


STANDARD OPERATING POLICIES AND PROCEDURES		
 option care health™	Compliance Reporting and Non-Retaliation	Corporate Compliance CCP-002

PURPOSE

This policy sets forth the resources available to Option Care Health Team Members to ask questions and report concerns regarding legal, regulatory compliance, accounting and auditing matters. This policy also establishes the responsibility of all Team Members to ask and report such questions and concerns, and articulates Option Care Health’s prohibition on retaliation against individuals bringing forward issues and concerns in good faith.

DEFINITIONS

“Option Care Health Team Members” includes employees, personnel and/or individuals performing services at or on behalf of Option Care Health, including independent contractors, agency and temporary staff performing services on our behalf, volunteers, students, contract workers, vendors and Board members, as well as other persons whose conduct, in the performance of work at Option Care Health are under the direct control of Option Care Health, whether or not they are paid by Option Care Health.

APPLICATION:

This Policy is applicable to all Option Care Health Team Members, with respect to asking questions or reporting concerns regarding potential violations of compliance requirements and potential misconduct, including matters related to accounting and auditing matters.

POLICY

1. A culture of corporate compliance is fostered in an environment that promotes open communication, including candid discussion of concerns about compliance with applicable laws, regulations, and Option Care Health policy. It is Option Care Health’s policy to provide an effective process for Option Care Health Team members to express concerns or report potential violations regarding Option Care Health business conduct, quality of care, and accounting and auditing matters, including potential misconduct by other Option Care Health Team members, without retaliation or intimidation.
2. All managers within Option Care Health are responsible for creating and maintaining a work environment that encourages open and effective communication, including asking questions about legal and regulatory requirements and the reporting of compliance concerns or concerns related to accounting and auditing matters, as well as participation in investigation, audits, self-evaluations and remedial actions.
3. All Option Care Health Team Members have a duty to report, promptly and in good faith, any illegal, unethical, unprofessional or potentially noncompliant activity or conduct, including any possible violations of Option Care Health’s policies and/or concerns regarding accounting and auditing matters. Option Care Health Team Members are encouraged and expected to inquire about Option Care Health’s compliance with laws, regulations, and its own policies, particularly if such persons are unsure as to whether an action, activity, or decision is consistent with law, regulation or Option Care Health policy.

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4. Option Care Health Team Members are expected to fully and honestly cooperate and participate in investigations as responsive corrective actions to bring matters to resolution.
5. **Asking Questions About Compliance Requirements:** Option Care Health maintains an “open door policy” and encourages Option Care Health Team Members to participate in an open dialogue regarding questions or concerns that may arise in the course of conducting business at Option Care Health.
 - a. Option Care Health Team Members are encouraged to raise compliance questions with any of the following individuals:
 - i. Their immediate manager or supervisor;
 - ii. The Chief Compliance Officer or other members of the Compliance Department;
 - iii. The General Counsel or other members of the Legal Department;
 - iv. The Chief Human Resources Officer or other Human Resources representatives.
 - v. In addition to the above individuals, Option Care Health Team members are also encouraged to raise questions on accounting and auditing matters with the Chief Financial Officer or other Accounting representative.
 - b. Reported compliance issues and concerns are to be directed to the Compliance Department to coordinate review and/or investigation and responsive actions.

6. **Reporting Potential Compliance Violations:**

- a. Option Care Health Team members may report potential compliance violations to any of the following individuals: their immediate manager or supervisor, the Chief Compliance Officer, the General Counsel, the Chief Human Resources Officer, or the Chief Financial Officer (as it relates to accounting and auditing matters).
 - i. Leaders receiving report of compliance issues and concerns are to direct them to the Compliance Department to coordinate review and/or investigation and responsive actions
- b. Option Care Health Team members may call the Option Care Health Compliance Hotline at **(844) 279-8889** to report possible compliance violations or misconduct, including matters related to accounting and auditing at any time of the day or night. Additionally, Team Members can make an online report via the third party hosted EthicsPoint website: <http://www.optioncarehealth.ethicspoint.com/>. **Calls to the Option Care Health Compliance Hotline or online reports can be anonymous.**
 - i. Callers and online reporters are asked to provide details of the incident or issue being reported. To investigate a report thoroughly and effectively, Option Care Health may find it necessary to ask the person making the report for additional details, which could, directly or indirectly, result in identification of the individual. The person making the report may provide such additional information at his or her discretion. Declining to provide additional information may prohibit Option Care Health from fully investigating the matter and taking remedial action.
 - ii. Callers are provided with a case number to reference in the event that they have any further concerns and for purposes of receiving Option Care Health’s response on or after the designated date provided upon calling back to the Compliance Hotline.
 - iii. When filing an online report, a unique user name is generated and the reporter must create a password. Reporters can return to the EthicsPoint system to add

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more detail or answer questions that may help resolve open issues. Any dialogue in the system can remain anonymous.

- c. Reports of compliance issues can be made directly to federal and/or state agencies. Example include but are not limited to the agencies below and also, additional information around whistleblower protections for reporting to state officials may be found in Appendix A of our False Claims Prevention Policy CCP-008.
 - i. Medicare or Medicaid Fraud may be reported by phone to the Health & Human Services Office of the Inspector General at 1-800-HHS-TIPS. (1-800-447-8477) TTY: 1-800-377-4950; Online at the Health & Human Services Office of the Inspector General Website <https://oig.hhs.gov/FRAUD/REPORT-FRAUD/INDEX.ASP>; by fax to 1-800-223-8164; or by mail to the Office of Inspector General. ATTN: OIG HOTLINE OPERATIONS. P.O. Box 23489, Washington, DC 20026.
 - ii. New York Medicaid wrong-doing such as kickbacks, unacceptable medical or billing practices, misusing or abusing Medicaid services or falsifying records to the New York State Medicaid Inspector General online at <https://omig.ny.gov/fraud/file-an-allegation> or by phone at 1-877-87 FRAUD (1-877-873-7283).
- d. Any reports of misconduct related to accounting and auditing matters will be reported to the Board Audit Committee.
- e. Option Care Health takes all reports of potential compliance violations or misconduct, including matters related to accounting and auditing seriously, and will conduct investigation and take remedial action as necessary. If Option Care Health determines that a compliance violation or misconduct has occurred, including accounting and auditing matters, and/or failure to report and/or encouraging compliance violations or misconduct, appropriate disciplinary measures will be taken, up to and including termination, in accordance with the Corporate Compliance Policy on Disciplinary Action, CCP-005.
 - i. Upon receipt of reported concerns, whether from the Compliance Hotline or other methods, such as email, phone call or in-person report, the Compliance Department shall engage and/or designate Option Care Health Team Members to conduct a full investigation of the matter and report back on results and findings expeditiously.

Team Members tasked with investigating reported matters shall keep the identity of reporters confidential and maintain anonymity to the extent possible during the course of investigation and through resolution of the matter. Option Care Health may not be able to maintain the confidentiality of an individuals' identity in situations where we are required to turn the matter over to law enforcement or disclose information pursuant to a legal proceeding.

7. *Appropriate Matters for Reporting:*

- a. Generally, appropriate matters for reporting include good-faith concerns regarding compliance or possible misconduct, such as but not limited to:
 - i. Violations of criminal, civil or administrative law or regulation;
 - ii. Violations of the Option Care Health Code of Business Conduct;
 - iii. Violations of any Option Care Health policies and procedures;
 - iv. Potential instances of falsified documentation, billing, or other fraud;

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- v. Misconduct related to accounting and auditing matters;
- vi. Violations triggering quality of care concerns;
- vii. Any other wrongdoing within Option Care Health.

8. **Prohibition Against Retaliation:**

- a. Retaliation against, or intimidation of, Option Care Health Team Members who, in good faith, ask a question, seek advice, raise a concern, or report misconduct, and/or participate in an investigation, audits, self-evaluations, reports to external officials, and/or remedial and/or corrective actions related to bringing resolution to a compliance matter is strictly prohibited, even if Option Care Health ultimately concludes that there was no violation.
- b. No Option Care Health Team Members will be subject to a denial of benefits, termination, demotion, suspension, threats, harassment or discrimination for asking a question or reporting a concern in good faith, or for providing information in an investigation, or other proceeding related to such a report as well as conducting and/or participating in corrective actions to bring resolution to the matter.
- c. Any Option Care Health Team Members who believes that he or she has been retaliated against for reasons set forth above is encouraged to contact the Chief Compliance Officer or the Option Care Health Compliance Hotline at **(844) 279-8889**.
- d. Option Care Health Team Members who engage in retaliation or intimidation in violation of this Policy will be subject to disciplinary action up to and including termination, in accordance with the Corporate Compliance Policy on Disciplinary Action, CCP-005. Any person who retaliates against another person for reporting actual or potential violations of law or regulation also may be subject to criminal and civil liability under the U.S. federal and state laws.
 - i. New York Labor Law: As set forth in sections 740 and 741 of the New York State Labor Law, Option Care Health prohibits intimidation or retaliation for participation in the compliance program, including but not limited to investigations, issues, self-evaluations, audits, remedial actions and/or reporting to appropriate officials.

9. Questions related to this policy may be directed to the Chief Compliance Officer at (312) 940-2526 or the Compliance Department at OC-Compliance@optioncare.com.

Version	Revision Date	Sections Impacted
1	01/06/2016	3 – Updated Chief Compliance Officer contact information
2	09/07/2016	#3- Updated all contact information
3	02/03/2017	Added accounting and audit misconduct reporting contact information
4	12/06/2018	Updated Definitions to include “Team Member”; added New York State labor law required language
5	12/28/2018	#6 – Revised to include investigation process, process for receiving hotline investigation responses and reporting issues externally.
6	01/15/2019	Transitioned to MyPolicies
7	11/1/2019	Transferred Policy into Option Care Health template. Updated section 6 to including online reporting.

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8	11/1/2020	Annual Review. No changes required.
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