

CODE OF CONDUCT
Compliance Services



UFHealth
SHANDS

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Purpose

The mission of UF Health Shands is to provide excellent patient care, to collaborate in improving community health and to create an environment that supports education and research in the health sciences. As part of our mission for excellence, we seek to provide the best medical care and education while upholding the highest legal and ethical standards. We strive to ensure that all activity by or on behalf of UF Health Shands is in compliance with the organization's policies and procedures, as well as local, state and federal laws.

To underscore our commitment to compliance and integrity, we have adopted this ***Code of Conduct*** in order to give guidance regarding the ethical and professional standards required by UF Health Shands. It is critical that each employee understands his or her individual duty to actively participate in compliance. Individuals are encouraged to discuss their compliance concerns with their supervisor or the Vice President of Compliance and Privacy. In addition, a confidential hotline has been established as a means to report suspected compliance violations.

As a respected organization in the communities we serve — the southeast and the nation — UF Health Shands is dedicated to creating an environment of excellence and full compliance. UF Health Shands is proud to set this standard to benefit its employees and the communities we serve.

Introduction to the UF Health Shands Code of Conduct

At UF Health Shands we are committed to conducting business lawfully and ethically. UF Health Shands' reputation is the sum of the reputations and actions of its employees. To protect its reputation and the reputation of those who work here, UF Health Shands has established this *Code of Conduct* to assist employees in achieving the compliance goals of the organization.

The *Code of Conduct* is principally concerned with the areas of legal and regulatory compliance, business ethics, conflicts of interest, appropriate use of resources, confidentiality and active participation in continued compliance efforts. The Code of Conduct is part of our general Compliance Program. There are also policies and procedures that can be accessed in hard copy form or on the UF Health Shands intranet.

Who should read this?

All employees of UF Health Shands must abide by the *Code of Conduct*. As a condition of employment, every employee of UF Health Shands is required to fully comply with UF Health Shands' policies and procedures. By reviewing the *Code of Conduct*, attending scheduled training courses, and reading policies, you will become familiar with the legal requirements specific to your job and recognize circumstances that may raise compliance issues.

All employees are required to sign the Acknowledge form (on page 8) stating that they have received, reviewed, and will abide by the Code.

Code of Conduct:

Six Principles

- 1 Legal and Regulatory Compliance
- 2 Business Ethics

- 3 Conflicts of Interest
- 4 Appropriate Use of Resources
- 5 Confidentiality
- 6 Active Participation

PRINCIPLE 1
Legal and Regulatory Compliance
All activity by or on behalf of UF Health Shands must be in compliance with all federal, state and local laws and regulations.

UF Health Shands is committed to full compliance with the laws and regulations that apply to most businesses.

Examples include:

PROHIBITION OF DISCRIMINATION AND HARASSMENT

ADHERENCE TO HEALTH AND SAFETY LAWS

ENVIRONMENTAL PROTECTION

REGULATION OF CONTROLLED SUBSTANCES

PROTECTION OF INTELLECTUAL PROPERTY AND TRADE SECRETS

Intellectual Property, as it pertains to UF Health Shands, is defined as all employees' intellectual work made, conceived, or developed independently or jointly with others during employment which relate to the business, activities, or facilities of UF Health Shands. The intellectual work includes works of expression, ideas, concepts, processes, improvements,

information systems, software, methods, formulas, writings, photos, artwork, designs, techniques, and inventions.

Trade Secrets are various kinds of information concerning the business of UF Health Shands deemed to be of a secret or confidential nature. Trade Secrets include inventions, ideas, technical data, products, product specifications, services, processes, procedures, machinery, apparatus, prices, discounts, manufacturing costs, computer and information systems, unpublished works of any nature (whether or not subject to copyright), future plans, policies, and all other information and knowledge in whatever form used in management, engineering, manufacturing, marketing, purchasing, finance, and operations.

As a condition of employment, employees agree that 1. UF Health Shands owns all Intellectual Property produced by the employee during the period of employment as required for their job; and 2. Trade Secrets will not be disclosed or used, directly or indirectly, either during or subsequent to employment.

All employees are bound and obligated to comply with this policy's terms and may be required to sign an Agreement to this effect upon request.

SCREENING FOR EXCLUDED INDIVIDUALS AND ENTITIES

UF Health Shands will not knowingly employ or contract with individuals or entities who have been convicted of a criminal offense related to the provision of health care items or services, or who are listed as debarred, excluded, suspended, or otherwise ineligible for participation in Federal or State health care programs, or in Federal procurement or non-procurement programs ("Federal Programs"). As a condition of employment, employees are required to sign an Employee Statement of Understanding, confirming that they are not currently, nor to the best of

their knowledge will be in the future, listed by the Federal Department of Health and Human Services Office of Inspector General, or the General Services Administration, as a person who is excluded from participation in Federal Programs.

Any current employee who, for whatever reason, has not signed a confirmation statement is nevertheless bound by and obligated to comply with its terms and will be required to sign the Employee Statement of Understanding upon request. All employees of UF Health Shands have an obligation to notify the Human Resources Department promptly of any change in their ability to continue to make such confirmation.

Each of these subjects, as well as other legal and regulatory obligations, are detailed in UF Health Shands' policies and procedures.

PRINCIPLE 2

Business Ethics

We are committed to the highest standards of business ethics and integrity, and require honesty and accuracy when representing UF Health Shands.

Some examples of Business Ethics issues are:

BILLING

Employees who handle patient charges, claims, and records must accurately report the services and supplies that were rendered. Billing must be in compliance with all applicable laws, rules, and policies.

FRAUD, WASTE AND ABUSE

Day-to-day business operations must be free from violations of applicable fraud and abuse laws. Recognize and report fraud, waste, and abuse.

False Claims

UF Health Shands has adopted policies to prevent and detect fraud, waste, and abuse. They require compliance with federal and state laws intended to protect against fraud, waste, and abuse. UF Health Shands' policies are available upon request and on the intranet.

UF Health Shands' policies and various federal and state laws, such as the Federal False Claims Act and the Florida False Claims Act, prohibit false claims and other fraudulent activity. Violations of these laws can result in civil actions and penalties. For example, the Federal False Claims Act prohibits conduct such as knowingly submitting a false or fraudulent claim, or using or making a false statement to get a false or fraudulent claim paid or approved by Federal health care payers. It also prohibits any plan to defraud the Federal Government by getting a false claim allowed or paid. The Florida False Claims Act also prohibits knowingly causing the State of Florida to pay claims that are false.

Inaccurate or fraudulent medical claims increase health care costs. Fines and exclusion from government programs can be imposed for submission of false medical claims. Employees may not submit false, fictitious, or fraudulent claims to the government or private insurers. **Some examples of false claims include:**

- ▶ Filing a claim for services that were not rendered at all, or were not rendered in the manner described on the form;
- ▶ Filing a claim for services that were rendered but not medically necessary; or submitting a claim with knowingly false information.

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

Don't ignore these types of activities. If you know or suspect activity of this type, report it immediately. If you are uncertain as to

whether an activity is fraudulent, contact the Vice President of Compliance and Privacy for guidance. Employees who lawfully report false claims or other fraudulent conduct or who otherwise assist in an investigation or action, or provide testimony are protected from retaliation under both state and federal laws.

Accurate Books and Accounts

All of UF Health Shands' payments and other transactions must be properly authorized by management and be completely and accurately recorded on the hospital's books and records.

Documentation of payments and transactions must be in accordance with generally accepted accounting principles and established corporate accounting policies. UF Health Shands operates in a highly regulated industry and has numerous dealings with government agencies. All employees who prepare or submit information to government agencies must do so diligently and with the highest degree of integrity. The duty to provide accurate and truthful information also applies to our internal dealings. All records of work-time and expenses must be reported accurately and honestly.

Anti-Kickback

Health care providers are prohibited from offering, giving, soliciting or receiving inducements or kickbacks in exchange for the purchase of goods, the purchase of services, or for patient referrals. Violators of federal anti-kick laws are subject to substantial fines and imprisonment.

BUSINESS COURTESIES

Employees should never seek to gain favorable treatment or an improper advantage by offering or accepting business courtesies, gifts, and gratuities such as entertainment, meals, transportation, or lodging unless authorized by UF Health Shands' policies. Employees must avoid

even the appearance of impropriety when interacting with industry representatives, vendors, medical staff, patients, and members of the community. Contact Legal or Compliance Services if you have any questions.

ANTITRUST

In an increasingly competitive health care market, UF Health Shands must strive to remain competitive in a fair and honest manner. Antitrust and trade regulations prohibit actions that restrain competition. Some examples of unfair practices include price-fixing, price sharing, boycotts, discrimination agreements, bribery, misappropriation of trade secrets, deception, and intimidation or coercion.

ADVERTISING AND MARKETING

In conducting all advertising and marketing activities, UF Health Shands employees may offer factual information or documented evidence to the general public or target audience. Employees must not distort the truth or make false claims. Marketing initiatives should be reviewed and approved by the Department of Marketing and Public Relations, especially those activities that involve providing or giving anything of value to patients or physicians, to ensure compliance with federal and state regulations and consistency with brand architecture and messages. The Department of Marketing and Public Relations will route any marketing initiatives to Risk Management and/or Compliance Services for review if appropriate.

TRAVEL AND ENTERTAINMENT

Travel and entertainment expenses of an employee must be consistent with his/her job responsibilities and the needs and resources of UF Health Shands.

UF Health Shands encourages employees to participate in and attend educational workshops, seminars, and training sessions.

You may attend vendor-sponsored educational functions, but may not accept vendor funding for travel and lodging expenses associated with such functions.

PRINCIPLE 3

Conflicts of Interest

Employees owe a duty of unqualified loyalty to UF Health Shands and may not use their positions to profit personally at the expense of the organization.

All staff should exercise good faith and use their best skills and judgment in the administration of their duties. In dealing with and on behalf of any UF Health Shands entity, all staff are required to act honestly, fairly, and impartially, and should not use their position, or any knowledge gained as a result of their connection to UF Health Shands, in such a manner to create a Conflict of Interest or give rise to the appearance of impropriety.

Some examples of Conflicts of Interest issues are:

OUTSIDE ACTIVITIES AND EMPLOYMENT

UF Health Shands can restrict or prohibit outside activities or employment that may interfere with job performance or that may not be in the organization's best interest. An employee must obtain authorization from his/her supervisor before accepting payment for outside services or activities during work hours.

It is acceptable for an employee to work a second job as long as that job does not impair the employee's ability to function in

his or her capacity at UF Health Shands, and does not create a Conflict of Interest.

FAMILY AND WORK

Employment of immediate relatives (including a spouse, parent, grandparent, child, sibling, in-law, step-relative, aunt, uncle, niece, nephew, or grandchild) is not permitted where an employee has or would have direct or indirect administrative, supervisory, or decision-making authority over the related person.

POLITICAL ACTIVITY

UF Health Shands is a tax-exempt organization. Its employees may not contribute or donate UF Health Shands' funds, products, services or other resources to any political cause, party, or candidate. Employees may participate in and contribute to political candidates and organizations, but not as representatives of UF Health Shands. UF Health Shands cannot reimburse employees for such contributions.

INSIDER TRADING

No employees of UF Health Shands shall trade in the securities of any company, or buy or sell any property or assets on the basis of non-public information acquired through employment at UF Health Shands.

PRINCIPLE 4
Appropriate Use of Resources
Employees must preserve and protect the organization's assets by making appropriate and effective use of resources.

As employees of UF Health Shands we each have a duty to protect UF Health Shands' assets and ensure their efficient use. Theft, carelessness and waste have a direct impact

on the organization's success. Employees are responsible to take measures to prevent damage to, and theft or misuse of UF Health Shands' property.

Some examples of Appropriate Use of Resources issues are:

PERSONAL USE OF PROPERTY

Property of UF Health Shands must not be used for personal purposes. Employees may not use or take equipment, supplies, materials, or services for non-work-related purposes. Employees should have no expectation of personal privacy in connection with personal or work use of UF Health Shands' electronic resources.

ACCOUNTING

Employees must follow UF Health Shands' standards and procedures to ensure that resources are properly protected, used, and reported accurately.

PRINCIPLE 5
Confidentiality
Employees are obligated to maintain the confidentiality of patient, personnel and other sensitive information.

UF Health Shands strives to maintain the trust and confidence of patients, employees, and those who enter into business or professional relationships with UF Health Shands. Accordingly, employees are trusted with a wide spectrum of confidential information. This confidential information is and remains the sole property of UF Health Shands. Upon accepting employment with UF Health Shands or during the course of your employment, you may have been asked to sign a Confidentiality Agreement which states that you will not disclose or use any confidential information, either during

or after your employment with UF Health Shands. You are required to be familiar with, and abide by, the terms of the Confidentiality Agreement.

Some examples of Confidentiality issues are:

PATIENT AND EMPLOYEE PRIVACY

All UF Health Shands information including, but not limited to, patient medical records and business or legal information, is confidential. Sharing of confidential information with other employees or others outside the organization is strictly forbidden, unless the person requesting the information has a legitimate reason to know. All use and disclosure of confidential information must comply with UF Health Shands' policies and procedures.

COMMUNICATION WITH THE PUBLIC

All requests from reporters or the general public should be referred to the Public Relations Department. Employees should never release information without the permission of the Public Relations Department.

PRINCIPLE 6

Active Participation – Reporting and Training

UF Health Shands will provide continued training for *Code of Conduct* policies and procedures. Employees are expected to report all known or suspected abuses and may do so confidentially.

REPORTING

All employees are expected to report any suspected or actual violations of the *Code of Conduct* or other irregularities to their supervisor or the Vice President of Compliance and Privacy or his/her designee. If the employee wishes to remain completely anonymous, the employee may submit his/her report through the UF Health Shands Compliance Hotline (1.888.329.3569). There will be no negative consequences for good-faith reports of possible misconduct.

TRAINING

UF Health Shands will provide training for all staff regarding the UF Health Shands *Code of Conduct*, compliance topics in general and the use of the UF Health Shands Hotline. In addition, employees must participate in training sessions when required.

LIMITATION ON EFFECT OF THE CODE OF CONDUCT

Nothing contained in this *Code of Conduct* is to be construed or interpreted to create a contract of employment, either express or implied, nor is anything contained in this *Code of Conduct* intended to alter a person's status of "employment-at-will" with UF Health Shands to any other status.

RESOURCES AND CONTACT INFORMATION

- ▶ **Compliance Services:**
352.627.9050
- ▶ **UF Health Shands Compliance Hotline:**
Toll free 888.329.3569

CODE OF CONDUCT ACKNOWLEDGEMENT FORM

I acknowledge:

- ▶ That UF Health Shands upholds and supports proper compliance conduct.
- ▶ That I have received, reviewed and will abide by the UF Health Shands *Code of Conduct*, which addresses legal and ethical practices regarding Legal and Regulatory Compliance, Business Ethics, Conflicts of Interest, Appropriate Use of Resources, Confidentiality and Active Participation in continued compliance efforts.
- ▶ That I may report potential compliance issues by calling the UF Health Shands Compliance Hotline at 1.888.329.3569, or by contacting the Vice President of Compliance and Privacy at 352.627.9050.
- ▶ That violations of the *Code of Conduct* may result in disciplinary action.

Printed Name _____

Title or Position _____

Employee ID# _____

Phone Number _____

Department/Facility _____

Director/Manager/Supervisor _____

Signature _____

Date _____