



**Maricopa County Special Health Care District**  
**Code of Conduct and Ethics**  
**2021**

**Summary of Approvals**

**Approval Signatures:**

A handwritten signature in blue ink, appearing to read "Mike G. Jarama", written over a horizontal line.

Chairman, Board of Directors  
Maricopa County Special Health Care District

November 24, 2020  
Date

A handwritten signature in blue ink, appearing to read "Stephan D. Duran", written over a horizontal line.

President and Chief Executive Officer  
Valleywise Health

November 24, 2020  
Date

A handwritten signature in blue ink, appearing to read "L.T. Slawter", written over a horizontal line.

Chief Compliance Officer  
Valleywise Health

November 24, 2020  
Date

## **Code of Conduct and Ethics Effective November 24, 2020**

### **I. PURPOSE**

This Code of Conduct and Ethics (Code) has been adopted by the Maricopa County Special Health Care District d/b/a Valleywise Health to provide standards by which the District Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff and agents will conduct themselves to protect and promote organization-wide integrity and to enhance Valleywise Health's ability to achieve its organizational mission. The Code is intended to serve as a guide to assist the District Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff and agents to make sound decisions in carrying out their day to day responsibilities.

### **II. RESPONSIBILITIES UNDER THE CODE OF CONDUCT and ETHICS**

#### ***Who must comply with the District's Code of Conduct and Ethics?***

The Code applies to all members of the District Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff, agents of Valleywise Health and Valleywise Health's Business Partners. Valleywise Health recognizes the different missions and services that each Business Partner provides in developing policies and procedures to achieve the standards and goals set forth in the Code while maintaining each Business Partners unique mission and services.

#### ***What are your responsibilities as a Valleywise Health employee with regard to the Code of Conduct and Ethics?***

*Foster and support an atmosphere of compliance by:*

- Reading the Standards of Conduct and Ethics contained in the Code and think about their application to your work. You should have a basic understanding of issues covered by each Standard and the supplemental compliance policies that apply to your job function.
- Seeking assistance from your supervisor(s), the Administration, the Chief Compliance Officer, the General Counsel or other Valleywise Health leadership resources when you have questions about the application of the standards and other Valleywise Health policies to your work.
- Understanding the numerous options that Valleywise Health makes available to you for raising conduct or ethical concerns and promptly raise such concerns. You should raise such concerns with your immediate supervisor or Valleywise Health's Chief Compliance Officer or its General Counsel. If you prefer to raise your concerns anonymously, call the Valleywise Health Compliance Hotline Line 1-866-333-6447 and/or you can file a concern on the Valleywise Health website under "Report a Compliance Concern".
- Cooperating in Valleywise Health's investigations concerning potential violations of law, government payer regulations and rules, the Code, the Valleywise Health Compliance Program and Valleywise Health's policies and procedures.

- Completing all required compliance training.

***What are your responsibilities as Valleywise Health’s officers, managers and other supervisors?***

*Build and maintain a culture of compliance by:*

- Leading by example, using your own behavior as a model for all employees.
- Knowing, understanding and following the statutes, rules and regulations that govern your area(s) of responsibility.
- Encouraging employees to raise conduct and ethical questions and concerns.
- Ensuring that all employees, volunteers and contractors complete all required compliance training.

*Prevent compliance problems by:*

- Identifying potential compliance risks and proposing appropriate policies, procedures and actions to address such risks.
- Identifying employees whose activities involve issues covered by Valleywise Health’s policies and procedures.
- Providing education and counseling to assist employees to understand the Code, Valleywise Health policies and procedures and applicable law, and government payer regulations and rules.

*Detect compliance problems by:*

- Maintain appropriate controls to monitor compliance and mechanisms that foster the effective reporting of potential compliance issues.
- Promoting an environment that permits employees to raise concerns without fear of retaliation.
- Arranging periodic compliance reviews that are conducted with the assistance of the Valleywise Health Chief Compliance Officer to assess the effectiveness of Valleywise Health’s compliance measures and to identify methods of improving them.

*Respond to compliance problems by:*

- Pursuing prompt corrective action to address weaknesses in compliance issues.
- Applying corrective action(s) and disciplinary plans when necessary.
- Consulting with Valleywise Health’s Chief Compliance Officer so that compliance issues are promptly and effectively addressed.

***What are your responsibilities as the District's Board of Directors or as Valleywise Community Health Centers Governing Council Members?***

*Build and maintain a culture of compliance by:*

- Reading the Standards of Conduct and Ethics contained in the Code, thinking about them and their application to your work.
- Leading by example, using your own behavior as a model for others.
- Making decisions that are in the best interest of Valleywise Health and that are not affected by conflicts of interest.
- Being knowledgeable about the Valleywise Health Compliance Program and exercise governance and oversight over it.
- Requiring appropriate reports from management concerning the status of the Valleywise Health Compliance Program, the resources required to maintain its vitality and Valleywise Health's response to identified compliance deficiencies.
- Receiving and acting on compliance issues, upon advice from management, including Valleywise Health's Chief Executive Officer, General Counsel, and Chief Compliance Officer.
- Assuring that the Compliance Program is free from undue restraints and influences through direct reporting by the Chief Compliance Officer to the Board of Directors regarding compliance issues that promote the integrity of the Compliance Program and raising any concerns with the Chief Compliance Officer or General Counsel.
- Maintaining the confidentiality of all compliance-related information provided to them, subject to the requirements of applicable law.
- Complete required compliance training.

***What are your responsibilities as medical staff?***

*Assist Valleywise Health to foster an atmosphere of compliance by:*

- Reading the Standards of Conduct and Ethics contained in the Code and think about their application to your work. You should have an understanding of issues covered by each Standard and the supplemental compliance policies that apply to the services you furnish to Valleywise Health and our patients.
- Actively participating in compliance activities as requested by Valleywise Health's administration.
- Maintaining the confidentiality of information provided to you relating to compliance issues.

- Assisting Valleywise Health in identifying possible compliance issues and in developing possible solutions to address those issues.
- Understanding the various options that Valleywise Health makes available for raising conduct or ethical concerns and promptly raise such concerns. You should raise such concerns with Valleywise Health’s Chief Compliance Officer or General Counsel. If you prefer to raise your concerns anonymously, call the Valleywise Health Compliance Hotline 1-866- 333-6447 and/or you can file a concern on the Valleywise Health website under “Report a Compliance Concern”.
- Cooperating in Valleywise Health investigations concerning potential violations of law, the District’s Code of Conduct and Ethics, the Valleywise Health Compliance Program and Valleywise Health’s policies and procedures.
- Completing required compliance training.

***What are your responsibilities as agents?***

*Agents are responsible to participate in the Valleywise Health compliance program by:*

- Understanding and applying the Standards of Conduct and Ethics contained in the Code and think about their application to the services you furnish to Valleywise Health. You should have an understanding of issues covered by each standard and the supplemental compliance policies that apply to the services you furnish to Valleywise Health.
- Actively participating in compliance activities, such as education and training, as requested by Valleywise Health.
- Understanding the various options that Valleywise Health makes available for raising conduct or ethical concerns and promptly raise such concerns. You should raise such concerns with Valleywise Health’s Compliance Officer or General Counsel. If you prefer to raise your concerns anonymously, call the Valleywise Health Compliance Hotline 1-866-333-6447 and/or you can file a concern on the Valleywise Health website under “Report a Compliance Concern”.
- Cooperating in Valleywise Health investigations concerning potential violations of law, the District Code of Conduct and Ethics, the Valleywise Health Compliance Program and Valleywise Health policies and procedures.
- Completing required compliance training.

***How May the Code of Conduct and Ethics Be Revised?***

This Code may be amended, modified or waived only after a review by the Chief Executive Officer and the approval of the District Board of Directors.

### ***How Frequently will the Compliance Program Be Reviewed?***

The Compliance Program (including the Code of Conduct and Ethics) will be reviewed annually by the Finance, Audit & Compliance Committee to foster its effectiveness and at such times when changes to it are necessitated by changes in laws and regulations applicable to Valleywise Health. Suggested changes to the Valleywise Health Compliance Program will be presented to the District Board of Directors for approval.

### **III. STANDARDS OF CONDUCT AND ETHICS**

***Patient Relationships: We are committed to providing a high quality of healthcare and services to our patients, their families, visitors and the community. We treat all patients with respect and dignity and provide care that is necessary and appropriate.***

#### Principles:

- We will recognize the right of our patients to receive quality and appropriate services provided by competent individuals in an efficient, cost effective and safe manner.
- We will continually monitor the clinical quality of the services we provide and will endeavor to improve the quality of the services provided.
- We will support every patient's right to be free from all types of abuse and will not tolerate patient abuse in any form.
- We will apply our admission, treatment, transfer and discharge policies equally to all patients based upon identified patient needs and regardless of a patient's ability to pay.
- We will listen to our patients, families and visitors to understand any concerns or complaints and will involve patients in the decision-making process about their care.
- We will demonstrate our commitment to patient safety by continuously reviewing systems, processes and policies to detect and prevent medical errors.
- We will provide treatment and medical services without discrimination based on race, color, religion, sex, sexual orientation, national origin, marital status, political belief, age, veteran status or disability.
- We will remain sensitive to our position as a regional leader in tertiary and specialty care and research, and to our consequent obligation as a health care leader to all segments of our community.
- We will maintain policies and procedures (i.e., EMTALA) to complete emergency assessments as required for all who request our emergency, trauma, or burn services.
- We will fully and fairly evaluate requests to transfer patients to our care from our colleagues and providers in outlying areas, and will accept such transfers as clinically appropriate (i.e., EMTALA).

- We will maintain licensure and credentialing standards to further the provision of clinical services by properly trained and experienced practitioners.
- We will perform background checks of existing and potential Valleywise Community Health Centers Governing Council members, other Valleywise Health committee members, employees, medical staff members, contractors and consultants to verify credentials and to assess whether such individuals and entities have ever been excluded from participation in any of the federal or state health care programs, including the Medicare, Medicaid, and AHCCCS programs.
- We will respect the privacy of our patients, and we will treat all patient information with confidentiality, in accordance with all applicable laws, regulations and professional standards.

***General Legal and Regulatory Compliance: Valleywise Health will continuously and vigorously promote full compliance with applicable laws.***

Principles:

- We will continuously study our legal obligations and create policies and procedures that facilitate compliance by our District Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff and agents with such legal obligations.
- We will recognize the critical role of research in improving the health status of our community, and we are committed to conducting all research activities in compliance with the highest ethical, moral, and legal standards.
- We will engage in open and fair competition and marketing practices, based on the needs of our community and consistent with the furtherance of our mission.
- We will treat our employees with respect and will engage in human relations practices that promote the personal and professional advancement of each employee.
- We will recognize that our employees work in a variety of situations and with a variety of materials, some of which may pose a risk of injury. We are committed to providing a safe work environment and will maintain and monitor policies and procedures for workplace safety that are designed to comply with federal and state safety laws, regulations, and workplace safety directives.
- We will recognize that the provision of health care may in some instances produce hazardous waste products or other risks involving environmental impact. We are committed to compliance with applicable environmental laws and regulations and will follow proper procedures with respect to handling and disposing of hazardous and bio-hazardous waste.
- We will expect our Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff and agents to understand the basic legal obligations that pertain to their individual job functions or services they furnish to Valleywise Health and our patients, and will require that they strive to make certain that their decisions

and actions are conducted in conformity with such laws, regulations, policies and procedures.

- We will support educational and other training sessions to teach the District's Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, and as warranted medical staff and agents, about the impact of the law on their duties and to promote compliance with our collective legal obligations.
- We will support and maintain multiple resources for District Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff and agents to voice any questions about the proper interpretation of a particular law, regulation, policy or procedure.

***Avoidance of Conflicts of Interest: District Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff, and agents maintain a duty of loyalty to Valleywise Health and to all of the citizens of Maricopa County and, as a result, must avoid any activities that may involve (or may appear to involve) a conflict of interest or that may influence or appear to influence the ability of the District Board member, Valleywise Health Centers Governing Council member, employee, officer, medical staff member or agent to render objective decisions in the course of their job responsibilities, or other services they furnish to Valleywise Health.***

Principles:

- We will maintain policies and procedures that make clear when an individual's private interests may inappropriately interfere with Valleywise Health's interests; and will provide support through which the District Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff and agents may pose questions about whether a particular activity or relationship could be construed as a conflict of interest or otherwise improper.
- We will articulate expectations of the conduct that must be demonstrated by the District Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff and agents in the performance of services for Valleywise Health, and will require that such individuals remain free of conflicts of interest in the performance of their responsibilities and services to Valleywise Health.
- The Valleywise Health Conflicts of Interest and Gift Policy establishes the policy and procedure for the District Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff and agents to evaluate, analyze, and properly remediate potential and apparent conflicts of interest.
- We will require the District Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff and agents to inform Valleywise Health of personal business ventures and other arrangements that could be perceived as conflicts of interest and will provide for policies and procedures for doing so.
- We will not permit the District Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff or agents to use any proprietary or non-public information acquired as a result of a relationship with Valleywise Health for person gain or for the benefit of another business opportunity.

- We will render decisions about the purchase of outside services and goods based on the supplier's ability to best satisfy Valleywise Health's needs and not based on personal relationships.
- District Board of Directors, Valleywise Community Health Centers Governing Council members, Valleywise Health officers and employees shall not use their official position for personal gain. Public influence and confidential or "inside" information must never be used for personal advantage. Conflict of interest laws, A.R.S. § 38-501 *et. seq.* must be scrupulously observed. The conflict of interest laws prohibit participation by public officers, elected officials, or employees in a decision or contract in which they have a direct or indirect pecuniary or proprietary interest.

***Relationship with Payers: Valleywise Health will consistently strive to satisfy the conditions of payment required by the payers with which Valleywise Health transacts business.***

- We will promote compliance with laws governing the submission and review of bills for our services and will deal with billing inquiries in an honest and forthright manner.
- We will maintain reasonable measures to prevent the submission or filing of inaccurate, false or fraudulent claims to payers.
- We will utilize systematic methods for analyzing the payments we receive and will reconcile inaccurate payments in a timely manner after discovery and review.
- When warranted, we will investigate potential or reported inaccurate billings and payments to determine whether changes to current protocol or other remedial steps are necessary.
- We will maintain documentation systems sufficient to create and maintain complete and accurate documentation of services provided.
- We will review cost reports to be filed with the federal and state health care programs to determine whether such reports accurately and completely reflect the operations and services provided to beneficiaries and to confirm that such reports are completed in accordance with applicable federal and state regulations and Valleywise Health's policies and procedures.
- We will, as necessary, rely on internal and external sources to help improve Valleywise Health's billing and coding protocol and to identify potential areas of noncompliance.
- We will compensate billing and coding staff and consultants for services rendered, in a manner that is permitted under law and will not compensate such persons in any way related to collections or maximization of revenues.

***Relationship with Physicians and Other Providers: Valleywise Health will monitor its business dealings to structure relationships in ways that satisfy the needs of the community.***

- We will maintain relationships with physicians and other referral sources based only on the needs of our community and consistent with our mission.
- We will treat referral sources fairly and consistently, and will not provide remuneration that

- could be considered payment for referrals, including:
- Free or below-market rents; Administrative or staff services at no- or below-cost;
- Grants in excess of amounts for *bona fide* research or other services rendered;
- Interest-free loans; or
- Gifts, “perks” or other payments intended to induce referrals.
- We will maintain policies, procedures and other protocol which require fair market value determinations for services rendered by referral sources and for services rendered by Valleywise Health.
- We will maintain procedures to require all agreements with referral sources to be reduced to writing and reviewed and approved as appropriate under law and Valleywise Health’s policies and procedures.
- We will train the appropriate personnel on the primary laws and regulations governing the referral of patients and other legal restrictions on the manner in which Valleywise Health transacts business, including the penalties that may result for violations of such laws.

***Respect for Our Culture: We recognize that a diverse workforce enriches the life experience of all employees and our community and will promote diversity consistent with Valleywise Health’s Diversity Plan.***

- We will provide equal employment opportunities to employees and applicants for employment without regard to race, color, religion, sex, sexual orientation, national origin, marital status, political belief, age, veteran status, or disability, in accordance with applicable law.
- We will maintain policies and procedures that promote compliance with laws governing nondiscrimination in personnel actions, including recruiting, hiring, training, evaluation, transfer, workforce reduction, termination, compensation, counseling, discipline, and promotion of employees.
- We will promote diversity with respect to individuals with disabilities and will make reasonable accommodations to any individual as required by law.
- We will recognize the right of our employees to a workplace free of violence and harassment and will not tolerate any form of harassment or violence toward our employees.
- We will maintain policies and procedures that promote appropriate conduct in the workplace and prohibit unwanted or hostile interaction, including degrading or humiliating jokes, physical or verbal intimidation, slurs, or other harassing conduct.
- We will not tolerate any form of sexual harassment, either overt, such as request for sexual favors in return for promotions, or less obvious forms of harassment, such as sexual comments.
- We will maintain policies and procedures prohibiting workplace violence, including robbery,

stalking, assault, terrorism, hate crimes, or violence directed at supervisors.

- We will maintain policies, procedures, and practices prohibiting retaliation in any form for reporting.

***Information Systems: We recognize that the provision of healthcare services generates business, financial, and patient-related information that requires special protection. We will establish systems that ensure such information is used appropriately and safeguarded zealously.***

- We are committed to the security and integrity of documents and records in our possession, and will develop systems, policies and procedures sufficient to safeguard the security and integrity of our documents and records, including systems, policies and procedures to:
  - Establish retention periods and protocols for business, financial, and patient records in the Valleywise Health system.
  - Prevent the altering, removal, or destruction of records or documents except according to our records retention policy and applicable ethical and legal standards.
  - Promote the accurate, thorough, detailed, and complete documentation of all business, financial, and patient transactions.
  - Control and monitor access to Valleywise Health's communications systems, electronic mail, internet access, and voicemail to ensure that such systems are accessed appropriately and used in accordance with Valleywise Health's policies and procedures.
  - Protect the privacy and security of patient medical, billing, and claims information by maintaining sufficient physical, systemic, and administrative measures to prevent unauthorized access to or use of patient information, and to track disclosures of such information as required by law.
  - Provide access to medical, billing, and claims information for our patients and their legal representatives as required by law.
  - Safeguard the personal and human resources information of our employees, including salary, benefits, medical, and other information retained within the human resources system as required by law.

#### **IV. VIOLATIONS OF THE CODE OF CONDUCT AND ETHICS**

Valleywise Health is committed to providing the District Board of Directors, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff and agents with a means of raising questions and concerns, and reporting any conduct that the District Board member, Valleywise Community Health Centers Governing Council member, employee, officer, medical staff member or agent suspects is in violation of this Code. District Board members, Valleywise Community Health Centers Governing Council members, employees, officers, medical staff and agents are expected and required to communicate any suspected, detected or reported violations of the Code to a direct supervisor, the Chief Compliance Officer or General Counsel, as applicable. If you prefer, you can anonymously call the Valleywise Health Compliance Hotline 1-866-333-6447 and/or you can file a concern on the Valleywise Health website under “Report a Compliance Concern”. The Chief Compliance Officer will maintain primary responsibility for investigating reports received on this hotline.

The following list, while not exhaustive, describes the type of concerns and questions that you should raise with your supervisor, the Chief Compliance Officer, General Counsel or through the Valleywise Health Compliance Hotline:

- Allegations, discrimination or retaliation.
- The possible submission of false, inaccurate or questionable claims to Medicare, Medicaid, AHCCCS or any other payer.
- The provision or acceptance of payments, discounts or gifts in exchange for referrals of patients.
- The utilization of improper physician recruitment techniques under applicable law.
- Situations that could raise conflict-of- interest concerns.
- Potential breaches of confidentiality or privacy.



**PERSONAL COMMITMENT AND CERTIFICATION**

I acknowledge and certify that I have received and read the Maricopa County Special Health Care District d/b/a Valleywise Health’s Code of Conduct and Ethics and I understand my obligations to comply with the Code.

I agree to comply with the Maricopa County Special Health Care District d/b/a Valleywise Health’s Code of Conduct and Ethics.

**Board of Directors and Valleywise Community Health Centers Governing Council:** I understand that compliance with this Code is essential to my service on the Board of Directors of the Maricopa County Special Health Care District or my service on the Valleywise Community Health Centers Governing Council.

\* I hereby attest that I have performed my duties as a member of the Board of Directors or Valleywise Community Health Centers Governing Council in a manner consistent with the 2020 Revised Co-Applicant Operational Arrangement between the Maricopa County Special Health Care District and the Valleywise Community Health Centers Governing Council.

**Initials:** \_\_\_\_\_

**Employees and Officers:** I understand that compliance with this Code is a condition of my continued employment. I further understand that violation of the Code of Conduct and Ethics may result in disciplinary action up to and including termination.

**Initials:** \_\_\_\_\_

**Medical Staff:** I understand that compliance with this Code is a condition to my ability to practice my profession at Valleywise Health. I further understand that violation of the Code of Conduct and Ethics may result in disciplinary action as provided in the Bylaws of the Medical Staff.

**Initials:** \_\_\_\_\_

**Agents and Other Committee Members:** I understand that compliance with this Code is a condition of my continued ability to furnish services to Valleywise Health. I further understand that violation of the Code of Conduct and Ethics may result in a termination by Valleywise Health of any relationship I have with Valleywise Health.

**Initials:** \_\_\_\_\_

Please sign here: \_\_\_\_\_

Date: \_\_\_\_\_

Please print your name: \_\_\_\_\_

Dept: \_\_\_\_\_