



<b>TITLE</b> Code of Ethics (Code of Conduct Addendum, Part 1 of 5)		<b>IDENTIFICATION NUMBER</b> A01-005	
<b>ORGANIZATION(S)</b> University of Kentucky / UK HealthCare	<b>SITES AFFECTED</b> X Enterprise <input type="checkbox"/> Chandler <input type="checkbox"/> Good Samaritan <input type="checkbox"/> KCH <input type="checkbox"/> Ambulatory	<b>CATEGORY</b> X Enterprise <input type="checkbox"/> Nursing <input type="checkbox"/> Department <input type="checkbox"/> Guideline <input type="checkbox"/> Protocol	<b>REPLACES:</b> CHANDLER HP01-02
<b>REVIEW CYCLE</b> <input type="checkbox"/> 1 year X 3 years <b>REVIEW DATES:</b> 10/2011; 10/7/2015; 10/1/2018; 02/24/2020; 3/6/2023		<b>EFFECTIVE DATE:</b> 4/15/2023	

**POLICY STATEMENT**

UK HealthCare has an ethical responsibility to the patients and communities it serves. The mission, vision, and values of UK HealthCare provide a framework for patient care and business practices. This code addresses ethical practices regarding marketing, admission, transfer, discharge, billing, and the resolution of conflicts. In addition, it addresses protection of the integrity of clinical decision-making.

**PURPOSE**

The purpose of this policy is to set forth the code of ethics applicable to the operations of UK HealthCare.

**SCOPE**

The policy applies to all UK Healthcare Members.

**DEFINITIONS**

*UK HealthCare Members*

“UK HealthCare Members” is defined as University of Kentucky Trustees, UK HealthCare employees, trainees, students, volunteers and representatives acting on behalf of the University involved in healthcare delivery and to all faculty, staff and trainees in the academic programs of the University of Kentucky Colleges of Medicine, Dentistry, Nursing, Pharmacy, Health Sciences and Public Health whether or not those individuals engage in clinical care.

**PROCEDURES**

*UK HealthCare Values*

Consistent with the mission and vision of UK HealthCare, Living DReCT<sup>1</sup>, and the [Behavioral Standards](#), UK HealthCare values:

1. Integrity, honesty, fairness, and ethical behavior in all that we do.
2. The constant pursuit of excellence and innovation.
3. The contribution of each employee in achieving our overall mission.

<sup>1</sup> Living DReCT values: Diversity, Innovation, Respect, Compassion, and Teamwork. See more at: <https://www.uky.edu/pe/uk-healthcare-values>

4. The right of each patient to choose the type and extent of care.
5. Caring and sensitivity in all patient interactions.
6. Responsible resource management.
7. Teamwork, cooperation, and flexibility.
8. Differences among people.

#### *Patient Care*

Patients are admitted, treated, discharged, or transferred based on their clinical needs and without regard to age, race, ethnicity, culture, color, national origin, creed, language, sex, gender identity or expression, sexual orientation, appearance, socio economic status, physical or mental disability, diagnosis, religion, military, or veteran status, uniformed service, or political belief. Patients and/or families are involved in all care-related decisions as much as possible. Employees shall inform all patients about the therapeutic alternatives and the risks associated with their care.

Information regarding diagnosis, prognosis, treatment and/or research options, and costs, delivered in language understandable to the patient, is fundamental for informed choice. UK HealthCare shall provide for the protection of those unable to be their own advocate as a result of incompetence or incapacity.

When an individual requests or presents for care, treatment, and services, UK HealthCare is professionally and ethically responsible for providing care, treatment, and services within its capability, mission, and applicable law and regulation. At times, indications for such care, treatment, and services can contradict the recommendations of an external entity performing a utilization review (for example, insurance companies, managed care reviewers, and federal or state payers). If such a conflict arises, care, treatment, service, and discharge decisions shall be made based on the patient's identified needs, regardless of the recommendations of the external agency.

#### *Billing Practices*

UK HealthCare shall engage in reasonable billing and collection practices that are compatible with generally accepted standards of ethical business practice and state and federal laws and regulations. Qualified personnel shall be available to assist patients with questions and concerns related to billing issues.

#### *Resolution of Conflict*

UK HealthCare shall resolve all conflicts fairly and objectively. This includes any request for change in caregivers that is outlined in policy [A08-105 \(Patient Rights and Responsibilities\)](#). If mutual satisfaction cannot be achieved among the principal parties to a dispute, UK HealthCare shall involve the patient representative, Risk Management, UK HealthCare administration, and/or the Ethics Committee for assistance and resolution.

#### *Confidentiality*

Patient and other applicable information shall not be shared in an unauthorized manner. Sensitive information concerning personnel and management issues shall be maintained in the strictest confidence and utilized only by those individuals authorized to review and act upon such information. UK HealthCare Members shall control the formal and informal transmission of confidential information of any kind.

#### *Research Programs*

The integrity of research programs conducted within UK HealthCare facilities is facilitated through the activities of the Institutional Review Board (IRB). Research efforts shall be free of fraudulent

activity and scientific misconduct, and comply with federal, state, and/or local regulations governing the welfare and safety of human subjects and research personnel involved in the studies.

#### *Conflict of Interest*

UK HealthCare Member participation in any activity that may conflict with the purpose or objectives of UK HealthCare is prohibited. See policy [A01-030 \(Conflicts of Interest\)](#).

#### *Marketing*

UK HealthCare shall fairly and accurately represent its care, treatment, and service capabilities to the public.

#### *Contracting*

Contracting decisions shall be based on established standards of ethical business practice and seek to maintain quality care in a cost-effective manner.

#### *Corporate Compliance*

All UK HealthCare Members shall be educated about and conform to the standards and procedures of the Corporate Compliance Program.

#### *Other External Relations*

In all interactions with representatives of external agencies (public or private), special interest groups, or the general public, UK HealthCare Members shall practice honesty, make objective and fair representations, avoid conflicts of interest, and maintain confidentiality of information.

#### *Questions*

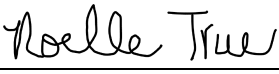
Any questions regarding this policy should be directed to the Office of Corporate Compliance.

#### **REFERENCES**

Additional information, definitions, and authorization procedures are outlined in policies and administrative regulation below:

1. [A01-030, Conflicts of Interest \(Code of Conduct Addendum, Part 2 of 5\)](#)
2. [A01-105, Industry Representatives and Service Providers \(Code of Conduct Addendum, Part 3 of 5\)](#)
3. [A01-155, UK HealthCare Members Interactions with Industry Representatives and Service Providers \(Code of Conduct Addendum, Part 4 of 5\)](#)
4. [A01-160, Annual Disclosures of Financial Conflict of Interest \(Code of Conduct Addendum, Part 5 of 5\)](#)
5. [A08-105 \(Patient Rights and Responsibilities\)](#)
6. [AR 3:9 \(Faculty Consulting and Other Overload Employment\)](#)

**APPROVAL**

<b>NAME AND CREDENTIALS:</b> Noelle True	<b>NAME AND CREDENTIALS:</b> Brett Short
<b>TITLE:</b> Assistant Chief Compliance Officer	<b>TITLE:</b> Chief Compliance Officer
<b>SIGNATURE</b> 	<b>DATE</b> 3/31/23
<b>SIGNATURE</b>	<b>DATE</b>