Vendor Code of Conduct

KAISER PERMANENTE®

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Your Responsibility to Commit to Ethics and Compliance

Kaiser Permanente[1] is committed to conducting business ethically, with integrity, and in compliance with all applicable laws, regulations, and Kaiser Permanente policies. Our Vendors[2] play an integral role in helping us meet these commitments. The Vendor Code of Conduct sets forth minimum standards and expectations of all Vendors, their employees, contractors, and sub-contractors when providing goods and services to Kaiser Permanente.

As a Kaiser Permanente Vendor, you have the responsibility to:

- Understand and comply with the Kaiser Permanente Vendor Code of Conduct and applicable laws, regulations, policies, and procedures as they apply to you.
- Provide the Kaiser Permanente Vendor Code of Conduct to your employees, contractors, sub-contractors, and anyone else who provides products and/or services to Kaiser Permanente on your behalf.
- Seek guidance when in doubt about your responsibilities.

Your Responsibility to Protect Our Information

Privacy and Security

Kaiser Permanente and its vendors are required to maintain the privacy and security of non-public Kaiser Permanente information, including but not limited to information about members, patients, and KP Personnel[3], in accordance with federal and state laws and Kaiser Permanente's privacy and security policies.

- If a Vendor's business relationship includes access to credit card data, the Vendor must meet the requirements of the Payment Card Industry Security Standards Council®.
- If a Vendor's business relationship with Kaiser Permanente requires access to or the disclosure of Protected Health Information (PHI) as defined by the Health Insurance Portability and Accountability Act (HIPAA) and implementing regulations, the Vendor may be required to sign Kaiser Permanente's business associate agreement.
- The Vendor shall not transfer or store non-public Kaiser Permanente information, including PHI and Personal Identifiable Information (PII), outside of the United States.
- Vendors are prohibited from utilizing online tracking technologies (e.g., pixels, cookies, beacons, tags) that track and/or collect any user website or digital application activity unless authorized by Kaiser Permanente in writing and deployed in accordance with applicable laws.
- Vendors are prohibited from conducting marketing activities targeting existing or prospective Kaiser Permanente members unless authorized by Kaiser Permanente in writing and done in accordance with applicable laws.
- Vendors are required to protect Kaiser Permanente's non-public information when using any form of social media.
- Vendors are required to protect Kaiser Permanente's non-public information when using any form of Artificial Intelligence (AI), including but not limited to ChatGPT.

Vendors are responsible for assuring that all their employees and contractors who provide products and/or services to Kaiser Permanente report privacy and security incidents to Kaiser Permanente using methods prescribed in the contract/Business Associates Agreement and/or to PrivacyIncidents@kp.org.

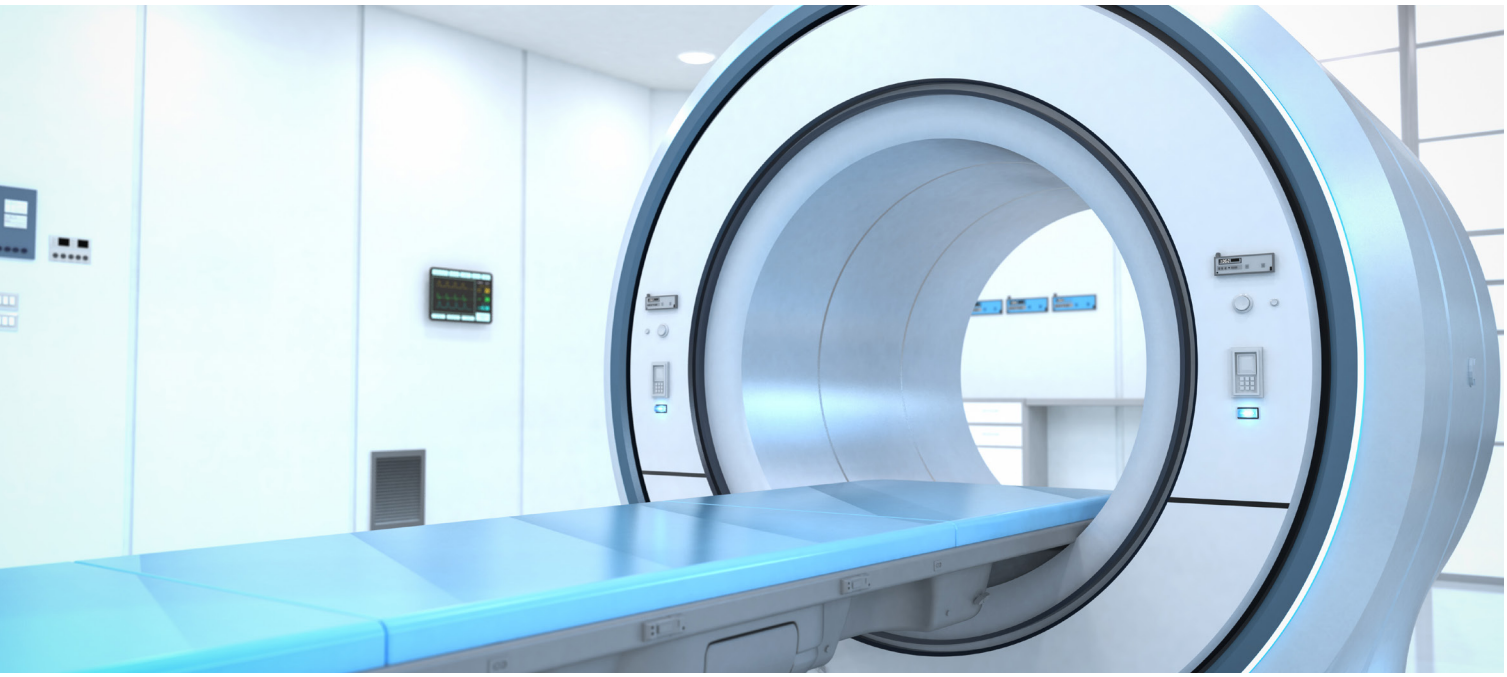
Appropriate and Limited Use of Kaiser Permanente's Information

Non-public information in any form or format that is created, acquired, accessed, collected, received, disclosed, transmitted, used, stored, maintained, or otherwise processed from a Vendor or on behalf of Kaiser Permanente should only be used in connection with contracted services.

Vendor shall not aggregate Kaiser Permanente information or deidentify Personally Identifiable Information or Protected Health Information for any purpose, including the Vendor's own internal business purposes, unless explicitly authorized in writing in advance by Kaiser Permanente.

Intellectual Property

Vendors are not permitted to use names, trade names, service marks, trade dress, or logos of Kaiser Permanente in any advertising, publicity, training and/or any learning and awareness materials on the internet or otherwise without first obtaining Kaiser Permanente's consent.



Business Record Retention

Kaiser Permanente requires Vendors to comply with all applicable laws, regulatory, and contractual requirements related to record retention.

This includes:

- creation, retention, and disposition of records (paper and electronic) related to Kaiser Permanente business, and
- making business records available to Kaiser Permanente in full compliance with all applicable laws, regulatory, and contract requirements.

Your Responsibility to Comply with Laws, Regulations, and Kaiser Permanente Policies and Standards

Non-Discrimination and Harassment

Kaiser Permanente partners with organizations that share our commitment to be inclusive of all communities and demographics. Kaiser Permanente requires Vendors to commit to an environment free of prohibited discrimination, harassment, and abuse. Kaiser Permanente forbids discrimination and harassment based on sex, age, race, color, religion, national origin, sexual orientation, gender identity, disability, veteran status, physical, verbal, psychological, sexual harassment, and other categories protected by federal, state, and local laws.

Labor Practices

Kaiser Permanente requires Vendors to protect human rights in their operations and not to use forced labor or engage in any other unlawful practices, including but not limited to human trafficking and child labor use.

First Tier, Downstream and Related Entities (FDR) & Downstream and Delegated Entities

Kaiser Permanente requires Vendors to conduct business activities in compliance with laws applicable to individuals and entities receiving federal funds. To the extent a vendor is a first tier, downstream, and/or related entity (FDR), and/or downstream and delegated entity (DDE), Vendors are obligated at a minimum to understand and adhere to compliance obligations as listed on the Kaiser Permanente's Vendor Information website.

Ineligible Vendors

Kaiser Permanente requires Vendors to assume full responsibility for taking all necessary steps to assure that officers, directors, employees, and contractors directly or indirectly involved in providing goods and services to Kaiser Permanente, have not been and are not currently excluded from participation in any federal program. Kaiser Permanente recommends Vendors screen their employees against federal and state watchlists prior to hire and monthly thereafter.

Kaiser Permanente will not do business or pay claims with any Vendor if the Vendor or any of its officers, directors, employees, or contractors are, or become, excluded by, debarred from, or ineligible to:

- participate in any federal health care program, or
- convicted of a criminal offense in relation to the provision of health care.

Visitation Requirements

Kaiser Permanente requires Vendors to comply with the applicable Kaiser Permanente supplier visitation policies and procedures; these are available at facilities upon request when visiting Kaiser Permanente facilities. Vendor representatives are required to schedule appointments and must register prior to visiting any Kaiser Permanente medical facility. Representatives will be required to state the area to be visited, and visits must be restricted to those location(s) only. Visitor badges provided by the facility must be worn at all times.

Anti-Bribery, Anti-Corruption, and Anti-Boycott

Kaiser Permanente requires Vendors to comply with all applicable anti-bribery and anti-corruption laws. Accordingly, Vendors may not directly or indirectly engage in any kind of bribery or kickbacks, including by promising, paying, offering, providing, or authorizing anything of value to a government official or political entity to gain an unfair business advantage.

Kaiser Permanente also requires Vendors to comply with anti-boycott laws and prohibits them from taking actions in furtherance or support of a boycott maintained by a foreign country against a country friendly to the United States.

Occupational Safety

Kaiser Permanente requires Vendors to maintain licenses and certifications required by all applicable laws and safety orders of the city, county, state, and country where the Vendor is located and where services are delivered or performed.

Sustainable Procurement

Kaiser Permanente is committed to purchasing products and services that have minimal impact on the environment and human health. Kaiser Permanente expects Vendors to offer products and services at competitive prices that meet our Environmentally Preferable Purchasing Standards for waste and chemicals of concern and support our environmental purchasing objectives. In support of Kaiser Permanente's greenhouse gas emissions reduction goals, Vendors are expected to establish their goals and take actions to reduce their greenhouse gas emissions and environmental footprint.

Your Responsibility to Meet our Ethical Standards

Conflicts of Interest

Vendors are required to avoid actions that may result in actual or perceived conflicts of interest. A "conflict of interest" exists when personal interest interferes in any way with the interests of Kaiser Permanente.

Vendors are required to disclose any actual, potential, or perceived conflicts of interest, in writing, to a Kaiser Permanente manager, who doesn't have a relationship with the Vendor. The Kaiser Permanente manager will contact the applicable compliance officer for guidance.

Example of a Conflict of Interest:

- KP Personnel working for a Vendor on Kaiser Permanente business.

Gifts and Business Courtesies

Kaiser Permanente discourages Vendors from providing gifts, meals, entertainment, or other business courtesies to KP Personnel.

The following gifts are prohibited:

- Gifts that exceed $25.00 in value
- Gifts, meals, or entertainment that **are given** on a regular, recurring basis
- Cash or cash-equivalents, such as checks, gift certificates, gift cards, stocks, coupons, or anything redeemable for cash
- Gifts, entertainment, discounts, rebates, favors, or other incentives that reasonably could be perceived as a bribe, payoff, deal, kickback, or any other attempt to gain advantage
- Tickets to attend sporting events, amusement parks, and any other type of entertainment
- Anything of value given to KP Personnel involved in Kaiser Permanente purchasing and contracting decisions, and
- Gifts or entertainment that violate laws, regulations, or Kaiser Permanente policy

Some Kaiser Permanente business units and markets have adopted stricter limits on acceptance of gifts and business courtesies, in which case, the Vendor must follow the more stringent policy.

Your Responsibility to Protect our Reputation

Publicity

Kaiser Permanente's Vendors are not permitted to speak about or on behalf of Kaiser Permanente, including in the news media, social media, other external/public communications advertising, press releases, or any other public announcement regarding their products or services in Kaiser Permanente facilities unless having obtained prior written authorization from Kaiser Permanente Corporate Communications.

Requests for Vendor References

Vendors seeking to interview a Kaiser Permanente representative or receive a reference regarding their products or services must obtain permission, in writing, from the Vice President of Sourcing.

Your Responsibility to Report Violations

Compliance Hotline

Anyone aware of a violation of this Vendor Code of Conduct or any suspected wrongdoing or misconduct should promptly report to Kaiser Permanente. The Kaiser Permanente Compliance Hotline is an anonymous reporting mechanism that is convenient for Vendors to report, without fear of retaliation, actual and suspected wrongdoing, fraud, waste, and abuse, safety concerns, and compliance violations, including violations by any individual acting on behalf of Kaiser Permanente or one of our vendors.

How to Report:

- **Call our Compliance Hotline**, which is available 24 hours a day, 365 days a year at:
  - US Toll-free Compliance Hotline at **1-888-774-9100**
- **Submit an online report** at kp.org/compliancehotline.

Appropriate action is taken against those found to have violated applicable law or Kaiser Permanente policy.

Fraud, Waste and Abuse (FWA)

Kaiser Permanente will investigate allegations of Vendor FWA, and, where appropriate, will take corrective action, including but not limited to civil suit or referral for governmental civil or criminal action. The Federal False Claims Act and similar state laws make it a crime to present a false claim to the government for payment. These laws also protect "whistleblowers" — people who report noncompliance, fraud, or who assist in investigations — from retaliation. Kaiser Permanente's policy prohibits retaliation of any kind against individuals exercising their rights under the Federal False Claims Act or similar state laws.

Your Responsibility to Uphold our Standards

Thank you for your commitment to upholding our high standards of ethical and compliant conduct. Together, we can maintain Kaiser Permanente's reputation for excellence.

For more information on Kaiser Permanente's policies and standards, or if you have any questions about what is expected of you, please contact your contract manager or visit Kaiser Permanente's Vendor Information website[4].

Footnote: As used in this Vendor Code of Conduct

[1] "Kaiser Permanente" consists of the entities participating in the integrated health care delivery organization doing business as Kaiser Permanente® and its affiliates, which includes, without limitation, Kaiser Foundation Health Plan, Inc., Kaiser Foundation Hospitals, The Permanente Federation, the Permanente Medical Groups, Kaiser Permanente Insurance Company, Kaiser Permanente Ventures, and all subsidiaries and successors of the foregoing, and Risant Health, Inc.

[2] "Vendor(s)" include any contractors, manufacturers, suppliers, distributors, wholesalers, service companies, and other businesses that provide, or seek to provide, products and/or services to Kaiser Permanente and/or Kaiser Permanente members or patients.

Vendor(s) does not include contractors who provide direct medical services (e.g., physicians and hospitals).

[3] "KP Personnel" means Kaiser Permanente physicians, dentists, employees, volunteers, and contingent staff.

[4] Kaiser Permanente's Vendor Information website: https://supplier.kp.org/formsreqs/