

1 [INSERT LOGO]

2 ***UC_ [insert campus name] HEALTH SCIENCES CODE OF CONDUCT***

3 Dear Colleagues,

4 Members of the University of California community share a commitment to the highest ethical, legal,
5 and professional standards in furtherance of our mission of patient care, teaching, research and public
6 service. We recognize that we hold the University in trust for the people of the State of California. This
7 Code of Conduct and our policies, procedures and standards provide guidance for application of the
8 University's Statement of Ethical Values and Standards of Ethical Conduct in our daily lives and work as
9 members of this community.

10 ***Statement of Ethical Values***

- 11 • **Integrity.** We will conduct ourselves with integrity in our dealings with and on behalf of the
12 University.
- 13 • **Excellence.** We will conscientiously strive for excellence in our work.
- 14 • **Accountability.** We will be accountable as individuals and as members of this community for our
15 ethical conduct and for compliance with applicable laws and University policies and directives.
- 16 • **Respect.** We will respect the rights and dignity of others.

17 The Code of Conduct ("Code") has been adopted by the University of California and is in effect for all UC
18 health science campuses. The Code applies to everyone who is associated with a UC Health Sciences
19 campus — all faculty members, full- and part-time employees, students, volunteers, and vendors or
20 independent contractors performing work on behalf of the University.

21 Just as we take pride in our reputation for high quality patient care, education, and research, we are
22 equally proud of our commitment to ethical, legal and professional conduct. Please review the Code
23 carefully and familiarize yourself with its content. It is your responsibility to uphold these ethical, legal
24 and professional principles without exception. If you have any questions about this Code, you should
25 contact your supervisor or the UC_ [insert campus name] Compliance Office. [Add phone # and /web
26 address]

27

28 _____, M.D.

29 Dean and Vice-Chancellor

30 UC_ [insert campus name] Health Sciences

31 **SECTION 1. CODE OF CONDUCT (“CODE”)**

32 **1. Adherence to the Highest Standards.**

33 We shall, at all times, conduct ourselves with honesty and integrity in accordance with the highest
34 ethical, legal and professional standards.

- 35 • UC Standards of Ethical Conduct: <http://www.universityofcalifornia.edu/compliance/ethics/>
- 36 • We endeavor to hire the best, most qualified individuals and strive to attract, train and retain a
37 diverse workforce.

38 **2. Individual Responsibility & Accountability.**

39 Each of us is expected to become familiar with the laws and regulations that apply to our positions and
40 duties, as well as University of California Campus and Health System policies. We will comply with both
41 their letter and spirit.

- 42 • All questions and concerns about the legality or appropriateness of any action or failure to take
43 action by or on behalf of the UC__ *[insert campus name]* Health Sciences should be referred to your
44 supervisor, the Compliance Office, Internal Audit, the UC Legal Counsel or the UC__ *[insert campus*
45 *name]* Hot Line. (Refer to Section 2, Reporting Violations).

46 **3. Respect for the Rights and Dignity of Others.**

47 We treat everyone with respect and dignity.

- 48 • We make no distinction in the availability of services; the admission, transfer or discharge of
49 patients; or in the care we provide based on age, gender, disability, race, color, religion, or national
50 origin.
- 51 • The University prohibits discrimination in any work-related decision on the basis of race, color,
52 national origin, religion, sex, physical or mental disability, medical condition (cancer-related or
53 genetic characteristics), ancestry, marital status, age, sexual orientation, citizenship, or status as a
54 covered veteran. The University is committed to providing equal employment opportunity and an
55 academic and work environment where each individual is treated with fairness, dignity, and respect.
- 56 • We are committed to the ethical and compassionate treatment of patients and compliance with
57 established policies and statements of patient rights.
- 58 • We act as positive role models for our trainees, staff and visitors; and show due respect to
59 subordinates and each other.

60 **4. Respect for Confidentiality and Privacy (Personal and Confidential**
61 **Information).**

62 Health information, including billing records, is confidential. We use confidential information only to
63 perform our job responsibilities and do not share such information with others unless the individuals or
64 entities have a legitimate need to know the information. We follow applicable laws and University

65 policies regarding privacy and information security when accessing, using, disclosing, or creating,
66 storing, receiving and transmitting confidential records. We do not share passwords.

- 67 • Personnel records should only be accessible to management, Human Resource Staff, Internal Audit
68 and those responsible for protecting them.
- 69 • UC HIPAA Guidelines: <http://www.universityofcalifornia.edu/hipaa/>
- 70 • UC__ [insert campus name] Health Science HIPAA Policies: __ [insert web-link]

71 **5. Strive to Attain the Highest Standards of Patient Care.**

72 We provide quality health care in a manner that is appropriate, medically necessary, and efficient.

- 73 • University physicians (and other health care professionals authorized by law to order items or
74 services) shall only order or provide those services and items that are determined by the
75 professional to be medically appropriate.
- 76 • We place the interests of our patients above our own.

77 **6. Medical Necessity.**

78 The UC__ [insert campus name] Health System shall submit claims for payment to governmental,
79 private, or individual payers only for services or items that are medically necessary and appropriate.

- 80 • Patients may request a service that is not a covered benefit. The service may be provided as long as
81 the patient has been given advance notice that a service is not a covered benefit and has agreed to
82 pay for the services.

83 **7. Compliance with all Coding, Billing, Cost Reports and Other Contractual /** 84 **Grant Terms and Conditions**

85 Every member of the UC__ [insert campus name] Health System who is involved, directly or indirectly, in
86 the preparation or submission of a bill to any governmental or private payer is expected to ensure the
87 bill reflects only those services rendered and products delivered and in the correct amount, supported
88 by appropriate documentation.

- 89 • UC personnel and agents who are responsible for providing services, for documentation, coding,
90 billing, and accounting for patient care services must comply with all applicable state, federal and
91 payer regulations and policies, as well as UC policies and procedures.
- 92 • Cost reports will be properly prepared, allocated to the correct cost centers, and supported by
93 verifiable and auditable cost data according to all applicable rules and regulations.
- 94 • Certain individuals with responsibility for preparation of financial statements and disclosures will be
95 required to make attestations in support of *Standards of Ethical Conduct*.

96 **8. Avoidance of Conflicts of Interest or Commitment**

97 We avoid both actual conflicts of interest and commitment and the appearances of such conflicts and
98 devote professional allegiance to patients, the University, and its mission of teaching, research, and
99 patient care by:

- 100 • Complying with University policy and guidelines for reporting and reviewing actual and potential
101 conflicts of interest and conflicts of commitment.
- 102 • Not giving or accepting gifts, gratuities, loans or other special treatment of value from third parties
103 doing business with or wishing to do business with UC in a manner that is not in accordance with the
104 California Political Reform Act.
- 105 • As a general rule, UC__ *[insert campus name]* personnel should avoid contracting for goods or
106 services with family members of other UC__ *[insert campus name]* personnel.
- 107 • Do not use UC__ *[insert campus name]* funds to contribute to a political party, committee,
108 organization or candidate in connection with a federal campaign.

109 **9. Ethical Conduct of Clinical Trials & Research.**

110 We protect the rights of study participants, their well being and rights of privacy through compliance
111 with ethical standards and all applicable UC policies and federal and state regulations.

- 112 • Everyone involved in teaching and research activities is expected to conform to the highest
113 standards of honesty and integrity.
- 114 • Activities such as plagiarism, misrepresentation, and falsification of data are expressly prohibited.
- 115 • Research must be conducted in strict conformity with the applicable UC policies, human research
116 procedures and approvals, and the requirements of all governmental and private research sponsors.
- 117 • Billing for research subjects shall conform to University policy and law.
- 118 • UC__ *[insert campus name]* policies provide local guidance for compliance with federal, state and
119 UC standards, including protection of the rights and safety of research subjects, possible conflicts of
120 interest and/or commitment, regulatory non-compliance and scientific misconduct.

121 **10. Maintenance and Preservation of Accurate Records.**

122 We create and maintain patient records and documentation conforming to all applicable legal
123 requirements, professional standards, and UC policies.

- 124 • University personnel will not knowingly create records that contain any false, fraudulent, fictitious,
125 deceptive or misleading information.
- 126 • University personnel must not delete any entry from a medical record. Medical records may be
127 amended and material added to ensure the accuracy of a record in accordance with medical center
128 and medical staff policies and procedures. If records are amended, personnel must indicate that the
129 notation is an addition or correction and include the date / time it was amended.

- 130 • University personnel must not sign someone else's signature or initials on a record unless they have
131 been authorized and clearly marked that they are signing on behalf of another (e.g., by initialing the
132 signature).
- 133 • Unless authorized by University policy, University personnel shall not destroy or remove any
134 University records from the University's premises.

135 **11. Compliance with Applicable Policies, Laws & Regulations; Preventing** 136 **Improper Referrals, Kickbacks, and Influences on Clinical Decisions.**

137 We deal with patients, payers, vendors, and community health care providers and businesses with
138 honesty and integrity. This duty includes, but is not limited to:

- 139 • Adhering to the University's policy as defined in the Compendium of University of California
140 Specialized Policies, including Guidelines and Regulations related to Conflict of Interest and
141 University Health Care Vendor Relations.
- 142 • Adhering to anti-trust laws prohibiting actions such as price fixing or improper sharing of
143 competitive information, and
- 144 • Procurement integrity ensuring that goods and services are procured in a competitive, fair and
145 timely manner; and
- 146 • Not accepting or offering for individual benefit, or for the University, anything of value in exchange
147 for referrals of business, equipment or the referral of patients.

148 **12. Government Investigations & Government Requests for Information.**

149 We are expected to cooperate with appropriately authorized governmental investigations and audits.
150 Personnel have the right to consult a supervisor, Compliance Officer, Risk Management or UC General
151 Counsel before answering questions.

- 152 • University policy (____[insert policy number]) provides advice on the procedures to follow when
153 representatives of the government arrive unannounced at the UC__ [insert campus name] Health
154 System, or the offices or homes of present or former University personnel.
- 155 • If you are contacted by a government investigator:
- 156 1. You should immediately notify the appropriate hospital director or _____. If the hospital
157 director is not immediately available, you should contact the Risk Management Department, the
158 Compliance Office, Internal Audit, or campus legal counsel.
 - 159 2. Ask to see the government representative's identification and business card if the government
160 representative is there in person. Otherwise ask for the person's name and office, address and
161 telephone number, identification number so that the UC__ [insert campus name] can call the
162 government representative's office to confirm his or her authority.
 - 163 3. Consult with a supervisor before providing the investigator with confidential patient, personnel,
164 student or other UC__ [insert campus name] documents.
 - 165 4. Do not destroy documents. Do not lie or make misleading statements.
 - 166 5. *Refer to Appendix A for additional guidance.*

167 ***Section 2. Reporting Violations & Non-Retaliation Policy***

168 Any suspected violations of the Code or Standards of Ethical Conduct should be reported to a direct
169 supervisor, the Compliance Officer, Risk Management, Internal Audit, UC Legal Counsel, the Human
170 Resources Department, the Locally Designated Official for Whistleblower Complaints, or the UC__
171 [insert campus name] Hotline: 1-XXX-XXX-XXXX. <http://ucwhistleblower.ucop.edu/welcome.html> (Refer
172 to the list of contacts at the end of this brochure.)

173 How to Report: You may make a report anonymously (by phone, mail or hotline). The University will, if
174 requested, make every reasonable effort to keep confidential the identity of anyone reporting a
175 suspected violation, except if doing so would effectively prevent the University from conducting a full
176 and fair investigation of the allegations.

177 Non-Retaliation: University employees are prohibited from retaliating against an employee or applicant
178 for employment who has made a good faith report or refused to obey an illegal order, even if the
179 allegation ultimately proves to be without merit. UC will, however, pursue disciplinary action against any
180 member who is shown to have knowingly filed a false report.

181 Code of Conduct will be Enforced: All members of the University community are expected to report all
182 known or suspected code of conduct violations. Managers and persons in supervisory roles are required
183 to report allegations presented to them and to report suspected violations that come to their attention
184 in the ordinary course of performing their supervisory duties. Reports of suspected violations will be
185 investigated by authorized University personnel. Everyone is expected to cooperate fully with any
186 investigation undertaken.

187 If it is determined that a violation has occurred, the University reserves the right to take corrective or
188 disciplinary action against any person who was involved in the violation or who allowed it to occur or
189 persist due to their failure to exercise reasonable diligence. The University may make an appropriate
190 disclosure to governmental agencies, including law enforcement authorities. Disciplinary actions will be
191 determined on a case-by-case basis and in accordance with the applicable University policies and
192 procedures.

193 The University reserves the right, at any time, to amend this Code of Conduct.

194 ***UC_ [insert campus name] HEALTH SCIENCES “CODE OF CONDUCT”***

195 **COMPLIANCE IS EVERYONE’S RESPONSIBILITY**

196 Integrity – both personal and professional – is the cornerstone of the healthcare professions. At the
197 University of California, each of us reflects the highest standards of integrity. Refer to the list of key
198 contacts below to report questions or concerns about issues related to the “Standards of Ethical
199 Conduct” or the “Code of Conduct”.

200 **LIST OF CONTACTS FOR REPORTING CONCERNS**

201 *Reports should be made in person, by telephone, or in writing to any of the following:*

202 Your Supervisor

203 _____
204 _____,

205 UC_ [insert campus name] Compliance & Privacy Officer

206 UC_ [insert campus name] Health System

207 XXX-XXX-XXXX

208 _____
209 _____,

210 Director of Compliance

211 UC_ [insert campus name] Health System

212 XXX-XXX-XXXX

213 _____
214 _____,

215 Director, Research Compliance

216 UC_ [insert campus name] Health System

217 XXX-XXX-XXXX

218 _____
219 _____,

220 Director, Human Resources & Employee Relations

221 UC_ [insert campus name] Health System

222 XXX-XXX-XXXX

223 _____
224 _____,

225 Director, Audit Management & Advisory Services (*Internal Audit*)

226 UC_ [insert campus name] Campus

227 XXX-XXX-XXXX

228 _____
229 _____.

230 Executive Director – Medical Services

231 University of California Office of the President

232 XXX-XXX-XXXX

233

234 _____,

235 Vice-President, Audit and Compliance

236 University of California Office of the President

237 XXX-XXX-XXXX

238

239 _____,

240 Office of General Counsel

241 UC__ *[insert campus name]* Health System

242 XXX-XXX-XXXX

243

244 UC__ *[insert campus name]* Health Sciences – Hot Line (*Available 24/7*)

245 XXX-XXX-XXXX

DRAFT

246 **APPENDIX – B**

247 **GUIDELINES FOR RESPONDING TO GOVERNMENT INVESTIGATIONS**

248 Refer to UC-Campus Policies for Specific Procedures

249 In the unusual event of an investigation by the government, representatives of the government could
250 arrive unannounced at the School of Medicine, Medical Center or at the home of present or former
251 personnel, staff members or contractors (collectively referred to as "personnel"). Generally, these
252 government representatives wish to either conduct interviews or obtain certain documents. The
253 following procedures constitute an orderly response to such government requests and enable UC__
254 *[insert campus name]* to protect its and its patients' interests while cooperating with the investigation.

255 It is the policy of UC__ *[insert campus name]* to comply with all applicable health care laws and
256 regulations and to cooperate with appropriately authorized governmental investigations and audits.
257 Every member of the UC__ *[insert campus name]* Health System is expected to cooperate with
258 appropriately authorized governmental investigations and audits. Personnel have the legal right to
259 consult a supervisor, Compliance Officer, Risk Management or UC General Counsel before answering
260 questions and have the right to refuse to answer questions. The following guidance is intended as a brief
261 supplement to UC Campus policies.

262 Guidance:

- 263 • **Your rights** if you are contacted by a Government Investigator:
- 264 1. You have the right to consult with University Counsel or the Compliance Officer.
 - 265 2. You should immediately notify the appropriate hospital director or _____. If the hospital
266 director is not immediately available, you should contact the Risk Management Department, the
267 Compliance Office, Internal Audit, or campus legal counsel.
 - 268 3. Ask to see the government representative's identification and business card if the government
269 representative is there in person. Otherwise ask for the person's name and office, address and
270 telephone number, identification number so that the UC__ *[insert campus name]* can call the
271 government representative's office to confirm his or her authority.
- 272 • Refer Requests for Documents to UC Counsel for Legal Review:
- 273 1. Refer requests for documents to University general counsel for legal review and response.
 - 274 2. Consult with a supervisor before providing the investigator with confidential patient, personnel,
275 student or other UC__ *[insert campus name]* documents.
 - 276 3. You may not give or show the investigators any University documents without permission.
 - 277 4. Do not destroy or alter documents in anticipation of a government request.
- 278 • Be Truthful:
- 279 1. Do not lie or make misleading statements to government investigators.

- 280 2. Refrain from speculation, hearsay, or opinion, and from decisions beyond your level of
281 responsibility.
- 282 3. Do not pressure or advise anyone to hide information or provide false or misleading
283 information.
- 284 • If You Agree to be Interviewed:
- 285 1. You have the right to specify that the interview take place on University premises during normal
286 business hours and that either University Counsel or your personal counsel be present.
- 287 2. If you elect to be interviewed, you must be truthful in responding to any questions.
- 288 3. Anything you say may be used against you by the government in a future civil or criminal
289 proceeding.
- 290 4. You may refuse to answer any questions asked of you and may stop the interview at any time.
- 291 5. **There is no such thing as an “off the record” conversation.**

292 **APPENDIX – C**

293 **ACKNOWLEDGMENT STATEMENT**

294 **UC__ [insert campus name] HEALTH SCIENCES “CODE OF CONDUCT”**

295 My signature on this form acknowledges that I have received and agree to read the UC__ [insert campus
296 name] Health Sciences Compliance Program “Code of Conduct”.

297 I confirm that I have not been excluded by the federal government from participation in any
298 governmental program nor, to the best of my knowledge, have I been proposed for exclusion.

299 I agree to notify the Compliance Officer or the University's Office of the General Counsel immediately
300 upon my receiving written or verbal notification that I am proposed for exclusion from any
301 governmental health care program.

Name (Please Print)	
Department / Area	
Signature	
Date	

302 Optional:

303 License number(s) for Continuing Education Units (CEUs) (if applicable)

304 _____