

NUMBER: 4.4.09

DATE: 11/01/2007

REVISION: 05/17/01; 11/01/07; 10/05/2011; 01/02/2013; 04/04/2016 **PAGE: 1 of 4**

SECTION: HUMAN RESOURCES

AREA: EMPLOYEE RELATIONS

SUBJECT: ETHICAL CONDUCT/GIFT POLICY

PURPOSE

To provide UAMS and its employees legal and ethical guidelines regarding the propriety of accepting gifts.

SCOPE

This policy applies to all employees of UAMS. This policy does not apply to institutional donations.

DEFINITIONS

Gift: Gift includes everything of monetary value from meals and travel to promotional items such as pens, coffee mugs and note pads.

Healthcare Industry: The healthcare industry includes the development, manufacture, supply and delivery of healthcare products or services. Entities in healthcare industry include, but are not limited to, pharmaceutical and medical devices, medical supply, patient transportation and ambulance services, hospitals, laboratories, medical imaging, and physician and nursing services.

POLICY

Principles of Ethical Conduct

The following principles of ethical conduct apply to all employees of UAMS:

Public service is a public trust, requiring employees to place loyalty to the laws and ethical principles above private gain.

Employees shall not engage in financial transactions using non-public information or allow the improper use of such information to further any private interest.

An employee shall not solicit or accept any gift or other item of monetary value from any person or entity doing business with or seeking to do business with UAMS.

Employees shall put forth honest effort in the performance of their duties.

Employees shall make no unauthorized commitments or promises of any kind purporting to bind UAMS.

Employees shall not use their position for private gain.

Employees shall act impartially and not give preferential treatment to any private organization or individual.

Employees shall protect and conserve UAMS property and shall not use it for other than authorized activities.

Employees shall not engage in outside employment or activities, including seeking or negotiating for employment, that conflict with their UAMS duties and responsibilities.

Employees shall disclose fraud, abuse and corruption to appropriate authorities.

Employees shall endeavor to avoid any actions creating the appearance that they are violating the law or these Standards of Ethical Conduct.

Basic Concepts

Employees shall apply the principles stated above in weighing the propriety of conduct not otherwise addressed in this policy.

PROCEDURE

A. Gifts

1. UAMS employees shall not solicit or accept a gift:
 - a. from a patient, visitor or a person or entity that contracts with, does business with or seeks to do business with UAMS; or
 - b. from healthcare industry vendors or representatives; or
 - c. given because of the employee's official position.
2. The term "gift" includes everything of monetary value, but NOT these:
 - a. a one-time token of appreciation from a patient provided its value is less than \$25 (see guidance in paragraph 7b)
 - b. rewards and prizes in contests open to the public;
 - c. commercial discounts available to the general public or to all government or UAMS personnel;
 - d. commercial loans, and pensions and similar benefits;
 - e. anything for which the employee pays market value.
3. In accordance with [University of Arkansas Board of Trustees Policy 330.1](#), employees in purchasing, billing, collections, financial offices and offices otherwise engaged in contracting for expenditure or receipt of

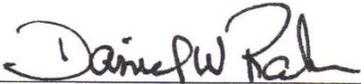
funds shall not solicit or accept gifts from persons or entities that contract with, do business with or seek to do business with UAMS.

4. There are certain limited exceptions where gifts may be accepted by UAMS employees other than those described in No. 3 above. Such employees may accept the following:
 - a. gifts based on an outside relationship, such as a family relationship or personal relationship;
 - b. meals and gifts of a value of \$25 or less offered to UAMS employees by entities where the employee is present as a result of UAMS job duties.
 - UAMS employees whose scope of employment requires physical presence at non-UAMS facilities may accept meals and gifts of a value of \$25 or less provided such meals or gifts are given to similarly situated employees of that facility. Meals and gifts may not be accepted if provided by third parties.
 - c. discounts and similar benefits offered to groups in which membership is not related to UAMS employment (or "government discounts" where the same offer is broadly available to the public through similar groups), and certain benefits offered by professional associations or by persons who are not prohibited sources (A.1. above);
 - d. legitimate awards that are part of a regular and established program of recognition for meritorious public service;
 - e. free attendance provided by the sponsor of a widely-attended gathering, speaking engagement, or other event where UAMS has determined it is in its best interest to attend the event;
 - f. food, refreshments, and entertainment at certain social events extended by persons who are not prohibited sources, where no one is charged a fee to attend the event;
 - g. unsolicited gifts for free attendance for UAMS employees (and spouses) at events sponsored by state or local governments or non-profit, tax exempt civic organizations, where UAMS has determined it is in its community relations interests to attend the event.
 - h. unsolicited gifts of food, lodging, travel or attendance at events for UAMS employees (and spouses) when the employee is appearing in an official capacity for UAMS based on the employee's office or position and the purpose of the appearance is to further the UAMS mission.

5. Travel to attend training or other events where UAMS has determined it is in its interest to attend the event may only be accepted under the following conditions:
 - a. The cost of travel to and from the event and lodging during the event may only be accepted upon the approval of the Department Chair, Director, Dean, or Hospital CEO.
 - b. Employees shall not accept any payment as "compensation" for their time or any out-of-pocket expenses except for honoraria or consultation fees for actual services rendered, when appropriately disclosed and approved, and not otherwise prohibited.

6. Meals may not be accepted.
 - a. Educational, marketing and other promotional programs may not include meals for UAMS employees.
 - b. Sponsors of educational programs must submit funds to the appropriate foundation account.
 - c. Each college will establish procedures to implement this provision of this policy.

7. Handling Improper Gifts. When an employee cannot accept a gift:
 - a. First and foremost, if possible, refuse the offer of an improper gift. Diplomatically explain that UAMS employees may not accept certain gifts.
 - b. Items from a patient or a patient's family are often hand-made and reflect heartfelt appreciation. In accepting these items, employees should explain to the patient that while they appreciate the gift, under UAMS policy they cannot accept any future gifts. (See Section A.2.a.)
 - c. The employee should pay the donor its market value; or
 - d. If the gift is a tangible item, the employee may instead return the gift.
 - e. Subject to the approval of the Department Chair, Director or Dean, perishable items may be donated to charity or destroyed.

Signature: 

Date: April 5, 2016