Code of Conduct

Children’s Hospital Colorado
Here, it’s different™
Dear team members,

Our mission at Children's Hospital Colorado is to improve the health of children through the provision of high-quality, coordinated programs of patient care, education, research and advocacy. As we strive to be the leader in providing the best healthcare outcomes for all children, our expectations for the highest level of ethical conduct are ingrained in our culture and everything we do.

The Children's Colorado Code of Conduct is simple: Do the right thing. Our expectation is that every team member throughout our system of care educate themselves to comply with all laws, regulations and policies. When needed, we expect team members to access resources in resolving ethical dilemmas.

If you ever encounter a situation where the right choice is not clear, I encourage you to do any of the following:

- Refer to our policies and procedures, which can be found on MyChildrensColorado.
- Ask or speak to your team leader.
- Contact the Compliance and Business Ethics Department and/or Human Resources.

We hold ourselves to the highest standards of character and integrity and encourage everyone in the organization to share concerns when they arise. As you review the Code of Conduct, please think about how you can demonstrate its standards in your role. Ultimately, we each have the responsibility to do the right thing.

Thank you for your continued commitment to reimagining and realizing child health for our patients, families and community. Together, we provide integrated patient care to kids in our seven-state region and beyond, delivering the services they need most, when and where they need it. I look forward to partnering with you to accomplish these aims.

Sincerely,

JENA HAUSMANN
President and Chief Executive Officer
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Here, it's different.

This is an extraordinary place. There’s magic in our energy, in our spaces, our people and our discoveries. There’s even magic in our motivation: to eradicate childhood disease, so that one day, like magic, children will no longer need us.

Mission

We are a mission driven organization. Our mission is to improve the health of children through the provision of high-quality, coordinated programs of Patient Care, Advocacy, Education, and Research.

Vision


Values

For a child’s sake...

We are a caring community called to honor the sacred trust of our patients, families and each other through humble expertise, generous service and boundless creativity.

...This is the moment.
Introduction

Ethics/Integrity
Everyone at Children’s Colorado recognizes the privilege and responsibilities that come with caring for a child’s health and well-being. We strive to provide high-quality and ethical care in all settings by following standards of care that are based upon the unique needs of our patients. We must maintain high ethical standards while operating in an environment of complex, ever-changing laws, regulations, accrediting standards and organizational policies.

We recognize that you may encounter uncertainty as you perform your duties on behalf of Children’s Colorado. Ethics and compliance must be an integral part of your decision-making process. We have adopted this Code of Conduct as a written statement outlining a broad spectrum of ethical practices that direct our daily operations. The purpose of this Code of Conduct is to establish a common understanding of the standards of behavior expected of all team members. Team members include: employees, credentialed medical staff members, residents, fellows, students, interns, externs, researchers, volunteers, all contractors and agency labor (temporary or permanent), patient transport personnel, and other persons whose conduct, in the performance of work for Children’s Colorado, is under the direct control of Children’s Colorado, whether or not they are paid by Children’s Colorado.

We all have an obligation to take responsibility for our own conduct and cooperatively work with colleagues to establish consultative and collaborative workplaces where we are happy and proud to work. This Code of Conduct is intended to serve as a guide and reference for you to support your day-to-day decision making; however, because this document cannot cover all circumstances, should an issue arise, there are additional resources available to help you navigate the situation.

Requesting Guidance/Reporting Ethics and Compliance Concerns/ Non-Retaliation
Concerns and questions about how to correctly handle situations frequently arise. When determining if a decision is ethical, we often come across “gray areas.” In those situations, ask yourself:

- Which option will produce the most good and result in the least harm?
- Which option best respects the rights of everyone involved?
- Which option treats people equally?
- Which option best serves Children’s Colorado as an organization?
- Which option leads me to act as the sort of person I want to be?

We all have the responsibility to question and promptly report any activity that appears to violate this Code of Conduct or any laws, regulations, or Children’s Colorado policies. We are committed to maintaining an environment where open and honest communication is the expectation, not the exception. You may request guidance or report concerns using one of several mechanisms available.

If you have ethical or compliance concerns, you should report them to your immediate supervisor, to the next level of management, or you may contact Human Resources or CaBE (Compliance and Business Ethics). If you do not feel comfortable speaking directly to someone at Children’s Colorado, you may also report concerns anonymously and/or confidentially to the Compliance Hotline via phone (1-866-568-5420) or online (childrenscolorado.alertline.com).

Children’s Colorado has a non-retaliation policy, which means team members may not be disciplined, reprimanded, or retaliated against for reporting a potential problem (including safety or quality of care concerns) to appropriate personnel or outside regulatory agencies in an accurate or truthful manner. (Non-Retaliation in Reporting Misconduct or Variances)
Employee Standards

Standards of Behavior

Quality and Safety
We commit to quality and safety in everything we do.

Communication
We use words and actions to communicate our commitment to excellence and integrity.

Ownership
We take ownership of opportunities and challenges.

Relationships
We build relationships to provide care and service with respect, compassion, and integrity.

Professionalism
We demonstrate professionalism in how we act, what we know, and how we treat others.

Teamwork
We work together toward a common vision.

Conflict of Interest
We have an obligation to conduct business within guidelines that prohibit actual or potential conflicts of interest. We rely on your judgment and discretion to avoid conflicts of interest and to seek guidance from management whenever you have doubt. Conflicts of interest may occur if your outside activities or personal interests influence or appear to influence your ability to make objective decisions relative to your job responsibilities. If the demands of any outside activities hinder or distract you from your job performance or cause you to use Children’s Colorado resources inappropriately, a conflict of interest may also exist. If you are unsure whether an outside activity might constitute a conflict of interest, please speak with your manager or contact the Compliance and Business Ethics Department (CaBE). (Conflict of Interest – General Guidelines)

We are required to disclose potential conflicts of interest to ensure important decisions are not influenced by such circumstances. If you are concerned that a potential conflict of interest may have a direct implication on patient care, please reference the Ethical Issues policy. (Ethical Issues Policy)

Q. In appreciation of our business, a vendor occasionally invites me to dinner or other entertainment activity. Is it appropriate for me to accept the invitation?
A. It depends, extending or accepting business courtesies may raise legal and ethical issues. Such activities may be undertaken only when they align with Children’s Colorado’s gift policy. (Gifts and Other Business Source Interactions)

Q. A vendor has offered to pay for some of our team members to attend a conference to learn about a new product. They will pay all travel expenses. Is this a conflict of interest?
A. Accepting this offer could be construed as accepting a gift of greater than nominal value or an inducement for business from the vendor and therefore should not be accepted. If Children’s Colorado feels that learning about the new product is worthwhile, the hospital may elect to pay for team members to attend. When in doubt, discuss the situation with your supervisor or CaBE.

Q. A vendor we do business with brings my department personnel lunch on occasion. Is this a conflict of interest?
A. Children’s Colorado does not allow vendors to bring in meals to team members per policy. (Gifts and Other Business Source Interactions)
Q. I have been asked to give a presentation on child wellness to a professional group on a day during my work time. They have offered me an honorarium. May I accept the honorarium?

A. You may decline such payment or accept and submit it to Children’s Colorado since you are speaking during your regularly scheduled work hours. There are certain circumstances where you may be allowed to personally accept honoraria. Please contact Human Resources or CaBE in advance if you are considering personally accepting an honorarium.

Q. I work in our emergency department and I am considering starting a business selling resuscitative equipment over the Internet. Is this considered a conflict of interest?

A. Your type of second employment may be a conflict of interest, and it is best to consult with CaBE and your manager for clarification before proceeding.

Harassment

We have the right to work in an environment free of harassment and disruptive behavior. We do not tolerate conduct by any team member that harasses, disrupts, or interferes with another team member’s work performance or that creates an intimidating, offensive, or hostile work environment. (Discrimination/Harassment, Harassment)

Alcohol and Drug-free Environment

We are committed to an alcohol and drug-free work environment to protect our patients and each other. Children’s Colorado prohibits the unlawful manufacture, distribution, dispensation, possession, and/or use of a controlled or illegal substance, or any other substance that causes impairment, while working and/or while present at any Children’s Colorado location. We recognize you may take prescription or over-the-counter drugs which could impair judgment or other skills required in job performance. However, you are expected to report to work in a fit condition to perform your duties. (Drug and Alcohol, Practitioner Health)

Non-discrimination and Equal Employment Opportunity

We are committed to providing an equal employment opportunity environment. We must not discriminate against any individual based on age, race, ethnicity, national origin, ancestry, sex, creed, religion, pregnancy, disability (mental and physical), marital status, genetic information, gender expression, sexual orientation, veteran status, or any other protected classification to the extent required by applicable laws. (Equal Opportunity Employment)

General Confidentiality

We recognize the need to maintain business and personnel information in the strictest confidence. If you have such information, you are expected to handle it in a manner to protect against improper access or use. We maintain confidentiality by only accessing information needed to do our jobs, keeping passwords private, and prohibiting unauthorized access and use of confidential information. (Confidentiality)

Appropriate Workplace Conduct

We act in an appropriate, professional, and collaborative manner while working at and/or while representing Children’s Colorado. We focus on providing high-quality and compassionate care through expertise, service, and creativity.
Patient Care Standards

Patient Rights and Responsibilities
We consider our patients’ families our partners in their child’s care. We encourage respect for the personal preferences and values of each individual. Patients and/or families have rights and responsibilities that are posted throughout the Children’s Colorado locations, on the intranet PRRR brochure - English; PRRR brochure - Spanish, on childrenscolorado.org.

We respect the rights of patients, parents, and/or legally authorized representatives to make healthcare decisions. When clinical decisions are in conflict and a choice needs to be made, patients, families, and team members can request an ethics consultation with the Ethics Committee 24/7 via the hospital operator (720-777-1234) or OneCall (720-777-3999).

Admission, Transfer, Discharge/Non-Discrimination
We admit, transfer, and discharge patients based on medical appropriateness. We do not discriminate against patients or their visitors on the basis of age, race, ethnicity, national origin, ancestry, sex, creed, religion, pregnancy, disability (mental and physical), marital status, genetic information, gender expression, sexual orientation, veteran status, insurance status, ability to pay, or other protected classification to the extent required by relevant laws. (Non-Discrimination of Patients)

Patient Safety
We commit to a culture of safety through our behaviors, initiatives, and programs. We strive to provide our patients, families, team members, visitors, and community with a safe environment in which to heal, work, and visit. We focus on the continuous enhancement of safety and improvement of patient care by the identification, analysis, and reduction of risks.

Informed Consent
We adhere to our General and Informed Consent policy that defines who can legally provide consent and outlines the informed consent process. Our policy provides clarification of procedures that require informed consent in compliance with Colorado Consent Law and other various regulatory and accrediting bodies. (Consent: General and Informed)

Emergency Medical Treatment and Labor Act (EMTALA)
EMTALA is a federal law that governs the treatment of all individuals and/or transfer of an individual who presents to a hospital that participates in federal and state healthcare programs, regardless of the individual’s insurance status or ability to pay.

EMTALA requires Children’s Colorado to conduct a Medical Screening Exam (MSE) on all patients who present to an Emergency Department to assess whether an Emergency Medical Condition (EMC) exists. EMTALA also applies if an individual presents anywhere on hospital property if the individual requests examination or treatment for an EMC, or if a prudent layperson observer would believe that the individual is suffering from an EMC. If a patient is determined to have an EMC, EMTALA requires Children’s Colorado to stabilize the patient and treat the EMC (e.g., a pregnant woman in labor or an adult experiencing a Code Blue event). If Children’s Colorado is unable to stabilize a patient within its capability, or if the patient requests, an appropriate transfer to another facility will be implemented. (EMTALA — Emergency Medical Treatment and Labor Act)
Target Zero Safety Practices

Every night and every day, at every location in our system, in every role, we are working as a team to achieve our aspirational goal of eliminating preventable harm to both our patients and team members. The Target Zero safety practices support a culture of safety by having each team member make three commitments and then utilize the corresponding practices in their daily work.

<table>
<thead>
<tr>
<th>Commitment to safety</th>
<th>Practice</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Introductions</strong></td>
<td>Introduce yourself and your role. Ask others to do the same.</td>
<td></td>
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<tr>
<td><strong>Pause to Care</strong></td>
<td>Take a breath. Slow down. Focus on the task or the person.</td>
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| **ARCC / CUS**       | When you see a situation you are concerned about, go through the four stages to express higher levels of concern.  
  1. **Ask** whether the current action is the best.  
  2. **Request** a different solution.  
  3. **Express** Concern with “CUS words” (Concern, Uncomfortable, Safety)  
  4. **Go up the Chain of Command** if concern is not addressed. |

<table>
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<tr>
<th>Commitment to promote a questioning attitude among all staff</th>
<th><strong>Stop and Resolve</strong></th>
<th>Do not proceed in the face of uncertainty. Seek out additional information in order to clarify the situation.</th>
</tr>
</thead>
</table>
| **ART of being questioned**                                | **Attitude:** Demonstrate an attitude of openness by not becoming defensive or short with the other person.  
**Reflect:** Reflect back what you have heard to make sure you understand the question or concern.  
**Thank you:** Thank the person for raising the issue or asking the question. |

| Commitment to communicate clearly, completely, and respectfully | **Repeat Back** | Repeat back the information you have received. When appropriate, read it back from a screen or written notes to ensure you have documented correctly.  
Use unambiguous language when there can be confusion with numbers or letters. e.g. “That’s fifteen– one five” |
|---------------------------------------------------------------|-----------------|--------------------------------------------------------------------------------------------------|
| **SBAR**                                                      | **Situation:** Immediate situation or problem.  
**Background:** A brief description of what led to the problem.  
**Assessment:** Your view of the situation and perception of urgency.  
**Recommendation:** Your suggestion of what needs to be done by when. |

Decision Making/Advance Directives

We involve patients and families in healthcare decisions and make medically appropriate recommendations. We discuss treatment options, including alternatives, benefits and risks associated with each available option to ensure informed decision making. We facilitate discussions to better understand patients’ and families’ goals of care. (Advance Directives)

We respect the rights of patients authorized by federal and state law to complete an Advanced Directive. Advance Directives are only required for patients 18 years and older. Parents or guardians have the decision making ability of patients younger than 18 years old or for patients that don’t have mental decision capacity. Advance Directives ensure that patient’s wishes are honored when treatment decisions need to be made. The Department of Clinical Social Work can assist with education and completion of Advance Directives (720-777-6975).
Patient Privacy and Confidentiality

We are committed to following federal and state laws that require us to protect patients’ Protected Health Information (PHI). We take this seriously and exercise caution when accessing and discussing PHI. You must not abuse your access to confidential information or abuse your position to discover confidential information that your job does not require you to know. Any violations of the confidentiality or HIPAA policies must be reported to the Privacy Officer. If questions arise regarding an obligation to maintain the confidentiality of information or the appropriateness of releasing information, you should seek guidance from your manager or the Privacy Officer. (HIPAA Privacy Rights)

Q. I work in the Village Pavilion and do not provide direct patient care. Do I need to lock my computer when I leave my workstation unattended?
A. Yes, you must lock your computers when you leave any workstation unattended to avoid any breaches of PHI and/or confidential information. Regardless of your specific role within the organization and whether or not you provide direct patient care, you must lock your workstation when leaving it unattended.

Q. I am a pharmacist and accidentally faxed a prescription to the incorrect external pharmacy. What should I do?
A. This incident is considered an impermissible disclosure. An impermissible disclosure is defined as any disclosure of PHI to a person or entity that does not have lawful rights to such information. If you are aware of an actual or potential impermissible disclosure of PHI, immediately contact the Privacy Officer within the Corporate Compliance Program. All impermissible disclosures must be reviewed by the Privacy Officer to determine if they meet the requirements for notification under the HIPAA Breach Notification Rule and to develop a risk mitigation plan. In all cases, Children’s Colorado is required to take immediate mitigating actions, such as contacting the recipient to request that they confirm destruction of the information mistakenly received. (Breach Determination or Notification)

Q. I am a nurse who works in the Center for Cancer and Blood Disorders. A patient’s legal guardian requested I print off medical records from the patient’s last two clinic appointments. Am I allowed to print and provide such medical records as requested?
A. No. Per Children’s Colorado policy, patients and individuals who have the legal right to access the patient’s medical records must obtain records through the Health Information Management (HIM) representative located at the Registration Desk in the main hospital lobby. (Access to PHI by Patients and Their Personal Representatives)

Q. One of my child’s classmates was admitted to the hospital. Since I am a team member, may I look at the child’s medical record?
A. It depends. If you are directly involved with the care of the child, the answer is yes, but only to the extent necessary to perform your job functions. You may not share this information with any individuals not authorized to receive the patient’s PHI, including anyone at your child’s school. If you are not involved with the child’s care, you may not read the child’s medical record as this would constitute a snooping violation. For example, if you work as a physical therapist and have not been consulted to provide care, reading the chart would breach patient confidentiality. When accessing PHI, ask yourself: Do I really need to know this information in order to do my job? (HIPAA - Uses and Disclosures of PHI)

Q. My child is currently a patient at Children’s Colorado. I would like to know his lab results, but I do not want to wait for his doctor to call me. Since I have access to Epic, is it okay for me to look it up?
A. No. You should not use your access granted through your professional role for personal reasons. In this particular situation, you are the consumer of healthcare and must access your child’s PHI only through the proper channels per Children’s Colorado policy just as any other patient’s parent/legally authorized representative would. (Access to PHI by Patients and Their Personal Representatives)

Q. I was once a patient at Children’s Colorado (or think I may have been). Since I have access to Epic, is it okay for me to look up my own information?
A. No. You are not permitted to use your access granted through your professional role for personal reasons. You may access your own PHI only through the proper channels, such as MyChart or contacting the HIM department per Children’s Colorado policy just as any other patient or their parent/legal authorized representative would. (Access to PHI by Patients and Their Personal Representatives)
Ethical Business Standards

Gifts and Business Courtesies
To avoid influencing patient care and/or business decisions, you are discouraged from accepting gifts from or giving gifts to vendors, patients, and/or families. We have developed a policy to help guide you in determining when gifts can be accepted or given – if in doubt, talk to your manager or call the Corporate Compliance Program. (Gifts and Business Courtesies to Potential Referral Sources)

Q. I work in an inpatient unit as a bedside nurse. A patient’s mother brought the unit team members donuts for breakfast. Are we allowed to accept them?
A. Yes. You may accept food or beverages from family members. If you are considering accepting any other type of gift, please refer to Children’s Colorado’s policy or contact CaBE. (Gifts and Business Courtesies to Potential Referral Sources)

Conditions of Participation/Accreditation/Licensure
The Centers for Medicare and Medicaid Services (CMS), a federal agency, sets standards called “Conditions of Participation” to improve quality and protect the health and safety of patients. Children’s Colorado must meet these standards in order to continue participating in Medicare and Medicaid programs.

The Joint Commission (JC) is an independent, not-for-profit organization that accredits organizations, including hospitals. Children’s Colorado is JC accredited, and we therefore must follow the JC’s performance standards. The Joint Commission also investigates concerns reported by patients, families, team members and the general public. If you feel that any concern you have raised is not being resolved by Children’s Colorado, you may also contact the Joint Commission either through their website (complaint@jointcommission.org) or by calling 1-800-994-6610.

The Colorado Department of Public Health and Environment (CDPHE) is the State agency that grants Children’s Colorado its license to operate as a hospital, as well as its certification to receive reimbursement from Medicare and Medicaid. Thus, we must adhere to federal and state laws and meet all regulatory requirements to maintain these licensures and certifications. If you feel that any concern you have raised is not being resolved by Children’s Colorado you may also contact CDPHE.

Team members in positions that require professional licenses, certifications, or other credentials are responsible for maintaining the current status of their credentials and complying with federal and state requirements applicable to their respective disciplines.

Responding to Investigations and Inquiries
We cooperate with all lawful investigations and inquiries from governmental agencies. We must never conceal, destroy, alter, delay, or falsify any documents or information when responding to investigations or inquiries. Should you be contacted by a governmental agency representative, please contact your manager, Accreditation, Compliance and Business Ethics Program, and/or Legal Affairs so you may receive guidance on how to respond appropriately. Throughout all investigative processes, Children’s Colorado preserves and protects the legal rights of the organization, team members, and patients.

Proper Coding and Billing
We are committed to accurately coding and billing for services rendered at Children’s Colorado. Due to federal law and payer contracts, we are required to identify the services performed, document medical necessity, and meet any pertinent electronic transaction requirements. The submission of improper claims for payment may subject Children’s Colorado to criminal and significant financial penalties and exclusion from the Medicare and Medicaid programs. We must try our best to prevent errors. If you have any concerns regarding errors, improprieties, or suspicious circumstances, you must report them to your manager, the Executive Director of Revenue Cycle, and/or CaBE so that they can be investigated, and appropriate actions taken.
CODE OF CONDUCT

Ethical Business Standards continued

Document Retention
We use, maintain, and store complete and accurate records. All records will be destroyed after a retention period according to the procedures outlined in Children's Colorado's Records Retention policy. (Records Retention)

Resource Stewardship
We responsibly and efficiently use our many resources including people, finances, environment, time, and materials/supplies for Children's Colorado business purposes only.

Financial Reporting
We are committed to engaging in best business practices through accurate and detailed financial reporting as mandated by regulatory agencies. In order to promote the safeguarding of assets we must maintain an effective system of internal controls, including auditing and monitoring, to ensure that records and accounts accurately reflect Children's Colorado's financial transactions.

Purchasing and Contracting Practices
We make purchasing and contracting decisions based on what is most appropriate for Children's Colorado. Should you have any questions or concerns regarding such practices, please contact Materials Management. (Agreement Types) (Purchasing Authorization)

Relationships with Competitors
We comply fully and completely with all federal and state antitrust laws to ensure fair competition. To avoid the appearance of anti-competitive conduct, do not discuss pricing, salaries, or the market with competitors or potential competitors. You should avoid seeking or receiving information about a competitor through non-public means if you know or have reason to believe the information is proprietary or confidential.

Fundraising and Philanthropic Efforts
Any activity with the purpose of soliciting or raising philanthropic support for the benefit of Children's Colorado, including monetary donations, specific in-kind donations, and sponsorships, is considered fundraising. All fundraising efforts must be coordinated through Children's Hospital Colorado Foundation.

Lobbying and Political Activity
We cannot engage in lobbying and political activities that may jeopardize the tax-exempt status of Children’s Colorado. We must ensure our political activities are not viewed as actions taken on behalf of the organization. We may not contribute Children’s Colorado resources to any political activity or otherwise act in violation of applicable federal laws. All lobbying and political activity must be coordinated through Child Health Advocacy. (Advocacy and Government Affairs)

Hazardous Waste
We respect the environment and strive to conserve natural resources while managing our daily operations. We utilize resources appropriately and efficiently, recycle when possible, dispose of all waste as mandated by laws and regulations, and work cooperatively with appropriate authorities to remedy any environmental contamination for which Children's Colorado may be responsible. If you have any questions regarding hazardous waste, please contact the Sustainability Specialist or refer to relevant policies. (Pharmaceutical and Chemical Waste Management Plan) (Hazardous Waste and Medical Waste Management)

Information Security and Data Security
We value the importance of data integrity, information security, and confidentiality of data/information and follow all relevant policies and procedures. You are responsible for signing and abiding by the Security User Agreement to protect yourself, the organization, as well as patient and business data that reside in your workplace. You must also maintain the confidentiality and security of access to your computer. Equal attention should be given to both patient and business data that resides in your workplace. (Information Security)

Copyrights, Intellectual Property and Inventions
Children's Colorado owns the rights to copyrights, intellectual property, and inventions created by team members who utilized the organization's resources. We respect laws and regulations pertaining to our own and others' educational and research property. (Copyright Infringement and Protection) (Intellectual Property Developed by Children's Colorado Staff)
**Fraud, Waste and Abuse**

We are committed to preventing and detecting fraud, waste, and abuse. You are expected to refrain from conduct that may violate fraud and abuse laws. Such laws prohibit payments in exchange for referral of patients. It is also illegal to submit false, fraudulent, or misleading claims to the government or a third party payer such as claims for services not rendered, claims which characterize the service differently than the service actually provided, or claims which do not otherwise comply with applicable program or contractual requirements. Making false representations to any person or entity in order to gain or retain participation in a program or to obtain payment for any service is also strictly prohibited.

Various federal and state laws protect team members who in good faith report suspected fraud, waste, or abuse from adverse action including discharge, demotion, suspension, threats, harassment, or discrimination. (Corporate Compliance Investigations of Potential Fraud and Abuse)

The main federal and state false claims laws are summarized below. Additional information, including information on how to report fraud, waste, or abuse can be accessed at Deficit Reduction Act (DRA) Special Report.

**Relationships and Agreements with Physicians and other Business Partners**

We do not provide incentives to community physicians, other health care providers, or anyone else in exchange for referrals. The regulations that govern our relationships with any business partner who is a potential referral source are harsh and complex. Violations of these laws have grave consequences for the organization and any individuals involved. We are not allowed to engage in any activity that could be construed as an improper referral or payment without prior review by appropriate Children’s Colorado leaders and legal counsel. If you are contemplating making or accepting a referral and may receive something in return, or if you are entering any type of financial relationship with a physician, please contact CaBE department immediately. Some of the federal laws that govern these issues include:

**The Anti-Kickback Statute**

The federal Anti-Kickback Statute is a criminal statute that prohibits the exchange (or offer to exchange), of anything of value, to reward the referral of federal healthcare business. “Anything of value” includes things like gifts, free or reduced cost services, use of Children’s Colorado’s assets without fair market value payment. Such remuneration or “kickbacks” are expressly forbidden. The Anti-Kickback Statute provides safe harbors for certain arrangements at fair market value such as personal services, rental agreements, investments in ambulatory surgery centers, and payments to bona fide employees.

**The Physician Self-Referral Law**

The Physician Self-Referral Law, commonly referred to as the “Stark Law,” prohibits a physician from making referrals for certain designated health services (DHS) payable by Medicare to an entity with which he or she (or an immediate family member) has a financial relationship (ownership, investment, or compensation), unless an exception applies. The Stark Law provides exceptions for certain arrangements at fair market value such as personal services, rental agreements, non-monetary compensation, medical team members incidental benefits, and payments to bona fide employees.
False Claims
The False Claims Act aims to deter fraudulent billing. It is used to discipline health care providers who knowingly submit false claims or knowingly make false statements to Medicare, Medicaid, or other federal health care programs, or knowingly retains an overpayment more than 60 days. The Act provides for civil penalties of at least $5,500 per claim up to $11,000 per claim, plus three times the amount of damages, and potential exclusion from participation in Medicaid and other health care programs. Colorado and most other states where Children’s Colorado’s patients live also have state laws prohibiting the submission of false claims.

The False Claims Act includes a qui tam (whistleblower) provision that allows a private person to bring a lawsuit in the name of the United States if he or she has personal knowledge of a false claim. The claim must be presented to the government, which has 60 days to decide whether to intervene and pursue the action. If the government declines to proceed, the individual may independently pursue legal action.

The Exclusion Authorities
The Office of the Inspector General (OIG) has authority to exclude individuals from participating in federal health care programs, including Medicaid, for various reasons. Generally, federal health care programs will not pay for items or services furnished, ordered, prescribed, or supplied by an excluded individual or entity. We routinely conduct exclusion checks to ensure vendors, team members, and applicants are not prohibited from participating in federal or state healthcare programs. (Background Checks)

The Civil Monetary Penalties Law
The Civil Monetary Penalties Law authorizes the OIG to impose civil penalties for violations of the Anti-Kickback Statute and the Stark Law as well as a range of other violations. These violations include, but are not limited to, the following:

- Submitting false claims
- Failing to provide an adequate medical screening examination for patients who present to a hospital emergency department with an emergency condition or in labor
- Making false statements on applications or contracts to participate in a Federal health care program
Compliance and Business Ethics (CaBE)

Purpose/Infrastructure
CaBE supports Children's Colorado activities in accordance with Children's Colorado's mission, values and ethical and legal obligations. CaBE is tasked with ensuring all Children's Colorado team members and those providing services on behalf of Children's Colorado understand the important role they play in Children's Colorado's compliance efforts and what they must do to adhere to rules and regulations set forth by governing agencies and to uphold this Code of Conduct.

CaBE activities are intended to be constructive and provide Children's Colorado with an opportunity to prevent and detect noncompliant behavior, to resolve noncompliant conduct, and to take actions necessary to prevent future noncompliance. Primary oversight of Children's Colorado's CaBE efforts rests with the Children's Colorado Board of Directors. The Board has delegated day-to-day operational responsibilities for CaBE to the Corporate Compliance Officer and the Corporate Compliance team. (Corporate Compliance)

Open Lines of Communication for Reporting Concerns
CaBE promotes adherence to applicable federal, state, and local laws as well as Children's Colorado's policies and procedures. If you have concerns regarding a potential violation of any law, regulation, policy, and/or procedure, you are expected to take action. Reports can be made anonymously and securely. Children's Colorado has a non-retaliation policy meaning there will be no retaliation or corrective action against any team member who reports a suspected violation in good faith. (Corporate Compliance Hotline)

How to report a concern:
• Consult with your direct supervisor/manager.
• Speak with the next level of management such as your department or division head.
• Call the Compliance and Business Ethics Program (720-777-2566).
• Call the Compliance Hotline which is available 24/7 (1-866-568-5420).
• Report through the Compliance Hotline via the intranet (childrenscolorado.alterline.com).

Communication, Training and Education
CaBE offers educational trainings regarding various compliance issues to team members throughout the year. In addition, all team members are required to complete initial compliance training during new hire orientation, and annual refresher compliance training.

Auditing and Monitoring
CaBE conducts or directs periodic audits of departments to assess compliance with laws, regulations, standards, and policies. Occasionally, external auditors assist with the auditing process. While Corporate Compliance and leadership develop an annual auditing and monitoring plan, additional audits can be performed as needed. Audit results are provided to key stakeholders and involved personnel when appropriate.

Response and Prevention
Violations of the law, Children’s Colorado policies, and the principles of our Code of Conduct will not be excused or tolerated for any reason. Appropriate corrective action will be taken by Children's Colorado to address incidents of noncompliance, which may include disciplinary action against any individuals responsible for misconduct.

Responsible Conduct of Research
The Research Compliance Office, a part of CaBE, devotes itself to upholding the highest standard of ethical principles and research integrity to ensure that research abides by applicable federal laws, regulations, state codes, and institutional policies governing human subject research. Research Compliance strives to foster a commitment to ethical and legally compliant conduct so that the clinical research enterprise embodies Children's Colorado’s mission and values.