

# DAVITA CODE OF CONDUCT



**“YOU MUST BE THE CHANGE** you wish to see in the world.”  
—MAHATMA GANDHI

*Davita.*  
bringing quality to life™



## Our Mission

To be the Provider, Partner  
and Employer of Choice

# Introduction

DaVita HealthCare Partners Inc. and its global kidney care business, DaVita®, take great pride in caring for our patients and in 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, as well as applicable laws and regulations. Our Vision, to build the Greatest Healthcare Community the World Has Ever Seen, can only be achieved by each of us adhering to these commitments.

Our Code of Conduct is central to our Mission and Core Values, and is an integral part of DaVita's Compliance Program. It guides our decisions and helps us make the right choices in our daily work. It is an important reference tool for all DaVita kidney care businesses and teammates.

Full compliance with DaVita's Code of Conduct is essential. I ask each of you to make a personal commitment to read, understand and follow the Code. If you do not understand the Code, or you are not sure how to apply it, you can contact your supervisor or a member of our Compliance Department (Team Quest). There is no retaliation for asking questions, raising concerns or reporting possible improper conduct in good faith.

Thank you for your ongoing support of DaVita's Mission, Core Values and our commitment to make the right choices. Working together, we will continue to build upon DaVita's position as a leader in patient care and social responsibility.

One for all, and all for one!



Kent J. Thiry

Co-Chairman and CEO

Mayor of the DaVita Village





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## Code Of Conduct's Purpose

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

# Who This Code Applies To

Everyone! The Code of Conduct is a guide for all teammates, including members of our Board of Directors, executives, joint venture partners and employees (teammates), affiliated physicians, vendors and all third parties conducting business on behalf of DaVita's global kidney care businesses. DaVita's global kidney care businesses include DaVita HealthCare Partners Inc. and all of its businesses other than HealthCare Partners Holdings, LLC which has a separate Code of Conduct. Each of us must read, understand and follow the Code of Conduct.

## Our Responsibilities

Compliance is everyone's responsibility:

- DaVita is committed to full compliance with federal and state healthcare program requirements.
- 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 DaVita policies and procedures, laws or regulations applicable to DaVita's business or this Code.
- Assist authorized teammates with compliance inquiries, audits, investigations and other activities.
- Take responsibility and accountability for your actions.
- Notify Team Quest immediately if the government sanctions or excludes you from participation in any government funded program.

DaVita will take corrective action, to the extent allowed by law, against any teammate who fails to act in accordance with DaVita Policies and Procedures, applicable laws and regulations or this Code.



# How To Use This Code

DaVita's Code of Conduct helps teammates make the right choices.

Each of us is responsible to act in a manner that reflects our Core Values. This Code is meant to help us conduct business in a legal, ethical manner that is consistent with our Core Values and to guide our understanding of DaVita's compliance structure, key policies and procedures and certain applicable laws and regulations. The standards described in this Code apply in all countries where we conduct business.

We are subject to the laws and regulations of the country in which we work. In addition, because our parent company, DaVita HealthCare Partners Inc., is a U.S. company, U.S. law may apply to conduct that occurs outside the United States (for example, anti-corruption and anti-bribery laws). If you are unsure about which policies and procedures or laws and regulations apply to your activities, consult your supervisor, Team Quest (Compliance), the Legal team (Justice League of DaVita or JLD). We also hold our business partners, affiliated physicians, vendors and other third parties to the same standards and expect them to comply with DaVita's policies and procedures, all applicable laws and regulations, and this Code.



Click the magnifying glass to jump to relevant Frequently Asked Questions (FAQs). FAQs provide examples of how to apply the material to our day-to-day activities. Note: the FAQs are on page 31 of this document.

## Policies and Procedures for U.S. Businesses

Look for these icons throughout the Code to find policies and procedures and other resources that address DaVita's U.S. operations in more detail and provide specific guidance on the respective topic.

### U.S. Teammates



Click the DaVita Dancing Star to review related Compliance Policies and Procedures, which provide more detailed guidance on specific Compliance-related matters.



Click the People Services logo to review the Teammate Policies, which provide more detailed guidance on specific People Services-related matters.



Physicians: Click on the Physician icon to review applicable Compliance policies and procedures.



Vendors: Click on the Vendor icon to review applicable Compliance policies and procedures.

Note: These icons may only be available through the DaVita network or may require logon credentials. If you are unable to access these policies and procedures, contact your supervisor or DaVita business contact, Team Quest, Human Resources (People Services) or JLD for copies of the policies and procedures.

## Policies and Procedures for Businesses Outside the U.S.

Contact your supervisor or DaVita business contact, Team Quest, People Services or JLD for copies of policies and procedures that apply to your specific location and business activities.



DaVita's 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 Mission and Core Values every day, in everything we do.

## 1. COMPLIANCE OFFICER AND TEAM

DaVita has a dedicated team, Team Quest, to oversee Compliance activities and initiatives. Team Quest teammates administer the Compliance Program on a day-to-day basis and are always available to answer Compliance questions or concerns. The Chief Compliance Officer (CCO) provides oversight to the entire Compliance Program and directly reports to the Compliance Committee of the Board of Directors and Chief Executive Officer (CEO).

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

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

No one is expected to know it all, which is why Team Quest 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 global operations. We are expected to read, understand and follow all of DaVita's 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 Team Quest.

## 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!

- In the U.S.: Dial 1-888-458-5848 or go to [DaVitaComplianceHotline.com](http://DaVitaComplianceHotline.com).
- Outside the U.S.: Go to [www.davita.com/compliancehotline](http://www.davita.com/compliancehotline) to find the telephone number or website for your local country.

We have a dedicated Compliance Hotline for teammates and other individuals to confidentially, and if permitted by local law, anonymously report a suspected or actual violation of DaVita's 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 online 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.

Local privacy laws may affect availability and terms of use of the Compliance Hotline. For example, in some countries the Compliance Hotline can only be used to report limited topics, such as financial complaints (e.g., anti-bribery or competition, auditing or accounting concerns, embezzlement, money laundering, falsification of contracts or records, etc.), or other serious concerns involving senior management. Review your local Country Hotline Guide or consult your supervisor or Regional Compliance Lead for information regarding local use of the Compliance Hotline.



## 5. OBLIGATION TO REPORT

It is your duty to maintain the highest level of integrity and accountability by alerting a supervisor, senior management, Team Quest, JLD or the Compliance Hotline of suspected or actual violation of DaVita's 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 DaVita policies and procedures, applicable laws or regulations, or this Code, you may be subject to corrective action, up to and including termination of employment, to the extent permitted by law. Remaining silent about a violation of DaVita policies and procedures, applicable laws or regulations, or this Code puts you and DaVita 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. DaVita makes every effort to maintain the confidentiality and anonymity 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. DaVita 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, Team Quest, JLD 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.

DaVita 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 or employees who are responsible for administering and enforcing the law.





# Service To Our Patients

Our patients value DaVita 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. 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.

We make no unlawful distinction in the admission, transfer, discharge 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 DaVita 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 DaVita policies and procedures, laws and regulations regarding patient care, and this Code.

Prior to being allowed to admit or treat patients at a DaVita facility, DaVita's medical staff, including physicians and other allied health professionals, are appropriately credentialed as required by local laws and regulations. Medical staff who work in our facilities are required to adhere to DaVita policies and procedures, applicable laws and regulations, and this Code.

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

### 3. PATIENT CONFIDENTIALITY



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. We commit to the following privacy and security principles:

- We provide patients with notice of our privacy and security practices in accordance with applicable laws and regulations.
- Patient information, including personal health information, is protected through reasonable and appropriate technical and organizational security measures, including, where appropriate and if allowed under local laws, encryption of patient information.
- We only use and disclose patient information as required or permitted by applicable laws and regulations.
- Vendors who process patient information on our behalf may only process patient information at our direction and as permitted by our privacy and security policies, and all applicable laws and regulations.
- Teammates and vendors are not authorized to access, use or disclose patient information which is not necessary to perform their individual job function or more than the minimum necessary amount of information needed to fulfill their DaVita duties.
- Teammates and vendors who use DaVita patient information to perform services on DaVita's behalf are expected to promptly notify JLD 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.
- DaVita will obtain patient and teammate consent in accordance with applicable laws and regulations, prior to using patients' or teammates' pictures, testimonials or other information for marketing or other purposes.

To the extent applicable laws or regulations require further safeguarding of patient information, DaVita 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 DaVita 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. Based on local laws and proposed business activities, DaVita 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 RELATIONSHIPS

We only partner and work with physicians who comply with DaVita policies and procedures, applicable laws and regulations, and this Code. Failure to meet these requirements may result in serious consequences for teammates, our physician partners and DaVita.

Our business contracts with physicians address legal requirements governing the arrangement, and where appropriate set forth expectations regarding compliance with applicable DaVita policies, laws and regulations, and this Code. Two overarching principles that govern our interactions with physicians:

- We do not pay for referrals. We accept patient referrals and admissions 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.
- We do not accept payments for referrals or authorizations to accept patients. Neither a teammate nor any person acting on DaVita's behalf is permitted to directly or indirectly solicit or receive anything of value in exchange for a patient referral or authorization to accept a patient that would be a violation of the law.



### 3. PATIENT RELATIONSHIPS



We understand that close relationships form between patients and their healthcare providers. However, we must avoid conducting business transactions with patients that may result in an actual or potential conflict of interest. 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 healthcare providers. We strive to have open, objective relationships with our 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 DaVita 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 Team Quest 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 DaVita policies and procedures, local laws and regulations, and this Code. Review your local Country Business Courtesy Guide or consult your supervisor or Team Quest for more information regarding appropriate Business Courtesies.



# 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

Outside employment must not interfere with our duties at DaVita. 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 DaVita, our ability to perform our DaVita duties, or otherwise compromise our professional judgment. This may include employment or other arrangements with DaVita business partners, vendors, contractors, patients, competitors, referral sources (e.g., physicians and other healthcare providers), governments or other third parties. In addition, we do not accept employment or fees from business partners, vendors, contractors, patients, competitors, referral sources, governments or other third parties of DaVita, if we have the ability to influence their relationship with DaVita. We must disclose and discuss with our supervisors all outside jobs, relationships or transactions that may create a conflict of interest.

## 2. BUSINESS OPPORTUNITIES

Business opportunities discovered through your work at DaVita belong first to DaVita. We owe a duty to DaVita to advance its legitimate business interests. All teammates are prohibited from using DaVita's 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 DaVita decision involving any personal relationship. Just because we have a close relationship with a DaVita 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 Team Quest.

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







# 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 local law 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.

DaVita 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 U.S. Office of Inspector General (OIG) list of excluded individuals and entities, Office of Foreign Asset Control (OFAC) specifically designated nationals and blocked persons lists, and GSA's System for Award Management (SAM). 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 Team Quest.

## 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, while operating a DaVita vehicle or equipment, or delivery of patient care, 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 DaVita-sponsored events, where permitted by law and culturally appropriate. 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.

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 DaVita's 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 DaVita. 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.

DaVita prohibits all persons who enter DaVita 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, knives, stun guns, 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 DaVita may carry a prohibited weapon.

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

## 5. HEALTH AND SAFETY



Each of us needs to do our part to keep facilities clean and well-functioning. We follow the health and safety policies and procedures that are designed to ensure 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 facilities 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 DaVita's reputation. We will comply with all laws and regulations relevant to our business and engage in fair and honest business practices.

## 1. PROPER CODING, BILLING AND PATIENT ACCOUNTING



DaVita documents patient care completely 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.

We submit claims for payment or approval that are accurate, truthful, and contain properly documented codes. We only bill for goods or services that we provide. DaVita has implemented a process designed to identify mistakes in claims or reimbursements and timely make refunds where applicable.

## 2. DOCUMENT RETENTION



We maintain all documents as required by DaVita 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. 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 DaVita Assets

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

## 1. PROTECTION AND PROPER USE OF VILLAGE ASSETS



Each of us must protect Village assets and ensure their authorized and efficient use. Village assets are anything DaVita provides us to do our job, including technology, trade secrets or clinical items. Theft, carelessness and waste directly impact our profitability and carbon footprint. We should use DaVita assets solely for business purposes.

Everyone is responsible for protecting DaVita's intellectual property and business information, even if we leave the Village. Intellectual property and business information is information that may not currently be known by the public or information about DaVita's 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 DaVita 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 DaVita 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 DaVita policy 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 DaVita on the Internet, even if not confidential. Our comments to an external audience may be attributed to DaVita, even though we did not intend that to be the case.

We must never speak with the media about DaVita, unless we have been explicitly authorized to do so by DaVita's Communications team (D-COMM) or JLD.





#### 4. SOCIAL MEDIA SITES



We are the face of DaVita and should conduct ourselves accordingly when discussing DaVita. In keeping with applicable DaVita 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 DaVita (managers or executives should take special care, as anything they publish could be taken as representing the views and opinions of DaVita). Posting details about individual job activities, patients, DaVita or the like could violate DaVita 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. D-COMM manages DaVita's U.S. social media channels. Outside the U.S., all questions regarding social media use should be directed to the local management team overseeing social media.

# Obey the Law

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

## 1. ANTITRUST LAWS



We conduct ourselves ethically, honestly and with integrity and comply with antitrust laws in our dealings with competitors and customers. Antitrust laws and other laws governing competition are designed to promote and protect free, lawful and fair competition in the marketplace; they vary from country to country but exist virtually in all countries. These laws apply to conduct at all levels of an organization. In general terms, antitrust and other laws governing competition require DaVita to compete on an individual basis rather than join with other companies or competitors in agreements to restrict competition or create monopolies.

Generally, antitrust laws prohibit:

- Abuse of market power to engage in unfair price discrimination and other forms of unfair methods of competition
- Agreements or actions with competitors that restrain trade in some way or are inconsistent with concepts of free, open and fair competition
- Abuse or exchange of intellectual property or confidential or proprietary business information with competitors
- Transactions that may lessen competition or tend to create a monopoly, a dominant position in the market, or market power

It is against the law and Company policy to agree with competitors on prices or supply levels, division of customers or sales territories, or bids.

Teammates should pay particular attention to meetings with competitors, association meetings and trade shows to avoid the appearance of any anti-competitive behavior. If you find yourself in a questionable discussion, voice your concern, end the discussion, leave the meeting, and promptly inform the JLD.

Failure to comply with the antitrust laws could lead to criminal and civil penalties for DaVita and for Teammates personally, significant business disruptions, and harm to DaVita's reputation.

We are committed to achieving success by fair, lawful and vigorous competition. Teammates should discuss any concerns regarding a particular action or arrangement and the applicability of the antitrust laws with JLD.

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



When we conduct business internationally, we comply with the U.S. Foreign Corrupt Practices Act (FCPA), as well as other anti-corruption and anti-bribery laws. We have a zero tolerance for violations of these laws. The FCPA consists of two basic principles:

- (1) Prohibition of bribes to non-U.S. government officials and employees; and
- (2) Maintenance of accurate books, records and accounting systems and proper internal accounting controls.

In addition, in certain jurisdictions, local laws prohibit bribing individuals associated with non-government entities in exchange for business favors or other advantages. This is known as “private” or “commercial” bribery.

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 violations of DaVita’s 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 the FCPA or other anti-corruption and anti-bribery laws. All payments made on behalf of DaVita 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 DaVita that may compromise or appear to compromise our business decisions.

## 3. ANTI-KICKBACK LAWS



We conduct business dealings with referral sources (e.g., physicians and other healthcare providers) in accordance with local laws and regulations. In the U.S., this means business dealings with referral sources are at fair market value and negotiated at arm’s length. DaVita’s 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 DaVita’s Anti-kickback policies and all Anti-kickback laws that apply to our business.

## 4. 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

DaVita 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 healthcare by taking action, as permitted by law, to ensure government officials hear from patients and ourselves. Where appropriate, DaVita may invite you to write letters, make phone calls and support grassroots efforts. Participation in any DaVita-sponsored political action initiative has no impact on employment status at DaVita, and no person may be pressured to participate in any DaVita-sponsored political action initiative.

We may participate fully in the political process. However, we will not make any political contribution on DaVita's behalf before first consulting with a member of DaVita's Public Policy team (G-Force) regarding U.S. contributions, or Team Quest for contributions outside the U.S. 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 DaVita's behalf.

## 2. CHARITABLE CONTRIBUTIONS



Charitable contributions may be made to outside charities, on DaVita's behalf, with proper approvals from D-COMM in the U.S. or Team Quest outside the U.S. 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 a Village, 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-DaVita-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 the beginning of the many resources available to teammates. Ultimately, we rely on each teammate to use good judgment and to uphold our Core Values. If you have any questions, please ask your supervisor, senior management, Team Quest, JLD or contact the Compliance Hotline.

In the U.S.: Dial 1-888-458-5848 or go to [DaVitaComplianceHotline.com](https://www.davita.com/compliancehotline.com).

Outside the U.S.: Go to [www.davita.com/compliancehotline](https://www.davita.com/compliancehotline) to find the telephone number or website for your local country.

## Waiver

Any waiver of the Code for executive officers or directors may be made only by the board or a board committee.

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



# Frequently Asked Questions

The following FAQs apply to all DaVita kidney care businesses.

## COMPLIANCE HOTLINE



**Q: If I make a report to the Compliance Hotline, will I have to speak with a DaVita 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: If allowable under local law, you do not have to provide your personal information. However, in some countries local law prohibits anonymous reporting. In these countries, the Compliance Hotline may not be able to accept your report if you do not provide your name and you may decide not to make the report. Please refer to your local Compliance Hotline Policies or Country Hotline Guide for more information.

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

A: Suspected or actual violations of DaVita's Compliance policies and procedures, applicable laws and regulations, and this Code. For example, improper gifts, bribes or kickbacks, falsification or destruction of information, healthcare billing concerns, financial reporting issues, conflicts of interest, and misuse of DaVita funds or property.

**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: DaVita 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 DaVita will protect the identity of each reporter to the extent possible and that DaVita prohibits retaliation for reporting Compliance issues in good faith.

**Q: Will individuals named in a Compliance Hotline report be notified that they have been identified in a Compliance Hotline report?**

A: Yes, in certain countries individuals identified in a Compliance Hotline report will be notified of the accusations against them. This will occur once it is determined that such notification will not unduly compromise the investigation. Such notice will not provide the identity of the individual who filed the report, unless required by law. Refer to your local Compliance Hotline Policies or Country Compliance Hotline Guide for more information.

## 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.

## 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 admitted to our facility. 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 obligation to respect and protect Mary’s privacy. You may only discuss patient treatment or other health information as permitted by DaVita policies and procedures, local 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 healthcare provider?

A: Yes. You can provide patient information to another healthcare provider for the purpose of treating a patient, if permitted by local law. Before doing so you need to verify the patient’s treatment relationship with the healthcare 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 facility a discounted contract for service on a new copier for our facility 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 DaVita would get a better deal with this vendor, bring it to your supervisor’s attention so the terms can be compared to other bids. DaVita 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 DaVita’s business.



Q: A vendor is offering to give me a free home computer just for signing a contract between DaVita 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. DaVita selects its vendors based on price, quality and service, not on gifts.

## BUSINESS COURTESIES



Q: What does DaVita 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 DaVita.

Q: Can I invite physicians 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 physician with a gift basket of food or wine?

A: This will be dependent upon the local laws of the intended recipient’s home country. Check the Business Courtesies and Gift Policies, and applicable Country Business Courtesies Guide for specific guidance.

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

A: No. These rules do not apply to interactions solely between DaVita 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.

Q: May I give a gift to a patient?

A: Generally, you should refrain from giving and receiving gifts from patients. Gifts should not be given to induce patients to use or continue to use DaVita as a healthcare provider. Occasionally you may give a gift to a patient, if it is permitted by the local Gift policies. 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 Gift Policy. 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 Team Quest 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, facility or department, it is consistent with local 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 DaVita. 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 DaVita, result in an improper benefit to you or DaVita, or otherwise create a conflict of interest.

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

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 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 healthcare 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 DaVita identify excluded individuals?

A: DaVita checks if individuals and entities involved in DaVita’s U.S. business operations are on any publically available government list of excluded individuals and entities, prior to, and during, the individuals’ or entities’ involvement in DaVita’s U.S. operations.

## HEALTH AND SAFETY



Q: I witnessed another teammate dumping chemicals from a facility 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 or designee at the facility, and others as required by your local Health and Safety 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 Team Quest or contact the Compliance Hotline. DaVita 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 Team Quest 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 facility.

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 DaVita 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, Team Quest or call the Compliance Hotline. Incorrect expense reports can be a way to defraud DaVita or to circumvent DaVita's Compliance policies.

## 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 through the proper channels. This will allow the request to be processed in accordance with applicable Privacy policies.

## PROTECTION AND PROPER USE OF VILLAGE ASSETS



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

A: No. All DaVita assets and supplies are used to further DaVita's 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 dialysis 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 DaVita 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 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: An affiliated physician is short-staffed at his office practice. Is it okay for my administrative assistant to help him with scheduling and paperwork?

A: No. Providing office assistance to a potential referral source, such as an affiliated physician, at no charge may be considered a kickback.

Q: A local surveyor responsible for overseeing my facility 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 Team Quest.

Q: A consultant has been negotiating a government contract for DaVita 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 Team Quest 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 nephrologists has asked to use one of the conference rooms a couple days a week to meet with students. Is it okay to sub-lease the space to the nephrologist?

A: Yes, as long as the nephrologist pays fair market value or market rate to sublease the space, and a sub-lease agreement is executed. Contact JLD or Team Quest for approval.

## CHARITABLE CONTRIBUTIONS



Q: I volunteer for a few organizations. Can I approach DaVita for a donation?

A: Yes. DaVita 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 local policies.

Q: Can my facility 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 local policies.

# Resources To Support Making The Right Choice

## THE COMPLIANCE HOTLINE

The Compliance Hotline is available 24 hours a day, 365 days a year. If permitted by local law, 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. DaVita prohibits retaliation and harassment against any teammate who sought help or filed a report in good faith.

- In the U.S.: Dial 1-888-458-5848 or go to [DaVitaComplianceHotline.com](http://DaVitaComplianceHotline.com)
- Outside the U.S.: Go to [www.davita.com/compliancehotline](http://www.davita.com/compliancehotline) to find the telephone number or website for your local country

## GENERAL COMPLIANCE QUESTIONS

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

- In the U.S.: Dial 1-855-687-9645 or email: [Questionline@DaVita.com](mailto:Questionline@DaVita.com)
- Outside the U.S.: Contact your Regional Compliance Lead

## PRIVACY OFFICE

Have a privacy or security question or concern? In addition to the Compliance Hotline, you may also call the Privacy office.

- In the U.S.: 1-855-472-9822
- Outside the U.S.: Consult a member of JLD

## PEOPLE SERVICES RESOURCE CENTER

- U.S. Phone: 1-800-381-7063
- Outside the U.S.: Contact your local People Services Director or Manager



## Glossary Of Terms And Abbreviations

D-COMM	DaVita's Corporate Communications team
G-Force	DaVita's U.S. Public Policy team
Justice League of DaVita (JLD)	Legal Department
People Services	Human Resources
Teammate	Employee of DaVita's global kidney-care business
Team Quest	Corporate Compliance team

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COMP-9291 Revised September 2011, July 2013, December 2013, October 2014, October 2016

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