



HealthCare Partners

# Code of Conduct



**HealthCare Partners  
Guiding Principles**

**Physician-led  
Patient-centered  
Clinically focused**

# Introduction

HealthCare Partners takes great pride in caring for our patients and the differences we make in their lives. We are committed to providing quality care. We are equally committed to conducting our business activities in compliance with our policies and procedures, applicable laws and regulations, and this Code of Conduct.

Our Code of Conduct (the Code) is central to our Guiding Principles and is an integral part of the HealthCare Partners Compliance Program. It guides our decisions and helps us make the right choices in our daily work. It is an important reference tool for HealthCare Partners' integrated care businesses, affiliates and teammates.

Full compliance with the HealthCare Partners Code of Conduct is essential. We ask each of you to make a personal commitment to read, understand and follow the Code. If you do not understand the Code, you are not sure how to apply it or you encounter a situation that you think may violate its provisions, you can contact your supervisor, senior management, a member of our Compliance Department, the Corporate Legal Department or leave a confidential message on the HealthCare Partners Compliance Hotline (**855.236.1448**). There is no retaliation for asking questions, raising concerns or reporting possible improper conduct in good faith.

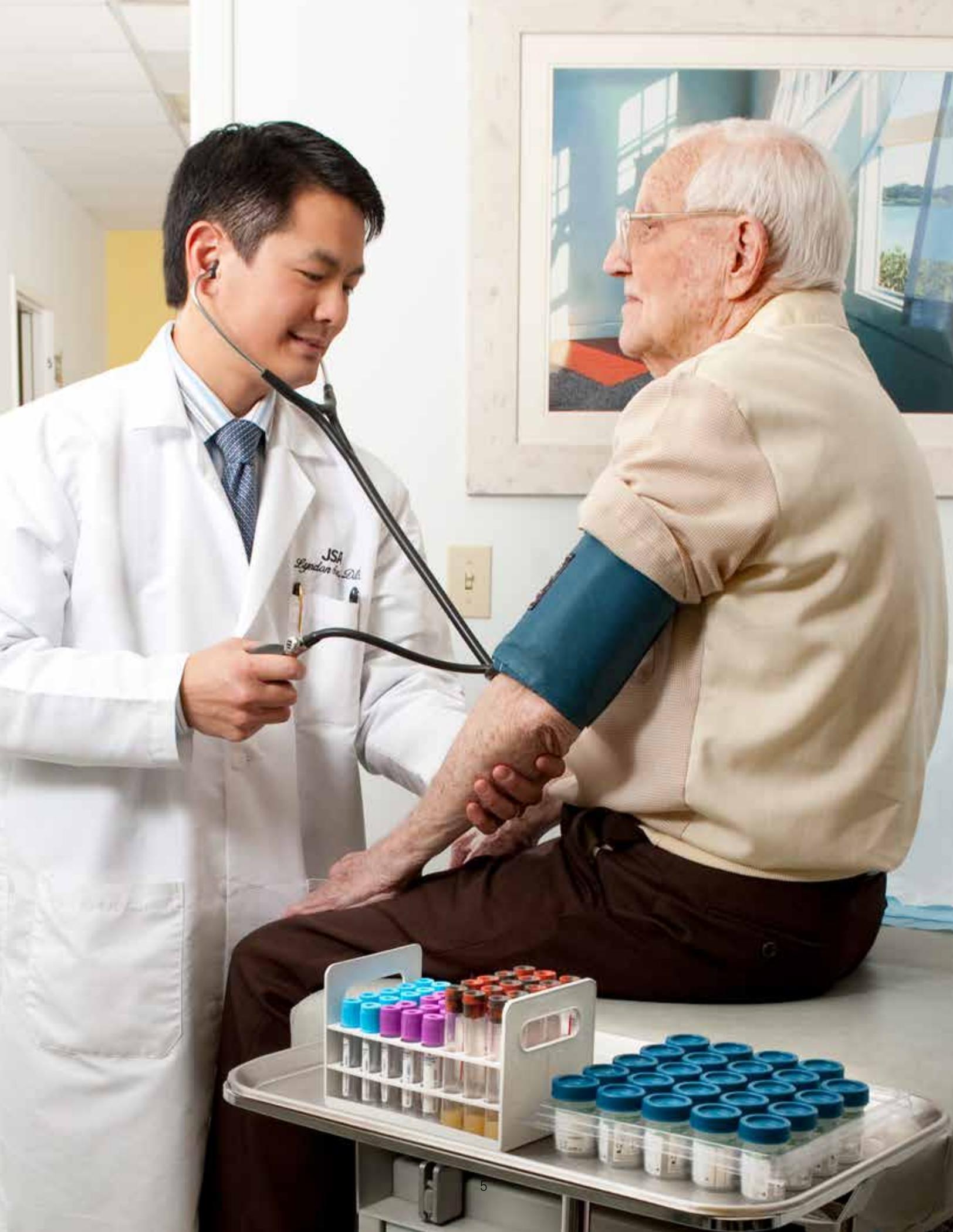
Thank you for your ongoing support of HealthCare Partners' Guiding Principles and our commitment to make the right choices. Working together, we will continue to build upon the HealthCare Partners position as a leader in patient care and social responsibility.

Joe Mello

HealthCare Partners  
Chief Operating Officer

# Code Of Conduct's Purpose

To be a road map for HealthCare Partners, guiding teammates to make the right choices in their daily activities.



## Who This Code Applies To

**Everyone! The HealthCare Partners Code of Conduct applies equally to all companies included in our family of brands.**

The Code of Conduct is a guide for teammates (executives, employed clinical and non-clinical staff), affiliated physicians, other contracted providers, vendors, and all third parties conducting business on behalf of HealthCare Partners. Each of us must read, understand and follow the Code of Conduct.

Waiver: Any waiver of the Code may be made only by the board or a board committee.

## Our Responsibilities

Compliance is everyone's responsibility:

- Read, understand and follow the Code and the Compliance Program.
- Seek guidance when in doubt.
- Avoid illegal, unethical or otherwise improper acts.
- Report any suspected violation of HealthCare Partners' policies and procedures, laws or regulations applicable to any HealthCare Partners business or this Code.
- Assist authorized teammates with compliance inquiries, audits, investigations and other activities.
- Take responsibility and accountability for your actions.
- Notify the Compliance Department immediately if the government sanctions or excludes you from participation in any government-funded program.

HealthCare Partners will take corrective action, to the extent allowed by law, against any teammate who fails to act in accordance with HealthCare Partners' policies and procedures, applicable laws and regulations or this Code.

# Our Brands



## How To Use This Code

The HealthCare Partners Code of Conduct helps teammates make the right choices.

Each of us is responsible to act in a manner that reflects our Guiding Principles. This Code is meant to help us conduct business in a legal, ethical manner that is consistent with our Guiding Principles and to guide our understanding of HealthCare Partners' compliance structure, key policies and procedures and applicable laws and regulations. The standards described in this Code apply everywhere we conduct business. If you are unsure about which policies and procedures or laws and regulations apply to your activities, consult your supervisor, the Compliance Department or the Corporate Legal Department. We also hold our business partners, affiliated physicians, vendors and other third parties to the same standards and expect them to comply with HealthCare Partners' policies and procedures, all applicable laws and regulations and this Code.

The Frequently Asked Questions (FAQs) section of this Code provides examples of how to apply the material to our day-to-day activities. See FAQs are on page 30 of this document.

Contact your supervisor, the Compliance Department, People Services, the Corporate Legal Department, your HealthCare Partners business contact or visit MyHCP.com for copies of policies and procedures and other resources referenced in this Code.

The HealthCare Partners Code of Conduct is organized into nine categories.

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**“Never doubt that a small group of thoughtful, committed citizens CAN CHANGE THE WORLD; indeed, it’s the only thing that ever has.”**

—MARGARET MEAD



## Our Compliance Program

The Compliance Program follows our commitment to uphold our Guiding Principles every day in everything we do.

### 1. COMPLIANCE OFFICER AND TEAM

HealthCare Partners has a dedicated Compliance Department to oversee Compliance activities and initiatives. The Compliance Department teammates administer the Compliance Program on a day-to-day basis and are always available to answer Compliance questions or concerns. The HealthCare Partners Chief Compliance Officer provides oversight to the entire Compliance Program and directly reports to the HealthCare Partners Chief Operating Officer (COO).

**The Compliance Program helps each of us know THE RIGHT ACTION TO TAKE in our complex environment. Seek guidance from the Compliance Department if you are unsure.**

For the purposes of the HealthCare Partners Health Plan of California, Inc. (DHPC), the HealthCare Partners Chief Compliance Officer has reporting obligations to the DHPC CEO and the Board of Directors.

## **2. POLICIES AND PROCEDURES AND THE CODE OF CONDUCT**

No one is expected to know it all, which is why the Compliance Department created compliance policies and procedures and the Code of Conduct. Compliance policies and procedures provide guidance on specific topics and business activities, whereas the Code is a guide to overall conduct of our operations. We are expected to read, understand and follow all HealthCare Partners' policies and procedures and this Code of Conduct. If you are unclear about how certain policies and procedures apply to your activities, consult your supervisor or a member of the Compliance Department.

## **3. COMPLIANCE TRAINING**

Training our teammates is an important part of the Compliance Program. All teammates complete compliance training as new hires and on an annual basis. This training is the foundation of our Compliance Program and provides guidance on our daily activities.

## **4. COMPLIANCE HOTLINE: MAKE THE RIGHT CALL!**

- Call: **1-855-236-1448**
- Online: Go to **[healthcarepartners.ethicspoint.com](https://healthcarepartners.ethicspoint.com)**

HealthCare Partners has a dedicated Compliance Hotline for teammates and other individuals to confidentially and anonymously report a suspected or actual violation of HealthCare Partners' Compliance policies and procedures, or applicable laws and regulations. The Compliance Hotline can be accessed 24 hours a day, 365 days a year via a toll-free telephone number or website. A specialized third-party company manages our Compliance Hotline. Callers are given a PIN (personal identification number) to check the status of their Compliance Hotline report or provide additional information. Compliance Hotline reports should be made in good faith. All Compliance Hotline reports are sent to the Compliance Department for review and follow-up.

## **5. OBLIGATION TO REPORT**

It is your duty to maintain the highest level of integrity and accountability by alerting a supervisor, senior management, the Compliance Department, the Corporate Legal Department or the Compliance Hotline of suspected or actual violations of HealthCare Partners' policies and procedures, applicable laws and regulations, or this Code.

We cannot exempt ourselves from the consequences of our own misconduct by reporting an issue, but self-reporting may be taken into account when determining appropriate corrective action.



If you fail to report a violation of HealthCare Partners' policies and procedures, applicable laws or regulations, or this Code, you may be subject to corrective action, up to and including termination of employment or contractual business arrangement, to the extent permitted by law. Remaining silent about a violation of HealthCare Partners' policies and procedures, applicable laws or regulations, or this Code puts you and HealthCare Partners in jeopardy.

## 6. NON-RETALIATION

We are all encouraged to raise issues or concerns in good faith and may do so without fear of retaliation. HealthCare Partners makes every effort to maintain the confidentiality of any individual who reports concerns or possible misconduct. Teammates who retaliate or encourage others to do so will be subject to corrective action, up to and including termination of employment to the extent permitted by law. HealthCare Partners does not tolerate any form of retaliation against anyone who makes a report in good faith.

If you feel that you have experienced retaliation, immediately report your concern to a supervisor who is not involved in the issue, senior management, People Services, the Compliance Department, the Corporate Legal Department or contact the Compliance Hotline. All allegations of retaliation will be investigated and appropriate steps will be taken to protect those who report retaliation.

## 7. INTERNAL INVESTIGATIONS

We investigate reported concerns promptly and confidentially to the fullest extent possible. All internal investigations and audits are conducted impartially and without predetermined conclusions. We are all expected to cooperate with audits, investigations and any corrective action plans, which may include areas for continued monitoring and assessment.

HealthCare Partners prohibits retaliation against any teammate who sought help or who filed a report in good faith. Anyone who retaliates against a teammate will be subject to appropriate corrective action, up to and including termination of employment, to the extent permitted by law.

## 8. RESPONDING TO EXTERNAL INVESTIGATIONS

We are committed to appropriately responding to, and not interfering with, any lawful government inquiry, audit or investigation. We will be forthright in our dealings with government officials, agents or employees who are responsible for administering and enforcing the law. We should exercise care to cooperate with external investigators in a manner that does not violate the confidential relationship HealthCare Partners has with its patients. We must respond to inquiries openly with accurate information throughout the investigation process. Teammates must never:

- Conceal, alter or destroy any relevant documents.
- Cause another teammate to provide inaccurate information.
- Obstruct, mislead or delay the communication of information or records relating to a possible violation of law.

Intentionally misleading a government investigator and/or destroying or hiding documents and information that are the subject of an investigation will result in corrective action, up to and including termination of employment, and could include criminal sanctions.





## Service To Our Patients

Our patients value HealthCare Partners because we deliver quality care, and we hold ourselves to a higher standard. Keep the following principles in mind to help us maintain that high standard.

### 1. QUALITY PATIENT CARE

We make a difference in each patient's life by providing quality care. HealthCare Partners recognizes and respects the diverse backgrounds and cultures of our patients and makes every effort to equip our care providers with the knowledge and resources to respect each patient's cultural heritage and needs. We treat all patients with warmth, respect and dignity, providing care that is both medically necessary and appropriate. We involve patients in treatment planning and decisions affecting their care whenever appropriate.

Patients are notified of their right to refuse services and procedures to the extent provided by law, and to be informed of all health and legal consequences of their refusal.

We make no unlawful distinction in the availability of services or care of patients based on race, ethnicity, religion, gender, sexual orientation, national origin, age, disability, veteran status or other protected-class status. Each of us is required to adhere to HealthCare Partners' policies and procedures, laws and regulations regarding patient care and this Code.

### 2. QUALIFIED PROVIDERS

Our teammates are appropriately trained to provide quality care. Only teammates who are properly trained with appropriate professional credentials will be permitted to provide patient care services. We follow the standards set forth by HealthCare Partners' policies and procedures, laws and regulations and this Code.

## We care for our patients as we would our loved ones: WITH EXPERTISE, COMPASSION AND RESPECT.

Prior to being allowed to care for patients, HealthCare Partners employed and contracted physicians, mid-level providers (advanced nurse practitioners, physician assistants, certified nurse midwives, certified nurse specialists) and other contracted providers, are appropriately credentialed as required by applicable laws and regulations. All health care providers are required to adhere to HealthCare Partners' policies and procedures, applicable laws and regulations and this Code. HealthCare Partners only contracts and works with health care providers who agree to comply with HealthCare Partners' policies and procedures, applicable laws and regulations and this Code.

### 3. PATIENT CONFIDENTIALITY

HealthCare Partners recognizes the sensitive nature of each patient's protected health information (PHI). We are committed to maintaining patient privacy of all our patients, including the privacy of teammates who are HealthCare Partners patients, in accordance with the Health Insurance Portability and Accountability Act of 1996 (HIPAA), its subsequent amendments, and other federal, state, and local laws and regulations governing patient privacy and security. We respect and protect confidential information obtained from our patients. We take proactive measures to safeguard our documents, computers and other data devices that contain patient information. Consistent with HIPAA and related laws and regulations, we are committed to the following privacy and security principles:

- We provide patients notice of our privacy and security practices in accordance with applicable laws and regulations.
- Patient information, including personal health information, is protected. We protect electronic patient data, including PHI, through reasonable and appropriate technical and organizational security measures, including, where appropriate, encryption of patient information. All hard copy patient information is properly secured in medical files or appropriately retired and destroyed.
- We only use and disclose patient information as required or permitted by applicable laws and regulations.
- Teammates may access patient information that is necessary to perform their jobs, and they may use, disclose or discuss patient-specific information, including patient financial information, only when it is necessary to serve the patient or is required by law. Further, teammates may access and/or use only the minimum amount of patient information necessary to perform their jobs and serve the patient. Subject only to emergency exceptions, HealthCare Partners releases patient-specific information only to persons authorized by law or with the patient's documented permission to receive the information.

- Vendors who process patient information on HealthCare Partners' behalf are required to comply with our privacy and security policies and all applicable laws and regulations. Vendors are permitted to process PHI only at our direction while performing services on our behalf. Vendors are not authorized to access, use or disclose patient information that is not necessary to perform their service or more than the minimum necessary amount of information needed to provide services to HealthCare Partners.
- Teammates and vendors who use HealthCare Partners patient information to perform services on HealthCare Partners' behalf are expected to promptly notify the Privacy Department of any unauthorized use or disclosure of patient information.
- Teammates, patients or visitors will not use any photographic or imaging device (e.g., digital cameras, devices such as a cell phone or handheld computer, etc.) to take pictures of premises, teammates, visitors or patients without appropriate approval and documented with an approved HealthCare Partners consent form.
- HealthCare Partners will obtain patient and teammate consent in accordance with applicable laws and regulations, prior to using patient or teammate's pictures, testimonials or other information for marketing or other purposes.

#### 4. WHEN TEAMMATES ARE PATIENTS

Patient confidentiality must be maintained when teammates become our patients. It is important to remember to respect and protect the privacy of their patient information. This includes appointment times, reasons for appointments, authorizations for care, referrals to specialists, medical records and reports, and any discussions the patient may have with their clinical team. A patient's teammate status should not impact their care given or the confidentiality of their health information.

Supervisors, People Services or others may ask a teammate for a doctor's note or other health information if needed to appropriately administer sick leave, workers' compensation, wellness programs or health insurance. However, HealthCare Partners will not directly ask a teammate's health care provider for information and a teammate's health care provider cannot disclose information without prior teammate authorization.

To the extent that applicable laws or regulations require further safeguarding of patient information, HealthCare Partners complies with all applicable requirements.

# Relationships With Others

We strive to build fair, open and ethical relationships with everyone with whom we come in contact.

## 1. BUSINESS RELATIONSHIPS

We always treat our business partners, vendors and third parties with integrity. Business is conducted in a fair manner consistent with HealthCare Partners' policies and procedures, applicable laws and regulations, and this Code.

We select business partners, vendors and third parties based on objective criteria including, quality, price and service. We make partnering decisions based on the supplier's ability to meet our needs and those of our patients. Based on applicable laws, regulations and proposed business activities, HealthCare Partners may screen or conduct appropriate due diligence on its business partners, vendors and third parties, including to determine if they have been sanctioned by any government entity or are excluded from participation in government programs.

## 2. PHYSICIAN, MID-LEVEL PROVIDERS AND OTHER PROVIDER RELATIONSHIPS

HealthCare Partners employs physicians and mid-level providers (advanced nurse practitioners, physician assistants, certified nurse midwives, certified nurse specialists). We also contract with affiliated physicians, mid-level providers and other contracted providers to provide health care services to our patients. We only employ and contract with physicians, mid-level providers and other providers who agree to comply with HealthCare Partners policies and procedures, applicable laws and regulations, and this Code. Failure to meet these requirements may result in serious consequences for teammates, our contracted physicians, mid-level providers and other providers as well as HealthCare Partners.

Our business contracts with physicians, mid-level providers and other providers address legal requirements governing the arrangement, and where appropriate, set forth expectations regarding compliance with applicable HealthCare Partners' policies, laws and regulations, and this Code. Two overarching principles that govern our interactions with contracted physicians, mid-level providers and other providers:

- We do not accept payments for referrals or authorizations to accept patients. Neither a teammate nor any person acting on HealthCare Partners' behalf is permitted to directly or indirectly solicit or receive anything of value in exchange for referring or authorizing our patients to a provider that would be a violation of the law.
- We do not pay for referrals. We accept patient referrals and authorizations from other providers based on patients' medical needs and our ability to render the needed services. We do not directly or indirectly give or offer anything of value in exchange for patient referrals that would be a violation of the law.

### 3. PATIENT RELATIONSHIPS

We understand that close relationships form between patients and their health care providers. However, we must avoid conducting business transactions with patients that may result in an actual or potential conflict of interest. It is in the best interest of patients and their families that our teammates establish and maintain a professional role with these individuals. Teammates may not conduct any financial dealings, use their position to make social contact, solicit or otherwise engage in personal business with patients or patients' families. We do not want our patients to think they will receive better or worse care if they have outside personal relationships or business arrangements with their health care providers. We strive to have open, objective relationships with our patients, including our teammates who are also HealthCare Partners patients.

### 4. BUSINESS COURTESIES

We understand that people who work together often exchange business courtesies — such as meals, gifts or entertainment — as an expression of goodwill and kindness. Because of regulatory concerns, we only exchange business courtesies with our business partners in limited circumstances. We never use gifts or other incentives to improperly influence relationships or business outcomes. All business courtesies, whether offered, provided or received, must be reasonable, occasional and modest in nature. We never offer, give, solicit or receive any form of bribe, kickback or improper inducement. We never offer, give or accept cash, gift cards or other cash equivalents.

When we are offered a business courtesy that is inconsistent with HealthCare Partners' policies and procedures, the business courtesy should be declined with a gracious thank you. If declining the business courtesy would create an awkward situation, contact the Compliance Department for guidance.

Governments have strict laws and regulations regarding business courtesies for their employees. We do not provide any business courtesies or anything else of value to any government official or employee, or a government intermediary, except in limited circumstances permitted by HealthCare Partners' policies and procedures, applicable laws and regulations, and this Code. Consult your supervisor or the Compliance Department for more information regarding appropriate Business Courtesies.

“It’s not hard to make decisions WHEN YOU KNOW WHAT YOUR VALUES ARE.”—ROY DISNEY

## Avoid Conflicts of Interest

To avoid a question about our integrity, we must be able to identify and disclose potential conflicts of interest and excuse ourselves from making decisions where it may appear our independence is compromised.

### 1. OUTSIDE EMPLOYMENT AND OTHER ARRANGEMENTS BY TEAMMATES

As a general rule, we should refrain from conducting or entering into business, financial or other relationships, or transactions that conflict with the interests of HealthCare Partners, our ability to perform our HealthCare Partners duties, or otherwise compromise our professional judgment. A conflict of interest may occur if a teammate’s outside activities, personal financial interests, or other personal interests influence or appear to influence his or her ability to make objective decisions while performing their HealthCare Partners job responsibilities. A conflict of interest may also exist if the demands of any outside activities hinder or distract a teammate from the performance of their job or cause the individual to use HealthCare Partners resources for other than its purposes.

Outside employment of or other arrangements with HealthCare Partners teammates and HealthCare Partners business partners, vendors, contractors, patients, competitors, referral sources, governments or other third parties must not interfere with our duties at HealthCare Partners. In addition, we do not accept employment or fees from business partners, vendors, contractors, patients, competitors, referral sources, governments or other third parties of HealthCare Partners, if we have the ability to influence their relationship with HealthCare Partners. We must disclose and discuss with our supervisors all outside jobs, relationships or transactions that may create a conflict of interest.

If a teammate has any questions about whether an outside activity or interest may constitute a conflict of interest, they should discuss the potential conflict with their supervisor, People Services, or the Compliance department.

Affiliated providers and other HealthCare Partners business partners may engage in outside arrangements per the terms of their contractual agreements with HealthCare Partners.

## 2. BUSINESS OPPORTUNITIES

Business opportunities discovered through your work at HealthCare Partners belong first to HealthCare Partners. We owe a duty to HealthCare Partners to advance its legitimate business interests. All teammates are prohibited from using HealthCare Partners' confidential or proprietary information for personal gain.

## 3. FRIENDS AND RELATIVES

Relationships may affect our judgment, which can easily lead to a conflict of interest. We should not participate in an existing or potential HealthCare Partners decision involving any personal relationship. Just because we have a close relationship with a HealthCare Partners teammate, business partner, vendor, contractor, patient, competitor, referral source, government official or employee, or other third party does not automatically mean there is a conflict of interest. However, the right thing to do is to discuss the potential conflict of interest with your supervisor or the Compliance Department.



# Respect Each Other

We are committed to providing a supportive work environment where teammates have the opportunity to reach their full potential. We are all expected to do our utmost to create a respectful workplace.

## 1. EQUAL OPPORTUNITY EMPLOYMENT

We are committed to providing a workplace that is diverse and free from improper discrimination and harassment. We hire and promote teammates based on their ability to demonstrate excellence in their work and dedication to meeting our patients' needs. Our interactions with one another should always be fair, objective and professional. Each of us is responsible for supporting fair employment values by complying with applicable labor and employment laws, including anti-discrimination and privacy laws. We will make reasonable accommodations for individuals with physical or mental disabilities, in accordance with applicable laws. If you have questions or concerns about unlawful discrimination or harassment in the workplace, bring these issues to your supervisor or People Services. Anyone found to be engaging in unlawful discrimination or harassment will be subject to corrective action, up to and including termination of employment, to the extent permitted by law.

## 2. LEGAL EMPLOYMENT

We maintain all credentials, licenses and certifications that are necessary to perform our jobs. Teammates in positions that require professional licenses, certifications or other credentials are responsible for keeping their licenses, certifications or other credentials current and active. We will comply with laws and regulatory requirements applicable to our respective disciplines. If we are found to have falsified credentials, licensure or certification for ourselves or others, we will be subject to corrective action, up to and including termination, to the extent permitted by law.

HealthCare Partners has implemented screening procedures to identify individuals that governments have publicly sanctioned or excluded from participation in government programs. This includes checks of publicly available databases such as the U.S. Office of the Inspector General's (OIG) list of excluded individuals; the System for Award Management (SAM), which is a consolidation of legacy U.S. government databases, including the General Services Administration (GSA); and entities and Office of Foreign Access Control's (OFAC) specifically designated nationals and blocked persons list. If any of us become aware that we are – or any other teammate is – or may be sanctioned or excluded from any government program, we must immediately notify the Compliance Department.

### 3. DRUGS AND ALCOHOL

To protect our patients, teammates, business partners, vendors and third parties, we maintain an alcohol- and drug-free work environment. During work hours, we are prohibited from:

- Using, possessing, buying, selling, manufacturing, distributing, dispensing or transferring illegal drugs
- Possessing or consuming alcohol or marijuana
- Being under the influence of illegal drugs, alcohol or marijuana
- Using drugs intended for patients

In special instances, alcohol may be served at HealthCare Partners-sponsored events. Each of us should use good judgment when deciding to consume alcohol in social situations. We will be held personally accountable for our actions if we abuse alcohol or drive impaired after such an event.

Being under the influence of these substances is inconsistent with our commitment to provide a safe, healthy and productive work environment for our teammates and patients. Anyone with problems involving drugs or alcohol is strongly encouraged to seek help from appropriate internal and external resources. If we are found to be in violation of the HealthCare Partners alcohol and drug-free work environment policies, we will be subject to corrective action, up to and including termination of employment, to the extent permitted by law.

### 4. HARASSMENT

We should all feel safe while at HealthCare Partners. Therefore, we will not tolerate violence, threats of violence or any form of unlawful discrimination or harassment, including sexual harassment in the workplace.

Anyone who experiences or observes unlawful harassment should immediately report the incident to a supervisor or People Services. Similarly, supervisors who learn of any such alleged incident or concern should immediately report it to People Services. People Services will promptly and thoroughly investigate any complaints and take appropriate action. Anyone found to be engaging in unlawful harassment will be subject to corrective action, up to and including termination of employment, to the extent permitted by law.

### 5. WEAPONS

HealthCare Partners prohibits all persons who enter HealthCare Partners property from carrying a prohibited weapon, regardless of whether the person is licensed to carry the prohibited weapon. A prohibited weapon includes, but is not limited to, any gun, rifle, firearm, explosive device, knife, stun gun, or any other weapon restricted or outlawed by law or that could cause serious bodily injury. Police officers, security guards or other persons who have been authorized by HealthCare Partners may carry a prohibited weapon.

Teammates are never permitted to have prohibited weapons in their possession while conducting HealthCare Partners business, whether the business is conducted on HealthCare Partners premises or off-site.

## 6. HEALTH AND SAFETY

Each of us needs to do our part to keep our health care clinics and other facilities clean and well-functioning. We follow the health and safety policies and procedures that are designed to ensure that we are meeting all applicable laws and regulations as they apply to our workplace. If we witness an injury, accident or dangerous situation, we need to immediately report it to our supervisor. It is important that we immediately advise our supervisors of any serious workplace injury or dangerous situation so immediate action may be taken to resolve the issue.

Providing a healthy and safe environment extends beyond patient care and into our communities. Our sites are part of our larger communities, and we are committed to their continued health as well. We are committed to conserving resources and reducing our ecological footprint by complying with environmental laws.

# Business Practices

Our reputation is one of our most valuable assets. It is up to all of us to protect HealthCare Partners' reputation. We will comply with all laws and regulations relevant to our business and engage in fair and honest business practices.

## 1. PROPER CODING, ENCOUNTER DATA SUBMISSION, BILLING AND PATIENT ACCOUNTING

HealthCare Partners documents patient care completely, accurately and in a timely manner. The medical record is written evidence of the quality care we deliver to our patients. We educate our teammates and work diligently to prevent knowingly creating records that contain any false or misleading information, and to comply with certain requirements set forth in the Deficit Reduction Act of 2005 with regard to federal and state false claims laws, including the False Claim Act (FCA).

HealthCare Partners' billing and claims payment processes and activities are to be performed in a manner consistent with Medicare, Medicaid, state laws and other payor regulations and requirements, and in accordance with HealthCare Partners' documentation and billing policies and procedures. We submit encounter data for capitated services and claims for fee for service payment that are complete, accurate, truthful and contain properly documented codes. We only submit encounter data or bill for goods or services that we provide and document.

## 2. DOCUMENT RETENTION

We maintain all documents as required by HealthCare Partners' policies and procedures, and applicable laws and regulations. We are committed to maintaining thorough and accurate records in compliance with sound business practices and all applicable laws and regulations. We never destroy or alter documents or recommend their destruction or alteration for any illegal or improper reason.

## 3. ACCURATE FINANCIAL RECORDS

We create and maintain accurate financial records. We never falsify or improperly alter information in any records, reports or other documents. All financial information must reflect actual transactions and conform to industry standards. These records serve as a basis for managing our business and are important in meeting our obligations to patients, teammates, business partners, vendors and third parties. We maintain a system of internal controls to provide reasonable assurances that all transactions are executed and recorded in a proper manner.

# Protect HealthCare Partners Assets

We always protect our company assets from theft, carelessness and waste. We are as careful with HealthCare Partners' resources as we are with our own.

## 1. PROTECTION AND PROPER USE OF HEALTHCARE PARTNERS ASSETS

Each of us must protect HealthCare Partners assets and ensure their authorized and efficient use. HealthCare Partners assets are anything HealthCare Partners provides us to do our job, including technology, trade secrets or clinical items. Theft, carelessness and waste directly impact our profitability, competitiveness and carbon footprint.

Everyone is responsible for protecting HealthCare Partners' intellectual property and business information, even if we leave HealthCare Partners. Intellectual property and business information is information that may not currently be known by the public or information about HealthCare Partners' trade secrets or future plans. Just like confidential teammate and patient information, we may only share intellectual property and business information with other teammates, business partners, vendors, contractors or third parties when it is required for work purposes. We may only share intellectual property and business information with other parties when the appropriate agreements are in place.



## 2. INSIDER TRADING

We never use, for our personal gain, information about HealthCare Partners that is not available to the public. There may be times, in the course of our day-to-day work, when we learn of information about HealthCare Partners or a publicly traded business partner, vendor, or other third party of ours that is not yet available to the general public. The use of such non-public or “insider” information for purposes of securities trading is strictly prohibited under the HealthCare Partners policies and procedures, and securities laws.

## 3. EXTERNAL COMMUNICATION

We are very careful about disclosing company information. We never disclose any confidential information without authorization.

It may be inappropriate to post our opinions or information about HealthCare Partners on the Internet, even if not confidential. Our comments to an external audience may be attributed to HealthCare Partners, even though we did not intend that to be the case. We must never speak with the media about HealthCare Partners, unless we have been explicitly authorized to do so by the HealthCare Partners Corporate Communications team or Corporate Legal Department.

## 4. SOCIAL MEDIA SITES

We are the face of HealthCare Partners and should conduct ourselves accordingly when discussing HealthCare Partners. In keeping with applicable HealthCare Partners policies and procedures, teammates may use social media for personal or work use from time to time. When doing so, we must always be clear that any opinions expressed on the Internet are our own, and not the opinion of HealthCare Partners (managers or executives should take special care, as anything they publish could be taken as representing the views and opinions of HealthCare Partners).

Posting details about individual job activities, patients, HealthCare Partners or the like could violate HealthCare Partners' confidentiality policies and procedures, and privacy laws. We must protect all confidential information; failure to do so may subject teammates to appropriate corrective action, up to and including termination, to the extent permitted by law.

We comply with all copyright, trademark, fair use and financial disclosure laws. The HealthCare Partners Corporate Communication team oversees HealthCare Partners' social media channels. All questions regarding social media use should be directed to this team.

## Obey the Law

HealthCare Partners is serious about its responsibilities to comply with applicable laws and regulations. While it's impossible for us to know all laws and regulations, we should understand how the following laws and regulations apply to our work.

### 1. ANTITRUST LAWS

We conduct ourselves ethically, honestly and with integrity. Antitrust laws are designed to encourage and protect free and fair competition in the marketplace. We do not enter into agreements that negatively impact competition or create monopolies. Generally, Antitrust laws prohibit:

- Abuse of market power to engage in unfair price discrimination and other forms of unfair practices
- Agreements with competitors that restrain trade in some way
- Abuse or exchange of intellectual or business information with competitors

We are committed to achieving success by competing fairly. We should discuss any concerns we have regarding a particular action or arrangement with the Corporate Legal Department.

Others form their opinion of  
HealthCare Partners based on our actions.  
**LET'S GIVE THEM ONLY POSITIVE THINGS TO SAY!**

## 2. ANTI-CORRUPTION AND ANTI-BRIBERY LAWS

When we conduct business, we comply with anti-corruption and anti-bribery laws. We have a zero tolerance for violations of these laws, which consist of two basic principles:

- (1) Maintenance of accurate books, records and accounting systems and proper internal accounting controls
- (2) Prohibition of bribes in exchange for business favors or other advantages

We will not directly or indirectly give, offer, or promise anything of value to any government official or employee, referral source, or other person or entity, whether affiliated with a government or private entity, with the corrupt intent to obtain or retain business, or secure an unfair business advantage. Nor will we use third parties to perform activities that would be in violation of HealthCare Partners' policies and procedures, applicable laws and regulations, or this Code. Our business partners, vendors and third parties are also prohibited from giving, offering or promising anything of value to any individual in violation of anti-corruption and anti-bribery laws. All payments made on behalf of HealthCare Partners must include accurate, truthful and complete written documentation regarding the payment and the purpose of the payment.

Conversely, we will not solicit or accept anything of value from any person or entity seeking, entering into or conducting a business transaction with HealthCare Partners that may compromise or appear to compromise our business decisions.

## 3. ANTI-KICKBACK LAWS

We conduct business dealings with referral sources in accordance with applicable laws and regulations. This means that business dealings with referral sources are at fair market value and negotiated at arm's length. HealthCare Partners' policy prohibits improperly accepting, soliciting or providing kickbacks of any kind. A kickback is an improper payment, gift, service or item of value offered or received in return for increased business or patient referrals. We are all responsible for complying with HealthCare Partners' Anti-kickback policies and all Anti-kickback laws that apply to our business.

## 4. THE FALSE CLAIMS ACT (FCA)

We educate teammates and applicable business partners on the prevention of fraud, waste and abuse via policies, procedures and training, including information regarding the False Claims Act (FCA). The FCA is one of several laws the federal government has implemented to prevent and penalize fraud, abuse and waste in federal health care programs. HealthCare Partners never "knowingly" presents, or causes to be presented, a "false or fraudulent claim," or "knowingly and improperly" retains any government overpayment. HealthCare Partners has developed policies and procedures that are designed to detect and prevent fraud, abuse and waste and comply with the FCA. HealthCare Partners will not retaliate against anyone for taking action under the FCA or state equivalents or reporting any potential compliance concern in good faith.

## 5. MANAGED CARE LAWS

We establish contracts with health care payors in compliance with the requirements of federal and state managed care laws. HealthCare Partners does not pay or accept payments in consideration for denying medically necessary services. Appropriate state licenses are maintained, and we comply with applicable monitoring and reporting requirements.

## 6. MARKETING AND ADVERTISING PRACTICES

We practice honest, straightforward and non-deceptive marketing techniques. Consistent with laws and regulations, we may use marketing and advertising activities to educate the public, increase awareness of our services and recruit teammates.

# Our Communities

HealthCare Partners strives to be a leader in our industry and a leader in our communities. We want to send forth ripples.

## 1. POLITICAL ACTION

We may support issues of central importance to health care by taking action, as permitted by law, to ensure that government officials hear from patients and ourselves. Where appropriate, HealthCare Partners may invite you to write letters, make phone calls and support grassroots efforts. Participation has no impact on employment status at HealthCare Partners, and no person may be pressured to participate.

We may participate fully in the political process. However, we will not make any political contribution on HealthCare Partners' behalf before first consulting with a member of the HealthCare Partners Legal Department. If we choose to participate in partisan political activities, we do so solely on our own and may not leave the impression that we speak on HealthCare Partners' behalf.

## 2. CHARITABLE CONTRIBUTIONS

Charitable contributions may be made to outside charities on behalf of HealthCare Partners, with proper approvals from the Communications team. We do not participate in charitable activities or make charitable contributions to improperly induce referrals, to illegally gain an unfair business advantage, or in violation of the law.

Because we are HealthCare Partners, we help each other and our greater community. We are encouraged to volunteer for charitable activities. However, no person may pressure another to do so. We may also participate in non-HealthCare Partners-sponsored charitable activities as long as it does not affect our work.



## Conclusion

This Code of Conduct is a guide for our daily work.

This Code is just one of the many resources available to teammates. Ultimately, we rely on each teammate to use good judgment and to uphold our Guiding Principles. If you have any questions, please ask your supervisor, senior management, the Compliance Department, the Corporate Legal Department, or contact the Compliance Hotline.

For the HealthCare Partners Compliance Hotline, call **1-855-236-1448** or go to **[healthcarepartners.ethicspoint.com](http://healthcarepartners.ethicspoint.com)**

For general questions, email **[CorporateCompliance@davitamedicalgroup.com](mailto:CorporateCompliance@davitamedicalgroup.com)**



## Frequently Asked Questions

The following FAQs apply to all HealthCare Partners businesses.

### COMPLIANCE HOTLINE

**Q: If I make a report to the Compliance Hotline, will I have to speak with a HealthCare Partners teammate?**

A: No. The Compliance Hotline is staffed by a third-party contractor with trained personnel.

**Q: Do I have to provide personal information?**

A: No, the Compliance Hotline provides for anonymous reporting; you can leave your report without providing your name. However, it is important to provide as much detail as possible in order for the issue to be properly investigated.

**Q: What issues should I report to the Compliance Hotline?**

A: Suspected or actual violations of the HealthCare Partners Compliance policies and procedures, applicable laws and regulations, and this Code. For example, improper gifts, bribes or kickbacks, falsification or destruction of information, health care data submission or billing concerns, financial reporting issues, conflicts of interest, and misuse of HealthCare Partners funds or property. You may also report issues directly to your supervisor, the Compliance Department, or a member of the HealthCare Partners management team.

**Q: How long will it take to follow up on my complaint?**

A: All Compliance Hotline reports are investigated within a reasonable time frame based on priority. You can use the report number and PIN provided by the Compliance Hotline vendor to check on the status of your report, although detailed information is not provided.



**Q: Is there any way my identity can be found out when I file a Compliance Hotline report?**

A: HealthCare Partners strives to maintain the confidentiality of individuals who report concerns to the Compliance Hotline. However, the individual making the report may become known during an investigation based on factual circumstances. Teammates who file a Compliance Hotline report are reminded that HealthCare Partners will protect the identity of each reporter to the extent possible and that HealthCare Partners prohibits retaliation for reporting Compliance issues in good faith.

**NON-RETALIATION**

**Q: What is “good faith?”**

A: Good faith means truthful, and without malice or ill intent.

**Q: What does it mean to file a Compliance Hotline report in “good faith?”**

A: A Compliance Hotline report filed in “good faith” means a teammate believes a violation has occurred, and the violation is reported truthfully and without malice or ill intent.



F. YMOFIO, M.D.

## **QUALITY PATIENT CARE**

**Q: I think a nurse may have made a mistake in administering a drug to a patient. When I mentioned it to the nurse, he seemed annoyed and said he would handle it. I am not sure anything was done. Should I do anything else?**

A: If you are uncertain, keep raising the issue. Talk to your supervisor or report the issue to the Compliance Hotline. Errors do occur in practice, but with care and attention from everyone, they can be prevented or corrected.

## **PATIENT PRIVACY**

**Q: Mary, my neighbor, was recently treated at my health care clinic. I saw another neighbor while shopping. She asked me if I knew how Mary was doing. How should I reply?**

A: You cannot discuss Mary's condition or the services she received. You have a professional and legal obligation to respect and protect Mary's privacy. You may only discuss patient treatment or other health information as permitted by HealthCare Partners' policies and procedures, applicable laws and regulations, and this Code.

**Q: Can I provide a copy of a patient's most recent treatment information and lab values to another health care provider?**

A: Yes. You may provide patient information to another health care provider for the purpose of treating a patient. Before doing so, you need to verify the patient's treatment relationship with the health care provider making the request.

## **BUSINESS RELATIONSHIPS**

**Q: A patient wants to pay my son to do "odd jobs" around his home. Can I let my son take the job?**

A: No. As a general rule, teammates should avoid business relationships with patients. We do not want patients to think they will receive better or worse care if they "help" our teammates and their families.

**Q: A new vendor is willing to give our health care clinic a discounted contract for service on a new copier for our site if we sign with his company. I think the contract will save the company a lot of money. Can I consider using this vendor?**

A: Yes. If you think that HealthCare Partners would get a better deal with this vendor, bring it to your supervisor's attention so the terms can be compared to other bids. HealthCare Partners often has national contracts with vendors and bases selection on price, quality and service. However, you may not receive a discount or other item of value from the vendor for your own use in return for helping the vendor get HealthCare Partners' business.

**Q: A vendor is offering to give me a free home computer just for signing a contract between HealthCare Partners and his company. Am I allowed to accept the computer?**

A: No. We should never allow personal gifts or discounts to influence our judgment in signing a contract. HealthCare Partners selects its vendors based on price, quality and service, not on gifts.

## **BUSINESS COURTESIES**

**Q: What does HealthCare Partners consider a “business courtesy?”**

A: A “business courtesy” includes any items, services, benefits, or anything of economic or personal value, which can include: gifts, business meals, entertainment, travel, educational or promotional items, except for payments in exchange for properly contracted services to HealthCare Partners.

**Q: Can I invite referral sources to a suite at a sporting event for a presentation and buffet?**

A: No. While it is possible to conduct legitimate business at a sporting event, attendance at a sporting event is inherently entertainment. Providing entertainment to a referral source could create the appearance that the purpose of the event is to generate business by providing a valuable personal benefit. Accordingly, attendance at a sporting event, and other entertainment or recreational event is not permitted.

**Q: May I provide a referral source with a gift basket of food and wine or a branded coffee mug?**

A: No. HealthCare Partners teammates may not provide gifts as a “thank you” for using our services or referring patients.

**Q: I want to give another teammate a present for her birthday. Does the Business Courtesies policy apply?**

A: No. These rules do not apply to interactions solely between HealthCare Partners teammates. The birthday gift would be acceptable as long as it is intended to be a genuine expression of personal esteem and does not influence business decisions, and is otherwise in accordance with applicable laws and regulations, HealthCare Partners policies and this Code.

**Q: May I give a gift to a patient or a prospective patient?**

A: Generally, gifts should not be given to induce patients to use or continue to use HealthCare Partners as a health care provider. Occasionally, you may give a gift to a patient if it complies with the requirements set forth in the HealthCare Partners’ Patient Inducement Prohibition Policy. Cash, gift certificates, gift cards and money orders, in any amount, are prohibited.

**Q: A vendor is trying to give me an expensive gift that obviously violates the Business Courtesies policies. Is it OK to refuse a gift?**

A: Yes. It is perfectly acceptable to decline a gift. You should explain that the gift is very generous, but it could create a conflict of interest. You should also notify the Compliance Department of the proposed gift.

**Q: Can vendors give gifts to an entire group of teammates?**

A: Yes, if the gift is provided to a team, health care clinic or department, it is consistent with HealthCare Partners' policies regarding the acceptance of gifts from vendors, and shared by the group. Some examples of acceptable gifts are holiday gift baskets, cookie trays or a box of chocolates. Teammates may also accept promotional items like office products with a vendor's logo.

## **CONFLICT OF INTEREST**

**Q: Am I allowed to have a second job?**

A: Yes, as long as the second job does not conflict with your work at HealthCare Partners. If you wish to have a second job, you need to disclose the potential job to your supervisor to ensure it will not impact your ability to fulfill your obligations to HealthCare Partners, result in an improper benefit to you or HealthCare Partners, or otherwise create a conflict of interest.

**Q: Is it against the rules for members of my family to provide products or services to HealthCare Partners?**

A: Not necessarily. Your relationship to this person may not influence a purchasing decision. To avoid a possible conflict, you should inform your supervisor or People Services of any close personal or family relationship with a vendor or potential vendor.

## **EMPLOYMENT**

**Q: One of my teammates likes to tell jokes during down time. The jokes range from vulgar to sexual in nature. Is there anything I can do?**

A: Yes. If you feel comfortable with the teammate, you should ask the teammate to refrain from telling inappropriate or offensive jokes. If you do not feel comfortable speaking with the teammate, discuss the situation with your supervisor (unless the teammate is your supervisor) or People Services.

## **LEGAL EMPLOYMENT**

**Q: What does it mean to be a U.S. Office of the Inspector General (OIG) excluded individual or entity?**

A: An OIG excluded individual or entity is a person or company that has been "excluded" from participating in health care programs funded by the U.S. federal government or state governments. Under U.S. law, anyone who hires an OIG excluded individual or company may be subject to civil monetary penalties.

**Q: How does HealthCare Partners identify excluded individuals?**

A: HealthCare Partners checks if individuals and entities involved in HealthCare Partners' business operations are on any publically available government list of excluded individuals and entities, prior to and during the individual's or entity's involvement in HealthCare Partners.

## **HEALTH AND SAFETY**

**Q: I witnessed another teammate dumping chemicals from a health care clinic in the city drain. What do I do?**

A: Chemicals could be harmful and must be handled and disposed of in the correct manner to protect our local communities' environment. You should report the incident to your supervisor and others as required by patient safety and event reporting policies and procedures.

## **ACCURATE RECORDS**

**Q: What do I do if I see another teammate make a mistake in a patient's medical record?**

A: There are very specific procedures for correcting mistakes in the medical record. You should review the incident with your supervisor and the teammate who made the mistake. If you are not comfortable approaching your supervisor, you can always consult the Compliance Department or contact the Compliance Hotline. HealthCare Partners prohibits retaliation against any teammate who seeks help or files a report in good faith.

**Q: I was told by my supervisor to process charges for services even if the chart note did not support the level of service. What should I do? Where should I report this information?**

A: You should discuss your concerns with your supervisor. If you are not comfortable approaching your supervisor, you can always consult the Compliance Department or contact the Compliance Hotline.

**Q: A fellow RN called me from home after she completed her shift. She told me that she forgot to enter a verbal order she received for a change in medication. The nurse asked me to log the change into the patient's chart and to use her initials. She said charts are often updated in this way and no harm is done. Is this okay?**

A: No. While the nurse did the right thing by calling to report the chart error, the error should be promptly reported to the supervisor. You should never record an order you did not hear. Never sign someone else's signature or initials, and never use another teammate's password. The teammate who took the order can make the entry in the medical record as a late entry the next time the teammate is in the health care clinic.

**Q: I reviewed a draft of an official financial report and noticed that some of the data was incorrect. Should I assume someone else will catch this mistake?**

A: No. Immediately bring this information to the attention of your supervisor. If an official statement is published with incorrect information, there can be serious consequences for HealthCare Partners and those in charge of preparing the document.

**Q: A teammate or third party submitted an expense report for an event that never actually took place. What should I do?**

A: Tell your supervisor, senior management, the Compliance Department or call the Compliance Hotline. Incorrect expense reports can be a way to defraud HealthCare Partners or to circumvent HealthCare Partners' Compliance policies and financial controls, and can result in incorrect books and records.

## **INVESTIGATIONS**

**Q: Someone called and said they were from a government agency. The person wanted specific patient information forwarded to them right away via fax. What should I do?**

A: Certain government employees and their agents have the right to review patient information. However, these requests are usually in writing and delivered in a formal manner. Politely ask the person to submit the request in writing and then consult with the Privacy or Legal departments on next steps.

## **PROTECTION AND PROPER USE OF HEALTHCARE PARTNERS ASSETS**

**Q: I am a small business owner and perform consultations when I am not at HealthCare Partners. Can I email clients and fax forms during my lunch break using HealthCare Partners computers or fax machines?**

A: No. All HealthCare Partners assets and supplies are used to further HealthCare Partners' business. Teammates should conduct outside business on their own time and with their own resources.

**Q: My cousin works in the billing department of another medical group company. Can we discuss our jobs when we are together?**

A: There should be no problem, as long as you do not discuss proprietary, patient or confidential information. To avoid a conflict of interest, you should inform your supervisor or People Services of any close friends or family members employed by a competitor.

## **INSIDER TRADING**

**Q: My family and friends occasionally ask me whether they should buy HealthCare Partners stock. Can I give them my opinion?**

A: Avoid any specific discussion of company plans, performance and or other important developments that have not been made public. You should not make recommendations to anyone regarding buying or selling of DaVita HealthCare Partners stock. The same rules about "inside" information apply whether you buy or sell stock yourself or if you give the information to someone else, also known as a "tip." If stock is purchased based on non-public information or "tips," this can be a violation of federal security laws for the person who gave the tip as well as the person who received the tip.

## **ANTI-CORRUPTION, ANTI-BRIBERY AND ANTI-KICKBACK LAWS**

**Q: A non-contracted provider offers a HealthCare Partners physician teammate his box seats to a football game. Is it appropriate to accept the tickets?**

A: No. Receiving items of value, like sporting event tickets, may be considered a kickback.

**Q: A local surveyor responsible for overseeing my health care clinic told me that I can pay him an annual fee to limit the number of surveys we receive in the course of a year. Is it okay?**

A: No. Paying a surveyor to survey you less frequently than normal is a bribe. If anything like this ever arises, refuse the request and immediately contact a member of the Compliance Department.

**Q: A consultant has been negotiating a government contract for HealthCare Partners and asks me to be reimbursed for a first-class airline ticket to an undisclosed location. Should I inquire about the nature of the trip?**

A: Yes. While the trip may be legitimate, an incomplete expense report is a red flag that the consultant may have improperly provided something of value to a government official or employee. You should inquire further about the business reason for the trip, ask for a copy of the airline ticket or invoice, and immediately contact a member of the Compliance Department if you suspect or know something is not right with the travel.

**Q: We are leasing space from a public teaching hospital. One of the hospital's staff has asked to use one of the conference rooms a couple days a week to meet with students. Is it okay to sublease the space to the hospital staff?**

A: Yes, as long as the hospital staff pays fair market value or market rate to sublease the space, and a sublease agreement is executed. Contact the Compliance Department or the Corporate Legal Department for approval.

## **CHARITABLE CONTRIBUTIONS**

**Q: I volunteer for a few organizations. Can I approach HealthCare Partners for a donation?**

A: Yes. HealthCare Partners may make a charitable contribution, if it is not given in order to induce or receive patient referrals or gain an unfair business advantage, and you obtain appropriate approvals in accordance with HealthCare Partners policies.

**Q: Can my health care clinic make a charitable contribution to a charitable organization or event that is sponsored or associated with a referral source?**

A: It depends. Before you make any promises, you should obtain appropriate approvals in accordance with HealthCare Partners policies.

## **Resources to Support Making The Right Choice**

### **THE COMPLIANCE HOTLINE**

The Compliance Hotline is available 24 hours a day, 365 days a year. Hotline callers may remain anonymous, and those who choose to give their name will have their identity protected to the extent practical and possible by law. An outside company receives the Compliance Hotline reports and will assist you in making your report. HealthCare Partners prohibits retaliation and harassment against any teammate who sought help or filed a report in good faith.

- Call **1-855-236-1448** or visit **[healthcarepartners.ethicpoint.com](http://healthcarepartners.ethicpoint.com)**

### **GENERAL COMPLIANCE QUESTIONS**

Have a Compliance question that needs to be answered? Need help interpreting a specific policy?

- Email us at **[CorporateCompliance@davitamedicalgroup.com](mailto:CorporateCompliance@davitamedicalgroup.com)**



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