

<b>Policy/Procedures</b>	<b>POLICY NO:</b>	UOP ACO-COMP-004
<b>CODE OF CONDUCT</b>	<b>SECTION/OWNER:</b>	CCO
	<b>EFFECTIVE DATE:</b>	01/01/2017
	<b>DATE TO QIC:</b>	01/15/2017
	<b>DATE TO BOARD:</b>	01/31/2017

### 1.0 PURPOSE

The UOP ACO Code of Conduct outlines standards of personal and professional conduct that all employees must strive to uphold. Employees must behave in an ethical and professional manner at all times. The Code provides a basis for all employees to maintain a working environment that is productive, positive, enjoyable, safe and free from harassment and discrimination. It will also assist managers to induct employees into the UOP ACO staff and address any circumstances that may arise which conflict with the stated standards and values.

To provide a process for updating and distributing to employees, directors, and contractors all of the required components of the UOP ACO Code of Conduct Plan and to ensure the hiring of appropriately vetted staff.

### 2.0 ACRONYMS

ACRONYM	DESCRIPTION
UOP	United Outstanding Physicians
ACO	Accountable Care Organization
CCO	Chief Compliance Officer

### 3.0 DEFINITIONS

TERM	DEFINITION
ACO	A healthcare organization that ties payments to quality metrics and the cost of care. ACOs in the USA are formed from a group of coordinated health care providers.

#### **4.0 ACCOUNTABLE**

Chief Compliance Officer, Chief Executive Officer, Executive Director, Chief Operating Officer, Chairman of the Board, Board Members.

#### **5.0 POLICY**

It is the responsibility of the Compliance Officer and Compliance Committee:

- i. To ensure that all employees are properly trained on required code of conduct issues upon employment and thereafter on an annual basis
- ii. To maintain current educational programs based on applicable laws and regulations
- iii. To ensure code of conduct documents are reviewed, updated and revised in accordance with new or revised CMS policy, but no less than annually
- iv. To ensure code of conduct documents are made available via the Compliance intranet site to each UOP ACO employee at the time of hire and every Board member at the time of appointment
- v. To ensure code of conduct documents are made available to contractors at the time of contract signature, as well as annually following the update and revision process via the UOP ACO internet site

#### **6.0 PROCEDURE**

Employees are required to undertake their duties in a professional, responsible, conscientious and ethical manner and to act in the best interests of UOP ACO . They are expected to act honestly in all of their duties when dealing with patients, suppliers, contractors and fellow employees.

##### **6.1 Natural justice, fairness and equity**

If an employee is required to investigate complaints against other employees or issues affecting employees, they must act consistently, promptly, and fairly and in a timely manner. The principles of natural justice must be maintained in dealing with each investigation.

##### **6.2 Use of facilities and equipment**

Employees should take all possible care when using UOP ACO property, goods, intellectual property and services and ensure they are used efficiently, carefully and honestly. Unless permission has been granted by t h e employee's manager, UOP ACO resources are not to be used for private purposes.

### **6.3 Privacy and use of personal and official information**

Employees have an obligation to ensure that professional information is secured against loss, misuse or unauthorized access, modification or disclosure.

Employees have a duty to maintain the confidentiality, integrity and security of official information for which they are responsible.

### **6.4 Information Technology**

Employees must not access information which they are not authorized to access or use, and must not allow any other person access for any reason.

Employees must take all reasonable precautions, including password maintenance and file protection measures to prevent unauthorized access and have an obligation to maintain the security and confidentiality of the information systems over which they have responsibility or control and that are owned or used by agreement.

### **6.5 Employee/client boundaries**

The term “employee/client boundaries” identifies the importance of the trust inherent in the relationship between employees and their clients however, breaching of employee/client boundaries is going outside the limits of the employee/client relationship. Employees are expected to maintain proper boundaries with clients. Employees are expected to make themselves aware of any workplace and/or program-specific policies/guidelines in this area.

### **6.6 Relatives and close friends**

A conflict of interest may arise where an employee makes or participates in decisions affecting another person with whom they have a personal relationship (such as a relative, spouse, close friend or personal associate). In cases where a conflict may arise, employees must advise their manager. Wherever possible, employees should disqualify themselves from dealing with those persons in such situations.

### **6.7 Personal and professional behavior**

Employees should perform the duties associated with their position to the best of their ability, diligently, impartially and conscientiously. In the performance of their duties, employees should:

- i. Comply with legislative and industrial obligations and administrative policies
- ii. Strive to keep up to date with advances and changes in the knowledge and the professional and ethical standards relevant to their areas and expertise
- iii. Maintain adequate documents to support decisions made
- iv. Treat all persons with courtesy and sensitivity to their rights and provide all necessary and appropriate assistance
- v. Not take or seek to take improper advantage of any official information gained in the employment with UOP ACO
- vi. Not harass or discriminate against employees or in work practices on the grounds of sex, pregnancy, race (including color, ethnic background or national identity), marital status, disability, sexual preference, political or religious belief, or age
- vii. Act responsibly when becoming aware of any unethical behavior or wrong doing by any employee. Such information should be forwarded to the Compliance Officer
- viii. Continuously improve work performance. All employees should actively pursue quality improvements
- ix. Not make disparaging remarks about other employees

#### **6.8 Alcohol and substance abuse or misuse**

- i. Employees should not be under the influence of alcohol or other substances while they are at work or at work functions.
- ii. Possession, use or trafficking in illegal drugs on the premises is not permitted. The UOP ACO premises include but are not limited to all buildings, vehicles, car parks, meeting rooms, and open spaces.
- iii. Any such activity will be immediately referred to the police and UOP ACO will take disciplinary action, which may include termination of employment.
- iv. Employees must notify the manager if the taking of, or failure to take, prescribed medication is likely to affect their performance and/or affect the safety of any person at the workplace. This is to ensure workplace safety is not jeopardized and that any performance impact is properly managed.
- v. It is the responsibility of employees to follow the directions/precautions for any drugs prescribed by a health professional for individual use and/or commercially available preparations that may impact their capacity.

#### **6.9 Smoking**

Smoking is not permitted in UOP ACO owned or leased vehicles or buildings. Employees may only smoke in their own time during authorized breaks in accordance with building rules and regulations.

## **7.0 Bullying**

- i. Bullying is unreasonable behavior that is directed against an individual or group by another individual or group and is derived from the misuse of power over the target of the behavior. This may include:
  - a. Verbal abuse, shouting
  - b. Excluding or isolating behavior
  - c. Deliberately withholding information vital for effective work performance
  - d. Giving employees impossible assignments
  - e. Physical abuse
- ii. Bullying is unacceptable conduct within UOP ACO and all reported incidents will be investigated.
- iii. It is the responsibility of all employees within UOP ACO to ensure that premises and facilities are free from harassment; managers have a particular and clear responsibility to meet this requirement. Managers who become aware of serious breaches of policy must immediately notify their manager or the CEO.

## **8.0 Discrimination and Equal Employment Opportunity (EEO)**

- i. Anti-discrimination laws provide guidelines on respecting personal difference. Treating people differently on the basis of personal characteristics is unlawful.
- ii. The following are examples of attributes: age, industrial activity, parental status, political belief, personal association, race, ethnic background, career status, marital status, pregnancy/potential, lawful sexual activity, unrelated criminal record, impairment, religious belief/activity, physical features, gender identity, disability and sex.
- iii. Discrimination is unacceptable conduct within UOP ACO and all reported incidents will be investigated.

## **9.0 Harassment**

Harassment is any type of behavior that:

- i. The other person does not want and does not return
- ii. Offends, embarrasses, or scares them, and may be either sexual or non-sexual in nature
- iii. Targets them because of their race, sex, pregnancy, or other protected attribute under the law
- iv. Constitutes a form of bullying
- v. Harassment does not have to be a series of incidents or an ongoing

pattern of behavior. Neither does harassment need to be intentional to attract disciplinary action. Harassment can occur in any work related context including:

- a. Social functions
  - b. Conferences
  - c. Office social gatherings
  - d. Business trips
- vi. Harassment and discrimination form part of a continuum of unacceptable behavior that can include sexual assault, stalking and harassing phone calls, some of which are also against criminal law, which means the police may prosecute anyone who commits such acts. Fair discipline, performance counseling or workplace control practices based only on performance issues do not, in themselves, constitute harassment.

#### **10. Racial and religious vilification**

Racial and religious vilification is conduct that incites hatred against, serious contempt for, or revulsion or severe ridicule against a person or group on the grounds of racial identification or religious belief or activity. Racial and religious vilification is a form of harassment and discrimination and is unacceptable conduct. All reported incidents will be investigated.

#### **7.0 DISTRIBUTION**

- i. The UOP ACO Compliance Plan and related policies and procedures including the code of conduct are available via the UOP ACO website.
- ii. On an annual basis the compliance committee will distributed to all employees and contractors the code of conduct program
- iii. In the event the UOP ACO Compliance Plan requires revision and distribution sooner than annually, the UOP ACO Compliance Department will send all UOP ACO employees, Directors, and contractors an email notifying them of the revision
- iv. The UOP ACO Compliance Department will post the Board-approved Compliance Plan and related policies and procedures to the UOP ACO website for all contractors at the time of contract signature and annually thereafter.
- v. The UOP ACO Compliance department ensures that at least annually, all contractors / vendors are notified by blast fax or other means of communication that the UOP ACO Compliance Plan and the related policies and procedures are posted to the



Medicare provider portal of the Company's internet site.

### 8.0 CERTIFICATION of RECEIPT

- i. The Compliance Officer ensures that all UOP ACO employees verify receipt of the UOP ACO Compliance Plan, the related policies and procedures and the required training via a signed attestation. If, after reasonable attempts, the Compliance Officer is not successful in obtaining such verification of receipt, the employee may be subject to disciplinary action, up to and including termination.
- ii. The Compliance Officer shall obtain documentation of distribution to contractors via a signed attestation that the documents and training materials were distributed to all employees.

### REFERENCES

CMS: [https://www.cms.gov/Medicare/Medicare-Fee-for-Service-Payment/sharedsavingsprogram/Quality\\_Measures\\_Standards.html](https://www.cms.gov/Medicare/Medicare-Fee-for-Service-Payment/sharedsavingsprogram/Quality_Measures_Standards.html)

### DOCUMENT HISTORY (examples)

DATE	DESCRIPTION OF CHANGE	Accountable
01/01/2017	Original document	AC Director of Clinical Outcomes & Improvement