

COLUMBIA COUNTY COMMUNITY HEALTHCARE CONSORTIUM, INC. WHISTLEBLOWER POLICY

Introduction

The Columbia County Community Healthcare Consortium, Inc. (the “Organization”) requires its directors, officers, key persons, employees and volunteers, as well as all persons who provide the Organization with contracted services (each, a “Protected Person”), to observe the highest standards of business and personal ethics in the performance of their duties on the Organization’s behalf. As employees and representatives of the Organization, Protected Persons are expected to practice honesty and integrity in fulfilling their responsibilities and are required to comply with all applicable laws and regulations. As required, Protected Persons shall also include former employees.

The objectives of this Whistleblower Policy are to encourage and enable Protected Persons, without fear of intimidation, harassment, discrimination or other retaliation or, in the case of employees, adverse employment consequences, to raise concerns regarding suspected unethical and/or illegal conduct or practices, or conduct that violates adopted policies of the Organization, on a confidential and, if desired, anonymous basis so that the Organization can address and correct inappropriate conduct and actions. This includes reporting or disclosure of violation of (i) any duly enacted federal, state or local statute or ordinance or executive order; (ii) any rule or regulation promulgated pursuant to such statute or ordinance or executive order; or (iii) any judicial or administrative decision, ruling or order.

This policy is not intended as a vehicle for employees to report violations of the Organization’s applicable human resources policies, problems with co-workers or managers, or alleged employment discrimination or sexual or any other form of unlawful harassment, except in the case where it applies to the Whistleblower Policy. Such matters should be reported and addressed in accordance with the Organization’s Personnel Policies and Procedures.

Reporting Responsibility

It is the responsibility of all Protected Persons to report in good faith any concerns they reasonably believe to be illegal or in violation of the Organization’s policies with respect to, without limitation, fraud, theft, embezzlement, accounting or auditing irregularities, bribery, kickbacks, and misuse of the Organization’s assets, as well as any violations or suspected violations of high business and personal ethical standards, as such standards relate to the Organization (each, a “Concern”), in accordance with this Whistleblower Policy. In addition, Protected Persons may report claims they reasonably believe to pose a substantial and specific danger to public health or safety. Complaints can include retaliation for allegations of a violation of any law or executive order, including violations of non-discrimination laws. Protected Persons may report Concerns to the person and in the manner described in this Policy. However, claims can be made without bringing the matter to the employer’s attention. The employee will not have an obligation to disclose and allow the employer to address the issue when (1) there is an

imminent and serious danger to public health and safety; (2) the employee reasonably believes that the result of disclosure would be destruction of evidence or concealment of activity; (3) there is a reasonable expectation of activity that could lead to endangering the welfare of a minor; (4) the employee reasonably believes disclosing would result in physical harm to the employee or another person; or (5) the employee reasonably believes a supervisor is already aware and will not correct the problem.

No Retaliation

No Protected Person who in good faith reports a Concern shall suffer intimidation, harassment, retaliation, discrimination or adverse employment consequence because of such report. Retaliatory actions include actual or threatened adverse employment actions, actual or threatened actions that would adversely impact an employee's or former employee's current or future employment, and contacting or threatening to contact immigration or other authorities to report the actual or suspected immigration status of an employee or employee's family or household member. Any employee of the Organization who retaliates against someone who has reported a Concern in good faith is subject to discipline up to and including termination of employment. Notwithstanding anything contained herein to the contrary, this Whistleblower Policy is not an employment contract and does not modify the employment relationship between the Organization and its employees, nor does it change the fact that employees of the Organization are employees at will. Nothing contained herein is intended to provide any Protected Person with any additional rights or causes of action, other than those provided by law.

Corporate Compliance Officer

The Corporate Compliance Officer is responsible for investigating and resolving all reported Concerns and shall advise the Corporate Compliance Committee and, if she deems it appropriate, the Executive Director or the President, of all reported Concerns. The Corporate Compliance Officer shall report to the Corporate Compliance Committee on compliance activity at each regularly scheduled meeting of the Committee.

The Corporate Compliance Officer and her contact information is identified in Attachment 1. *Options for Reporting Corporate Compliance Concerns.*

Reporting Concerns

Any Concerns should be reported as soon as shall be practicable to the Corporate Compliance Officer. Any questions with regard to the scope, interpretation or operation of this Whistleblower Policy should also be directed to the Corporate Compliance Officer.

In the event a report Concerns the Corporate Compliance Officer herself, Concerns may be addressed to the Chair of the Corporate Compliance Committee of the Board of Directors.

Contact information for the Corporate Compliance Officer is included in Attachment 1. *Options for Reporting Corporate Compliance Concerns*. Additionally, Attachment 1 contains information regarding the Corporate Compliance Hotline, the Corporate Compliance Notification Box, and the Chair of the Corporate Compliance Committee.

Investigations

The Corporate Compliance Officer may delegate the responsibility to investigate a reported Concern to one or more employees of the Organization or to any other individual, including persons not employed by the Organization, selected by the Corporate Compliance Officer; provided that the Corporate Compliance Officer may not delegate such responsibility to an employee or other individual who is the subject of the reported Concern or in a manner that would compromise either the identity of an employee who reported the Concern anonymously or the confidentiality of the complaint or resulting investigation. Notwithstanding anything herein to the contrary, the scope, manner and parameters of any investigation of a reported Concern shall be determined by the Corporate Compliance Officer and the Organization and its employees shall cooperate as necessary in connection with any such investigation.

Acting in Good Faith

Anyone reporting a Concern must act in good faith and have reasonable grounds for believing that the information disclosed may indicate a violation of law and/or ethical standards. Any allegations that prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

Confidentiality

The Organization takes seriously its responsibility to enforce this Whistleblower Policy and therefore encourages any person reporting a Concern to identify him or herself so as to facilitate any resulting investigation. Notwithstanding the foregoing, in reporting a Concern, a Protected Person may request that such report be treated in a confidential manner (including that the Organization take reasonable steps to ensure that the identity of the reporting person remains anonymous). Concerns may also be reported on an anonymous basis. Reports of Concerns will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Handling of Reported Concerns

The Corporate Compliance Officer will acknowledge receipt of each reported Concern within five business days, but only to the extent the reporting person's identity is disclosed or a return address is provided. All reports will be promptly investigated; the scope of any such investigation will be at the discretion of the Corporate Compliance Officer, and appropriate corrective action will be taken if warranted by the investigation.

Records

The Corporate Compliance Officer will retain on a strictly confidential basis for a period of seven years (or otherwise as required under the Organization's record retention policies in effect from time to time) all records relating to any reported Concern and to the investigation and resolution thereof. All such records are confidential to the Organization and such records will be considered privileged and confidential.

Distribution

The Organization shall distribute a copy of this Whistleblower Policy to all Protected Persons. It will also be conspicuously posted on the Employee Notification Board, which is easily accessible, well-lit and frequented by employees.

A copy will be provided to all applicants via the agency website.

Policy adopted by the Organization's Board of Directors at its meeting on February 2, 2022.

Attachment 1. Options for Reporting Corporate Compliance Concerns

1. Corporate Compliance Officer:

Lisa Thomas
325 Columbia Street, Suite 200
Hudson, NY 12534
(518) 822-8820 Ext. 307
lisa@columbiahealthnet.org

2. Corporate Compliance Hotline:

(518) 822-8820 Option 5

Only the Corporate Compliance Officer has access to this extension and monitors it regularly. Appropriate action to all calls will be taken.

3. Corporate Compliance Notification Box:

Confidential and/or anonymous reports of corporate compliance concerns may be inserted in a lockbox, which is labeled "Corporate Compliance Notification" and is situated on the desk in the reception area adjacent to the Employee Notification Boards.

4. Chair of the Corporate Compliance Committee of the Board:

Art Proper
artproper@gmail.com
(518) 758-2156