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Corporate Compliance

— last modified Jan 27, 2012 10:58 AM

Integrity is the cornerstone upon which the University of Virginia Health System (UVAHS) is built. We are proud of our reputation as a trustworthy provider of health services to all people throughout Central Virginia and our far-reaching service area for many of our world-class tertiary services.

Do the right thing, the right way, at the right time, every time.

UVAHS is committed to conducting business activities in an efficient and forthright manner within the letter and spirit of applicable laws and regulations. The [Corporate Compliance Program](#) is intended to help you better understand how to comply with the applicable laws and [UVAHS policies](#). If you have questions concerning the Compliance Program, please contact the Chief Corporate Compliance and Privacy Officer at 434.924.9741.

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Compliance Code of Conduct

— last modified Oct 15, 2012 03:16 PM

Dear fellow UVA Health System Employees, Students and Friends:

Integrity is the cornerstone upon which the UVA Health System is built. We are proud of our reputation as a trustworthy provider of health services-not only in Central Virginia, but to those who come from literally around the world.

Both as individuals and as members of this organization, we believe in holding ourselves to the highest standards while working to deliver the best possible care and service. After all, those affected by UVA Health System-our patients and families, our employees, faculty and clinical staff, the businesses who sell us goods and services and our payers-depend upon us.

This Compliance Code of Conduct has to do with our corporate character. It puts many of our long-term practices into words. It also is a guide for our Corporate Compliance and Privacy Program-a program that helps us be sure we follow applicable government rules and regulations, as well as our own policies and procedures. It is a tangible expression of who we are, what UVA Health System stands for and how our conduct reflects our shared ethical standards. It does not replace any policies, but provides a framework of expected conduct for us all.

It is important for us continually to review our policies, procedures, and practices as part of our Corporate Compliance and Privacy Program.

According to our Compliance Code of Conduct, every employee has a duty to report suspected violations of the rules that apply to our operations-either through the normal chain of command or directly to our Chief Corporate Compliance and Privacy Officer. We encourage you to know the laws and regulations affecting your areas of responsibility and to act immediately if you think a violation has occurred.

Please read the Compliance Code of Conduct carefully. Corporate Compliance is not the responsibility of one person, one department or one unit. To have a successful program, we need and expect everyone's input and support.

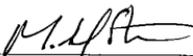
Sincerely,



Steven T. DeKosky, M.D.
Vice President and Dean
University of Virginia School of Medicine



R. Edward Howell
Vice President and CEO
University of Virginia Medical Center



Michael Strine
Executive Vice President and Chief Operating Officer
University of Virginia

Mission Statement

The mission for the University of Virginia Health System is to provide excellence, innovation and superlative quality in the care of patients, the training of health professionals, and sharing of health knowledge.

Our Values

This institution exists to serve others, and does so through the expression of our core values:

Respect To recognize the dignity of every person.

Integrity To be honest, fair, and trustworthy.

Stewardship To manage resources responsibly.

Excellence To work at the highest level of performance, with a commitment to continuous improvement.

Our Vision

In all that we do, we work to benefit human health and improve the quality of life. We will be:

- our local community's provider of choice for its healthcare needs.
- a national leader in quality, patient safety, service and compassionate care.
- the leading provider of technologically-advanced, ground-breaking care throughout Virginia.
- recognized for translating research discoveries into improvements in clinical care and patient outcomes.
- committed to fostering innovative care delivery and teaching/training models that respond to the evolving health environment.

Our Commitments

Legal and Regulatory Compliance

We are committed to full compliance with the laws and regulations that apply to our business, including all Federal Health Care Program (including Medicare and Medicaid) requirements, including, for example, preparing and submitting accurate claims and interacting with health care providers consistent with such requirements. Toward that end, UVAHS' Corporate Compliance and Privacy Office has developed and implemented an effective compliance program that is overseen by the UVAHS Chief Corporate Compliance and Privacy Officer (CCCPO) and that includes policies and procedures, training, and a compliance reporting and monitoring system. If you have any compliance related questions or concerns, you may contact the Corporate Compliance and Privacy Office at 434.924.2938.

All of our officers, managers, administrators, and employees are expected to comply with our policies and procedures and with all Federal Health Care program requirements and other applicable laws.

We cooperate with and support our Compliance Code of Conduct by committing the necessary resources to ensure compliance:

- We educate ourselves so we know the laws and policies that apply to our performance.
- We report suspected wrongdoing and cooperate with investigations.

Exhibit OO14.c

- We know internal corrective action will be taken if we do not follow laws and that unlawful activities **must** be reported.
- We know everyone is responsible for making sure we observe high standards of ethical behavior.

Do not provide or accept any gifts, favors, or kickbacks

We follow UVAHS policies that prohibit providing or receiving gifts, favors, promotional materials, or kickbacks to or from physicians or other health care providers or vendors who supply us with goods and services.

Maintain the Privacy of Health Information

Our professions require that we gather a great deal of personal information about patients. Consistent with HIPAA and other applicable privacy laws, we carefully avoid unwarranted invasion of patient privacy by using or disclosing health information only as necessary to perform our respective job duties. We do not access, use, or disclose health information for any other purpose, including accessing health information out of curiosity. The inappropriate use or disclosure of patient information may be harmful to the patient and the University. The inappropriate use or disclosure of patient or employee personnel information may be subject to civil and criminal prosecution as well as disciplinary action. We limit access to, and use and disclosure of patient information to the purposes necessary to perform job duties and obtain appropriate patient authorization for the use or disclosure of health information when required by applicable laws and consistent with UVAHS policies and procedures.

Obey antitrust laws

As employees or agents of UVAHS, we do not share price or wage information with competitors.

Obey laws relating to government and donor contacts

We conduct all political activities and contacts with government officials according to law and requirements of a non-profit, tax exempt entity. This means we do not permit political fund-raising or lobbying activities by individuals acting in their official roles representing the Hospital or the Health System.

Avoid conflicts of interest

As employees we understand we must avoid even the appearance of a conflict of interest by disclosing pertinent facts and exercising the best care and judgment for UVA, not for personal benefit or for the benefit of others at UVA's expense.

Carefully negotiate and bid contracts

We fairly and accurately bid and negotiate outside contracts at an arm's length and at fair market value.

Promoting a Positive Environment for our Patients and Ourselves

Quality of Care and Patient Safety

We will provide our patients with high quality care, delivered in a safe, efficient, and compassionate way.

Work safely

Everyone is responsible for following standard precautions in caring for patients and for helping others to do so. We will maintain a drug-free workplace and understand this means we may be subject to drug testing for cause. We report any environmental or safety hazards or concerns promptly and follow posted warnings and regulations.

Do not Harass or Discriminate

We are courteous and respectful to all. Harassment or discrimination of any kind is totally unacceptable and we will report it. This includes discrimination based on race, color, religion, gender, age, national origin, disability, sexual orientation, citizenship or veteran status.

Use assets wisely

We understand the community has entrusted us with assets to be used and protected for our patients' health. We safeguard, invest and use these assets to achieve our mission. Proper use of UVAHS property and equipment is everyone's responsibility, and we will not misappropriate UVAHS property or proprietary information. In addition, we avoid waste and try to find ways to cut costs without cutting quality. We are committed to obeying patent and copyright licenses and laws.

Do Not Contract With or Employ Ineligible Persons

We do not contract with or employ individuals or entities who have been excluded from, or who are ineligible to participate in Federal health care programs. We also do not contract with or employ individuals or entities that have been suspended or debarred from Federal government contracting.

Reporting Suspected Wrongful Conduct as Soon as Possible

We report suspected wrongful conduct, including suspected violations of any Federal Health Care Program requirements or of our own policies and procedures, either by directly reporting such violations to the CCCPO or his/her designee or by calling the Compliance Help Line. The Compliance Help Line can be used anonymously to disclose to our CCCPO or another person who is not in the disclosing individual's chain of command, any issues or questions associated with our policies, practices or procedures, including but not limited to those with respect to a Federal Health Care Program believed to be a potential violation of criminal, civil or administrative law. We will not tolerate any threat of or actual retribution or retaliation for making a good faith report of suspected wrongful conduct.

All reports will be kept confidential, investigated if necessary, and all relevant information will be obtained from the disclosing individual and proper follow-up conducted. The CCCPO, or his or her designee, shall maintain a confidential disclosure log, which shall include a record and summary of each disclosure received, the state of the respective internal reviews, a summary of findings and any corrective action taken in response to the internal reviews.

Your reporting of suspected wrongful conduct in good faith as soon as you become aware is important. Employees who in good faith report suspected wrongful conduct will be protected from retaliation. Employees also may be protected under the "whistleblower" protections of both the Federal False Claims Act and the Virginia Fraud Against Taxpayers Act (see "Appendix - Facts About False Claims"). Individuals engaging in wrongful conduct, including the failure to comply with our policies and procedures and all Federal Health Care Program requirements or failure to report such

non-compliance will be subject to sanctions which may lead to suspension, termination or other disciplinary action.

UVAHS and individual employees of UVAHS who engage in improper conduct also are subject to various significant criminal and civil sanctions for non-compliance, including imprisonment, large money penalties, and exclusion from Federal Health Care Programs and all other Federal procurement and non-procurement programs. For example, under both the Federal False Claims Act and the Virginia Fraud Against Taxpayers Act, a person who makes, or causes to be made, false claims or false statements to a governmental program such as Medicare or Medicaid can be liable for significant penalties (see "Appendix - Facts About False Claims").

Staff Responsibilities

"Do the right thing, the right way, at the right time, every time!"

UVAHS expects all staff to:

- Live the UVAHS values.
- Read and understand the Compliance Code of Conduct.
- Think compliance.
- Act responsibly.
- Obey all applicable legal and regulatory requirements as well as UVAHS policies and procedures.
- Participate in training.
- Respect the rights of UVAHS patients, families, and staff.
- Maintain confidentiality.
- Report suspected violations of the law and the UVAHS Compliance Code of Conduct.

If you suspect our code is not being honored:

- Stop, Think and Clarify
- Report your concerns to your supervisor, or
- Call our Chief Corporate Compliance and Privacy Officer, or
- Call our confidential Compliance Help Line: 1.800.235.8700

For any compliance related inquiries:

- Call the Corporate Compliance and Privacy Office: 434-924-2938

Appendix-Facts about False Claims

1. The Federal False Claims Act (31 U.S.C. §§ 3729-3733) The Federal False Claims Act Defined. The federal False Claims Act was written by Congress to deter fraudulent conduct by persons against the United States government. Under the Act, any person who knowingly submits, or causes another person or entity to submit, a false or fraudulent claim for payment by the United States government is liable for three times the amount of each false or fraudulent claim and a penalty of \$5,500 to \$11,000 for each false claim submitted.
2. "Person" Defined.
The Act applies to "persons." While that includes all natural persons, the United States Supreme Court has determined that state governments and state entities (such as the

Exhibit OO14.c

University of Virginia) are not persons. This means that UVA as a state institution cannot be held liable under the False Claims Act. However, the employees working within the UVA system may possibly be held liable under the Act if they act "knowingly."

3. "Knowingly" Defined.

Under federal, state, and local laws, the state of mind of a person committing an act is important. Different rules apply if the person is acting intentionally, knowingly, recklessly, or innocently. The False Claims Act applies to people who act "knowingly." In order for a person to "knowingly submit" a fraudulent claim, that person must:

- o have actual knowledge that the claim is false;
- o act in deliberate ignorance of the falsity of the claim; or
- o act in reckless disregard of the falsity of the claim.

4. "Claim" Defined.

The Act defines a "claim" as any request or demand for the payment of money by the United States Government. UVA continually submits claims such as these to the Medicare and Medicaid programs.

5. False Written Statements and Administrative Proceedings

(31 U.S.C. §§ 3801-3812).

Claims made by persons to the government that involve written statements which knowingly assert false facts or omit material facts also are punishable by two times the amount of the false claim and a penalty of up to \$5,000. These amounts are in addition to any penalties assessed under the primary False Claims Act detailed above. The procedures under this statute occur administratively within the Department of Health and Human Services (as opposed to the primary False Claims Act which is enforced by the Department of Justice). Additionally, the matter may be referred to the U.S. Attorney General for criminal proceedings.

This variant of the False Claims Act has not been interpreted by the United States Supreme Court.

Therefore, it is possible that UVA might be considered a "person" under this statute, and thus be liable as an institution. Employees of UVA may possibly be personally liable under this statute as well.

The Virginia Fraud Against Taxpayers Act (Va. Code §§ 8.01-216.1-216.19)

The Virginia Fraud Against Taxpayers Act is the Commonwealth of Virginia's equivalent to the federal False Claims Act. Its language is nearly identical to that of the federal statute. It states that any person who knowingly presents, or causes another person to present a false or fraudulent claim for payment or approval, or makes a false statement, is liable for three times the amount of the claim and a penalty of between \$5,500 and \$10,000.

Virginia defines "person" to exclude the Commonwealth. A "person" under Virginia law is defined as including a natural person, corporation, or business. Therefore, a UVA employee who acts "knowingly" may possibly be held liable under this statute, but UVA would not.

Virginia uses the same definition of "knowingly" as the federal government.

Virginia uses substantially the same definition of "claim" as the federal government. UVA submits claims to the Medicaid program.

Protections for "Whistleblowers"

Exhibit OO14.c

Both the federal False Claims Act and the Virginia Fraud Against Taxpayers Acts contain provisions encouraging people to report false claims. These individuals, known as "whistleblowers," must have direct knowledge of the false claim and be the first person to call the claim to the government's attention. The whistleblower can file a lawsuit in the government's name against the alleged false claimant. The government then may choose to join the lawsuit against the alleged false claimant. If the suit is successful, the whistleblower may receive from 15%-30% of the federal or Commonwealth claim.

A person who is discharged, demoted, suspended, threatened, harassed, or in any other manner discriminated against in the terms and conditions of his or her employment by his or her employer because of participation in any way in a false claims act suit, shall be entitled to all relief necessary to make the employee whole. This includes reinstatement, two times the amount of back pay with interest, and any litigation costs, as well as reasonable attorneys' fees.

Certification of Compliance (Acknowledgment)

Exhibit OO14.c

Compliance Resources

— last modified Sep 26, 2011 02:31 PM

Subject Matter	Title	Phone Number
Accreditation	Chief, Quality and Process Improvement	982-2870
Audit	UVa Internal Audit Director	924-4110
	HSF Manager of Audit & Compliance Services	980-6142
Corporate Compliance and Privacy	UVaHS Chief Corporate Compliance & Privacy Officer	924-9741
	UVaHS Corporate Compliance Manager	982-3752
	HSF Manager of Audit & Compliance Services	980-6142
	UVaHS Compliance Steering Committee Chair & Vice-chair	924-9741
		243-5788
	HSF Compliance Committee Chair	924-5457
	Confidential Compliance Help Line (24 hour/7 days per week)	1-800-235-8700
Educational Services	Learning and Organizational Development Director	
Environmental Services	UVa Director of Environmental Health & Safety	982-4922
UVAHS Financial Services	Chief Financial Officer	243-5918
	Patient Financial Services Director	924-9292
	Patient Financial Services Manager	924-9292
	Cost Accounting Manager	924-8454
	Director of Finance - Revenue Management	982-3894
	Director, Coding	243-9659
	Director of Finance, Financial Administration	
	Budget Director	924-2246
Health Information Services (HIS)	Health Information Services Director	924-2196
Home Care	UVaHS Director of Continuum Health Care	984-2837
Human Resources	UVaMC Administrator of Human Resources	243-3344
	Employee Relations	243-3344
	UVa Ombudsman	924-4346
	Director of Employment	924-5971
Information Security	Chief Information Officer	243-9843
	UVaHS Information Technology Security Manager	924-8263
Laboratory	UVaHS Laboratory Compliance Liaison	243-9219
Legal Counsel	UVa Associate General Counsel	924-3586
	Special Advisor to CEO & Director of State and Federal Relations	243-5788
	HSF Legal Counsel	972-4285
Regulated Medical Waste	UVa Director of Facilities Services	
Research Compliance	UVa Research Compliance Coordinator	924-3606
	UVa Director of Sponsored Programs (Effort Reporting)	924-4274
	UVa Director of Environmental Health & Safety (IRBs)	982-4922
Risk Management	UVaHS Risk Management Director	924-5595

Confidential Help Line

— last modified Sep 26, 2011 02:31 PM



A telephone Help Line has been established as a **confidential** means for employees and agents to report possible violations of the [Code of Conduct](#) or of any policy, law or regulation.

- A Confidential Compliance Help Line 800.235.8700 has been established, through an outside agency, to report possible violations of the Code of Conduct, **anonymously if desired**, 24 hours/7 days per week.
- Help Line calls will be handled in a manner which **protects the privacy and confidentiality of the caller where feasible**.
- Calls will be logged with a case number by the Corporate Compliance and Privacy Office and will normally be investigated starting within three (3) business days of receipt. **Anonymous callers are encouraged to call back within five (5) business days for an update.**
- **There will be no retaliation against any caller making the call in good faith; however, disciplinary action could be applied for false or inappropriate calls, according to the UVaHS Policy # 701 Employee Rights and Responsibilities, and HSF Disciplinary Process 6.036.**

All findings will be referred to the appropriate management representative for follow-up and report back to the Chief Corporate Compliance and Privacy Officer.

Logs will be saved for three (3) years as part of record retention, unless investigation is continuing.