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Code of Conduct

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COMPLIANCE DEPARTMENT

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Purpose

The mission of UF Health Jacksonville 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 Jacksonville 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 Jacksonville. 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 Jacksonville is dedicated to creating an environment of excellence and full compliance. UF Health Jacksonville is proud to set this standard to benefit its employees and the communities we serve.

Introduction to the UF Health Jacksonville Code of Conduct

At UF Health Jacksonville we are committed to conducting business lawfully and ethically. UF Health Jacksonville's 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 Jacksonville 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 Jacksonville intranet.

Who Should Read This?

All employees of UF Health Jacksonville must abide by the *Code of Conduct*. As a condition of employment, every employee of UF Health Jacksonville is required to fully comply with UF Health Jacksonville's 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.

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 Jacksonville must be in compliance with all federal, state and local laws and regulations.

UF Health Jacksonville 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

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Protection of Intellectual Property and Trade Secrets

Intellectual Property, as it pertains to UF Health Jacksonville, 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 Jacksonville. 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 Jacksonville 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 Jacksonville 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 Jacksonville 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 nonprocurement 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 Under

standing upon request. All employees of UF Health Jacksonville 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 Jacksonville 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 Jacksonville.

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 Jacksonville 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 Jacksonville's policies are available upon request and on the intranet.

UF Health Jacksonville's 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

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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 Jacksonville's 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 Jacksonville 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-kickback 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 Jacksonville 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 Services or the Compliance Department if you have any questions.

Antitrust

In an increasingly competitive healthcare market, UF Health Jacksonville 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 Jacksonville 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 Communications and Marketing department, 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 Communications and Marketing department will route any marketing initiatives to Risk Management and /or to the Compliance Department for legal 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 Jacksonville.

UF Health Jacksonville 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 Jacksonville 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 Jacksonville 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, in such a

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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 Jacksonville 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 Jacksonville, 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 Jacksonville is a tax-exempt organization. Its employees may not contribute or donate UF Health Jacksonville's 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 Jacksonville. UF Health Jacksonville cannot reimburse employees for such contributions.

Insider Trading

No employee of UF Health Jacksonville 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 Jacksonville.

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 Jacksonville we each have a duty to protect UF Health Jacksonville's 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 Jacksonville property.

Some examples of Appropriate Use of Resources issues are:

Personal Use of Property

Property of UF Health Jacksonville 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 Jacksonville's electronic resources.

Accounting

Employees must follow UF Health Jacksonville's 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 Jacksonville strives to maintain the trust and confidence of patients, employees, and those who enter into business or professional relationships with UF Health Jacksonville. Accordingly, employees are trusted with a wide spectrum of confidential information. This confidential information is and remains the sole property of UF Health Jacksonville. Upon accepting employment with UF Health

Jacksonville Jacksonville 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 Jacksonville. 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 Jacksonville 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 Jacksonville's policies and procedures.

Communication With the Public

All requests from reporters or the general public for information should be referred to the Communications and Marketing department. Employees should never release information without the permission of the Communications and Marketing department.

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PRINCIPLE 6

Active Participation – Reporting and Training

UF Health Jacksonville 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 Hotline (1-888-329-3569). There will be no negative consequences for good-faith reports of possible misconduct.

Training

UF Health Jacksonville will provide training for all staff regarding UF Health Jacksonville's *Code of Conduct*, compliance topics in general and the use of the UF Health 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 Jacksonville to any other status.

Resources and Contact Information

- **Compliance Department:**
1.352.627.9050 in Gainesville
or 1.904.244.1979 in Jacksonville

- **UF Health Shands Hotline:**
1.888.329.3569



UFHealth
JACKSONVILLE

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UF Health Jacksonville

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