



Christiana Care Health System (ChristianaCare)

Love & Excellence in Action

Code of Conduct

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ChristianaCare™

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Introduction



A Message from Our Leadership

At ChristianaCare, we serve together as caregivers, guided by our values, love and excellence. Everyone at ChristianaCare is considered a caregiver, because whether we deliver patient care directly or support the delivery of patient care, each of us has a vital role to play in supporting the health and wellbeing of the people we serve.

For more than a century, we have earned the trust of the communities we serve by delivering respectful, expert care in ways that our neighbors' value. We earn that trust with every interaction, guided by our values and behaviors, the ChristianaCare Way, and our Code of Conduct.

The ChristianaCare Code of Conduct is a vital part of our Compliance Program, and represents our commitment to transparency, fairness, and integrity in every aspect of our business operations. It applies to all of us at ChristianaCare, regardless of our role in the organization or the setting in which we work.

We have many policies and procedures at ChristianaCare that promote compliance and uphold ethical and best practice principles. The Code of Conduct is not meant to replace any policy, but rather it's an additional resource for you to use if you have questions about ethical business standards.

Thank you for all that you do to create an exceptional experience for the patients and families we serve, and for each other.

Yours in service,

Janice E. Nevin, M.D., MPH
President & CEO

Our Mission

At ChristianaCare, our mission is simple and profound: “We serve our neighbors as respectful, expert, caring partners in their health. We do this by creating innovative, effective, affordable systems of care that our neighbor’s value.”

Our Values: Love and Excellence

Love

Hippocrates, considered the father of Western Medicine, said, “Wherever the art of Medicine is loved, there is also a love of Humanity.”

At its core, health care is about a relationship between human beings. It is not merely a transactional relationship, where one person purchases a service that another person provides. It is a partnership that at its best makes each person in that partnership feel loved.

When we talk about love as a value in health care, we’re not referring to romantic love or the love that we feel for our families. Love, in this sense, is a deep appreciation of the value and importance of another person, the knowledge that my wellbeing and your wellbeing are interconnected. Love encompasses many concepts, including empathy, compassion, respect, caring — and it is more than any one of those. When we practice with love, as health care professionals, we achieve better outcomes. We are attuned to the needs and feelings of the people we serve, and we are aware of our actions and the impact they have.

Excellence

We believe that when we lead with love, excellence follows. We share a commitment to excellence at ChristianaCare. Whether we care for patients or support our colleagues in patient care, we’re all working toward that same goal — to be at 100 percent in every interaction, and to deliver optimal health and an exceptional experience to each and every person we serve, every time.

Our mission is in many ways very simple: We take care of people. But much of our work is incredibly complex. It takes intense study and practice, outstanding teamwork, and an unwavering drive to always be learning, growing, and improving. Our commitment to excellence comes from an understanding that no matter how good we are today, we can always do better. We can achieve zero preventable harm to patients. We can make the experience of each person we serve exceptional. We can create an environment where every member of our team can experience joy in their work. Every improvement, large or small, has the potential to make a real, lasting impact in the health and lives of our neighbors.

Love & Excellence

We anticipate the needs of others and help with compassion and generosity.

We embrace diversity and show respect to everyone.

We listen actively, seek to understand and assume good intentions.

We tell the truth with courage and empathy.

We accept responsibility for our attitudes and actions.

We commit to being exceptional today and even better tomorrow.

We use resources wisely and effectively.

We seek new knowledge, ask for feedback, and are open to change.

We are curious and continuously look for ways to innovate.

We are true to our word and follow through on our commitments.

Our Behaviors

We bring our values to life through our behaviors. It's easy to put words on a page or hang them on a wall. To make our values truly meaningful for our organization, we must demonstrate them consistently through our actions. Our values must guide our interactions with everyone we serve — and each other. These behaviors will enable us to bring our core values to life and ensure they have the meaningful impact for which they were designed.

Our Compliance Program

To achieve our mission, ChristianaCare is committed to compliance with all applicable laws, rules, and regulations. This commitment prevails at all levels of the organization. The Compliance Program was created to make sure that our workforce is properly trained to follow laws, rules, regulations, and policies that relate to our operations. The Compliance Program provides a way for individuals to ask questions, raise concerns, and report issues without fear of retaliation.

The Office of Compliance oversees the Compliance Program and ensures compliance with our *Code of Conduct*. The following are some ways in which the Compliance Program promotes adherence to federal, state, and other regulatory agencies' laws, rules, and regulations:

- Set integrity standards through written policies, procedures, and our *Code of*

Conduct;

- Communicate standards through education and training programs;
- Provide processes for reporting potential violations of laws, rules, regulation, our policies, or our *Code of Conduct*;
- Conduct auditing and monitoring activities;
- Identify, investigate, and respond to potential compliance problems;
- Ensure we are not conducting our business with individuals and entities ineligible to participate in federal health care programs; and
- Enforce integrity standards and apply fair, consistent, and reasonable disciplinary actions.

Our Code of Conduct

Understanding the principles of our *Code of Conduct* is essential to achieve our mission.

The *Code of Conduct* standards set expectations about how we are to operate our businesses, work with customers, suppliers, and other business partners, serve our stakeholders, and interact with our community and with each other. The *Code of Conduct* serves as a resource guide to help individuals make decisions that reflect ChristianaCare's core values. It is the cornerstone of our Compliance Program and guides us in carrying out our daily activities within appropriate ethical and legal standards.

Our *Code of Conduct* standards are mandatory and must be followed. Anyone who violates laws, rules, regulations, and our policies, including our *Code of Conduct*, may be disciplined up to and including termination. Our *Code of Conduct* is an evolving document that will be updated periodically to respond to changing conditions and to reflect changes in law.

Our *Code of Conduct* will not cover every situation you will encounter or every detail of our policies and procedures, but the guidelines on these pages are mandatory. In some cases, a subject discussed in our *Code of Conduct* involves such complexity that additional guidance may be needed. In these cases, you should consult with your manager or the Office of Compliance for additional guidance.

Scope

The ChristianaCare *Code of Conduct* applies to the ChristianaCare community, which includes the Board of Directors of ChristianaCare and its Subsidiaries; ChristianaCare; ChristianaCare HomeHealth; ChristianaCare Health Initiatives; ChristianaCare Quality Partners LLC (CCQP); ChristianaCare CareVio; Affinity Health Alliance Inc., including Union Hospital, and its subsidiaries; as well as all employees, members of the ChristianaCare Medical-Dental Staff and other credentialed providers, trainees, contractors, vendors, volunteers, agents, representatives, and any other person or organization engaged to provide products or services.

Responsibilities of Leaders

ChristianaCare's leaders must set a personal example for high ethical standards in the performance of their duties. Our leaders, including all caregivers in supervisory positions, must assure that they respond in an appropriate manner when issues and concerns are brought to their attention. They must effectively communicate expectations for ethical behavior and support a fair and just culture that encourages others to ask questions and raise issues without fear of retaliation or punishment.

Duty To Report And Cooperate With Investigations

Reporting Potential Errors and Compliance Concerns

Our *Code of Conduct* is designed to help us make decisions that support our values when we are confronted with difficult situations. Everyone is required and expected to report any actual or suspected compliance violations. If you think a law, regulation, policy, or our *Code of Conduct* is not being followed, you have a duty to report it to your supervisor or our Office of Compliance. We encourage open and honest discussions and we want everyone to feel that they can tell the truth with courage and empathy.

Doing the right thing is your responsibility and failure to report compliance concerns may result in disciplinary actions, up to and including termination.

The following are ways that you can report concerns:

- Contact your supervisor or manager about your concern or problem.
- If you feel uneasy talking to your supervisor, voice your concern to the next supervisory level, up to and including the highest level of management.
- You may also contact the Compliance Staff directly, including the Compliance Officer at:
 - Office of Compliance at 302-623-4652
 - CCHS_Compliance@christianacare.org
- Call the Compliance & Privacy 24-hour Hotline at 877-737-6780 (may report anonymously).

When reporting a compliance concern, it's important that you provide as much detail as possible so that the issue you raise can be investigated. Be sure to include information, such as the location where your concern occurred or is occurring (for example, the hospital name and department), the date or dates of any incident, the names and job roles of individuals involved in the concern, a description of your concern, and your name if you are comfortable letting us know. All reports will be treated as confidential and will be shared with others only on a need-to-know basis. The Compliance Officer will ensure that all reports will be thoroughly and fairly investigated, and that appropriate action is taken.

Sometimes we are required by law to report certain compliance issues to federal and state agencies. When this is the case, the Office of Compliance will openly communicate with federal and state regulators when necessary.

ChristianaCare is committed to correcting wrongdoing, whether intentional or inadvertent, wherever it may occur in the organization, and to cooperating fully with government investigations.

Protection from Retaliation

ChristianaCare is committed to transparency and will not tolerate retaliation or retribution against anyone for reporting, in good faith, any actual or suspected violation of compliance with law, regulation, policy or our *Code of Conduct*, even if the allegation is never substantiated. However, if someone purposely falsifies or misrepresents a report or makes false statements during an investigation with the intent to harm or retaliate against another person, they will be subject to disciplinary actions in accordance with the *ChristianaCare Compliance Enforcement Policy*. It is important to understand that no policy can protect you from applicable consequences if you have broken the law or violated our policies.

Corrective Action & Disciplinary Procedures

Compliance policy establishes procedures for investigating known or suspected compliance-related violations. Appropriate corrective action will be taken when individuals fail to comply with ChristianaCare policies or state and federal laws and regulations. Corrective action, remediation, and/or disciplinary measures for improper conduct will be imposed uniformly for all levels of employees, without regard to position or influence. Corrective action may take many forms, include disciplinary actions up to and including termination, as well as possible state and federal actions and penalties, depending on the severity of the violation and whether the misconduct was intentional.

Care With Integrity

Quality of Care

We are dedicated to providing high-quality, cost-effective, health care in a manner that is appropriate, reasonable, and medically necessary. Here are some specific ways we provide care with dignity and respect:

- We provide clinical care to our patients without regard to individual's race, color, creed, ethnicity, sex, religion, national origin, sexual orientation, genetic information, gender identity, age, ancestry, veteran status, disability, pregnancy, marital status

citizenship status, or any other characteristic protected under federal, state, or local law.

- We provide effective care, based on scientific knowledge that promotes clinical excellence.
- We provide our patients with clear and accurate information about their illness, treatment, pain, alternatives, and outcomes in a manner they can understand. Interpretation services are provided when needed.
- We provide care in a safe environment and in a manner that avoids injury.
- We provide care in a patient-centered and family-centered manner that is respectful of and responsive to individual patient and family preferences, needs and values, ensuring that patients' values guide all clinical decisions.

We promote clinical excellence and patient safety by continually evaluating provider competency through credentialing and performance review processes. We monitor the quality and efficiency of services provided through our Performance Improvement and Utilization Management programs.

It is important for us to address errors or deficiencies, even those that seem small or insignificant, to improve future care. Promptly report such matters to your manager or supervisor, as well as submit an entry into the electronic Event Reporting System.

Patient Rights and Freedom of Choice

We encourage patient and family involvement in all aspects of care to the extent that is practical and possible. Patients and families are given a statement of *Patient Rights and Responsibilities* upon admission, including information about the right to make decisions regarding medical care. We inform patients about therapeutic alternatives and the risks associated with the care they are seeking, and we address the wishes of patients related to advance directives and end-of-life decisions.

Our health care teams develop discharge plans to all patients as an integral part of the treatment plan to support the level of medical, psychological, occupational, rehabilitative, and social services that they are expected to need after discharge. We will not commit any act or omission that impedes patients from exercising their basic freedom of choice to obtain services from health care providers and entities.

Patients have a right to file complaints and/or grievances about their care without fear of unfair treatment. You must direct patients with complaints or concerns to your supervisor or the Patient and Family Relations Department. Honor patient requests for contact information to regulatory or other agencies, such as The Joint Commission or a state's Department of Health Agency.

Emergency Treatment

ChristianaCare is committed to compliance with all requirements of the Federal Emergency Medical Treatment and Labor Act (EMTALA). In accordance with our policy, *Emergency Medical Treatment & Labor Act Policy*, we provide a medical screening examination and stabilizing treatment to all individuals who come to a ChristianaCare hospital campus or one of our designated emergency department campuses, requesting or appearing to need emergency care regardless of their ability to pay or their lack of insurance. Patients with emergency medical conditions are only transferred to another facility at the patient's request, or if we do not have the capacity or capability to meet the patient's medical needs and appropriate care is available at another facility. Such transfers must be in compliance with state and federal EMTALA requirements.

Privacy of Patient Information

Patients and their families trust us with highly personal and sensitive information regarding their medical conditions. If patients or families do not feel confident that we will keep such information private, they may hesitate to discuss some health concerns with us, which can affect our medical decision making and hinder their medical care.

The ChristianaCare *Notice of Privacy Practices* ("NPP") explains to patients how we will protect and treat their confidential health information. We disclose patient information without authorization, for treatment, payment, health care operations, or as required by law. Additionally, patient information may not be used for research purposes unless approval is first obtained from ChristianaCare's Institutional Review Board.

Federal and state laws govern the privacy of our patients and their health information. This includes patient information that is spoken, written, or in electronic systems. The laws apply to information related to the past, present, or future health of a patient, as well as deceased patients. These laws apply to the organization, as well as to you as an individual, even when you are no longer an employee of ChristianaCare. Under patient privacy laws, the failure to safeguard patient's privacy may result in serious consequences, including potential fines, employment termination, imprisonment, loss of your professional license, and other legal actions. Our Office of Privacy monitors activities on patients' records to ensure access is justified by job function.

To comply with our privacy policies, we encourage our Caregivers to observe the following requirements:

- Access, use, and disclose only the minimal amount of patient information needed to perform our job duties;
- Do not discuss patient information with others who do not have a job-related need-to-know, including co-workers, colleagues, family, and friends;
- Do not share your user IDs or passwords, and remember to log off when you step away from your computer or workstation;

- Assess your surroundings when speaking with a patient and always ask the patient for permission to speak to them about their care when they are accompanied by their families and/or friends;
- Do not discuss patients' information or their health conditions on social networking sites or blogs;
- Verify written documentation with patient information to ensure that one patient's information is not mistakenly given to another patient and that patient barcode labels are correct prior to distribution to the patient;
- Dispose of written patient information in confidential receptacles. Consult with the Information Technology department to properly dispose of electronic patient information;
- Ensure you add the word "secure" or "confidential" to your email subject line to encrypt the message if it contains patient information;
- Use hospital-approved personal devices, such as flash drives, or cameras, to store, download or capture patient information, including photographs; and
- Report all privacy concerns or potential privacy policy violations immediately to our Compliance or Privacy offices.

Patients may request copies of their medical records. All patient requests are viewable by the Office of Privacy staff, and they may approve or deny the request depending on the circumstances. Patients are notified in writing after review of the request.

Trainees, such as residents or students, may not retain patients' personally identifiable information except as required by recognized training oversight organizations. If copies of these records need to be retained by trainees, the information must be de-identified.

If you have questions regarding patient confidentiality, please refer to our policies or consult with our Office of Privacy.

Academic and Research Integrity

ChristianaCare is committed to following ethical standards in full compliance with federal and state laws and regulations in any research, study, and clinical trials conducted, as described in our policies. We are committed to integrity in disseminating appropriate, valid scientific results in accordance with applicable regulations and guidelines. It is our priority to protect the rights of our clinical trial participants. As in all financial accounting and record keeping, ChristianaCare's policy is to submit accurate and complete costs related to research grants.

The ChristianaCare Office of Sponsored Programs (OSP) is the central administrative office responsible for assisting with the processing and submission of sponsored programs, including grant proposal review, contract, and budget processing with pharmaceutical, federal, and private foundation sponsors. Additionally, the OSP serves to advise and educate the administration and staff on matters of regulatory compliance, federal and internal policies on research, and other research-related issues. If you have questions

regarding clinical research or a federally funded program, please refer to our policies, consult with the OSP, or you may contact the Compliance Officer directly.

Integrity In Billing And Financial Matters

Coding and Billing for Patient Care Services

We take great care to ensure we submit claims for payment to government and commercial insurers for services that are medically reasonable and necessary to diagnose and/or treat a patient's medical condition. Our providers or other personnel responsible for documentation, coding, billing, and/or accounting for services are required to comply with all applicable federal and state laws and regulations and with ChristianaCare claims development and submission policies and procedures. We only charge for services that we provide, document, are medically necessary and are ordered by a qualified physician or another appropriate licensed individual.

We are dedicated to ensuring that all claims to government and third-party payors and patients are accurate and conform to payor rules. We assign billing codes that we believe in good faith accurately characterize the services that we provide and that are supported by documentation in the medical record.

We do not knowingly present, or cause to be presented, claims for payment that are false, fictitious, or fraudulent. We implement good faith controls to prevent unbundling, upcoding, duplicate billing for the same service, billing for resident services without a documented teaching physician presence, incorrect place of service and modifiers, and other government-published billing errors. We respond to billing and coding inquiries and timely resolve inaccuracies in previously submitted claims that are discovered and confirmed, including refunding overpayments. We process and return credit balances in a timely manner.

We make every effort to ensure that employees and subcontractors who perform billing or coding services receive training and have the necessary skills, quality assurance processes, and appropriate procedures to ensure that billings are accurate and complete.

Fraud, Waste and Abuse

The State and Federal False Claims Acts, the Federal Deficit Reduction Act, and Fraud Strike Forces protect Medicare, Medicaid, Tricare, and other government programs from fraud and abuse. It is a violation of the False Claims Act to knowingly submit, or cause another person or entity to submit, false claims for payment of government funds. Additionally, the State and Federal False Claims Acts contains provisions that allow individuals with actual knowledge of alleged false claims to sue on behalf of the

government, as well as provide protections against retaliation for individuals taking a false claims action.

Performing routine audits and monitoring initiatives, along with internal controls, help us prevent and detect fraud, waste, and abuse.

If you suspect inappropriate billing practices, contact our Office of Compliance immediately, or call the Compliance & Privacy Hotline to notify the Office of Compliance anonymously. Failure to notify the Office of Compliance may lead to disciplinary action, up to and including termination.

Integrity In Business Conduct

Financial Reporting

We are dedicated to maintaining a high standard of accuracy and completeness in the documentation and reporting of all financial records. They are the basis for managing our business and are necessary for compliance with tax and financial reporting requirements. Our financial reports fairly represent actual business transactions and conforms to generally accepted accounting principles or other applicable rules and regulations.

State and federal laws require us to submit reports of our operating costs and statistics, known as cost reports. In the preparation of cost reports, we assure that costs are properly classified, allocated correctly, and supported by verifiable and auditable data.

We maintain a system of internal controls to ensure accuracy and completeness in documenting, maintaining, and reporting financial information. We cooperate fully with internal and external auditors and any regulatory agencies that examine our financial books and records.

Confidential Business Information

Generally, ChristianaCare owns all information (e.g. computer programs, training materials, processes, marketing strategies) created or developed by employees or associates while on the job or using ChristianaCare resources. Such information constitutes "intellectual property" of ChristianaCare. Proceeds received by ChristianaCare for permitting third party use of such information may be shared with the employee, Associate, or his/her department under certain circumstances. This is a complex legal area and the Office of Legal/Risk Management should be consulted on such matters.

Confidential information about our organization's strategy and operations is a valuable asset. Although you may use confidential business information as necessary to perform your job, it must not be shared with others outside the organization or internally with those who do not need to know about the information to perform their jobs. Confidential and

proprietary business information covers anything related to our business or operations that is not publicly known, such as personnel files, wage and salary information, financial information, cost data, strategic plans, marketing strategies, projected earnings, techniques, employee lists, information related to acquisitions or joint ventures, policies and procedures, clinical and patient information, computer and system login IDs and passwords, emails, and proprietary computer software.

You may not disclose our proprietary or trade secret information to any unauthorized personnel or non-ChristianaCare Employees. You will not be held criminally or civilly liable under any federal or state trade secret law for the disclosure of a trade secret that is made:

- a. In confidence to a federal, state, or local government official, either directly or indirectly, or to an attorney, if made solely for the purpose of reporting or investigating a suspected violation of law; or
- b. In a complaint or other document filed in a lawsuit or other proceeding, if such filing is made under seal; or
- c. In accordance with Federal law, which provides that an individual who files a lawsuit for retaliation by an employer for reporting a suspected violation of the law may disclose the trade secret to the attorney of the individual and use the trade secret information in the court proceeding, if the individual (x) files any document containing the trade secret under seal; and (y) does not disclose the trade secret, except pursuant to court order.

You may not disclose any confidential Medical-Dental Staff or peer review information to any third-party individual or entity. State/federal law grants special privileges to the proceedings and minutes of certain organized committees of the Medical-Dental Staff and peer review bodies.

Personnel records are considered confidential. Access to personnel files is limited to management, human resources staff, and internal auditors. These individuals are held accountable for protecting the privacy of personnel records.

Information concerning employee performance requested by a subsequent employer is sensitive and may be confidential. You should refer any such requests to the Human Resources Department.

Use common sense to help prevent accidental disclosure of confidential information. Remember that you can be overheard in public places and do not discuss confidential or proprietary information with family or friends, as they may not understand its significance or its confidential nature. You could be held responsible for the inadvertent disclosure of such information by a family member, friend, or acquaintance. If you are in doubt about whether information you are being asked to share is confidential or proprietary, or if you know it is confidential and proprietary but are not sure about whether the request is legitimate, contact your supervisor, or our Office of Compliance or Privacy before you act.

Relationships with Health Care Industry Representatives

While it is important to meet with Health Care Industry Representatives (HCIR) to stay abreast of new medical devices and/or drugs, it is also necessary to assure that HCIRs work within the ChristianaCare guidelines. HCIRs are permitted to visit physicians, other medical personnel, and support staff via appointment for legitimate reasons. Appointments are to be scheduled in advance and conducted in their respective office areas/departments. HCIRs may not visit with residents or medical students to discuss new programs or products without written permission of the Academic Program Director.

Invitations to Local or Out-of-Town Events

You may accept invitations to attend local or out-of-town programs, workshops, seminars, and conferences sponsored entirely by an industry supplier (i.e., a manufacturer or seller of medical products including pharmaceuticals, medical devices, health care technology, or any other product or service used in health care) that have a legitimate educational purpose or otherwise supports ChristianaCare's business objective (e.g., product training) provided:

- such events are infrequent (e.g., no more than once annually);
- you obtain the approval of your supervisor/program director in advance; and
- ChristianaCare, not the supplier, pays for any related travel and overnight lodging costs you incur.

Any exceptions to this policy require the advance approval of your supervisor/program director and the Compliance Officer.

Meals from Industry Suppliers or Vendors

It is important that we use good judgement when considering whether to accept meals offered by industry suppliers or vendors. In general, ChristianaCare discourages caregivers from accepting meals and refreshments paid by industry suppliers or vendor, unless approved by program director. Drug, device, and technology company representatives should never provide free lunches to any staff unless approved by management and compliant with ChristianaCare policy.

Conflict-of-Interest

Our patients and community expect us to make decisions that are not biased by personal interests. A Conflict-of-Interest is any situation that has the potential to negatively influence our decision-making ability based on a financial or personal relationship with a third party.

Conflicts-of-interest can often be avoided or alleviated when ChristianaCare is aware of potential conflicts. We are required to follow the *Conflict of Interest in Clinical Practice, Purchasing, and Business Planning Decisions Policy* as well as the *Research-Conflict of*

Interest Policy and annually disclose all information about any actual or perceived conflict-of-interest using our electronic conflict-of-interest disclosure questionnaire. We are also required to submit an updated conflict-of-interest disclosure questionnaire within 30 days of a material change in our situations that may create an actual or perceived conflict. All reported actual or perceived conflicts-of-interests are reviewed on a case-by-case basis.

The following activities will help us avoid conflicts-of-interest:

- We must never use the authority of our position or office to influence a decision affecting ChristianaCare that is related to a transaction in which we have an outside interest.
- We must never use ChristianaCare facilities, equipment, or other resources for personal activities. Employees or Associates may not use the ChristianaCare name or image to promote non-ChristianaCare products or services for financial gain without prior authorization.
- Generally, ChristianaCare avoids contracting for goods or services with family members of employees or Associates. We should not engage in any activity that may create the impression that we are attempting to influence a ChristianaCare purchasing decision in favor of a family member. Purchasing decisions made through appropriate committees in which conflicts-of-interest are disclosed may be made in favor of family members if the interested party does not take part in the decision-making process.
- Any member of the ChristianaCare Pharmacy & Therapeutics formulary committee (P&T Committee), or any other purchasing committee, is prohibited from involvement in any decision as to the purchase or use of the products if that member has any financial interest in, or compensation relationship with that company. The individual shall recuse him/herself from the decision-making process in accordance with our policies. Additionally, any employee or Associate who advocates for a drug to be placed on formulary, or who advocates for any other purchasing committee decision, must disclose in detail any financial interest in, or compensation relationship with, the sponsoring company.
- Vendors and suppliers are selected solely based on quality, cost-effectiveness, and appropriateness of services/items offered. Purchasing decisions are complex and usually controlled through a formal process with substantial oversight. If you suspect that any purchasing arrangement provides an unfair advantage, or has improperly incentivized purchasing, ordering, or prescribing decision makers within the organization, the matter should be raised with your supervisor or the Compliance Officer.

ChristianaCare is committed to protecting its reputation of integrity at all times. Offering or accepting personal gifts may influence our decisions or the decisions of others, create an appearance of impropriety, and may violate ChristianaCare policy. The following information provides general guidance on this topic. Consult with the Office of Compliance for specific advice on offering or receiving gifts.

Gifts from Patients/Family Members to Our Organization:

ChristianaCare may accept grateful donations or charitable contributions from our patients and their family members. Please refer patients and their family members who wish to make a grateful donation or charitable contributions to our Development Office.

Gifts from Patients/Family Members to Us Personally:

There are significant ethical limitations regarding the acceptance of personal gifts from patients or their family members. We do not accept personal gifts of cash, cash equivalents, gift cards or merchandise from patients or their family members. Additionally, we never solicit personal gifts from patients or their family members. We may accept perishable items of modest value, such as food or flowers, if it is shared with our entire department or unit.

Gifts from Our Organization to Patient/Family Members:

Although often well-intended, offering gifts may risk violating federal and state laws governing improper inducements. We may not induce Medicare, Medicaid or other federal or state health care beneficiaries to use our services by offering gifts that would likely influence these beneficiaries to obtain services from our organization. Inexpensive gifts of nominal value that are not cash or cash-equivalents are permitted. Federal guidelines define "inexpensive" as having a retail value of no more than \$15 per item or \$75 in aggregate per patient annually. Please contact the Legal/Risk Management Department or Office of Compliance for additional guidance.

Gifts from Our Organization to Us Personally:

ChristianaCare may offer modest gifts purchased with organizational budget funds to us personally. Gifts given by ChristianaCare that exceed a total value of \$75 per year become personal taxable income for the recipient of the gift and must be reported to the Payroll Department by the individual or department giving the gift. Contact the Legal/Risk Management Department or Payroll Department for additional guidance.

Gifts from Our Organization to Physicians and Other Referral Sources:

ChristianaCare never offers gifts to physicians or other referral sources in exchange for patient referrals or any other business. Limited gifts to physicians and other referral sources that are not cash or cash equivalents must be given in compliance with federal and state laws, as well as organizational policies. Contact the Legal/Risk Management Department or Office of Compliance before offering any gift to physicians or other referral source.

Gifts from Physicians and Other Referral Sources to Our Organization:

ChristianaCare never accepts gifts from physicians or other referral sources in exchange for patient referrals or any other business. All monetary gifts and other donations from physicians and other referral sources should be referred to the Development Officer. The

Development Office will process gifts as donations in compliance with applicable laws and policies.

Gifts from Industry Suppliers and Other Vendors to Us Personally:

There is significant ethical limitation regarding the acceptance of personal gifts from industry suppliers (i.e., a manufacturer or seller of medical products including pharmaceuticals, medical devices, health care technology, or any other product or service used in health care) and other vendors. We must never offer or accept gifts, gratuities, loans, or other items of value from industry suppliers, or other vendors potentially or actually doing business with ChristianaCare, except as permitted by Christiana Care policy. For additional information, please refer to the *Vender Access and Credentialing Policy* and *Conflicts of Interest in Clinical Practice, Purchasing, and Business Planning Decision Policy*. Contact the Office of Compliance for additional guidance.

Gifts from Industry Suppliers and Other Vendors to Our Organization:

The organization never accepts gifts from industry suppliers or other vendors in exchange for any business. ChristianaCare may accept donations or other charitable contributions from "Industry" or other vendors. All gifts and other donations from industry suppliers and other vendors should be referred to the Development Office. The Development Office will process gifts as donations in compliance with applicable laws and policies.

Political Activity

Employees are encouraged to vote and take part in the political process. However, non-profit hospitals and health systems, as charitable institutions, are restricted from engaging in partisan political activity, and doing so will put the organization's charitable status at risk and subject the organization to intermediate sanctions. Contributing to or otherwise using the assets of the charitable organization to support or oppose candidates or political parties is considered partisan political activity and is prohibited. Non-profit hospitals are similarly restricted from using public funds to support political candidates or political parties.

Despite the prohibition against using the hospital's assets to support or oppose candidates or political parties, there are several instances that a hospital executive, member of staff, or board member can do so individually, so long as the activity is done in the individual's name, and the individual is not reimbursed by the hospital for expenses. You should consult ChristianaCare's Government Affairs staff before engaging in any activity if you are uncertain whether the activity is permitted.

Excluded Individuals and Entities

ChristianaCare will not knowingly hire employees, contract with, or bill for services rendered by individuals or organizations excluded from participating in federal or state health care programs. It is our policy that items and services provided on behalf of

ChristianaCare are not rendered by individuals and companies that are not in good standing with the U.S. Department of Health and Human Services, U.S. General Services Administration, applicable state health and social services agencies, or are identified on the Office of Foreign Assets Control Specially Designated Nations and Blocked Persons List.

We conduct initial screening on potential employees, medical staff, and vendors, as well as monthly checks after the commencement of the relationship to ensure continued eligibility to participate in federal and state health care programs. You have a duty to immediately report any change in your eligibility status to the Office of Compliance. For additional details, you may refer to the *Screening Excluded Individuals/Entities/Vendors Policy* or contact the Office of Compliance.

Communicating with the Media

ChristianaCare wants all communication with the public to be communicated clearly and in a unified voice. You are required to contact the ChristianaCare External Affairs Department before responding to any media request by news reporters or other external parties when the subject matter pertains to ChristianaCare. You should never release information to journalists or to the public without permission of ChristianaCare's External Affairs Department.

Marketing & Advertising

Informing the public of care, treatment, and other services provided by ChristianaCare is important. Marketing materials and media announcements are to be presented in a truthful, fully informative, and non-deceptive manner.

Fundraising

As a tax-exempt charitable organization, ChristianaCare may solicit charitable contributions to support our health care mission. ChristianaCare policy restricts the solicitation of gifts from suppliers and other business partners to only those colleagues who work in our Development Office or in Foundations of specific fundraising departments. We do not make fundraising requests of suppliers and other business partners in exchange for promises of ChristianaCare business or to influence current or future business decisions.

Antitrust Laws

ChristianaCare engages in activities that are subject to state and federal antitrust laws. These laws can be complex but, for the most part, they prohibit competitors from entering into agreements to fix prices or to reduce price competition. To reduce the chance of

violating antitrust laws, caregivers must seek guidance from our Office of Legal/Risk Management when negotiating with competitors.

Responding to Government Inquiries or Legal Proceeding

We are committed to responding to requests for information pursuant to a government investigation or legal proceeding in a prompt and appropriate manner. A request can come in many forms, including a subpoena, warrant, summons, letter, or verbal communication. Formal legal requests can be consequential, and it is important that it be handled correctly. The systemwide policy *Privacy-Subpoenas, Court Orders, and Search Warrants* provides guidance on how to respond to many of these requests. If you are asked to accept a legal document or to share information of any kind for the purpose of a government investigation or other legal proceeding, immediately consult with your supervisor or the Office of Legal/Risk Management.

When involved in an official government inquiry, investigation, or other legal proceeding, you must act lawfully and never alter, destroy, conceal, or falsify documents. Additionally, never attempt to improperly influence the decisions of a government representative.

Accuracy of Record Retention and Destruction

It is our duty to create and retain accurate and complete records for the length of time required for compliance with legal, regulatory, and accreditation requirements and standards. Additionally, once we are no longer required to retain the records, they must be destroyed in compliance with federal and state laws and applicable policies. ChristianaCare's *Privacy-Record Retention Policy* and the *Information Security-HIPAA Record Retention Policy* provides guidance on the proper creation, amendment, maintenance, retention, and destruction of organizational records and documents. Contact the Health Information Management Services Department or the Office of Compliance for additional guidance.

Integrity With Referral Sources

Anti-Kickback/Bribes

The federal and state anti-kickback laws prohibits individuals and organizations from knowingly or willfully offering or paying, directly or indirectly, any form of remuneration in return for, or to induce, the referral of any patient or business that is covered by Medicare, Medicaid, or any other federal or state health care program. For purposes of the anti-kickback statute, "remuneration" includes the transfer of anything of value, directly or

indirectly, overtly or covertly, in cash or in kind. Improper remuneration includes kickbacks, bribes, or improperly structured rebates.

If one purpose or reason for a financial transaction or arrangement with an individual or organization is to induce that individual or organization to refer patients or business to ChristianaCare, or to recommend services of either organization, then such a transaction or arrangement constitutes a violation of the anti-kickback laws.

All agreements involving patient referral sources, including physicians, hospitals, ambulance services, managed care organizations, and other health care organizations and service providers, must be reviewed and approved by the Office of Legal/Risk Management prior to execution. For more information, please refer to the system-wide policy *Contract Approval Process for New Arrangements and Renewals of Arrangements*.

Physician Self-Referral Law

ChristianaCare is steadfast to conduct all its business practices with physicians in conformity with the federal Physician Self-Referral or "Stark" Law. The Stark Law prohibits referrals for certain items and services furnished by an organization with which the referring physician, or his or her immediate family member, has a financial relationship, unless a specific legal exception applies.

We must strictly follow ChristianaCare's policies any time we enter into a business arrangement with physicians or their immediate family members, including, but not limited to, services agreements, lease agreements and equipment agreements. The Office of Legal/Risk Management must review and approve all business arrangements with physicians to ensure we meet a Stark exception.

We must also strictly follow our organization's *Non-monetary Compensation Policy* when offering non-monetary compensation or incidental benefits to physicians of their immediate family members. This policy establishes parameters for the extension of non-monetary compensation to potential referral sources and their immediate family members.

If you have any questions related to any fraud and abuse law or our policies, contact our Office of Legal/Risk Management or Office of Compliance for further guidance.

Integrity In The Workplace

Diversity and Equal Employment Opportunity

We promote diversity in our workforce at all levels of the organization. Our hiring and employment practices are carried out without regard to race, color, creed, ethnicity, sex, religion, national origin, sexual orientation, genetic information, gender identity, age, ancestry, veteran status, disability, pregnancy, marital status, citizenship status, a victim of

domestic violence, or any other characteristic protected under applicable federal, state, or local laws.

We are committed to providing an inclusive work environment where everyone is treated justly, with fairness, dignity, and respect. Reasonable accommodations will be made by ChristianaCare to individuals with known protected characteristics so that they may perform the essential functions of their job. Contact the Human Resources Department if you require special accommodation or assistance as the result of the disability.

Workplace Harassment and Bullying

We are committed to maintaining an environment whereby all caregivers are able to enjoy a work environment free of all forms of harassment and intimidation. The *Discrimination/Harassment/Bullying Policy A-14* describes harassment as conduct that is based on a protected characteristic and that unreasonably interferes with an individual's work performance or creates an intimidating, hostile, or offensive work environment. Harassment includes sexual harassment. In general, unwelcome sexual advances, requests for sexual favors, and other verbal, visual, or physical conduct of a sexual nature may constitute sexual harassment when:

- Submission to such behavior is made a term or condition of employment and/or privilege of an individual's employment;
- Submission to or rejection of such conduct by an individual is used as a basis for making employment decisions affecting that person; or
- Such conduct has the effect of unreasonably interfering with an individual's ability to perform their job by creating an intimidating, hostile, or offensive work environment.

Reporting Harassment or Discrimination

ChristianaCare will not tolerate harassment or discriminatory behavior and is committed to maintaining an environment in which all caregivers can freely raise concerns without fear of punishment or negative treatment. There are several ways to report alleged acts of discrimination, harassment, including sexual harassment, or bullying/incivility. These include:

- Directly to any manager or supervisor, either verbally or in writing;
- Directly to Employee Relations, either verbally or in writing;
- Directly to the Title IX Coordinator;
- By submitting a [Report2Learn \(Safety First Learning\) - Workplace concern](#); or
- Directly to the Office of Compliance or through the Compliance Hotline.

Workplace Violence and Workplace Safety

We are committed to providing a safe environment that is free from intimidation, threats, and violence for caregivers, medical staff, volunteers, patients, visitors, and other customers. We have zero tolerance for any type of workplace violence committed by harassment, intimidation, threats, or acts of violence in the workplace. Workplace violence includes, but is not limited to:

- Verbal: Shouting, condescending language, swearing, bullying, racial slurs veiled or open threats and/or behavior intended to offend, humiliate, or embarrass.
- Physical: Slapping, pushing, punching, hair pulling, kicking, throwing an object, scratching, pulling on clothing, shooting, stabbing.
- Damage to Property: Vandalism, banging or throwing equipment, deliberately kicking, or punching fixtures and fittings.

Anyone who observes or experiences any form of violence in the workplace should immediately report the incident to:

- Your immediate supervisor or the next-level supervisor or manager;
- Employee Relations in the Human Resources Department;
- Public Safety Department by dialing 9-1-1 to report threats requiring immediate intervention; or
- The Office of Compliance or through the Compliance Hotline.

Reported events will be tracked and investigated and, if warranted, appropriate support will be provided to the victim(s) and reasonable steps will be taken to prevent this behavior.

As part of our overall commitment to maintaining a safe and secure environment, we issue photo ID badges that must always be worn above the waist. It is your responsibility to keep your badge in your possession and to not let any other person borrow it. If it is lost or stolen, notify the Public Safety Department immediately. In addition, be aware of your surroundings and report any suspicious person or activity to your supervisor, or the Public Safety Department.

Maintaining Integrity

Our Code of Conduct provides an ethical framework for you to base your decisions. It is designed to demonstrate our shared values and ethics in action and is not intended to be all-inclusive. If you face a situation where the right course of action is unclear, ask yourself the following questions:

- Will my actions be inconsistent with our mission, values, and behaviors?

- Will my actions encourage the spirit of cooperation, respect, and dignity among all members of the ChristianaCare community?
- Will my actions be illegal or unethical?
- Could my actions harm patients, our co-workers, or our colleagues?
- Could my actions harm government programs?
- Could my actions harm our financial health?
- Will my actions be inconsistent with our policies or our Code of Conduct?

If you are still unsure of what decision to make or what action to take, talk to your supervisor or consult with the Office of Compliance.

Office of Compliance

CCHS_Compliance@christianacare.org

302-623-4652

Compliance Hotline (anonymous) 877-737-6780