



Policies and Procedures for the

Corporate Compliance Program

Overview



Corporate Compliance

Overview

SALUD's administrative structure is organized into five departments, i.e. the Medical, the Dental, the Finance and Accounting, the Administrative, Human Resources and Client Services. This packet contains the policies, and procedures' dealing with SALUD's Compliance Program and, therefore, deals with each of the departments. These policies and procedures will be periodically updated to insure that they are always in compliance with regulations and standards. Again, it is important for all members of the staff to be familiar with this material.

Corporate Compliance at SALUD includes a number of functions and these are addressed in the enclosed material. Included in this packet are introductory materials explaining the purpose and workings of the Corporate Compliance Program; Corporate Compliance Questions and Answers; and a Corporate Compliance Quiz.

This manual is divided into 4 sections:

- Section 1: Introduction to SALUD's Corporate Compliance Program
- Section 2: Compliance Questions and Answers
- Section 3: Code of Conduct
- Section 3: Compliance Quiz

As this policy and procedure manual is updated from time to time updated sheets will be sent to each service site to be added to the appropriate section of the manual.

If there are questions dealing with any section of this manual or with material that you do not find here please address those questions to the Chair of the Corporate Compliance Committee or to the Corporate Compliance Officer at (720) 322-9430.



Dear Plan de Salud del Valle, Inc. Employee:

Plan de Salud del Valle, Inc. (SALUD) is a community and migrant health center system committed to conducting its affairs according to its mission, vision, values and principles. Its mission is to provide excellent quality comprehensive health care services that are affordable, convenient and responsive to community needs.

SALUD's vision is to be an integral component in the foundation of the communities it serves. SALUD will provide leadership, outreach, health services and resources to improve the overall health status of the community.

Our values commit us to quality, excellence, teamwork, innovation, fiscal responsibility, values, and simplicity. Each of us has a responsibility to those we serve to act ethically, professionally, responsibly and represent these values.

As we strive to accomplish our mission, legal and ethical issues will challenge us. SALUD's core values and commitment to the community makes it imperative that we meet these challenges without compromising integrity. Our patients and community rely on us to act responsibly. Our continued success depends on it. In order to obtain the highest level of legal and regulatory compliance, and as an expression of the mission, vision and values expressed above, SALUD has established a formalized Corporate Compliance Program.

At the foundation of this program the SALUD Board of Directors supports and has adopted a Code of Conduct. This code of conduct will apply to all board and committee members, officers, employees, volunteers, physicians, and other individuals working at SALUD service sites. The Code of Conduct is designed to provide guidance on how to conduct business, both ethically and responsibly. The code of conduct does not cover every situation you may face. Instead, it provides broad guidance on acceptable and ethical business practice. Specifically, the Code of Conduct is designed to ensure that all individuals working with SALUD understand their personal responsibility for compliance. It also serves to familiarize us with the basic legal principles and standards of behavior expected in the workplace.

I am counting on each of you to familiarize yourself with, adhere to, and apply the code of conduct to your work with SALUD. I also encourage you to seek clarification on any of the points in the Code of Conduct that are unclear to you. I recognize and appreciate that, in today's health care market, there are numerous demands for our time and efforts. However, because this program is critical to our success, compliance training will be provided to you annually. Each of you will be required to attend the training and to sign a corporate compliance statement affirming your knowledge and understanding of SALUD's Code of Conduct.

The SALUD Corporate Compliance Program will continue to evolve from year to year. As we continue to develop and refine our program your input, ideas, and contributions will be key to its success and effectiveness. I encourage you to offer your suggestions on how this program can better serve you. Thank you for being part of the SALUD family and taking the time from your busy schedules to gain an understanding of SALUD's commitment to corporate compliance. I look forward to our important work together.

Stanley J. Brasher
Executive Director



Introduction to the Plan de Salud del Valle, Inc. Corporate Compliance Program

Plan de Salud del Valle, Inc. (SALUD) is a not-for-profit community and migrant health center system whose mission, vision, and values are based on service to the community, provision of excellent health care services in an atmosphere of caring, compassion, and dignity for all. As such, SALUD is committed to high standards of ethical, professional and legal business practices.

As a board or committee member, officer, employee, volunteer, physician or other associated individual, you are essential in helping SALUD fulfill its mission and core values and provide a fundamental link to SALUD's success for maintaining high standards of ethical integrity. To fully communicate our commitment to uncompromising integrity, we have developed a compliance program. This program is based on our core values and the following overall standards derived from these values that call us to:

- Exercise good faith and honesty in all dealings and transactions.
- Maintain regulatory and legal compliance.
- Create a workplace that fosters community, respects the inherent dignity of every person, promotes employee participation, and encourages safety and well being.
- Maintain a high level of knowledge and skill among all that serve in order to provide high quality care.
- Maintain and protect the confidentiality of patient, employee and organizational information.
- Exercise responsible stewardship of both our human and financial resources.
- Avoid conflicts of interest or the appearance of a conflict.

The following information is provided to help you get better acquainted with SALUD's Corporate Compliance Program and what is expected from you.

Why did SALUD implement a corporate compliance program when it already has several policies and procedures in place addressing compliance issues?

Corporate compliance is not new to SALUD. There are several programs, policies and procedures in place that address the overall standards defined above. Examples of these include: departmental, corporate and institutional policies; employee principles; quality improvement teams, ethics committees, orientation programs for new employees, etc. However, SALUD wants to provide its representatives with an overall process for defining what compliance means to SALUD and everyone associated with it.

Specifically, through our Board of Directors, we initiated this on-going program to:

- Reiterate our commitment to corporate compliance with standards of care, applicable laws, regulations and business practices.
- Define SALUD's Code of Conduct and provide on-going corporate compliance education with respect to acceptable and legal business conduct.
- Ensure that everyone associated with SALUD is aware of their personal responsibility to comply with applicable laws, regulations, and policies and to adhere to the principles defined by SALUD's Code of Conduct, as well as clearly define the consequences of non-compliance.
- Provide and define the process for reporting integrity questions, concerns or issues.
- Establish a mechanism for on-going review and monitoring of the activities and business practices of SALUD.
- Eliminate or reduce the likelihood of an event leading to a compromise of SALUD and its mission and core values, loss of confidence by the communities SALUD serves, or liability for SALUD and/or the individuals associated with SALUD.
- Provide for consistent enforcement of standards and procedures through prompt response and appropriate corrective action.

The health care industry continues to experience significant changes that have a dramatic effect on SALUD's business operations and the communities served by SALUD. Although ethics and legality are fundamentally entrenched in our business activities, the complexity of today's health care environment requires a formalized corporate compliance program to help insure we are keeping up to date with these changes. Customers, contractors, payers, the government, and others we are in business with, depend on us to provide quality care and services ethically, responsibly and lawfully. The mere perception of unethical conduct can result in severe consequences for SALUD, including governmental investigations and loss of our existing reputation for providing quality care and services to our patients.

Who is responsible for overseeing the Corporate Compliance Program?

SALUD has established a corporate compliance committee and corporate compliance officer. The corporate compliance committee consists of the Corporate Compliance Officer, the Director of Accounting and Finance, the Director of Administrative Services, the Billing Manager, the Human Resources Director, the Associate Medical Director, the Director of Client Services, and the System CQI Manager. Ad hoc members will be added as required. This committee was formed to support on-going corporate compliance efforts, including development and review of corporate compliance materials, initial and on-going education, monitoring, auditing and reporting efforts and tools.

What benefits will I see as a result of having a formalized Corporate Compliance Program?

The Corporate Compliance Program will enhance SALUD's culture by providing you with general standards of ethical, lawful and responsible business conduct. These standards correlate directly to our mission and core values. This includes marketing materials that accurately represent the organization and address the care, treatment, and services that the organization can provide, directly or by contractual arrangement. The program provides you with education on the Code of Conduct that personalizes SALUD and makes it the organization it is. It provides a means to monitor your activities and the activities of those around you to ensure individual and organizational integrity and that SALUD's mission and core values are not being compromised in daily activities and business decisions.

The program was designed not only to provide you with guidelines, education and tools for monitoring daily activities, but it also provides you with a reporting mechanism to address any concerns you have about how we are conducting business in relation to the standards we have set for our organization and ourselves.

The program was designed to be interactive and ever evolving. As we proceed, your input and recommendations are vital to its success, and to the success of SALUD itself. Specifically, the success of your department depends on your commitment to compliance. You are encouraged to utilize the SALUD Corporate Compliance Reporting Process outlined in this document to provide any feedback about the program. As changes are made in the health care industry affecting our standards and the way we do business, our program will be adjusted to keep you up to date on how changes affect you and our standards for ethical, professional and lawful business practices.

How do I measure whether I am conducting my daily activities in a manner consistent with SALUD's expectations?

Ethical, legal and professional business practices can mean many things to different people. First and foremost, you are responsible for complying with all laws and regulations governing your area of responsibility. If you have any question as to whether you know all the laws and regulations or are uncertain about how a specific law or regulation is to be interpreted or applied, contact your department director or follow the procedures defined in the SALUD Corporate Compliance Reporting Process defined below. When performing your responsibilities, ask yourself one or more of the questions listed below:

Have I been asked to do something that is dishonest, unethical or illegal? For example, have I, either, made documentation in the medical record or participated in billing for services not provided in an effort to increase SALUD's bottom line?

Did I or other individuals within SALUD accept a gift from an existing or potential supplier, vendor or contractor that might prove embarrassing to SALUD or myself if it were found out?

Did I notify my department director and receive their approval prior to accepting the gift?

Have I been aware of other individuals I know about having used SALUD assets for personal use? For example, have I copied SALUD software for purposes of installing it on my home computer without the approval of the Director of Accounting and Finance? Have I installed copyrighted software on my computer at work that was purchased for personal use and installed on my home computer without prior approval?

Do I have a personal business or interest that has profited from doing business with SALUD? Were proper procedures followed to ensure that the decision to do business with my outside interest was made independent of me and approved by my department director?

Do I model ethical behavior in my daily work activities? Would I be embarrassed about any of my actions or work if they were to be discussed by my family, friends, co-workers, or the media?

Have I shared or discussed any confidential business information with a SALUD competitor or potential supplier, vendor, or contractor?

These are just a few questions to consider when performing your daily work responsibilities and when reviewing the Code of Conduct. If any of these questions, or the actions you have taken, or are considering taking, have made you uneasy, you are encouraged to err on the side of caution and utilize the SALUD Compliance Reporting Process, outlined below, to discuss the matter with someone right away.

What are the consequences to me if I fail to comply with SALUD's Code of Conduct?

Although you have received formal education on the Code of Conduct, you are encouraged to review the Code of Conduct periodically to re-familiarize yourself with it. Compliance with the Code of Conduct is mandatory. SALUD will not condone a breach of the Code of Conduct even if you were pressured into violating a standard by your supervisor, or in an effort to meet a budget. If you have concern about an action you have been asked to take, utilize the SALUD Corporate Compliance Reporting Process prior to taking the requested action. SALUD will hold you accountable for any decision you make which violates any of the standards defined in the Code of Conduct or that is not in compliance with laws and regulations governing your area of responsibility.

Adherence to the Code of Conduct is a condition of employment and doing business with SALUD. SALUD is committed to ensuring all individuals are treated fairly and equitably regardless of their position in the organization. As such, if it is determined that you have violated the Code of Conduct or your departmental compliance-related policies, you will be subject to discipline, including and up to loss of employment, staff privileges or ability to continue doing business with SALUD.

SALUD management will be held accountable for ensuring employees receive a copy of SALUD's Code of Conduct and on-going, annual formal education on the Code of Conduct. Annual evaluations will include a component measuring management's efforts and support for assisting their departments in complying with the Code of Conduct.

How do I get answers to my corporate compliance questions and report any corporate compliance matters I may have?

You are responsible for asking for clarification on any questions or concerns you have about the Corporate Compliance Program. You are also responsible for reporting in good faith any actual or potential breach of the Code of Conduct.

You are encouraged to utilize the existing reporting mechanism in place at SALUD. These include discussing the matter with your department director, a corporate compliance committee member or the corporate compliance officer.

SALUD is committed to providing you with tools and processes to ensure your corporate compliance concerns are satisfactorily answered or resolved. For this purpose, the SALUD Corporate Compliance Reporting Process has been developed. This process is defined below and you are encouraged to follow it at any time you wish to discuss or report an existing or potential compliance matter.

The SALUD Integrity Reporting Process:

1. Contact your immediate supervisor
2. If you do not feel comfortable discussing the matter with your department director, or, in following your normal chain of command, or you do not feel the matter was adequately resolved, contact the Corporate Compliance officer or Corporate Compliance Committee.
3. If you do not feel comfortable discussing the matter using either of the above listed alternatives, you are encouraged to call the Hotline directly.

What is the number to the Corporate Compliance Hotline and what is the process for using this service?

**Corporate Compliance Hotline
1-800-826-6762
Operated by National Hotline Services, Inc.**

SALUD has a confidential phone line with a contracted outside vendor, National Hotline Services, Inc. The Hotline Operations Manual is maintained with the Corporate Compliance Policy and Procedure Manual and is accessible at each center. You are encouraged to use this toll-free Hotline to report your concerns. It is staffed 24 hours a day, seven days a week. Call the Hotline to seek clarification of or to report any suspected violation of federal, state, or local law, regulations, SALUD policy, or the Code of Conduct that you feel cannot be addressed through the normal reporting structure.

Calls to the Hotline are received by trained, designated Hotline staff who document and forward your information to SALUD's corporate compliance officer for determination of appropriate action. Calls to the Hotline are not traced or recorded. If you call the Hotline, you are encouraged to remain anonymous. If you choose to identify yourself, there is no guarantee that your identity will remain confidential. However, if you choose to identify yourself it will be easier for the corporate compliance committee to respond to your concerns.

The Integrity Reporting Process shall also include the requirement for ARRA (American Recovery and Reinvestment Act) recipients to report instances of fraud, waste and/or abuse. In particular, ARRA recipients are required to disclose to the OIG any credible evidence that a principal, employee, agent, contractor, sub-recipient, sub-contractor, or other person has (with respect to ARRA funds):

- 1) Submitted a false claim under the False Claims Act; or
- 2) Committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity or similar misconduct

ARRA specifically prohibits any non-federal employer (such as health centers) that receives ARRA funds from discharging, demoting or otherwise discriminating against any employee as reprisal for that individual's disclosure of information that he or she reasonably believes is evidence of:

- 1) Gross mismanagement of an agency contract or grant relating to gross waste of ARRA funds
- 2) Substantial and specific danger to public health or safety, or abuse of authority related to the implementation or use of ARRA funds
- 3) Violation of law, rule or regulation related to an agency contract or grant awarded or issued related to ARRA funds

Can I be retaliated against for reporting integrity matters?

SALUD is committed to promoting a corporate compliance program that encourages its representatives to seek timely clarification of or to report any compliance matter. You are ultimately responsible for ensuring that SALUD is able to meet this objective. As such, SALUD policy prohibits anyone from taking any action or retaliation or reprisal against any individual for discussing an integrity matter with their Department Director, Corporate Compliance Officer, Corporate Compliance Committee or for utilizing the Hotline to make a good faith report, complaint or inquiry. However, the anti-retaliation policy will not protect you from the consequences of your own conduct. If you report conduct in which you are involved, SALUD is free to impose the appropriate discipline.

What happens to any good faith report, complaint or inquiry once it is reported?

Any department director or member of the SALUD management staff who receives a report of non-compliance with laws, regulations or SALUD's Code of Conduct is responsible for promptly initiating an appropriate investigation, securing any information obtained from the investigation, and providing the individual who made the report with timely follow-up. Prior to initiating any investigation, the corporate compliance officer or compliance committee should be contacted to determine whether the corporate compliance committee or General Counsel should conduct the investigation.

SALUD's Corporate Compliance Committee will impartially and thoroughly review, evaluate and respond to allegations of wrongdoing, concerns and/or inquiries made directly to the compliance committee or the Hotline. Compliance committee members will respect and protect the rights of all individuals, including the individual who is the subject of a Hotline complaint. To this end, all allegations will be thoroughly investigated before any action is taken. Furthermore, the Corporate Compliance Committee and Hotline staff will hold any response resulting from a report confidential to the fullest extent possible.



Code of Conduct

Purpose of the Code of Conduct

Plan de Salud del Valle, Inc. (SALUD) aspires to the highest standards of business ethics and integrity that reflect our mission and core values. In this regard, SALUD has developed this Code of Conduct, as well as Corporate Compliance Policies to guide all employees in the conduct of SALUD business.

The purpose of this Code of Conduct is to remind all employees of SALUD's mission and beliefs and to give direction and guidance to the employees of SALUD regarding the responsibility we all share to provide quality healthcare to our patients. The Code of Conduct is also a reminder to conduct all patient care and business activities ethically, with integrity and consistent with applicable laws. This Code of Conduct is intended to be a summary of conduct that is expected from all SALUD employees and other persons affiliated with SALUD.

Code of Conduct

As a SALUD employee, you are expected to abide by high standards of business ethics and integrity that reflect our mission and core values. You must obey the laws and rules that apply to community/migrant health center operations and to your particular duties.

We urge you to make sure you know and understand all the rules and policies that apply to your work. If you are not familiar with them, you might make mistakes that could be costly to SALUD and to you. If you do not know what rules apply to you, talk to your supervisor or call the corporate compliance officer.

You must also be careful to understand and obey applicable laws, including anti-trust laws as well as the conflict of interest policy in the administrative policy manual.

You should be particularly careful not to inadvertently do anything that amounts to fixing prices, limiting competition or dividing up customers or markets.

You should also be careful not to ask for, give or receive any kind of direct or indirect payment or reward for Medicare or Medicaid referrals.

False Claims: You may not make false or misleading claims for services given or received or about people who gave or received services.

Mail and Wire Fraud: You must not send false claims or statements through the U.S. Postal Service or electronically.

It is your duty to report any transaction or conduct that you think may be a violation of federal, state or local law.

Honest Communication

You are expected to communicate with candor and honesty when performing your job responsibilities.

Compliance with Laws and Regulations

Anyone acting on behalf of SALUD is required to comply with all applicable laws and regulations, whether or not they are specifically addressed in these standards. If questions arise as to the existence or interpretation of any law, these questions should be directed to SALUD's compliance officer or compliance committee. Everyone is required to promptly report to appropriate levels of management any suspected or actual violations of law or regulation so that timely, appropriate action can be taken.

Conflict of Interest

SALUD is committed to exercising responsible stewardship of both human and financial resources and avoiding conflicts of interest and/or appearance of conflicts. In light of this commitment, you are expected to be loyal and faithful to the organization. You should exercise the best care, skill and judgement for the benefit of SALUD and not use your position to personally profit or assist others in profiting at the expense of SALUD. Situations that could create an actual or apparent conflict of loyalty or interest must be avoided. Actions or relationships that have the potential to create a conflict of interest must be disclosed in advance and approved by SALUD's compliance officer. Refer to the Conflict of Interest Policy in your Compliance Manual.

Gifts, Gratuities and Entertainment

You may not accept, directly or indirectly, anything of more than nominal value from any supplier, potential supplier or competitor of SALUD. This includes not accepting expensive meals, gifts, transportation, education, lodging or entertainment provided or received in connection with your job. Any nominal courtesies or gifts received must be lawful, unsolicited and infrequently provided. In addition, do not accept money, personal gratuities or gifts from patients or other individuals in SALUD's care of more than a nominal value. If a patient, family member, or other individual offers gifts of more than a nominal amount, the individual should be referred to the Administration Office, where a donation can be made.