the Clinical Operations policy CO-2.004 Complaints and Grievances.

6. Documentation

The Compliance Officer, Risk Manager and Human Resources Director are each responsible for maintaining complete documentation of all allegations of abuse, neglect or assault; the specifics of the allegations made; the specific steps taken by law enforcement and/or other appropriate authorities and the Facility to review the allegations; and the results of the review including the results of any review by law enforcement or other external agency. Documentation must be made in the appropriate electronic documentation system (e.g., Compliance Central, ESRM, etc.) and maintained according to Administrative policy AD 1.11 Records Management and its Record Retention Schedule.

B. Corporate Implementation

Tenet Regulatory Counsel is responsible for evaluating and coordinating additional actions as appropriate to respond to the allegations and ensure the proper resolution of the matter. Such examples may include the following:

1. Coordinating a review of whether prior allegations have been made that could be similar to or related to the current allegations;

2. Coordinating with the Human Resources Department and Tenet Employment Counsel on taking appropriate actions with respect to any Tenet Facility employee or contractor;

3. Coordinating with the Clinical Operations Department on any patient safety or other clinical matters;

4. Giving advice on the referral of the matter to the Medical Staff for appropriate peer review action with respect to any member of the Facility Medical Staff or Professional Staff;
5. Coordinating with the Facility Risk Manager or other appropriate Facility personnel to ensure that the appropriate notification has been made to the patient/family as required by the Clinical Operations policy CO-2.010 Sentinel Event Response and Reporting (or PPREVC905 Serious Reportable Events/Sentinel Events, if applicable);

6. Coordinating with the Tenet Facility Communications representative and Corporate Communications Department;

7. Coordinating with the Ethics and Compliance Department to determine adherence to the Standards of Conduct;

8. Working with the Tenet Facility to ensure that the response to the matter complies with all policies and procedures;

9. Cooperating and coordinating with any law enforcement investigation or other agency of the matter; and

10. Coordinating with other attorneys in the Law Department, as appropriate.

C. Responsible Person

The Tenet Facility leadership team is responsible for ensuring that all individuals adhere to the requirements of this policy, that these procedures are implemented and followed at the Tenet Facility, and that instances of noncompliance with this policy are reported to the Chief Compliance Officer.

D. Auditing and Monitoring

Audit Services will monitor compliance to this policy as part of the routine audit process.

E. Enforcement

All employees whose responsibilities are affected by this policy are expected to be familiar with the basic procedures and responsibilities created by this policy. Failure to comply with this policy will be subject to appropriate performance management pursuant to all applicable policies and procedures, up to and including termination. Such performance management may also include modification of compensation, including any merit or discretionary compensation awards, as allowed by applicable law.

VI. REFERENCES:

- Standards of Conduct
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<td>6 of 6</td>
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<tr>
<td>Effective Date:</td>
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<td>Retires Policy Dated:</td>
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- Quality, Compliance and Ethics Program Charter
- Human Resource policy HR.ERW.11 Professional Relationships with Patients
- Human Resource policy HR.ERW.09 Employee Conduct and Work Rules
- Tenet Facility Medical Staff Bylaws
- Clinical Operations policy CO-2.008 Event Reporting
- Clinical Operations policy CO-2.010 Sentinel Event Response and Reporting
- Regulatory Compliance policy COMP-RCC 4.21 Internal Reporting of Potential Compliance Issues
- Administrative policy AD 1.11 Records Management and its Record Retention Schedule