

# UnityPoint Health Compliance Program

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GUIDANCE FOR BUSINESS PARTNERS



UnityPoint Health

# Guidance for Business Partners

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We value the vital contribution that our business partners, including vendors and potential vendors, make to the high quality of care we provide to our patients. We request you take the time to review this pamphlet to better enable your company, its representatives, and our affiliates to conduct business in a mutually satisfactory manner. This pamphlet references several UnityPoint Health policies. These policies are available to you upon request.

## UnityPoint Health Compliance Program

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UnityPoint Health is committed to the highest ethical and legal business practices and has a policy to consistently and fully comply with all civil, criminal, and healthcare laws and regulations pertaining to its operations. Pursuant to this commitment, the organization has established a Compliance Program (“Program”). The Program includes policies, procedures and guidelines designed to assist UnityPoint Health and its employees and business partners in achieving compliance. It focuses on the detection and prevention of violations of federal, state, and local laws. It fosters an environment in which employees, affiliates and business partners are encouraged to report concerns about business practices.

The Program is structured to encourage collaborative participation at all levels of UnityPoint Health and to conform to the standards set forth in the U.S. Federal Sentencing Guidelines for Organizations.

This pamphlet is intended to familiarize you with Iowa Health System, d/b/a UnityPoint Health, its affiliate hospitals, home health care and physician organizations (together referred to as the “System” or “UnityPoint Health”) and its policies. It contains a summary of practices regarding compliance with laws and regulations governing its operations.

# Business Ethics



Integrity is a key principle for the selection and retention of those who represent UnityPoint Health.

We expect our business partners to pursue the best interests of UnityPoint Health and its affiliates, as well as the patients and communities we serve.

## Business partners are expected to:

- Operate in compliance with all applicable legal requirements.
- Never pursue any business opportunity or relationship which would compromise UnityPoint Health ethical standards or violate a law or regulation.
- Respect the rights and dignity of our employees and patients. UnityPoint Health will not tolerate any form of abuse, harassment, or intimidation in the workplace. Harassment or improper discrimination of any kind is unacceptable.
- Protect the physical and intellectual property of UnityPoint Health and any assets entrusted to your care against loss, theft, destruction, misappropriation, and misuse.
- Not use for personal gain any information obtained as a business partner of UnityPoint Health.
- Provide a drug-free, safe, and healthy work environment. Certain business partners visiting UnityPoint Health locations must be vaccinated against COVID-19 or have an approved exemption from vaccination. More information about this requirement is available on [the UnityPoint Health website](#).
- Not offer or accept any bribes, kickbacks, or inducements in connection with performing duties for UnityPoint Health.
- Comply with all relevant government requirements regarding record, document, and data retention, including the confidentiality of medical records and other proprietary information.
- Report suspected violation of any law, regulation, or policy to the Compliance Officer of the location with which you have a relationship. Retaliation against anyone who, in good faith, reports such violations will not be permitted.
- Comply with UnityPoint Health policy 2.AD.04, Vendor Management, UnityPoint Health policy 1.CE.14, Gifts and Business Courtesies, UnityPoint Health policy 1.CE.02, Code of Conduct, and if services are being provided in physician clinic locations, UnityPoint Clinic policies addressing interactions between UnityPoint Clinic employees and pharmaceutical, medical device, and other vendor representatives. These policies address vendor registration, health requirements, expected behavior in patient care areas, vendor presentations, drug samples, meals, sterile processing guidelines, equipment, evaluation of products, trial products, and UnityPoint Health purchasing and invoicing requirements. If you would like a copy of these policies in full, please contact the UnityPoint Health compliance department at (515) 440-5100.

We recognize the need to provide employees with practical guidelines for the ethical business conduct expected of them. UnityPoint Health has provided each employee with a brochure entitled "[Guide to Employee Conduct](#)." The brochure – also referred to as the "Code of Conduct" – addresses some of the more common business ethical issues that employees encounter on a day-to-day basis. Two topics in the UnityPoint Health Code of Conduct are particularly relevant to our business partners: Gifts and Business Courtesies, and Solicitation. Each is discussed below.

## Gifts and Business Courtesies

Employees may not solicit or accept any substantial gift from a business partner that might influence their objectivity or impartiality in making decisions that are in the best interests of UnityPoint Health. The business decisions of our employees must be free of inappropriate conflicts of interest.

**Example:** A business partner offers to give a UnityPoint Clinic employee a tote bag worth \$50, no strings attached. May the employee accept? **No** – in UnityPoint Clinic space, no gifts, including food and snacks, are allowed. As a related matter, UnityPoint Clinic providers must refuse drug samples offered by pharmaceutical representatives of medications that have a generic equivalent.

**Example:** A medical equipment vendor sends an invitation to the manager of the hospital's outpatient neurology clinic, offering to host a dinner for physicians and staff at a local restaurant. The vendor has engaged a well-known talk show host to discuss brain health and the impact of the vendor's products on achieving improved neurological outcomes. The restaurant shows "\$\$\$\$" for the average cost of a meal. However, vendor representatives will be present and picking up the entire tab, including drinks. Can the department physicians and staff attend the dinner? **No** – the department manager will have to decline the offer. Here, the value of the meal does not appear to be modest. In addition, the educational value of the event is suspect because the presenter does not hold medical or other scientific credentials and is likely to be more entertaining than informative. Overall, the invitation may be an attempt to improperly influence the choice of interventions prescribed or ordered by the department, potentially violating both UnityPoint Health policy and the law.

UnityPoint Health strictly prohibits the solicitation, receipt, or offers of payment of money or anything of value, either directly or indirectly, in exchange for the referral of any item or service to be paid for by a governmental program.

## Solicitation



The solicitation, canvassing, advertisement, or distribution of literature by persons not employed by UnityPoint Health will **not** be permitted on UnityPoint Health properties at any time. Employees may not solicit, canvass, advertise or distribute literature in work areas, unless authorized to do so.

*In an effort to help our employees abide by these guidelines, we are requesting that business partners refrain from making any offerings to UnityPoint Health employees which might violate (or be perceived as violating) these guidelines.*

## Protections for Reporting of Wrongdoing



Federal and state laws and UnityPoint Health policy provide protection to you for the reporting of wrongdoing.

The primary federal law providing that protection is called the False Claims Act. This law is intended to reduce the waste of government money due to the submission of false claims to the government. In health care, claims for payment to a government health care program (e.g., Medicare or Medicaid) that are fraudulent can be a False Claims Act violation. The False Claims Act applies when a company or person:

- Knowingly presents (or causes to be presented) to the federal government a false or fraudulent claim for payment;
- Knowingly uses (or causes to be used) a false record or statement to get a claim paid by the federal government;
- Conspires with others to get a false or fraudulent claim paid by the federal government; or
- Knowingly uses (or causes to be used) a false record or statement to conceal, avoid, or decrease an obligation to pay or transmit money or property to the federal government.

As an example, if a healthcare provider, such as a hospital, knowingly “upcodes” or overbills so that the government overpays using Medicaid dollars, the hospital can be liable for a False Claims Act violation.

## Protections for People Who Bring False Claims Act/Qui Tam Cases or Otherwise Report Suspected Wrongdoing

Furthermore, to encourage citizens to report wrongdoing, the False Claims Act protects those who bring suit under this law (a “qui tam case”) or otherwise report wrongdoing against retaliation, including discharge, demotion, suspension, threats, harassment, and discrimination. The Sarbanes-Oxley Act is another law that protects individuals who report suspected illegal activities. In addition, there are strict criminal penalties for anyone who retaliates against another person for providing truthful information to a law enforcement officer regarding the commission or possible commission of a federal offense.

UnityPoint Health and its affiliates encourage your reporting of any suspected activity that could result in the government being billed for false or fraudulent claims. If you feel retaliated against in any way for the reporting of suspected wrongdoing,

that retaliation is wrong and is contrary to the law and UnityPoint Health policies. You are requested to report the retaliation in any of the ways described below.

UnityPoint Health and its affiliates are committed to detecting and preventing fraud, waste, and abuse. The organizations have adopted many compliance policies that can be made available upon request. Each business partner and employee have the responsibility to report suspected wrongdoing, and anyone reporting suspected wrongdoing in good faith will be protected from any retaliation for their report.

## Compliance Helpline



UnityPoint Health has established a Compliance Helpline which is run by an independent third-party. This 24-hour Helpline was established to enable employees, medical staff, business partners and others associated with UnityPoint Health to report suspected violations and noncompliance issues without fear of retribution or retaliation. UnityPoint Health does not permit retaliation against anyone who, in good faith, reports suspected wrongdoing. There are two ways to file a report: The Compliance Helpline phone number is 1-800-548-8778; reporting assistance is available in both English and Spanish. The online reporting web address is [www.mycomplianceport.com](http://www.mycomplianceport.com); use access ID “UPHT”.

Reporters may remain anonymous, if desired.

## Conclusion



Awareness of the UnityPoint Health Compliance Program and Code of Conduct will allow you and your company and representatives to better meet our needs while maintaining our commitment to the highest ethical standards. If you have any questions about our Compliance Program and the business partner guidelines described above, please contact the UnityPoint Health compliance department at (515) 440-5100.

For more information about our Compliance Program, please visit our website, [www.unitypoint.org](http://www.unitypoint.org).