	Document No.	CORP-0020
	Effective Date	January 2006
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	Review Date	April 2019
CODE OF CONDUCT AND BUSINESS ETHICS		

## 1.0 POLICY

Comagine Health’s Code of Conduct and Business Ethics sets out basic principles which all of Comagine Health’s Directors and employees must follow. Comagine Health representatives are expected to conduct themselves in a manner that is professional, respectful and ethical in both work activities and work relationships.

## 2.0 GENERAL SCOPE

This Policy applies to:

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> Corporate - All Comagine Health Employees | <input checked="" type="checkbox"/> Board of Directors   |
| <input checked="" type="checkbox"/> Outlook Associates                        | <input type="checkbox"/> Business                        |
| <input type="checkbox"/> Development Case Management                          | <input type="checkbox"/> Communications                  |
| <input type="checkbox"/> Medical Affairs                                      | <input type="checkbox"/> Finance                         |
| <input type="checkbox"/> Quality & Safety Initiative                          | <input type="checkbox"/> Human Resources                 |
| <input type="checkbox"/> Specialty Review                                     | <input type="checkbox"/> Information Technology Services |
| <input type="checkbox"/> Utilization Management                               |  |

## 3.0 DEFINITIONS

**Comagine Health Representatives:** The term “Comagine Health Representative” includes all Comagine Health employees, temporary employees, board members, students, volunteers, contractors, subcontractors, and consultants. Situations where only a Comagine Health employee has a specified duty or responsibility will be emphasized in the Policy and the Protocols.

## 4.0 PROCEDURES

- 4.1 One of Comagine Health’s strongest assets is a reputation for integrity and honesty. A fundamental principle on which Comagine Health will operate its business is full compliance with applicable laws. Comagine Health will also conduct its business in conformation with sound ethical standards. Achieving business results by illegal acts or unethical conduct is not acceptable.
- 4.2 Each supervisor and manager is responsible for ensuring that the personnel within their supervision are acting ethically and in compliance with applicable laws and the Workplace Standards of Conduct. All personnel are responsible for acquiring

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sufficient knowledge to recognize potential compliance issues applicable to their duties and for appropriately seeking advice regarding such issues.

- 4.3 Comagine Health representatives shall not offer or give any bribe, payment, gift or thing of value to any person or entity with which Comagine Health has or is seeking any business or regulatory relationship, or for referring a patient to a provider of service, except for gifts of a nominal value as outlined in *Comagine Health's Conflict of Interest Policy*.
- 4.4 Comagine Health will not engage in conduct that is dishonest, fraudulent, or deceitful. Personnel shall be completely honest in all dealings with government agencies and representatives, as well as private parties. No misrepresentations shall be made, and no false bills or requests for payment or other documents shall be submitted to government agencies or representatives, or other parties. For additional information, refer to *Comagine Health's Fraud and Abuse Policy*.
- 4.5 Books and records shall be developed in accordance with generally accepted accounting standards. All transactions, payments, receipts, accounts, and assets shall be completely and accurately recorded on Comagine Health's books and records on a consistent basis. No payment shall be approved or made with the intention or understanding that it will be used for any purpose other than that described in the supporting documentation for the payment. All information recorded and submitted to other persons must not be used to mislead those who received the information or to conceal anything that is improper.
- 4.6 Confidentiality of Comagine Health's business information and of information relating to Comagine Health's vendors, suppliers, providers, customers, and persons covered by any of Comagine Health's products will be maintained. Comagine Health representatives shall not use any such confidential or proprietary information except as is appropriate for business. For additional information, refer to *Comagine Health's Confidentiality and Security of Information Policy*.
- 4.7 Comagine Health representatives are expected to meet the performance standards of their position.
- 4.8 All Comagine Health representatives are expected to proactively promote the organization's best interest, build goodwill and positive client relationships, and work cooperatively with others.

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4.9 Comagine Health is firmly committed to the concept of Equal Employment Opportunity (EEO) and to a workplace that is free from all forms of illegal discrimination and or/harassment. Comagine Health believes that every person has the right to work in professional surroundings and be treated with respect. Representatives are responsible for ensuring that the work environment is free of discrimination or harassment due to color, sex, race, religion, age, marital status, national origin, genetic information, gender identity or expression, disability, veteran status, sexual orientation and on the basis of any other protected status or characteristics as prohibited by local, state or federal laws.

4. 10 A copy of Comagine Health’s Code of Conduct and Business Ethics Policy is available upon request to contractors, clients, and consumers.

**4.11 Conduct of Employees Working with Patients**

- 4.11.1 Comagine Health does not have a system for reimbursement, bonuses, or incentives to staff or health care providers based directly on consumer utilization of health care services.
- 4.11.2 Comagine Health representatives will understand that all patients should be free of coercion, be involved in planning and deciding on their care, and should expect complete information to the furthest extent possible regarding their illness, plan of care, and risks involved.
- 4.11.3 Comagine Health representatives will clearly inform patients that decisions made regarding their care will be based on healthcare needs and expected outcomes and not on economic, social, or political criteria.
- 4.11.4 Comagine Health representatives will never express negative opinions of a patient/family or judgmental attitudes or behaviors toward a patient or family’s ethnicity, race, religion, political orientation, marital status, sexual orientation, employment status, age, or disability.
- 4.11.5 Comagine Health representatives will respect the integrity and protect the welfare of those patients with whom they are working.

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- 4.11.6 Comagine Health representatives will always maintain professional objectivity in their relationships with patients, providers and clients.
- 4.11.7 Comagine Health representatives will keep their technical competency at a level which ensures their patients will receive the benefit of the highest quality of service that can be offered that is consistent with the patient's conditions and circumstances.
- 4.11.8 Comagine Health representatives shall conduct all services in a professional manner throughout the course of the process, including but not limited to: Will not disclose personal phone numbers, email, or addresses to patients; will dress in a professional manner; will use appropriate language in all interactions.
- 4.11.9 Comagine Health representatives will only practice within the boundaries of their competence, based on their education, training, appropriate professional experience, practice acts of their state licensing body, and other professional credentials. Comagine Health representatives shall not misrepresent their role or competence to patients or providers. Refer to *Comagine Health's Case Management Disclosure and Consumer Rights Policy and RN Statement of Attestation*.
- 4.11.10 Comagine Health representatives will neither claim nor imply professional qualifications which exceed those possessed and shall take all necessary steps to correct any misrepresentations of those qualifications by others.
- 4.11.11 Comagine Health representatives will not enter into a commercial enterprise or business relationship with any patient, provider or client.
- 4.11.12 Comagine Health representatives will not engage in personal or sexual relations with any patient/family.
- 4.11.13 In the event that a Comagine Health representative feels that they are unable to establish or maintain a professional relationship with a patient, provider or client, they either may be asked to be removed from a case or be removed from a case, per the discretion of the appropriate manager.

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- 4.11.14 In the event that ethical dilemmas arise during the course of providing any Comagine Health service, several options for feedback and problem solving are available. These include, but are not limited to:
- Regularly scheduled staff meetings attended by all team members and appropriate supervisors.
  - Consultations with Medical Affairs.
  - Ongoing supervision by the appropriate manager and Senior Medical Director as needed.
- 4.11.15 In the event that legal questions arise, Comagine Health will refer to appropriate internal resources (management, contract administration, risk management department, compliance officer) as well as community resources, *e.g.*, legal aid.
- 4.11.16 When referring patients to community vendors, Comagine Health will utilize the following process:
- Make recommendations to the patient/family and the attending physician.
  - Notify the patient that all recommendations are non-binding and that the ultimate decision for the patient’s health care choices lies with the patient and the attending physician.
  - Assist the patient and their attending physicians in selecting an enrolled or preferred provider.
  - Provide several different options of providers when available.
  - Assist the patient and/or the attending physician in locating other providers who have the staff and expertise to provide the necessary services when an enrolled or preferred provider is not available.
  - Contact the provider when a provider/vendor is selected by the patient/family and attending physician, to assess whether services required by the patient are available.
  - Monitor the provision of services by the provider/vendor.

**Note:** Concerns about provision of services by an enrolled or preferred provider will be forwarded to the customer or designee as indicated following consultation with the appropriate manager.

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#### 4.12 Conduct of Subcontractors and Vendors

Subcontractors and Vendors are expected to conduct themselves in a manner that is consistent with that of a Comagine Health employee. This conduct includes professionalism and ethical behavior. This conduct also includes compliance with all applicable policies and guidelines provided by Comagine Health, and adherence to contractual duties and obligations.

#### 4.13 Resolution of Case Manager Conflicts of Interest

Should a conflict of interest arise between the case manager, consumer, third party payer, provider or other entity, the case manager may either ask to be removed from the case, or be removed from the case, per the discretion of the appropriate manager.

#### 4.14 Violations of the Policy

As an “at will” employer, Comagine Health has the right to determine whether policy violations warrant corrective action or termination of employment. Some behaviors such as those listed in this policy are considered to be so unacceptable that they will generally result in immediate disciplinary action up to and including termination.


Fraudulent or illegal business conduct will be referred for investigation and resolution. For additional information, see *Comagine Health’s Fraud and Abuse Policy*.

#### 4.15 Training

Comagine Health representatives will participate in mandatory yearly sessions on ethical and professional practice, which will outline:

- Ethical decision making
- The organization’s commitment to compliance
- The necessity of adhering to the organization’s policies and procedures as well as applicable laws and regulations.
- Consequences of violations of the various laws that may be imposed on individuals or organizations.
- Reporting/complaint mechanisms for violations of the code of conduct and the organization’s commitment to non-retaliation, and
- The duty of employees to report concerns or misconduct.
- Other ethical subjects as they relate to the employee’s position.

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## 5.0 ADDITIONAL DOCUMENTATION

CORP-0001 Confidentiality and Security of Information Policy  
 CORP-0019 Conflict of Interest Policy  
 CORP-0022 Fraud and Abuse Policy  
 OPS-0018 Case Management Disclosure and Consumer Rights Policy  
 HR-0029 Workplace Standards of Conduct Policy  
 Quick Start Guide: Conflict Resolution

## 6.0 REGULATIONS

URAC Core Standard, Version 3.0, Core Standards 33  
 URAC Case Management Standards, Version 5.1, Case Management Standards 9  
 (a)(iii), 15  
 FAR 52.203-13 Contractor Code of Business Ethics and Conduct

Maintained By: Compliance Officer

Approved By:

Date



Daniel E. Memmott  
 Chief Financial and Administrative Officer

4/30/2019

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