



Oswego Health Administrative
Policy and Procedure

Category A

To: Directors, Officers, Employees and Volunteers who provide substantial services to Oswego Health, Inc. and its affiliates (collectively “Oswego Health”)

From: Michael A. Harlovic, President and CEO

Policy: Whistleblower Policy: Reporting, Non-Retaliation and Non-Intimidation

PURPOSE:

The purpose of this Whistleblower Policy (this “Policy”) is to offer a mechanism for all Individuals (hereinafter defined as corporate team members, employees, board members, professional staff members, contractors, vendors, volunteers or others who provide substantial services to Oswego Health)

1. To raise and identify good faith concerns regarding violations, or suspected violations, of applicable law, corporate policy or fraudulent conduct (hereinafter referred to as Non-Compliant Conduct)
2. To cooperate in investigations by Oswego Health, governmental agencies, or law enforcement concerning violations or suspected violations.
3. To protect Individuals who take such action from retaliation and intimidation.

POLICY:

1. Reporting
 - a. Oswego Health is committed to maintaining a workplace where individuals have an affirmative duty to raise good faith concerns regarding Non-Compliant Conduct, including the provision of care to patients. It is the responsibility of every Individual to abide by applicable laws and regulations and support Oswego Health’s compliance efforts.
 - b. The Audit Committee of the Board of Directors of Oswego Health, Inc. (the “Audit Committee”) is responsible for selecting the Whistleblower Policy Administrator to oversee operational compliance with this Whistleblower Policy and to report all related findings to the Audit Committee, as required by the Audit Committee. The Audit Committee has selected the Oswego Health, Inc. Compliance Officer as the Whistleblower Policy Administrator.
 - c. Individuals who report their good faith belief of Non-Compliant Conduct may do so:

- Either orally or in writing to their director or supervisor or the Human Resources Vice President or Employee Relations Manager;
 - By calling the Whistleblower Policy Administrator at (315) 349-5939;
 - By calling Oswego Hospital's Compliance Hotline at (888) 373-5826;
 - By e-mailing Oswego Hospital's Compliance Hotline at www.ethicspoint.com; and/or
 - By mailing their written concern to the Whistleblower Policy Administrator at the following address: Oswego Health, Attn: Compliance Officer, 110 West Sixth Street, Oswego, NY 13126.
- d. Anonymous reporting is available; however, Oswego Health will be unable to provide feedback to the reporting party if anonymous reports are made.
- e. Whistleblower-related reports shall be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation. Disclosure of such reports to individuals not involved in the investigation constitutes a serious disciplinary offense and may give rise to other actions, including civil lawsuits.

2. Non-Retaliation and Non-Intimidation

- a. Oswego Health is committed to ensuring that an environment exists that promotes prevention, detection and resolution of Non-Compliant conduct without fear of retaliation or intimidation.
- b. Oswego Health expressly prohibits retaliation and intimidation against any Individual for the good faith reporting of suspected Non-Compliant Conduct
- c. Anyone who commits or condones any form of retaliation or intimidation will be subject to discipline up to, and possibly including, termination.
- d. Any individual who believes that he or she has been retaliated against as a result of reporting a violation or suspected violation should contact the Whistleblower Policy Administrator as set forth above.

3. Good Faith

Anyone reporting suspected Non-Compliant Conduct must act in good faith and have reasonable grounds for believing the information disclosed indicates Non-Compliant Conduct. The act of making allegations that prove to be unsubstantiated, and that prove to have been made maliciously, recklessly, or with the foreknowledge that the allegations are false, will be viewed as a serious disciplinary offense and may result in discipline, up to and including dismissal from the volunteer position or termination of employment. Such conduct may also give rise to other actions, including civil lawsuits.

4. Whistleblower Policy Administrator

The Whistleblower Policy Administrator, or the Audit Committee when applicable, shall have full authority to investigate reports of Non-Compliant Conduct made in accordance with this Policy and may retain outside legal counsel, accountants, private investigators, or any other resource that the Whistleblower Policy Administrator reasonably believes is necessary to conduct a full and complete investigation of the allegations.

The Whistleblower Policy Administrator is responsible for assuring:

- that proper investigative channels are utilized;
- that appropriate resources are brought to bear;
- that there are no conflicts of interest on the part of any party involved;
- that allegations are thoroughly addressed;
- that the Audit Committee receives a summary report of the investigation with suggestions, if appropriate, for corrective and remedial action; and
- that there is follow-up with the complainant.

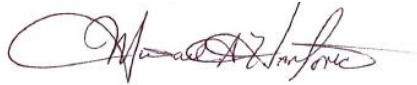
Directors who are employees of Oswego Health may not participate in any deliberations of the Board of Directors or any committee related to the administration of this Policy. Further, any person that is the subject of a report made under this Policy cannot be present at or participate in any deliberations or voting related to the complaint but may be requested by the Whistleblower Policy Administrator, the Audit Committee or the Board, as applicable, to present background information related to the reported Non-Compliant Conduct.

5. Distribution

This Policy shall be distributed by the Whistleblower Policy Administrator or by his or her designee to all directors, officers, employees and volunteers who provide substantial services to Oswego Health; provided that, the Policy Administrator may post this Policy, or cause this Policy to be posted, on Oswego Health's website and in a conspicuous location at Oswego Health's offices accessible to Oswego Health's employees and volunteers in lieu of annually distributing this Whistleblower Policy to all officers, directors, employees and volunteers who provide substantial services.

10/29/2020

Date



Michael A. Harlovic, President and CEO

Dev. 10/21/09

Revised: 8/2012, 2/28/13, 8/7/14, 11/2015, 11/2016, 11/2017, 4/2019, 10/2020

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