

BROOKS[®]



Rehabilitation

CODE OF CONDUCT

MESSAGE FROM LEADERSHIP

The Brooks Rehabilitation (Brooks) Board of Directors and senior leadership are committed to the highest ethical behavior. The Brooks Code of Conduct (Code) provides guidance on expectations and behaviors. This Code reinforces our mission, vision and values. The Code promotes compliance with applicable laws, rules, and regulations.

The Brooks environment is constantly changing. Change results in challenges. To help meet these challenges, we have a corporate compliance program. The program sets standards, provides information and measures performance.

The success of this program depends on the shared values of our employees. Ongoing recognition of the program is important to meet the highest regulatory standards. Meeting those standards is critical for our continued success.

As CEO, I fully endorse the compliance program. Brooks Rehabilitation assumes a leadership role in meeting the highest standards of integrity.



Doug Baer
CEO

Vision: Brooks Rehabilitation is the recognized leader in providing a system of world-class rehabilitation solutions advancing the health and well-being of our communities.

Mission: To empower people to achieve their highest level of recovery and participation in life through excellence in rehabilitation.

Values: Excellence in care, as demonstrated through innovation, integrity, service, compassion, teamwork, accountability and continuous learning.

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Introduction

Employees must follow the Brooks Code of Conduct and Compliance Program. Employees are required to report potential violations to the Compliance Office at **904-345-7010**. Failure to report violations can lead to disciplinary action.

Employees should use good judgment when making decisions. To help employees, Brooks' policies and procedures provide guidance.

The Compliance Department provides a toll free HELPLINE. The HELPLINE is for reporting potential violations or asking questions.

The HELPLINE is managed by an independent company and is available 24 hours a day, 7 days a week. You may report issues anonymously. Concerns reported must contain enough information to complete an investigation.

It is Brooks' policy that no one will be punished for good faith reporting.

Once issues or concerns are reported, an investigation will be conducted.

HELPLINE: 1-866-TELL-BHS

Online: www.lighthouse-services.com/brooksrehab

Compliance Office: (904) 345-7010

Conflicts of Interest

Brooks employees must not do anything where their personal interests could conflict or reasonably appear to conflict with the interests of Brooks. For example, if you were to participate in any business opportunity where you might receive personal financial gain apart from your normal wages, you could be in a conflict of interest situation.

Personal Financial Gain

You should not take any money separate from your normal wages that could affect your decision making abilities as a Brooks employee, such as:

- You or a family member taking money from a company that does business with Brooks.
- You or a close family member having ownership in a business that competes with Brooks.

Brooks' Confidential and Private Business Information

You should always protect Brooks' confidential and private business information. This includes information not generally made known to the public or information that could be useful to Brooks' competitors. This could include, in some cases:

- Financial data
- Information about expansion plans
- Capital investment plans
- Managed care contracts
- Planned new projects
- Employee information
- Projected earnings
- Liability coverage issues

You should only discuss Brooks' confidential and private business information with others on a need-to-know basis. Brooks' private information should only be disclosed to persons outside of Brooks when an approved disclosure agreement has been obtained. Do not mistakenly discuss confidential information in social conversations or in routine business relations.

Company Property

Brooks' equipment, money, supplies, ideas, plans, and other information about our business are to be used for the benefit of Brooks. You may not use Brooks' assets for your personal gain. In some cases property that is no longer needed by Brooks can be sold to employees at a fair cost.

Social Media

Social media refers to online communities and personal blogs in which users post information, personal messages and other content. When you use social media:

- ✓ Do **not** post protected health information (PHI)
- ✓ Do **not** post pictures of patients, residents or members
- ✓ Do **not** speak on behalf of Brooks unless authorized to do so
- ✓ Do **not** initiate online social relationships with current or former patients or residents
- ✓ Do **not** answer health-related questions on social networking sites
- ✓ Do **not** use your Brooks work email on social networking sites
- ✓ Do **not** post comments of any kind about current or former patients or residents. This applies even if the individual's name is not mentioned
- ✓ **Do** be professional, use good judgment, be accurate and be honest in what you say

HIPAA

The HIPAA Privacy Rule gives individuals a right to know the privacy practices of their health plans and of most of their health care providers. Individuals also get to know their privacy rights with respect to their personal health information. Brooks provides our patients with a clear explanation of these rights and practices. All employees are required to maintain the privacy of every employee's, patient's or resident's protected health information (PHI). This includes maintaining the security of electronic protected health information (EPHI). If you have questions regarding use or disclosure of PHI or EPHI please contact the Privacy Officer.

Gifts

No employee may ever ask for or accept cash or cash-equivalent gifts (e.g. gift cards) from patients, contractors or vendors/suppliers. Any cash or cash-equivalent gift must be returned with an explanation of Company policy.

Employees may accept non-cash equivalent gifts of small value (e.g. a fruit basket or food items). The gift should not exceed a total value of \$50. In the event you receive a spoilable food gift, you may accept the gift and share it with your team or department.

Federal Stark Laws limit gifts to physicians and their immediate family members to a certain dollar amount yearly. This amount is adjusted for inflation on an annual basis. See Brooks Policy CC-047 (*Gifts, Gratuities and Non-Monetary Compensation to Physicians*) for the annual limit. Gifts to individuals who refer patients to Brooks cannot be cash or cash equivalents. Gifts should be given infrequently. Gifts should not exceed a value of \$50. Additionally, the amount of the gift cannot be determined in a manner that takes into account the volume or value of referrals. You or your family may not take or give gifts, discounts or kickbacks in exchange for patient referrals. Kickbacks are not limited to cash payments. Gifts must not violate the Anti- Kickback Statute.

You must never ask suppliers to buy our products or services in order to become a Brooks supplier.

If you have a question regarding whether you should or should not accept or give a gift contact the Compliance Officer.

Entertainment

Employees may accept vendor gifts, entertainment and other benefits from vendors so long as such items do not exceed the annual \$50 gift limit. Participation in organized charity events, at the vendor's request, such as luncheons and similar events, where the vendor has purchased tables or teams, provided that the Brooks employee does not solicit the vendor to participate in the event.

Anti-Bribery Laws

It is illegal in the United States to offer a bribe to any U.S. or foreign government official. Bribes include cash, gifts, services, entertainment or anything of value.

Overpayments by Government Entities

Overpayments must be refunded. Refund overpayments according to regulatory requirements.

Other Improper Payments

Brooks' funds or assets must be used for lawful purposes. Brooks' records must support payments to third parties.

False Claims Act

The federal government and many states have False Claims Act laws. These laws are used to punish crimes for billing-related fraud, waste and abuse. Examples of actions that could cause a violation of these laws include:

- ✓ Charging for a service that was not provided.
- ✓ Charging for services not ordered by a physician or appropriately licensed person.
- ✓ Charging for a service that differs from the actual service provided.

If you suspect billing errors, you have a duty to report these to management or the Compliance Officer. Employees who report in good faith are protected and do not need to fear that anyone will attempt to "get even." Refer to Policy CC-041 (*Fraud and Abuse: Federal and Florida False Claims Act*) and Policy CC-007 (*Non-Retaliation*) for additional details.

False Information in Records

Brooks' financial and medical records must be correct. You must not create or be a part of the creation of any false records. This includes records intended to mislead or to hide anything that is improper.

- ✓ It is against our policy for any employee to cause our books and records to be inaccurate
- ✓ Do not make records appear as though payments were made to one person when payments were made to another
- ✓ Do not submit expense accounts which do not accurately record the real expense
- ✓ Do not create any records that do not truthfully show what occurred
- ✓ Permanent entries in Brooks records must never be altered
- ✓ Payment may not be made if any amount will be used for a purpose other than that described in the documents supporting the transaction

Retention of Records

Brooks' records and files must never be destroyed until they meet the holding period required by law. There are federal and state laws which require that certain records be kept for specific periods of time, particularly records related to:

- ✓ Contracts
- ✓ Employees
- ✓ Health, safety and the environment
- ✓ Patients
- ✓ Research
- ✓ Taxes and finances

Records relating to any pending lawsuit, government investigation, or audit must not be destroyed until the entire matter is fully settled and closed. Destroying records to avoid discovery in a legal proceeding may be a criminal offense. For more information refer to Policy CC-011 (*Records Retention*) for guidance on retention periods and restrictions.

Safety, Health and Environment

Brooks is committed to providing a safe and healthy workplace. Brooks is committed to protecting the environment and managing natural resources. These commitments are met only through your cooperation. Each of us has a responsibility to:

- ✓ Follow safe operating procedures
- ✓ Guard your own and your fellow employees' health and safety

Brooks follows the law concerning hazardous materials/waste. It is our policy to obey the law and to cooperate with inspection and enforcement personnel. You are encouraged to report any conditions that you believe to be unsafe, unhealthy or hazardous to the environment.

Employee Relations

Everyone should be treated with respect at Brooks. This includes our patients, their families and your coworkers.

Brooks Rehabilitation is an Equal Opportunity Employer that does not discriminate on the basis of actual or perceived race, creed, color, religion, alienage or national origin, ancestry, citizenship status, age, disability or handicap, sex, marital status, veteran status, sexual orientation, genetic information, arrest record, or any other characteristic protected by applicable federal, state or local laws. Our management team is dedicated to this policy with respect to recruitment, hiring, placement, promotion, transfer, training, compensation, benefits, employee activities and general treatment during employment. See Employee Handbook for additional information. If you know or suspect a possible violation this should be reported. If an employee feels that he or she has been subjected to conduct which violates this policy, he or she should immediately report the matter to his/her supervisor, Human Resources, or the Compliance HELPLINE (866-TELL-BHS).

Political Activity

You are encouraged to participate in the political process outside of the workplace. You are not allowed to take part in political activities during work hours.

You are prohibited from wearing your Brooks Identification (ID) badge to political events.

It is against Brooks' policy and may be illegal for you to:

- ✓ Request reimbursement for any political donation. This includes the cost of fundraising tickets for political functions.
- ✓ Use any Brooks' property, facility, intranet or employee time for political activities. Examples include:
 - Using secretarial time to send invitations for political fundraising;
 - Using Brooks' telephones to make political solicitations; or
 - Allowing any candidate to use meeting rooms for political campaigning.

Frequently Asked Questions:

Q. I believe someone got a contract because he/she is dating the manager. Is that all right?

A. No. Contracts should be based on merit. A dating relationship would be considered a conflict of interest in this situation. The manager should disqualify himself/herself from the contract selection process.

Q. If I call the Compliance HELPLINE will anyone in management be told that it was me who reported the violation of the Code of Conduct?

A. No. When you call the HELPLINE the report sent to Compliance does not identify the source of the information unless you provided your name. Your identity, if given, is kept in the strictest confidence.

Q. A competitor called me today and asked me if we planned to bid on a certain contract. What should I do?

A. You are not to share any information regarding potential contracts or strategies with anyone who is not authorized to know this information.

Q. I recently saw a patient with whom I went to high school. I would like to contact her. Is it okay for me to look up her patient record to get her home phone number?

A. No. Accessing a patient record for any reason other than treatment and billing is prohibited. That would be a misuse of the patient's private information and could lead to disciplinary action up to and including termination.

Q. Especially around the holidays patients and/or family members may offer gifts of money. Should such gifts be accepted?

A. No. Cash gifts or cash-equivalent gifts must never be accepted from a patient, a patient's family member, or a business partner.

Q. I accidentally charged a patient's bill to the wrong insurance. I'm afraid if I tell my supervisor, I will get fired. What should I do?

A. You must correct the problem by speaking to your supervisor immediately. Brooks is obligated to comply with all laws regarding patient billing.

Q A coworker frequently posts to Facebook and makes reference to his day at work. He does not mention patient names. The level of detail given about some cases makes me uncomfortable. What should I do?

A. Omitting a name does not guarantee that the patient cannot be identified. You should discuss with your supervisor, Human Resources or contact the Privacy Officer for assistance.

Compliance Team



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