



POLICY # COMP-DMG-007	Revision: 4.0	Page 1 of 4
TITLE: Non-Retaliation for Reporting Potential Compliance Violations		
Department: Compliance	Effective date: February 2014	
<p><i>Teammates must promptly report all potential violations of the Code of Conduct, company policies and procedures and/or applicable laws or regulations. Reports should be made to the Compliance department, or the Compliance Hotline, 1-855-236-1448, www.healthcarepartners.ethicspoint.com. In accordance with DMG's Non-Retaliation policy, DMG will not tolerate any form of retaliation against anyone who files a compliance report in good faith. Questions regarding any compliance policy may be directed to the Compliance department.</i></p>		

1. PURPOSE AND SCOPE

DaVita Medical Group has a Code of Conduct (Code) and other policies that require individuals to report, in Good Faith, potential violations of the Code, DMG's compliance policies and procedures, and/or applicable federal and state laws and regulations. The purpose of this policy is to ensure that individuals who fulfill this duty to report in Good Faith are treated appropriately and lawfully. This policy applies to DaVita Medical Group, including HealthCare Partners, WellHealth Medical Group, Magan Medical Clinic, The Everett Clinic, Northwest Physicians Network, and Mountain View Medical Group (collectively "DMG").

2. DEFINITIONS

Term	Definition
Compliance Hotline	A toll-free number and web portal managed by a third party on behalf of the Compliance department which allows DMG Teammates, Guest Teammates, patients, physicians, vendors, or other third parties to report, in Good Faith, Potential Compliance Violations. <ul style="list-style-type: none"> Toll-free number: 855.236.1448 Web portal: www.healthcarepartners.ethicspoint.com
Contracted Provider	Any individual or entity under an arrangement to provide healthcare services to DMG patients or patients attributed to DMG. A Contracted Provider does not include any individual employed by DMG (including employees of a medical group(s) managed by DMG).
Good Faith	Truthful and without malice or ill intent. A complaint, disclosure or report must be based on a reasonable belief that a Potential Compliance Violation has occurred or might occur.
Guest Teammate	Any temporary worker, agency employee or contract employee who temporarily works on behalf of DMG.
Potential Compliance Violation	Any act, conduct, event or situation that involves, or might result in, a potential violation of DMG's Code, compliance policies and procedures, or other compliance-related directives, and/or applicable laws and regulations, including those that apply to federal and state healthcare programs.
Reporter	A DMG teammate, patient, physician, vendor, Guest Teammate, Contracted Provider or external agent who acts on behalf of DMG, who reports a Potential

Term	Definition
	Compliance Violation, verbally or in writing, through any mechanism or communications channel, including the Compliance Hotline.
Retaliation	Adverse employment action and/or other adverse treatment such as intimidation, threats, coercion, or discrimination against a Reporter.

3. POLICY

3.1. Prohibition on Retaliation

3.1.1. DMG prohibits Retaliation against any Reporter who in Good Faith:

- Discloses, or expresses intent to disclose, information about a Potential Compliance Violation to DMG or a government agency.
- Participates in an investigation regarding a Potential Compliance Violation or testifies against the alleged offending individual or DMG.
- Objects to, or refuses to participate in, an activity that he or she feels involves a Potential Compliance Violation.
- Is involved in any compliance review or peer review process.

3.2. Obligation to Report

3.2.1. All teammates, Guest Teammates, Contracted Providers, and other parties obligated under contractual arrangements, must promptly report Potential Compliance Violations in accordance with the [Reporting Potential Compliance Violations policy](#).

3.2.2. Self-reporting is encouraged and is consistent with DMG's commitment to legal and regulatory compliance and transparency with stakeholders. Although self-reporting may be taken into account in determining what, if any, disciplinary action is appropriate or warranted, it will not exempt or insulate teammates from any such action. Self-reporting may also be taken into account when reviewing the circumstances of those Reporters who hold a contractual relationship with DMG

3.2.3. All reports of Potential Compliance Violations are taken seriously and will be investigated in accordance with compliance program protocols.

3.3. Management Responsibilities

3.3.1. Management must support this policy and encourage the prompt reporting of Potential Compliance Violations. At a minimum, managers must:

- Establish and promote an appropriate "tone at the top" and maintain an environment that encourages teammates to communicate openly about their concerns and ask questions.
- Periodically review with teammates the Code, DMG's compliance policies and procedures and applicable laws or regulations, or ensure teammates complete all required trainings regarding the same.
- In a timely manner, seek guidance regarding compliance related concerns from the Compliance department.
- Immediately inform the Compliance department of a potential Retaliation or reports of Retaliation.

- Use appropriate discretion regarding the confidentiality of investigations and those involved in the investigation.

3.4. Follow-Up to Reports

- 3.4.1.** The Compliance department, in collaboration with People Services and the DMG legal department as appropriate, is responsible for reviewing any complaint of Retaliation for reporting a Potential Compliance Violation.
- 3.4.2.** Teammates found to have engaged in Retaliation against another teammate, Guest Teammate, vendor or other third party will be subject to disciplinary action up to and including termination of employment. Action against other parties found to have engaged in Retaliation will be taken as the circumstance warrant.

4. PROCEDURES

4.1. Reporters who believe that they are the subject of Retaliation for reporting a Potential Compliance Violation in Good Faith should immediately report the suspected Retaliation to:

- A member of the Compliance department;
- Supervisor not involved in the issue (when applicable);
- Senior Management;
- People Services;
- DMG legal department; or
- The Compliance Hotline.

5. APPLICABLE DOCUMENTS

5.1. [Code of Conduct](#)

5.2. [Compliance Policies and Procedures](#)

5.3. [Reporting Potential Compliance Violations](#)

7. REVISION HISTORY

REVISION HISTORY			
Doc. Revision	Description	Revision Date	Last Date Reviewed
1.0	Policy Creation	Feb 2014	
2.0	Revised	Aug 2014	Aug 2014
3.0	Revised and Rebranded to DaVita	Jun 2017	Jun 2017
4.0	Rebranded to DMG	Jan 2018	Jan 2018
5.0	Annual policy review and updates	Nov 2018	Nov 2018