



## ***Allegiance Health Management, Inc.***

# **Code of Conduct**

Dear Allegiance Health Management, Inc. Employee,

The true foundation of Allegiance Health Management, Inc. has always been its commitment to provide quality care to our patients. As part of this, we strive to ensure an ethical and compassionate approach to healthcare delivery and management. We must demonstrate consistently that we act with absolute integrity in the way we do our work and the way we live our lives.

This Code of Conduct provides guidance to ensure that our work is performed in an ethical and legal manner. It emphasizes the shared common values that guide our actions. It contains resources to help resolve any questions about appropriate conduct in the work place. Please review it thoroughly. Your adherence to its spirit, as well as its specific provisions, is critical to our future.

If you have questions regarding this Code or encounter any situation that you believe violates provisions of this Code, you should immediately consult your supervisor, another member of management, or your Compliance Officer. You may also call the Compliance Hotline at 844-477-0008. You have our personal assurance there will be no retribution for asking questions or raising concerns about the Code or for reporting possible improper conduct.

We are committed to those ideals reflected in our Mission and Values Statement and in this Code of Conduct. We are equally committed to assuring that our actions consistently reflect our words. In this spirit, we want this organization to be a family of men and women of shared values, and we expect all of our employees' actions to reflect the high standards set forth in this Code of Conduct. In the following pages, I'd like to call your attention to two special messages. First, a message from Rock Bordelon, CEO, addressing The AHM Code of Conduct and secondly, a message from Don Cameron, COO, addressing the AHM healthcare quality reporting hotline. Both these messages speak to AHM commitment to quality from its highest levels.

No code of conduct can substitute for our own internal sense of fairness, honesty, and integrity. Thus, in your daily life and work, if you encounter a situation or are considering a course of action which may be technically within the guidelines of the Code of Conduct, but you are worried that the contemplated action simply "does not feel right," please discuss the situation with any of the resources listed above. In closing, we trust you as a valuable member of our healthcare team. We ask you to assist us and all employees in this organization in supporting the values and principles that are critical to achieving our mission.

Sincerely,

Karen Stem- Corporate Compliance Officer

Karen Ford- Corporate Clinical Officer

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## ALLEGIANCE HEALTH MANAGEMENT

*Pledging Excellence to Excellence in Customer Service*

*504 Texas St. Suite 200 Shreveport, La 71101*

*Phone (318) 226-8202 Fax (318) 698-0086*

As an organization, we are committed to honest and ethical behavior, and to conducting our business with integrity. The practice of behaving honestly, ethically and with integrity is an individual responsibility. We make decisions about how to conduct ourselves every day as we go about our work. Each of us is accountable for the actions that we decide to take.

Allegiance Health Management, Inc.'s *Code of Conduct* is the keystone of its corporate integrity philosophy and communicates its ethical business standards. The *Code of Conduct* serves as a cultural compass for staff, management, vendors, volunteers and others who interact with our hospitals and other healthcare facilities. It is an essential element of our Compliance Program. The Compliance Department was created to oversee our Compliance Program and to demonstrate our commitment to conducting our business with integrity. The Compliance Program is a partnership among all of us to make the right business choices.

The *Code of Conduct* is a vital part of how we achieve our mission and vision. It provides guidance to ensure that our work is accomplished in an ethical and legal manner. It emphasizes our common culture of integrity and our responsibility to operate with the highest principles and ethical business standards as we strive to care for our patients and each other with respect, honesty, compassion, teamwork and excellence.

At Allegiance Health Management Inc., we are each guardians of our reputations for ethical business practices and our standing as a leader in the health care community. We are committed to delivering the highest quality patient care in compliance with our *AHM Code of Conduct*.

Rock Bordelon

Chief Executive Officer



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## Allegiance Health Management, Inc. Anonymous Hotline

To: All Employees

As COO of Allegiance Health Management, Inc., I strongly believe that our core values are not simply words written in an employee manual or on a website page. They are something that we all must live by each and every day while striving to make them a cornerstone of our corporate culture.

By ensuring that we make every effort to incorporate values such as honesty, integrity, respect and cooperation into our culture, we also ensure that Allegiance Health Management, Inc. lives up to the high ethical standards that make each of us proud to be associated with our organization and recognized as a beacon of ethical behavior throughout our industry.

I also believe that nothing is more important to the long-term success of our organization than the well-being of our employees. With your efforts, Allegiance Health Management, Inc. can achieve the goals that will lead to a bright and prosperous future for all of us. As COO, I realize that I bear the responsibility to provide a work environment where employees feel safe and can report unethical or improper behavior in complete confidence.

With this in mind, I am pleased to announce that, effective March 1, 2017, we have engaged Lighthouse Services, Inc. to provide all Allegiance Health Management, Inc. and its related companies' employees with access to an anonymous ethics and compliance hotline for reporting possible ethical or regulatory violations. The purpose of this service is to ensure that any employee wishing to submit a report can do so anonymously and without fear of retribution.

For your convenience, Lighthouse Services provides a toll-free number along with several other reporting methods, all of which are available 24 hours a day, seven days a week for use by employees and staff.

- **Website:** [www.lighthouse-services.com/ahmgt](http://www.lighthouse-services.com/ahmgt)
- **Telephone:**
  - English speaking USA and Canada: 844-477-0008(not available from Mexico)
  - Spanish speaking North America: 844-477-0008 (from Mexico user must dial 001-844-477-0008)
- **E-mail :** [reports@lighthouse-services.com](mailto:reports@lighthouse-services.com) (must include company name with report)
- **Fax:** (215) 689-3885 (must include company name with report)

Once again, I want to thank each of you for your efforts and I look forward to continuing our work together in building a company culture based on strong core values and the highest ethical principles.

Regards,

A handwritten signature in black ink, appearing to read "Don Cameron". The signature is fluid and cursive, with a large initial "D" and a long, sweeping underline.

Don Cameron

Chief Operating Officer

ALLEGIANCE HEALTH MANAGEMENT, INC.

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(Note: All references to "Allegiance Health Management, Inc." or the "organization" in this Code of Conduct refer to Allegiance Health Management, Inc., Incorporated.)

## **Allegiance Health Management, Inc. Mission and Values Statement**

Above all else, we are committed to the provision of quality, cost-effective health care in a caring, safe and professional environment. We strive to improve quality of life and to promote patient confidence. Allegiance Health Management, Inc. has a vision of leadership in health care as a provider of exceptional quality and efficient service.

The following statements are essential to the pursuit of our mission.

- We believe in the individual worth and dignity of all persons.
- We believe our purpose is to assure the kind of individual care which will restore the patient to the best possible physical, mental, spiritual and emotional health.
- We believe in the intelligent and purposeful collaboration with the Medical Staff and community leaders for the attainment of quality patient care.
- We believe that comprehensive care of the patient is dependent of the staff's individual commitment to professionalism and the hospital mission and values.

## **Purpose of Our Code of Conduct**

Our Code of Conduct provides guidance to all Allegiance Health Management, Inc. employees and assists us in carrying out our daily activities within appropriate ethical and legal standards. These obligations apply to our relationships with patients, affiliated physicians, third-party payors, subcontractors, independent contractors, vendors, consultants, and one another.

The Code is a critical component of our overall Ethics and Compliance Program. We have developed the Code to ensure that we meet our ethical standards and comply with applicable laws and regulations.

The Code is intended to be a statement that is comprehensive and easily understood. In some instances, the Code deals fully with the subject covered. In many cases, however, the subject discussed has so much complexity that additional guidance is necessary for those directly involved with the particular area to have sufficient direction. To provide additional guidance, we have developed a comprehensive set of compliance policies and procedures. Those policies expand upon or supplement many of the principles articulated in this Code of Conduct.

Though we promote the concept of management autonomy at local facilities in order to meet local needs, the policies set forth in this Code are mandatory and must be followed.

## **Leadership Responsibilities**

While all Allegiance Health Management, Inc. employees are obligated to follow our Code, we expect our leaders to set the example, to be in every respect a model. They must ensure that those on their team have sufficient information to comply with law, regulation, and policy; as well as the resources to resolve ethical dilemmas. They must help to create a culture within Allegiance Health Management, Inc. that promotes the highest standards of ethics and compliance. This culture must encourage everyone in the organization to share concerns when they arise. We must never sacrifice ethical and compliant behavior in the pursuit of business objectives.

## **Our Fundamental Commitment to Stakeholders\***

We affirm the following commitments to Allegiance Health Management, Inc. stakeholders:

***To our patients:*** We are committed to providing quality care that is sensitive, compassionate, promptly delivered, and cost effective.

***To our employees:*** We are committed to a work setting which treats all employees with fairness, dignity, and respect, and affords them an opportunity to grow, to develop professionally, and to work in a team environment in which all ideas are considered.

***To our physicians:*** We are committed to providing a work environment that has excellent facilities, modern equipment, and outstanding professional support.

***To our third-party payors:*** We are committed to dealing with our third-party payors in a way that demonstrates our commitment to contractual obligations and reflects our shared concern for quality healthcare and bringing efficiency and cost effectiveness to healthcare. We encourage our private third-party payors to adopt their own set of comparable ethical principles to explicitly recognize their obligations to patients as well as the need for fairness in dealing with providers.

***To our regulators:*** We are committed to an environment in which compliance with rules, regulations, and sound business practices is woven into the corporate culture. We accept the responsibility to aggressively self-govern and monitor adherence to the requirements of law and to our Code of Conduct.

***To the communities we serve:*** We are committed to understanding the particular needs of the communities we serve and providing these communities quality, cost-effective healthcare. We realize as an organization that we have a responsibility to help those in need. We proudly support charitable contributions and events in the communities we serve in an effort to promote good will and further good causes.

***To our suppliers:*** We are committed to fair competition among prospective suppliers and the sense of responsibility required of a good customer. We encourage our suppliers to adopt their own set of comparable ethical principles.



\*The term “stakeholder” refers to those groups of individuals to whom the hospital sees itself as having obligations.

## **Relationships with Our Healthcare Partners**

### *Patients*

#### *Patient Care and Rights*

Our mission is to provide high quality, cost effective healthcare to all of our patients. We treat all patients with respect and dignity and provide care that is both necessary and appropriate. We make no distinction in the admission, transfer or discharge of patients or in the care we provide based on gender, disability, race, color, religion, or national origin. Clinical care is based on identified patient healthcare needs, not on patient or organization economics.

Upon admission, each patient is provided with a written statement of patient rights. This statement includes the rights of the patient to make decisions regarding medical care and conforms to all applicable state and Federal laws.

We seek to involve patients in all aspects of their care and obtain informed consent for treatment. As applicable, each patient or patient representative is provided with a clear explanation of care including, but not limited to, diagnosis, treatment plan, right to refuse or accept care, care decision dilemmas, advance directive options, organ donation and procurement, and an explanation of the risks and benefits associated with available treatment options. Patients have the right to request transfers to other facilities. In such cases, the patient will be given an explanation of the benefits, risks, and alternatives.

Patients are informed of their right to make advance directives. Patient advance directives will be honored within the limits of the law and the organization's mission, philosophy, and capabilities.

Patients and their representatives will be accorded appropriate confidentiality, privacy, security and protective services, opportunity for resolution of complaints, and pastoral counseling. Any restrictions on a patient's visitors, mail, telephone, or other communications must be evaluated for their therapeutic effectiveness and fully explained to and agreed upon by the patient or patient representative.

Patients are treated in a manner that preserves their dignity, autonomy, self-esteem, civil rights, and involvement in their own care. Allegiance Health Management, Inc. maintains processes, based on policies and procedures, to support patient rights in a collaborative manner involving the facility leaders and others. These processes include informing each patient, or when appropriate, the patient's representative of the patient's rights, in advance of furnishing or discontinuing care. Additionally, Allegiance has established processes for prompt resolution of patient grievances, which include informing patients of whom to contact regarding grievances and informing patients regarding the grievance resolution. Allegiance Health Management, Inc. employees will receive training about patient rights in order to clearly understand their role in

supporting them.

Compassion and care are part of our commitment to the communities we serve. We strive to provide health education, health promotion, and illness-prevention programs as part of our efforts to improve the quality of life of our patients and our communities.

#### *Emergency Treatment*

Patients will only be transferred to another facility if the patient's medical needs cannot be met at Allegiance Health Management, Inc. and appropriate care is knowingly available at another facility. Patients may only be transferred after they have been formally accepted by the alternate facility.

#### *Patient Information*

We collect information about the patient's medical condition, history, medication, and family illnesses to provide the best possible care. We realize the sensitive nature of this information and are committed to maintaining its confidentiality. We do not release or discuss patient-specific information with others unless it is necessary to serve the patient or required by law.

Allegiance Health Management, Inc. employees must never disclose confidential information that violates the privacy rights of our patients. No Allegiance Health Management, Inc. employee, affiliated physician, or other healthcare partner has a right to any patient information other than that necessary to perform his or her job.

Patients can expect that their privacy will be protected and that patient specific information will be released only to persons authorized by law or by the patient's written consent. In an emergency situation, when requested by an institution or physician then treating the patient, the patient's consent is not required, but the name of the institution and the person requesting the information must be verified. This should be done as a call back process.

#### *Affiliated Physicians*

Any business arrangement with a physician must be structured to ensure precise compliance with legal requirements. Such arrangements must be in writing and approved by the Corporate Legal Department and Governing Body.

In order to ethically and legally meet all standards regarding referrals and admissions, we will adhere strictly to two primary rules:

We do not pay for referrals. We accept patient referrals and admissions based solely on the patient's clinical needs and our ability to render the needed services. We do not pay or offer to pay anyone -- employees, physicians, or other persons -- for referral of patients. Violation of this policy may have grave consequences for the organization and the individuals involved, including civil and criminal penalties, and possible exclusion from participation in federally funded healthcare programs.

We do not accept payments for referrals that we make. No Allegiance Health Management, Inc. employee or any other person acting on behalf of the organization is permitted to solicit or receive anything of value, directly or indirectly, in exchange for the referral of patients. Similarly, when making patient referrals to another healthcare provider, we do not take into account the volume or value of referrals that the provider has made (or may make) to us.

### ***Third-Party Payors***

#### *Coding and Billing for Services*

We will take great care to assure that all billings to government payers, commercial insurance payors and patients reflect truth and accuracy and conform to all pertinent Federal and state laws and regulations. We prohibit any employee or agent of Allegiance Health Management, Inc. from knowingly presenting or causing to be presented claims for payment or approval which are false, fictitious, or fraudulent.

We will operate oversight systems designed to verify that claims are submitted only for services actually provided and that services are billed as provided. These systems will emphasize the critical nature of complete and accurate documentation of services provided. As part of our documentation effort, we will maintain current and accurate medical records.

Any subcontractors engaged to perform billing or coding services must have the necessary skills, quality assurance processes, systems, and appropriate procedures to ensure that all billings for government and commercial insurance programs are accurate and complete. Allegiance Health Management, Inc. prefers to contract with such entities that have adopted their own ethics and compliance programs. Third-party billing entities, contractors, and preferred vendors under contract consideration must be approved consistent with the corporate policy on this subject. For questions concerning billing issues, contact the Business Office.

#### *Cost Reports*

Our business involves reimbursement under government programs which require the submission of certain reports of our costs of operation. We will comply with all applicable Federal and state laws relating to all cost reports. These laws and regulations define what costs are allowable and outline the appropriate methodologies to claim reimbursement for the cost of services provided to program beneficiaries. Given their complexity, all issues related to the completion and settlement of cost reports must be communicated through or coordinated with our Business Office.

## **Legal and Regulatory Compliance**

Allegiance Health Management, Inc. provides varied healthcare services. These services may be provided only pursuant to appropriate Federal, state, and local laws, regulations and conditions of participation. Such laws, regulations and conditions of participation may include subjects such as certificates of need, licenses, permits, accreditation, access to treatment, consent to treatment, medical record-keeping, access to medical records and confidentiality, patients' rights, terminal

care decision-making, medical staff membership and clinical privileges, corporate practice of medicine restrictions, and Medicare and Medicaid regulations. The organization is subject to numerous other laws in addition to these healthcare regulations and conditions of participation.

We will comply with all applicable laws and regulations. All employees, medical staff members, privileged practitioners, and contract service providers must be knowledgeable about and ensure compliance with all laws and regulations; and should immediately report violations or suspected violations to a supervisor or member of management, the Facility Compliance Officer, or the Compliance Hotline.

Allegiance Health Management, Inc. will be forthright in dealing with any billing inquiries. Requests for information will be answered with complete, factual, and accurate information. We will cooperate with and be courteous to all inspectors and surveyors and provide them with the information to which they are entitled during an inspection or survey.

During a survey or inspection, you must never conceal, destroy, or alter any documents, lie, or make misleading statements to the agency representative. You should not attempt to cause another employee to fail to provide accurate information or obstruct, mislead, or delay the communication of information or records relating to a possible violation of law.

In order to ensure that we fully meet all regulatory obligations, Allegiance Health Management, Inc. employees must be informed about stated areas of potential compliance concern. The Department of Health and Human Services, and particularly its Inspector General, have routinely notified healthcare providers of areas in which these government representatives believe that insufficient attention is being accorded government regulations. We should be diligent in the face of such guidance about reviewing these elements of our system to ensure their correctness.

Allegiance Health Management, Inc. will provide its employees with the information and education they need to comply fully with all applicable laws, regulations and conditions of participation.

## **Dealing with Accrediting Bodies**

Allegiance Health Management, Inc. will deal with all accrediting bodies in a direct, open and honest manner. No action should ever be taken in relationships with accrediting bodies that would mislead the accreditor or its survey teams, either directly or indirectly.

The scope of matters related to accreditation of various bodies is extremely significant and broader than the scope of this Code of Conduct. The purpose of our Code of Conduct is to provide general guidance on subjects of wide interest within the organization. Accrediting bodies may be focused on issues both of wide and somewhat more focused interest. In any case, where Allegiance Health Management, Inc. determines to seek any form of accreditation, obviously all standards of the accrediting group are important and must be followed.

## **Business Information and Information Systems**

### ***Accuracy, Retention, and Disposal of Documents and Records***

Each Allegiance Health Management, Inc. employee is responsible for the integrity and accuracy of our organization's documents and records, not only to comply with regulatory and legal requirements but also to ensure that records are available to defend our business practices and actions. No one may alter or falsify information on any record or document.

Medical and business documents and records are retained in accordance with the law and our record retention policy. Medical and business documents include paper documents such as letters and memos, computer-based information such as e-mail or computer files on disk or tape, and any other medium that contains information about the organization or its business activities. It is important to retain and destroy records appropriately according to our policy. You must not tamper with records, nor remove or destroy them prior to the specified date.

### ***Information Security and Confidentiality***

Confidential information about our organization's strategies and operations is a valuable asset. Although you may use confidential information to perform your job, it must not be shared with others unless the individuals have a legitimate need to know this information and have agreed to maintain the confidentiality of the information. Confidential information includes personnel data maintained by the organization, patient lists and clinical information, patient financial information, passwords, pricing and cost data, information pertaining to acquisitions, divestitures, affiliations and mergers, financial data, details regarding federal, state and local tax examinations, research data, strategic plans, marketing strategies and techniques, techniques, employee lists and data maintained by the organization, supplier and subcontractor information, and proprietary computer software.

If your relationship with Allegiance ends for any reason, you are still bound to maintain the confidentiality of information viewed during your employment. This provision does not restrict the right of an employee to disclose, if he or she wishes, information about his or her own compensation, benefits, or terms and conditions of employment.

Our clinical and business processes rely on timely access to accurate information from our computer system. Your passwords act as individual keys to our network and to patient care and business applications, and they must be kept confidential. It is part of your job to learn about and practice the many ways you can help protect the confidentiality, integrity and availability of electronic information assets.

### ***Electronic Media***

All communications systems, electronic mail, intranet, Internet access, or voice mail are the property of the organization and are to be primarily used for business purposes. Highly limited reasonable personal use of the Allegiance Health Management, Inc. communications systems is permitted; however, you should assume that these communications are not private. Patient or

confidential information should not be sent through the intranet or the Internet until such time that its confidentiality can be assured.

Allegiance Health Management, Inc. reserves the right to periodically access, monitor, and disclose the contents of e-mail, and voice mail messages. Access or disclosure of individual employee messages may only be done with the approval of the Corporate Legal Department.

Employees may not use internal communication channels or access to the Internet at work to post, store, transmit, download, or distribute any threatening; knowingly, recklessly, or maliciously false; or obscene materials including anything constituting or encouraging a criminal offense, giving rise to civil liability, or otherwise violating any laws. Additionally, these channels of communication may not be used to send chain letters, personal broadcast messages, or copyrighted documents that are not authorized for reproduction; nor are they to be used to conduct a job search or open misaddressed mail.

Employees who abuse our communications systems or use them excessively for non-business purposes may lose these privileges and be subject to disciplinary action.

### ***Financial Reporting and Records***

We have established and maintained a high standard of accuracy and completeness in the documentation and reporting of all financial records. These records serve as a basis for managing our business and are important in meeting our obligations to patients, employees, suppliers, and others. They are also necessary for compliance with tax and financial reporting requirements.

All financial information must reflect actual transactions and conform to generally accepted accounting principles. No undisclosed or unrecorded funds or assets may be established. Allegiance Health Management, Inc. maintains a system of internal controls to provide reasonable assurances that all transactions are executed in accordance with management's authorization and are recorded in a proper manner so as to maintain accountability of the organization's assets.

## **Workplace Conduct and Employment Practices**

### ***Conflict of Interest***

A conflict of interest may occur if your outside activities or personal interests influence or appear to influence your ability to make objective decisions in the course of your job responsibilities. A conflict of interest may also exist if the demands of any outside activities hinder or distract you from the performance of your job or cause you to use Allegiance Health Management, Inc. resources for other than Allegiance Health Management, Inc. purposes. It is your obligation to ensure that you remain free of conflicts of interest in the performance of your responsibilities at Allegiance Health Management, Inc. If you have any question about whether an outside activity might constitute a conflict of interest, you must obtain the approval of your supervisor before pursuing the activity.

### ***Controlled Substances***

Some of our employees routinely have access to prescription drugs, controlled substances, and other medical supplies. Many of these substances are governed and monitored by specific regulatory organizations and must be administered by physician order only. It is extremely important that these items be handled properly and only by authorized individuals to minimize risks to us and to patients. If you become aware of the diversion of drugs from the organization, you should report the incident immediately.

### ***Copyrights***

Allegiance Health Management, Inc. employees may only use copyrighted materials pursuant to the organization's policy on such matters. Employees may not use AHM materials for personal use or tamper with policies/forms.

### ***Diversity and Equal Employment Opportunity***

Our employees provide us with a wide complement of talents that contribute greatly to our success. We are committed to providing an equal opportunity work environment where everyone is treated with fairness, dignity, and respect. We will comply with all laws, regulations, and policies related to non-discrimination in all of our personnel actions. Such actions include hiring, staff reductions, transfers, terminations, evaluations, recruiting, compensation, corrective action, discipline, and promotions.

No one shall discriminate against any individual with a disability with respect to any offer, or term or condition, of employment. We will make reasonable accommodations to the known physical and mental limitations of otherwise qualified individuals with disabilities.

### ***Harassment and Workplace Violence***

Each Allegiance Health Management, Inc. employee has the right to work in an environment free of harassment and disruptive behavior. We will not tolerate harassment by anyone based on the diverse characteristics or cultural backgrounds of those who work with us. Degrading or humiliating jokes, slurs, intimidation, or other harassing conduct is not acceptable in our workplace. This includes social media, cyber bullying or harassment.

Any form of sexual harassment is strictly prohibited. This prohibition includes unwelcome sexual advances or requests for sexual favors in conjunction with employment decisions. Moreover, verbal or physical conduct of a sexual nature that interferes with an individual's work performance or creates an intimidating, hostile, or offensive work environment has no place at Allegiance Health Management, Inc.

Harassment also includes incidents of workplace violence. Workplace violence includes robbery and other commercial crimes, stalking cases, violence directed at the employer, terrorism, and hate crimes committed by current or former employees. As part of our commitment to a safe workplace for our employees, we prohibit employees from possessing firearms, other weapons, explosive devices, or other dangerous materials on Allegiance Health Management, Inc. premises. Employees who observe or experience any form of harassment or violence should

report the incident to their supervisor, the Human Resources Department, a member of management or the Compliance Officer.

### ***Health and Safety***

Allegiance Health Management, Inc. must comply with all government regulations and rules and with Hospital policies or required facility practices that promote the protection of workplace health and safety. Our policies have been developed to protect you from potential workplace hazards. You should become familiar with and understand how these policies apply to your specific job responsibilities and seek advice from your supervisor or the Safety Officer whenever you have a question or concern. It is important for you to advise your supervisor or the Safety Officer of any serious workplace injury or any situation presenting a danger of injury so that timely corrective action may be taken to resolve the issue.

### ***Hiring of Former and Current Government and Fiscal Intermediary Employees***

The recruitment and employment of former or current U.S. government employees may be impacted by regulations concerning conflicts of interest. Hiring employees directly from a fiscal intermediary requires certain regulatory notifications. Employees should consult with the Human Resources Department or Corporate Counsel related to such recruitment and hiring.

### ***License and Certification Renewals***

Employees and individuals retained as independent contractors in positions which require professional licenses, certifications, or other credentials are responsible for maintaining the current status of their credentials and shall comply at all times with Federal and state requirements applicable to their respective disciplines. To assure compliance, Allegiance Health Management, Inc. may require evidence of the individual having a current license or credential status.

Allegiance Health Management, Inc. will not allow any employee or independent contractor to work without valid, current licenses or credentials.

### ***Personal Use of Allegiance Health Management, Inc. Resources***

It is the responsibility of each Allegiance Health Management, Inc. employee to preserve our organization's assets including time, materials, supplies, equipment, and information. Organization assets are to be maintained for business related purposes. As a general rule, the personal use of any Allegiance Health Management, Inc. asset without the prior approval of your supervisor is prohibited. The occasional use of items, such as copying facilities or telephones, where the cost to Allegiance Health Management, Inc. is insignificant, is permissible. Any community or charitable use of organization resources must be approved in advance by your supervisor. Any use of organization resources for personal financial gain unrelated to Allegiance Health Management, Inc.'s business is prohibited.

### ***Relationships among Allegiance Health Management, Inc. Employees***

In the normal day-to-day functions of an organization like Allegiance Health Management, Inc., there are issues that arise which relate to how people in the organization deal with one another. It



is impossible to foresee all of these, and many do not require explicit treatment in a document like this. A few routinely arise, however. One involves gift giving among employees for certain occasions. While we wish to avoid any strict rules, no one should ever feel compelled to give a gift to anyone, and any gifts offered or received should be appropriate to the circumstances. A lavish gift to anyone in a supervisory role would clearly violate organization policy. Another situation, which routinely arises, is a fund-raising or similar effort, in which no one should ever be made to feel compelled to participate.

### ***Relationships with Subcontractors, Suppliers, and Educational Institutions***

We must manage our subcontractor and supplier relationships in a fair and reasonable manner, consistent with all applicable laws and good business practices. We promote competitive procurement to the maximum extent practicable. Our selection of subcontractors, suppliers, and vendors will be made on the basis of objective criteria including quality, technical excellence, price, delivery, adherence to schedules, service, and maintenance of adequate sources of supply. Our purchasing decisions will be made on the supplier's ability to meet our needs, and not on personal relationships and friendships. We will always employ the highest ethical standards in business practices in source selection, negotiation, determination of contract awards, and the administration of all purchasing activities. We will not communicate to a third-party confidential information given to us by our suppliers unless directed in writing to do so by the supplier. We will not disclose contract pricing and information to any outside parties. (The subject of Business Courtesies, which might be offered by subcontractors or suppliers, is discussed on pages 18, 19 and 20 of this Code.)

All hospitals having relationships with an educational institution must have a written agreement which defines both parties' roles and the hospital's retention of the responsibility for the quality of patient care.

### ***Research***

We follow high ethical standards in any research conducted by our physicians and professional staff. We do not tolerate intentional research misconduct. Research misconduct includes making up or changing results or copying results from other studies without performing the research.

All patients asked to participate in a research project are given a full explanation of alternative services that might prove beneficial to them. They are also fully informed of potential discomforts and are given a full explanation of the risks, expected benefits, and alternatives. The patients are fully informed of the procedures to be followed, especially those that are experimental in nature. Refusal of a patient to participate in a research study will not compromise their access to services.

All personnel applying for or performing research of any type are responsible for maintaining the highest ethical standards in any written or oral communications regarding their research projects as well as following appropriate research guidelines. As in all accounting and financial record keeping, our policy is to submit only true, accurate, and complete costs related to research grants.

### ***Sanctioned Individuals***

The organization has policies and procedures in place to ensure we do not contract with, employ or bill for services rendered by an individual or entity that is excluded, suspended, debarred or ineligible to participate in Federal health care programs; or has been convicted of a criminal offense related to the provision of health care items or services and has not been reinstated in a Federal health care program after a period of exclusion, suspension, debarment, or ineligibility, provided that we are aware of such criminal offense. We routinely search the Office of Inspector General and General Services Administration's lists of such excluded and ineligible persons.

### ***Substance Abuse and Mental Acuity***

To protect the interests of our employees and patients, we are committed to an alcohol and drug-free work environment. All employees must report for work free of the influence of alcohol and illegal drugs. Reporting to work under the influence of any illegal drug or alcohol, having an illegal drug in your system, or using, possessing, or selling illegal drugs while on Allegiance Health Management, Inc. work time or property may result in immediate termination. We may use drug testing as a means of enforcing this policy.

It is also recognized that individuals may be taking prescription drugs, which could impair judgment or other skills required in job performance. If you have questions about the effect of such medication on your performance, or you observe an individual who appears to be impaired in the performance of his or her job, consult with your supervisor.

## **Marketing Practices**

### ***Antitrust***

Antitrust laws are designed to create a level playing field in the marketplace and to promote fair competition. These laws could be violated by discussing Allegiance Health Management, Inc. business with a competitor, such as how our prices are set, disclosing the terms of supplier relationships, allocating markets among competitors, or agreeing with a competitor to refuse to deal with a supplier. Our competitors are other hospitals and facilities in markets where we operate.

At trade association meetings, be alert to potential situations where it may not be appropriate for you to participate in discussions regarding prohibited subjects with our competitors. Prohibited subjects include any aspect of pricing, our services in the market, key costs such as labor costs, and marketing plans. If a competitor raises a prohibited subject, end the conversation immediately. Document your refusal to participate in the conversation by requesting that your objection be reflected in the meeting minutes and notify the Corporate Legal Department of the incident.

In general, avoid discussing sensitive topics with competitors or suppliers, unless you are proceeding with the advice of the Corporate Legal Department or Compliance Officer. You must also not provide any information in response to oral or written inquiry concerning an antitrust

matter without first consulting the Corporate Legal Department.

### ***Gathering Information about Competitors***

It is not unusual to obtain information about other organizations, including our competitors, through legal and ethical means such as public documents, public presentations, journal and magazine articles, and other published and spoken information. However, you should avoid seeking or receiving information about a competitor through other non-public means if you know or have reason to believe the information is proprietary or confidential. For example, you should not seek proprietary or confidential information when doing so would require anyone to violate a contractual agreement, such as a confidentiality agreement with a prior employer.

### ***Marketing and Advertising***

We may use marketing and advertising activities to educate the public, provide information to the community, increase awareness of our services, and to recruit employees. We will present only truthful, fully informative, and non-deceptive information in these materials and announcements. All marketing materials will reflect services available and the level of licensure and certification.

## **Environmental Compliance**

It is our policy to comply with all environmental laws and regulations as they relate to our organization's operations. We will act to preserve our natural resources to the full extent reasonably possible. We will comply with all environmental laws and operate the facility with the necessary permits, approvals, and controls. We will diligently employ the proper procedures with respect to handling and disposal of hazardous and biohazardous waste, including but not limited to medical waste.

In helping Allegiance Health Management, Inc. comply with these laws and regulations, we must understand how job duties may impact the environment, adhere to all requirements for the proper handling of hazardous materials, and immediately alert your supervisor to any situation regarding the discharge of a hazardous substance, improper disposal of medical waste, or any situation which may be potentially damaging to the environment.

## **Business Courtesies**

### ***General***

Nothing in this part of the Code of Conduct should be considered in any way as an encouragement to make, solicit, or receive any type of entertainment or gift. For clarity purposes, please note that these limitations govern activities with those outside of Allegiance Health Management, Inc. This section does not pertain to actions between the organization and its employees nor actions among Allegiance Health Management, Inc. employees themselves.

### ***Receiving Business Courtesies***

We recognize that there will be times when a current or potential business associate may extend an invitation to attend a social event in order to further develop your business relationship. You

may accept such invitations, provided: (1) the cost associated with such an event is reasonable and appropriate, which, as a general rule, means the cost will not exceed \$100.00 per person; (2) no expense is incurred for any travel costs (other than in a vehicle owned privately or by the host company) or overnight lodging; and (3) such events are infrequent. The limitations of this section do not apply to business meetings at which food (including meals) may be provided.

Sometimes a business associate will extend training and educational opportunities that include travel and overnight accommodations to you at no cost to you or Allegiance Health Management, Inc. Similarly, there are some circumstances where you are invited to an event at a vendor's expense to receive information about new products or services. Prior to accepting any such invitation, you must receive approval to do so consistent with the corporate policy on this subject.

As an Allegiance Health Management, Inc. employee, you may accept gifts with a total value of \$50.00 or less in any one year from any individual or organization who has a business relationship with Allegiance Health Management, Inc.. For purposes of this paragraph, physicians practicing in Allegiance Health Management, Inc. facilities are considered to have such a relationship. Perishable or consumable gifts given to a department or group are not subject to any specific limitation. You may accept gift certificates, but you may never accept cash or financial instruments (e.g., checks, stocks). Finally, under no circumstances may you solicit a gift.

This section does not limit Allegiance Health Management, Inc. from accepting gifts, provided they are used and accounted for appropriately.

#### ***Extending Business Courtesies to Non-referral Sources***

No portion of this section, "Extending Business Courtesies to Non-referral Sources," applies to any individual who makes, or is in a position to make, referrals to a Allegiance Health Management, Inc. facility.

There may be times when you may wish to extend to a current or potential business associate (other than someone who may be in a position to make a patient referral) an invitation to attend a social event (e.g., reception, meal, sporting event or theatrical event) in order to further or develop your business relationship. The purpose of the entertainment must never be to induce any favorable business action. During these events, topics of a business nature must be discussed and the host must be present. These events must not include expenses paid for any travel costs (other than in a vehicle owned privately or by the host entity) or overnight lodging. The cost associated with such an event must be reasonable and appropriate. As a general rule, this will mean that the cost will not exceed \$100.00 per person. Moreover, such business entertainment with respect to any particular individual must be infrequent, which, as a general rule, means not more than four times per year.

With regard to the \$100.00 guideline, if circumstances arise where an entertainment event was contemplated prior to the event to meet the guideline but unforeseeably exceeded it, a report to

that effect with the relevant details must be filed consistent with the corporate policy on this subject. If you anticipate an event will exceed the \$100.00 guideline, you must obtain advance approval as required by corporate policy. That policy requires establishing the business necessity and appropriateness of the proposed entertainment. The organization will under no circumstances sanction participation in any business entertainment that might be considered lavish. Departures from the \$100.00 guideline are highly discouraged.

Also, Allegiance Health Management, Inc. may routinely sponsor events with a legitimate business purpose (e.g., hospital board meetings or retreats). Provided that such events are for business purposes, reasonable and appropriate meals and entertainment may be offered. In addition, transportation and lodging can be paid for. However, all elements of such events, including these courtesy elements, must be consistent with the corporate policy on such events.

It is critical to avoid the appearance of impropriety when giving gifts to individuals who do business or are seeking to do business with Allegiance Health Management, Inc. We will never use gifts or other incentives to improperly influence relationships or business outcomes. Gifts to business associates who are not government employees must not exceed \$50.00 per year per recipient. You may give gift certificates, but may never give cash or financial instruments (e.g., checks, stocks). The corporate policy on business courtesies may from time to time provide modest flexibility in order to permit appropriate recognition of the efforts of those who have spent meaningful amounts of volunteer time on behalf of Allegiance Health Management, Inc.

U.S. Federal and state governments have strict rules and laws regarding gifts, meals, and other business courtesies for their employees. Allegiance Health Management, Inc.'s policy is to not provide any gifts, entertainment, meals, or anything else of value to any employee of the Executive Branch of the Federal government, except for minor refreshments in connection with business discussions or promotional items with the Allegiance Health Management, Inc. or facility logo valued at no more than \$10.00.

With regard to gifts, meals, and other business courtesies involving any other category of government official or employee, you must determine the particular rules applying to any such person and carefully follow them.

### ***Extending Business Courtesies to Possible Referral Sources***

Any entertainment or gift involving physicians or other persons who are in a position to refer patients to our healthcare facilities must be undertaken in accordance with corporate policies. We will comply with all Federal laws, regulations, and rules regarding these practices.

## **Government Relations and Political Activities**

The Hospital's and its representatives will comply with all Federal, state and local laws governing participation in government relations and political activities. Additionally, Allegiance funds or resources will not be contributed directly to individual political campaigns, political parties or other organizations which intend to use the funds primarily for political campaign objectives.

Organization resources include financial and non-financial donations such as using work time and telephones to solicit for a political cause or candidate or the loaning of Allegiance property for use in the political campaign.

The organization will engage in public policy debate only in a limited number of instances where it has special expertise that can inform the public policy formulation process. When the organization is directly impacted by public policy decisions, it may provide relevant, factual information about the impact of such decisions on the private sector. In articulating positions, the organization will only take positions that it believes can be shown to be in the larger public interest. The organization will encourage trade associations with which it is associated to do the same.

It is important to separate personal and corporate political activities in order to comply with the appropriate rules and regulations relating to lobbying or attempting to influence government officials. No use of hospital resources, including e-mail, is appropriate for personally engaging in political activity. You may, of course, participate in the political process on your own time and at your own expense. While you are doing so, it is important not to give the impression that you are speaking on behalf of or representing Allegiance Health Management, Inc. in these activities. You cannot seek to be reimbursed by Allegiance Health Management, Inc. for any personal contributions for such purposes.

At times, Allegiance Health Management, Inc. may ask employees to make personal contact with government officials or to write letters to present our position on specific issues. In addition, it is a part of the role of some Allegiance Health Management, Inc. management to interface on a regular basis with government officials. If you are making these communications on behalf of the organization, be certain that you are familiar with any regulatory constraints and observe them. Guidance is always available from the Corporate Legal Department as necessary.

## **The Corporate Ethics and Compliance Program**

### ***Program Structure***

The Corporate Compliance Program is intended to demonstrate in the clearest possible terms the absolute commitment of the organization to the highest standards of ethics and compliance. The elements of the program include setting standards (the Code and Policies and Procedures), communicating the standards, providing a mechanism for reporting potential exceptions, monitoring and auditing, and maintaining an organizational structure that supports the furtherance of the program.

These elements are supported at all levels of the organization. Oversight of the program is provided by the Governing Body and the corporate Compliance Committee. There is also a Facility Compliance Committee consisting of a member of facility management and the Compliance Officer. Collectively, these individuals and groups are responsible for the development of the Compliance Program, including the creation and distribution of ethics and

compliance standards; the development and delivery of ethics and compliance training; auditing and monitoring compliance with laws, regulations, conditions of participation and policies; and providing a mechanism for reporting exceptions and are prepared to support you in meeting the standards set forth in this Code.

### ***Resources for Guidance and Reporting Violations***

To obtain guidance on an ethics or compliance issue or to report a suspected violation, you may choose from several options. We encourage the resolution of issues at a local level whenever possible. It is an expected good practice, when you are comfortable with it and think it appropriate under the circumstances, to raise concerns first with your supervisor. If this is uncomfortable or inappropriate, another option is to discuss the situation with the Compliance Officer or another member of management at the Corporate Office. You are always free to contact the Compliance Hotline at 844-477-0008.

Alliance Health Management, Inc. will make every effort to maintain, within the limits of the law, the confidentiality of the identity of any individual who reports possible misconduct. There will be no retribution or discipline for anyone who reports a possible violation in good faith. Any employee who deliberately makes a false accusation with the purpose of harming or retaliating against another employee will be subject to discipline.

### ***Personal Obligation to Report***

We are committed to ethical and legal conduct that is compliant with all relevant laws and regulations and to correcting wrongdoing wherever it may occur in the organization. Each employee has an individual responsibility for reporting any activity by any employee, physician, subcontractor, or vendor that appears to violate applicable laws, rules, regulations, or this Code.

### ***Internal Investigations of Reports***

We are committed to investigate all reported concerns promptly and confidentially to the extent possible. The Compliance Officer will coordinate any findings from the investigations and immediately recommend corrective action or changes that need to be made. We expect all employees to cooperate with investigation efforts.

### ***Corrective Action***

Where an internal investigation substantiates a reported violation, it is the policy of the organization to initiate corrective action, including, as appropriate, making prompt restitution of any overpayment amounts, notifying the appropriate governmental agency, instituting whatever disciplinary action is necessary, and implementing systemic changes to prevent a similar violation from recurring in the future at any Alliance Health Management, Inc. facility.

### ***Discipline***

All violators of the Code will be subject to disciplinary action. The precise discipline utilized will depend on the nature, severity, and frequency of the violation and may result in any of the following disciplinary actions:

- Verbal warning
- Written warning
- Suspension
- Termination
- Restitution.

### ***Internal Audit and Other Monitoring***

Allegiance Health Management, Inc. is committed to monitoring compliance with its policies. Much of this monitoring effort is provided by the Corporate Compliance and Quality Management Departments, which routinely conduct internal audits of issues that have regulatory or compliance implications. The organization also routinely seeks other means of ensuring and demonstrating compliance with laws, regulations, and Allegiance Health Management, Inc. policy.

### ***Acknowledgment Process***

Allegiance Health Management, Inc. requires all employees to sign an acknowledgment confirming they have received the Code and understand it represents mandatory policies of Allegiance Health Management, Inc.. New employees will be required to sign this acknowledgment as a condition of employment. Adherence to and support of Allegiance Health Management, Inc.'s Code of Conduct and participation in related activities and training will be considered in decisions regarding hiring, promotion, and compensation for all candidates and employees.

## **Questions & Answers**

The Code of Conduct is not intended to provide answers to every question that you may have about Allegiance Health Management, Inc.'s policies, laws, or regulations. The following questions and answers are intended to increase your understanding of how the specific guidelines must be applied.

### ***The Ethics and Compliance Program***

*If I have a question about workplace conduct or saw something that I thought was wrong, whom should I contact?*

We have provided several resources for you to turn to with such concerns. We encourage you to talk to your supervisor first. However, if for any reason you do not feel comfortable talking to your supervisor or if your supervisor did not answer the question or address the problem to your satisfaction, you do have other options. You may wish to try to speak with someone else in management, contact your Compliance Officer, or call the Compliance Hotline at (318) 226-8202.

*If I report something suspicious, will I get in trouble if my suspicion turns out to be wrong?*

As long as you honestly have a concern, our policy prohibits your being reprimanded or disciplined. As an Allegiance Health Management, Inc. employee, you have a responsibility to



report suspected problems. In fact, employees may be subject to discipline if they witness something but do not report it to the company. The only time someone will be disciplined for reporting misconduct is if he or she knowingly and intentionally reports something that he or she knows to be false or misleading in order to harm someone else.

*What should I do if my supervisor asks me to do something that I think violates the Code of Conduct, Allegiance Health Management, Inc. policy, or is illegal?*

Don't do it. No matter who asks you to do something, if you know it is wrong, you must refuse to do it. You must also immediately report the request to a level of management above your supervisor or to the Compliance Officer.

### ***Ethical Behavior Generally***

*How do I know if I am on ethical "thin ice?"*

If you are worried about whether your actions will be discovered, if you feel a sense of uneasiness about what you are doing, or if you are rationalizing your activities on any basis (such as perhaps the belief that "everyone does it"), you are probably on ethical "thin ice." Stop, step back, consider what you are doing, get advice, and redirect your actions to where you know you are doing the right thing.

### ***Accuracy, Retention, and Disposal of Documents***

*In preparation for an accreditation visit, my supervisor has asked me to review medical records and to fill in any missing signatures. May I do this?*

No. It is absolutely wrong to sign another healthcare provider's name in the medical record. It is part of our basic integrity obligation to provide only complete and fully accurate information to accrediting groups.

### ***Business Courtesies***

*A patient with a chronic health condition is frequently admitted to our facility for treatment. He routinely tips his primary nurse around \$100. May the nurse accept it?*

No. Cash gifts must never be accepted from anyone with whom we have a business relationship.

*May I accept a basket of fruit or flowers that a patient sent?*

Yes. Gifts to an entire department may be accepted if they are consumable or perishable.

### ***Conflicts of Interest***

*I am planning a dinner meeting at our hospital. My daughter owns a catering service in town.*

*May I pick her catering service if the prices are comparable to other restaurants?*

No. This may seem unfair, but you must avoid even the appearance of favoritism.

*Do the conflict of interest policies apply to distant relatives, such as cousins or in-laws or friends?*

The conflict of interest policies generally apply to members of your immediate family. However,

if any relationship could influence your objectivity or create the appearance of impropriety, you must apply the policies.

### ***Patient Information***

*There is a physician in our hospital who sometimes requests medical records, whether he is taking care of the patient or not. Is he allowed to do this?*

No. Only the attending, covering, or consulting physicians may have access to patient medical records. We are responsible for protecting the confidentiality of patient information from interested third parties as well as our staff. Patients are entitled to expect confidentiality, the protection of their privacy, and the release of information only to authorized parties.

### ***Personal Use of Organization Resources***

*Can I type my spouse's resume on my computer?*

Possibly. If you use the computer during non-working hours, you may be permitted to type personal documents. Check with your supervisor.

*I volunteer for Big Brothers. May I copy a fundraising leaflet?*

Allegiance Health Management, Inc. encourages all employees to participate in volunteer activities. Organization equipment, however, must not be used for charitable or other non-business purposes without prior approval from your supervisor.

### ***Political Activities and Contributions***

*I do volunteer work for a local candidate for office. May I use the copy machine to make flyers?*

No. You may not use Allegiance Health Management, Inc. time or resources to support political activities that are undertaken on a personal basis, as is the case here.

## **Key Points to Remember**

### **1. *Respect for Persons***

- \* Maintain the Patient First Ethic.
- \* Treat patients and staff with the same degree of respect you would wish them to show you.
- \* Treat patients with kindness, gentleness and dignity.
- \* Respect the privacy and modesty of patients.
- \* Do not use offensive language, verbally or in writing, when referring to patients or their illnesses.
- \* Do not harass others physically, verbally, psychologically or sexually.
- \* Do not discriminate on the basis of sex, religion, race, disability, age or sexual orientation.
- \* Refrain from behavior that includes intimidation, foul language, threats of violence or

retaliation.

- \* Refer to patients by their name, not by their diagnosis or location.
- \* Avoid the use of first names without permission in addressing adult patients.
- \* Respect with tolerance, the religion, culture and customs of patients, visitors and staff.
- \* Realize that patients and their visitors are in an environment that can be unfamiliar and frightening. Communicate frequently in language that a layperson can understand.

2. ***Respect for Patient Confidentiality***

- \* Do not share medical information with anyone except those health care professionals integral to the care of the patient or within the context of Hospital operations.
- \* Do not discuss patients or their illnesses in public places where the conversation may be overheard.
- \* Do not publicly identify patients, in spoken words or in writing, without adequate justification.
- \* Do not invite or permit unauthorized persons into patient care areas of the institution.
- \* Do not share your confidential computer system passwords.
- \* Do not access confidential patient information without a professional "need to know."
- \* Do not misuse electronic mail.
- \* Do not remove confidential patient information from the premises. Staff that must do this in the scope of their job must assure appropriate safeguards are in place to protect the information.

3. ***Honesty***

- \* Be truthful in verbal and in written communications.
- \* Do not cheat or otherwise act dishonestly.
- \* Maintain accurate, honest records of patient care and business activities, which include following procedures to correct and amend records and to make late entries in medical records.

4. ***Integrity***

*Integrity means strict adherence to a code or set of values such as this Code of Professional Conduct, the American Nurse's Association's Code of Ethics for Nurses, or the American Medical Association's Code of Ethics.*

- \* Acknowledge your errors of omission and commission to colleagues, supervisors and patients.
- \* Make patient care decisions based on patients' needs and desires not on financial preferences or compensation.

- \* Do not knowingly mislead others.
- \* Do not abuse special privileges, e.g., making unauthorized long-distance telephone calls.

#### 5. ***Responsibility for Patient Care***

- \* Obtain the patient's informed consent for diagnostic tests or therapies and respect the patient's right to refuse care or procedures.
- \* Assume responsibility for the patients under your care until you have handed off (transferred) the care to another professional and that professional has acknowledged the transfer of care.
- \* Follow up on ordered laboratory tests and complete patient record documentation promptly and conscientiously.
- \* Assure that all patients' tests and treatments are completed and followed up appropriately.
- \* Coordinate with your team the timing of information sharing with patients and their families to present a coherent and consistent treatment plan.
- \* Do not abuse alcohol or drugs that could diminish the quality of patient care or your professional performance.
- \* Do not develop romantic or sexual relationships with patients; if such a relationship seems to be developing, seek guidance and terminate the professional relationship.
- \* Do not abandon a patient. If you are unable/unwilling to continue care, you have an obligation to assist in making a referral to another competent practitioner willing to care for the patient.

#### 6. ***Professional Growth & Awareness of Limitations***

- \* Be aware of your personal limitations and deficiencies in knowledge and abilities and know when and whom to ask for supervision, assistance or consultation.
- \* Know when and for whom to provide appropriate supervision.
- \* Do not involve patients in personal issues or solicit for personal gain.
- \* Do not engage in unsupervised involvement in areas or situations where you are not adequately trained.

#### 7. ***Department as a Professional***

- \* Clearly identify yourself and your professional level to patients and staff; wear your name badge at all times above the waist and in plain view.
- \* Always maintain the confidentiality of business information and trade secrets.
- \* Dress in a neat, clean, professionally appropriate manner. Maintain professional composure despite the stresses of fatigue, professional pressures, or personal problems.

- \* Do not make offensive or judgmental comments about patients or staff, verbally or in writing.
- \* Do not criticize the medical decisions of colleagues in the presence of patients or staff or in the medical record.
- \* Do not access confidential staff information without a professional need to know.
- \* Do not abuse alcohol or drugs that could diminish the quality of patient care or professional performance.
- \* Do not participate in political campaigns including the wearing of political buttons and discussion of political issues while on Allegiance premises.

#### 8. ***Avoiding Conflicts of Interest***

- \* Resolve clinical conflicts of interest in favor of the patient.
- \* Do not accept gifts of value from drug companies or vendors or suppliers.
- \* Do not participate in vendor incentive programs without disclosure.
- \* Do not refer patients to laboratories or other healthcare facilities in which you have a direct financial stake without disclosure.
- \* Do not accept a "kickback" (any payment intended to influence decisions) for any patient referral.
- \* For staff in decision-making positions, disclose any outside financial interests or commercial activities, including those of immediate family members, domestic partners or others with a significant personal relationship, that may represent a conflict of interest and affect professional performance.

#### 9. ***Responsibility for Peer Behavior***

- \* Take the initiative to identify and help impaired staff with the assistance of the appropriate staff member or professional board or other appropriate referrals. (Impairment includes, but is not limited to, alcohol and/or drug abuse, depression, other physical or mental illness).
- \* Report serious breaches of the Code of Professional Conduct to the appropriate person, if unsure, discuss the situation with your supervisor or department chair. You may report directly to the Compliance Officer.
- \* Indicate disapproval or seek appropriate intervention if you observe less serious breaches.
- \* No action of retaliation or reprisal shall be taken against anyone who reports suspected fraud or improper conduct.
- \* Anyone who attempts to or encourages others to retaliate against an individual who has reported a violation will be subject to disciplinary action.

#### 10. ***Respect for Personal Ethics***

- \* You are not required to perform procedures (e.g., elective abortions, termination of medical treatment) that you, personally, believe are unethical, illegal, or may be detrimental to patients.
- \* Should a patient request a treatment contrary to your personal values but consistent with current standards of care, you have a duty to refer the patient to another practitioner or facility for such treatment.

#### 11. ***Respect for Property and Laws***

- \* Adhere to the regulations and policies of Allegiance Health Management, Inc. and the facility at which you work, e.g., policies governing fire safety, hazardous waste disposal and universal precautions.
- \* Adhere to local, state and federal laws and regulatory standards.
- \* Do not misappropriate, destroy, damage, or misuse property of Allegiance or the facility at which you work. All assets are to be used solely for the benefit of Allegiance and its facilities, and include much more than physical plants, equipment, inventory and office supplies. They also include business strategies, financial data and other information about our business

#### 12. ***Use of Computer Systems***

- \* Obtain proper authorization before using computing resources.
- \* Do not use computing resources for purposes beyond those for which you are authorized.
- \* Do not share access privileges (account numbers and/or passwords).
- \* Do not electronically transmit or distribute material that would be in violation of existing policies or guidelines.
- \* Respect the privacy of other users. More specifically, do not read, delete, copy, or modify another user's data, information, files, e-mail or programs (collectively, "electronic files") without the other user's expressed permission.
- \* Do not intentionally introduce any program or data intended to disrupt normal operations (e.g., a computer "virus" or "worm") into computer systems Allegiance Health Management, Inc. or its related facilities.
- \* Do not perform forgery or attempt forgery of e-mail messages.
- \* Do not circumvent or attempt to circumvent normal resources limits, log-on procedures, or security regulations.
- \* Do not use company information technology resources for any private activity. Do not export company systems for personal use.

\* Endeavor to use information computing resources in an efficient and productive manner. Avoid game playing, use of streaming video or audio, printing excessive copies of documents, files, data, or programs; or attempting to crash or tie-up computer resources.

### 13. ***Respect for Business Ethics***

\* Charge patients for all and only clinical services provided at the appropriate level as defined by Allegiance Health Management, Inc. or facility policy.

\* Ensure that payment requests from vendors, employees and other payees are processed promptly, accurately and with the appropriate level of documentation.

\* Do not promise payments to vendors or other payees or sign contracts that are beyond the scope of your authority.

\* Report all and only hours worked on employee timecards.

\* Submit authorized employee timecards that follow the rules and regulations of your location, the state where you are located and the Federal government.

\* Do not take or borrow property or cash from patients, visitors or Allegiance or your individual facility.

\* Do not use company supplies for personal use.

\* Record all financial transactions accurately and promptly.

\* Provide reports and other information that is accurate, complete, relevant, timely and understandable.

\* Do not offer patients discounts or write/offs without proper approval.

\* Maintain the confidentiality of employee information.

\* Maintain the confidentiality of Allegiance Health Management, Inc. financial information, including the records of the facility at which you work.

\* Code medical records accurately, consistent with industry guidelines. Do not upcode to improve reimbursement.

## **B. Professional Ideals**

### 1. ***Clinical Virtues***

\* Cultivate and practice clinical virtues, such as caring, empathy and compassion.

### 2. ***Conscientiousness***

\* Fulfill your professional responsibilities conscientiously.

\* Notify the responsible supervisor if something interferes with your ability to perform tasks effectively.

\* Learn from experience and grow from the knowledge gained from errors to avoid

repeating them.

- \* Dedicate yourself to lifelong learning and self-improvement by implementing a personal program of continuing learning and continuous quality improvement.
- \* Complete all tasks accurately, thoroughly, legibly and in a timely manner, this may include attending and participating in meetings and conferences.
- \* Follow through on whatever you have agreed to do.
- \* Avoid patient involvement when you are ill, distraught or overcome with personal problems.

3. ***Collegiality/Cooperation***

- \* Cooperate with all other members of the facility involved in patient care.
- \* Teach others.
- \* Be generous with your time when answering questions from staff, patients and visitors.
- \* Shoulder your fair share of the institutional burden by adopting a spirit of volunteerism and altruism.
- \* Use communal resources (equipment, supplies and funds) responsibly and equitably.

4. ***Objectivity***

- \* Avoid providing professional care to members of your family or to persons with whom you have a close, personal relationship.

5. ***Responsibility to Community***

- \* Avoid unnecessary patient or societal health care monetary expenditures.
- \* Provide appropriate emergency services to all patients regardless of their ability to pay.
- \* Avoid behaviors that impair the community's confidence in our ability to service their health care needs.
- \* Demonstrate behavior that ensures the future viability of your facility for the residents of your community.

Additional guidelines regarding Professional Conduct exist in some departments and affiliated organizations of Allegiance Health Management, Inc. including, but not limited to, the Medical Staff, Volunteers Services and Information Services.



## Acknowledgment

I certify that I have received the Allegiance Health Management, Inc. Code of Conduct, understand it represents mandatory policies of the organization and agree to abide by it.

Signature \_\_\_\_\_

Printed Name \_\_\_\_\_

Facility \_\_\_\_\_

Position \_\_\_\_\_

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

This signature page should be completed, signed and returned to your facility HR Director. It will be reviewed by HR to be retained in your personnel file.