

**EPIC MANAGEMENT, L.P.
BEAVER MEDICAL GROUP, L.P.
EPIC HEALTH PLAN**

**ADMINISTRATIVE POLICY AND PROCEDURE
COMPLIANCE**

SUBJECT: Non-Retaliation and Non-Retribution for Reporting Compliance Concerns	
DRAFTED BY: Sherry Miller, CCO	DATE: 8/17/2020
REVIEWED BY:	DATE:
REVISED BY:	DATE:
APPROVED BY: Compliance Committee	DATE: 8/17/2020
BOARD APPROVAL DATE: N/A	
EFFECTIVE DATE OF POLICY: 9/1/2020	

1. **PURPOSE:** This EPIC Non-Retaliation and Non-Retribution for Reporting Compliance Concerns Policy sets forth EPIC’s protections for Personnel from retaliation or retribution for reporting Compliance Concerns.
2. **ATTACHMENTS:** N/A.
3. **DEFINITIONS:**
 - a. All capitalized terms used but not defined in this Policy shall have the meaning attributed to them in the EPIC Compliance Program Definitions Policy.
 - b. In addition, the following capitalized terms shall have the following meanings for purposes of this Policy:
 - i. “Compliance Concern” refers to any suspected misconduct, compliance irregularities, or any other activity, practice, or arrangement that any Personnel member believes in good faith violates or may violate applicable laws or regulations, Federal Health Care Program requirements, EPIC Compliance Program Policies, or the EPIC Code of Conduct.
 - ii. “Compliance Hotline” refers to EPIC’s compliance telephone line, as described in the EPIC Duty to Report Compliance Concerns Policy.

4. **POLICY:** Personnel will be protected from retaliation, retribution, or harassment for the reporting of Compliance Concerns.
- i. EPIC shall not retaliate against, engage in any retribution, or otherwise harass in any manner any Personnel for reporting a Compliance Concern; provided, however, that EPIC may take corrective and/or disciplinary action against the reporter if such reporter was involved in the Compliance Concern at issue and/or made such report in bad faith.
 - ii. The Corporate Compliance Officer shall periodically make appropriate inquiry to determine whether those who report Compliance Concerns were victims of retaliation, retribution, harassment, or other improper conduct.
 - iii. All instances of retaliation, retribution, or harassment against reporting Personnel will be brought to the attention of the Vice President of Human Resources who will, in conjunction with the Corporate Compliance Officer (or their designee), investigate and determine the appropriate corrective action and/or discipline, if any.
 - iv. Any Personnel who engages in retribution, retaliation, or harassment — either committing the act or condoning it — against a reporting Personnel is subject to discipline or other appropriate corrective action up to, and including, termination.
- b. **Corrective and/or Disciplinary Action**
- i. EPIC shall take appropriate corrective and/or disciplinary action, up to and including termination, against any Personnel who violates any laws or regulations, Federal Health Care Program requirements, EPIC Compliance Program Policies, or the EPIC Code of Conduct.
 - ii. The fact that a Personnel member reported their own misconduct — and the truthfulness and completeness of that self-disclosure — will be a mitigating factor in determining the appropriate level of any corrective and/or disciplinary action, but will not exempt the Personnel member from corrective and/or disciplinary action.
 - iii. No corrective and/or disciplinary action shall be taken against any Personnel who mistakenly reported what they reasonably and in good faith believed to be a Compliance Concern.
 - iv. Any Personnel may, however, be subject to corrective and/or disciplinary action if it is determined that the report of misconduct or

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suspected violation of the Compliance Program was not made in good faith (e.g., was knowingly fabricated, distorted, exaggerated or minimized to injure someone else, protect themselves or for any other reason).

- v. Any Personnel member who misuses the Compliance Hotline or attempts to interfere with efforts to investigate or address a Compliance Concern is subject to corrective and/or disciplinary action up to and including termination of their employment or engagement by, or affiliation with, EPIC.

c. **Documentation**

- i. EPIC shall document compliance with this Policy and shall maintain such documentation in compliance with the EPIC Compliance Program Records Retention Policy.