



KINDRED HEALTH CARE, LLC.
EDUCATION/TRAINING



2020
Educator's Guide
General Compliance Training (GCT)

In use beginning March 11, 2020

This training is required to be completed by:

- All current employees, covered persons and current select covered contractors (Compliance Policy 4.0: Compliance Training by December 31, 2020).
- All New Hires within 30 days of hire
- All New Acquisitions within 30-days of start up

The 2020 General Compliance Training will meet the General Compliance Training requirement for the 2020 calendar year. In addition, micro training materials will be distributed throughout the year.



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March 10, 2020

Dear Educator or Training Facilitator,

Kindred's 2020 General Compliance Training (GCT) focuses on the values, standards and expectations outlined in the Company's Code of Conduct (Code). It is our expectation that you conduct your work responsibilities in an ethical and legal manner, in order to achieve quality outcomes and create a culture that is based on integrity.

As an Educator or Training Facilitator, you have an important responsibility to communicate Kindred's culture, values and fundamental Code of Conduct principles. In order to accomplish our goals as a healthcare provider, we must create an environment that:

- allows employees to approach supervisors and managers about concerns or potential wrong-doing,
- maintains an atmosphere of non-retaliation for employees who, in good faith, report potential concerns, and
- encourages and creates opportunities for employees to 'do the right thing'.

The Compliance Department appreciates your efforts in providing this training to your staff. If there is anything we can do to support you in this effort, please let us know.

Sincerely,

A handwritten signature in black ink, appearing to read "Tami Johnson".

Tami Johnson
Sr. Vice President
Chief Compliance Officer



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General Compliance Training Guide



KINDRED HEALTH CARE, LLC. EDUCATION/TRAINING

Overview

Mission Statement

Kindred Healthcare's Mission is to promote healing, provide hope, preserve dignity and produce value for each patient, resident, family member, customer, employee and shareholder we serve.

Compliance Program

The objective of Kindred's Compliance program is to prevent, detect and correct non-compliance with the laws and regulations that govern our business. The Code of Conduct and our General Compliance Training are often the most visible components of our Compliance Program. The Compliance Department website, found on Knect, provides additional information on General Compliance topics, policies and procedures that apply to our practices, training materials and the Code of Conduct.

Compliance Concepts

- Compliance is everyone's responsibility.
- Compliance is a commitment to conduct *all* business and job responsibilities in an ethical and legal manner.
- Compliance focuses on systems/processes in addition to outcomes.
- Compliance strives to achieve a balance between "regulatory" and quality improvement approaches.
- Compliance integrates the goal to "do it right" with a culture of continuous quality improvement.
- A Compliance Program is a comprehensive strategy of internal procedures and controls to ensure compliance with applicable laws and regulations by preventing, detecting and correcting improper actions.

Session Agenda

The Compliance Training reviews some of the key components of Kindred's Compliance Program as well as core topics in the Code of Conduct. This training can be presented by LMS (**preferred method), DVD (SAU or by request), through printed written materials or through an instructor led session.

- Presentation can be viewed from:
 - Kindred Learning System (LMS)
 - Kindred Learning Center
 - External Kindred Website (www.kindred.com)
 - DVD (Upon special request)
 - Relias (RehabCare)

Conducting the Training: Learning Management System (LMS)

The preferred method of training is to have the individual learner logged into either the Kindred Learning Center, LMS or Relias. These platforms should be used whenever possible as it automatically logs completed training whenever possible.

Learner Instructions Kindred Learning Center:

- Go to:
 - Knect>
 - Global>
 - Kindred Learning Center>
 - Click “Take a Course”
 - Log into SuccessFactors through your Authentication process.
 - Click “Learning” in the bottom right hand corner
 - My Learning Assignments will contain the General Compliance Training Course. It is called “Kindred 2020 Compliance Program Training”.



REQUIRED

Kindred 2020 Compliance Program Training

WBT KND-GCT-2020-COMP-FULL rev.1 3/5/2020

- This course is roughly 30 minutes for the video and associated questions and an additional hour for the review of the Code of Conduct.
- Click: “Click here for the Kindred Healthcare Code of Conduct”; review on line or print as needed.
- Click the green “Start” arrow to launch: “Kindred Healthcare Code of Conduct Attestation”. The Code of Conduct attestation must be completed annually and is separate from the GCT requirement. The Code of Conduct consists of 6 questions; all of which need to be answered correctly to pass and get credit. A score lower than 100% will require retaking the exam.
- Click the green “Start” arrow to launch the General Compliance Training presentation and view all slides. You will know that you have completed the training when you see a slide indicating ‘the training is now complete’.
- Direct questions and comments regarding this material to your supervisor.

Learner Instructions for LMS:

- Go to:
 - Knect>
 - Global>
 - Learning Management System>
 - LMS Application>
 - Verify “This is Me”>
 - My Training Catalog>

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- Search for G-2018 General Compliance Training -WBT
- Click: “View Details” bubble.
- Click: “Click here for the GCT Supplemental Reading”; review online or print (if needed).
- Click: “Click here for the Kindred Healthcare Code of Conduct”; review on line or print as needed.
- Click the green “Start” arrow to launch: “Kindred Healthcare Code of Conduct Attestation”. The Code of Conduct attestation must be completed annually and is separate from the GCT requirement. The Code of Conduct consists of 6 questions; all of which need to be answered correctly to pass and get credit. A score lower than 100% will require retaking the exam.
- Click the green “Start” arrow to launch the General Compliance Training presentation and view all slides. You will know that you have completed the training when you see a slide indicating ‘the training is now complete’.
- Direct questions and comments regarding this material to your supervisor.

Supervisor Instructions:

Verify in your sites training application that the team has completed their training. The learner has been credited as having attended a session of the “2018 General Compliance Training -WBT”. The Kindred Learning Center, *LMS and Relias will automatically credit individuals who have completed the training.*

Conducting the Training: Kindred's External Website

Learner Instructions:

- Go to:
 - www.kindred.com
 - Employees>
 - Compliance>
- Print & Sign: GCT Attendance Roster. **The roster must be signed because there is no electronic attestation capability from the external website.
- Review: GCT Supplemental Reading Material.
- Review: Kindred Healthcare Code of Conduct.
- Print & Sign: Kindred Healthcare Certificate of Compliance **The Code of Conduct attestation must be signed annually.
- Click: "Click Here for the 2018 General Compliance Training Video".
- Direct questions and comments regarding this material to your supervisor or to the Compliance Department.
- Submit to your supervisor:
 1. The signed GCT Attendance Roster acknowledging review of GCT and supplemental materials.
 2. The signed Certificate of Compliance acknowledging acceptance of the Code of Conduct.

Supervisor Instructions:

- Collect signed Certificates of Compliance and maintain in the learner's local personnel file.
- Collect signed General Compliance Attendance Roster and maintain in local file.
- Designated training coordinators manually credit the learner in LMS as having attended a session of the "2017 General Compliance Training -WBT".
- If unable to manually credit the employee in LMS, fax the completed roster to your division LMS Administrator. Division LMS Administrator contacts are as follows:
 - Hospital Division – Patti Bischof/Debbie Pottinger (fax 502.596.4216)
 - RehabCare Division – Patti Mullins (fax 877.747.9055 or email scanned signed roster to RehabLMSTracking@rehabcare.com)

Conducting the Training: Instructor Led Session (Video or Printed PowerPoint) - ILT

Supervisor Instructions:

- The instructor led session may be presented by video training or by printing the GCT PowerPoint presentation with speaker notes.
 - The video may be shown:
 - LMS, Relias, the Kindred Learning Center or via You-Tube Video
 - DVD (SAU only or upon special request)

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- Kindred’s external website (www.kindred.com)
- Compliance Department website(Knect-Global-Compliance)
- Written materials are available:
 - Compliance Department Website (Knect-Global-Compliance)
 - Kindred’s external website (www.kindred.com)
- Review: GCT Supplemental Reading Material (attached to this guide)
- Review: Kindred Healthcare Code of Conduct
- Print, distribute & have attendees sign: GCT Attendance Roster**Roster must be signed because the learner is not logging individually into LMS.
- Print, distribute & have attendees sign: Kindred Healthcare Certificate of Compliance Certificates of compliance must be signed annually.
- Collect signed Certificates of Compliance and maintain in the learner’s local personnel file.
- Collect signed General Compliance Training Attendance Sheets and maintain in local file.
- Designated training coordinators manually credit each learner into LMS as having attended a session of the “2017 General Compliance Training - ILT”.
- If unable to manually credit the employee in LMS, fax the completed roster to your division LMS Administrator. Division LMS Administrator contacts are as follows:
 - Hospital Division – Patti Bischof/Debbie Pottinger (fax 502.596.4216)
 - RehabCare Division – Patti Mullins (fax 877.747.9055 or email scanned signed roster to RehabLMSTracking@rehabcare.com)



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Program Title 2020 General Compliance Training and Code of Conduct Review Date _____
Facility Name _____ Facility # _____ Course Material Attached? Yes _____ No X
Trainer /Facilitator Name _____ Signature _____

Signature of Trainer or Facilitator certifies that the following persons attended the training.

NAME (Please PRINT)	TITLE	SIGNATURE	LAST 4 DIGITS SSN
1			
2			
3			
4			
5			
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10			
11			
12			
13			
14			

My signature indicates I completed all modules for the training identified on this form.

Supplemental Reading and Discussion Material

Code of Conduct Review

Kindred's Code of Conduct is located on Knect under the compliance website, on the Kindred Healthcare Website and can be obtained from you supervisor.

Mission Statement

Kindred Healthcare's mission is to help our patients reach their highest potential for health and healing with intensive medical and rehabilitative care through a compassionate patient experience.

The following elements are key points related to the Code of Conduct and the Compliance Program:

- Kindred is committed to providing high quality patient/resident care and outstanding customer service to become the most trusted and respected provider of healthcare services in every community we serve.
- Kindred expects that all actions are taken with the goal of achieving excellence in the following areas:
 - sustain the highest quality of services
 - provide a respectful work environment
 - produce continuous financial transparency
 - maintain appropriate confidentiality of sensitive and protected information
 - uphold strict ethical standards
- Kindred recognizes as a healthcare organization we must comply with all laws and regulations that apply to our business. We must make every effort to identify where there is risk for non-compliance. Any actual or potential violation of these laws must be reported and corrective action taken.
- All employees are expected to perform their job responsibilities correctly, ethically and legally.
- If an employee doesn't know how to perform his/her job responsibilities, he/she must obtain the needed information by going to his/her supervisor, referring to policies and procedures or by using the Compliance Hotline to report compliance related concerns/violations.
- If any employee has reason to believe that some aspect of the company's business is not being conducted properly, he/she must report this to his/her supervisor, use the Open Door Policy or call the Compliance Hotline so the concern can be properly addressed.

General Compliance Program and Concepts Review

General compliance-related topics include, but are not limited to, the following:

- **Fraud, Waste and Abuse (Billing/Documentation):**

What is fraud, waste and abuse and how can I identify it in my work environment?

Fraud is a false statement that is made or submitted with knowledge that the statement is false and could result in some undue benefit. These false statements could be verbal or written. **Waste** means specific over-use of services or causes of unnecessary costs. **Abuse** refers to general practices that are inconsistent with sound business, financial or medical practices that may cause unnecessary costs to the healthcare system. Kindred is paid by the government for many of the healthcare services we provide. If Kindred were to submit claims to the government for services that were not delivered or do not follow the rules that apply to our business, these actions would be fraudulent and must be reported immediately to the Compliance Department or Compliance Hotline.

- **Gifts/Gratuities:**

May I provide a spa gift certificate to the case managers of our referring facilities as a token of appreciation? No, this is an unacceptable practice as all gift cards to external persons are prohibited. This could give a perception that the gift is used to induce referrals.

May I provide a \$100.00 gift card to the Medical Director for his birthday? No, this is an unacceptable gift because the gift card is a cash equivalent. All gift cards are prohibited.

What should I do if the family member of a patient gives the staff gift cards for groceries in appreciation for care of their family member? This is an unacceptable gift as it is in exchange for services provided. Additionally, it could lead to a perception of inappropriate or additional care based on family incentives. This gift card should be returned to the family.

What is a physician gift log and who should maintain it?

A physician gift log is a log of all gifts that have been given to a physician and the dollar amount associated with the gift. The maximum dollar amount of 'gifts' that a physician may receive is \$423.00 per year. All marketing activities, gifts etc. for the physician must be tracked on this log and cannot exceed the annual allocated amount. It is the responsibility of the facility administrator to maintain and monitor the gift log. For more information on the gift log, see the Compliance department website for the policy and an example of a gift log.

Please consult with the law department for additional guidance regarding gifts.

Conflict of Interest

What is a conflict of interest?

A conflict of interest is when an employee, whether a supervisor or not, appears to have divided loyalty between the facility in which they work, and another person or company. Kindred's employees, officers and Board Members should not engage in any activities that conflict with the interests of Kindred. Employees, officers and Board Members have a responsibility to put the interests of Kindred and our patients ahead of any other business interests they may have.

What should I do if I have a role with another company or entity that may pose a conflict of interest?

Any potential conflicts of interest should be disclosed to supervisors upon hire or as they occur. This includes any additional employment accepted while working for Kindred. A conflict of interest form should be completed and submitted to Human Resources for review.

- **Health Insurance Portability and Accountability Act (HIPAA):**

What is PHI?

PHI stands for Protected Health Information and includes any individually identifiable health information about a person. PHI can be in paper, electronic or verbal form. Kindred is responsible for protecting PHI and keeping it confidential according to the law.

What is the company's' expectation regarding the use of social media?

Special care for confidentiality and appropriateness should be observed with social media sites. These sites, such as Facebook, YouTube and Twitter, are not appropriate venues for discussing patient information. Kindred recognizes that the internet provides opportunities to participate in interactive discussions but employee misuse of such communication can pose potential risks to confidentiality. To minimize these risks, Kindred has established rules and guidelines for online communication that can be found in the Code of Conduct and Employee Handbook.

What should I do if I accidentally reveal PHI or know of someone else revealing PHI?

Any instance of misdirected PHI should be immediately reported to the Compliance Department either by calling the Support Center directly (800-545-0749) or Kindred's Compliance Hotline (844-760-5835). If possible, the receiver of the PHI will be asked to either return the information or destroy it immediately. Upon reporting the matter to the Compliance Department or Compliance Hotline, you should be prepared to provide details about what information may have been inappropriately

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shared so that an appropriate review can be completed to determine reporting requirements.

Am I allowed to text message PHI?

It is a violation of Kindred policy to text message PHI. Text messaging is not encrypted and should not be utilized to communicate PHI or patient sensitive information with physicians or other members of the healthcare team.

- **Open Door Policy and the Compliance Hotline:**
What if I am not comfortable talking to my supervisor? We are each responsible for reporting concerns and actual or potential wrongdoing. Some areas of violation, including but not limited to abuse and fraudulent activity, require reporting and failing to do so is unacceptable. Employees are encouraged to discuss concerns with their immediate supervisor, however, a variety of reporting mechanisms are provided by the company so that you may make the most appropriate choice based on the specific situation. Concerns may also be verbal or written. Kindred's Open Door Policy is outlined in the Employee Handbook and may be utilized at any level of the chain of command. Kindred also has a Compliance Hotline that may be used (844-860-5835). The Compliance Hotline is available 24 hours a day, seven days a week for individuals to report any compliance-related concern. An external party operates the Hotline and callers are reminded that they are not required to identify themselves. Kindred will make every attempt to protect the callers' anonymity within the limits of the law. All concerns reported to the Hotline are taken seriously and will be addressed to the fullest extent necessary. Therefore, it is important to use the Hotline appropriately. Individuals who intentionally misuse the Compliance Hotline may be subject to disciplinary action. Please be aware that all reports filed with the Hotline will be reviewed and processed appropriately at Kindred's Support Center, however, for a more immediate response and/or resolution, you may choose to utilize the Open Door Policy.
- **OIG/GSA and State lists of Excluded Providers:**
What if a new employee, vendor or contractor shows up on a list? Kindred provides care to patients who are covered under Medicare, Medicaid and other insurance programs.
Because Kindred accepts payments from Medicare and Medicaid programs, there are specific rules that must be followed. The rules include how patients are cared for, how services are billed and how records are kept. It is important that you follow these rules to make sure that payments to these programs are appropriate.

The Office of Inspector General (OIG), General Services Administration's (GSA)/SAM.gov and various states provide information to health care providers, patients, and others regarding individuals and entities that are excluded from participation in Medicare, Medicaid, and other Federal and State health care programs. In order to comply with these requirements, Kindred does not employ,

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contract with, grant privileges to, or enter into any other type of arrangement with individuals, entities, or vendors currently excluded by the (OIG) and/or by the (GSA)/SAM.gov from participation in Federal programs, including Medicare or Medicaid.

Does my state have an excluded/sanctioned provider list? It is important to know if your state has an excluded provider list. A list of the applicable states can be found on the Compliance Department website on Knect. Questions regarding exclusions should be directed to the Compliance Department at 502-596-6624.

- **Licensure & Certifications**

What are my responsibilities regarding my professional license? If your position requires licensure or certification, it is your responsibility to acquire and provide appropriate documentation to the Company as a condition of being hired and maintaining employment. You must immediately notify your supervisor if your license/certification/registration is not in good standing with the governing body or within 24 hours of notification of any adverse action from the governing body. If you fail to report any license or certification issues or if you allow your license or certification to expire you will be subject to suspension and to disciplinary action, up to and including separation of employment. It is our expectation that you maintain an active license in good standing and if, at any point, your license is not in good standing or has action pending against it, you are to immediately notify your supervisor.

2020 General Compliance Training Script

OPENING SLIDE: Tami Johnson

We are so thankful you have chosen to be a part of the Kindred family. The care and support you provide truly makes a difference in the lives of the patients and families we serve each day. An important part of providing that care, and ultimately upholding Kindred's commitment to quality care and customer satisfaction, is being compliant with all company policies and procedures.

While Kindred is committed to honest and ethical behavior as an organization, the practice of behaving honestly, ethically, and with integrity is an individual responsibility. We all make choices every day in our work about how to behave and each of us is accountable for those choices. By conducting yourself and your business in a manner that complies with Kindred's rules and regulations, you can make a difference.

SEGWAY: Tami Johnson

Now let's take a look at the role you will play in our organization and examine best practices for compliance.

7 PILLARS OF COMPLIANCE: Tami Johnson

Kindred's compliance program is designed to help provide guidance and is based on federal sentencing guidelines which serve to prevent unlawful or unethical conduct. Kindred's compliance program includes 7 Pillars containing several key components crucial to maintaining compliance.

Pillar 1 requires Kindred to have a Chief Compliance Officer who oversees compliance with statutes, rules, regulations, and policies. An Executive Compliance Committee serves as an extension of the Chief Compliance Officer and ensures that Kindred is aware of, and appropriately addresses, compliance issues that arise across the enterprise.

Pillar 2 outlines Kindred's policies and procedures set in place to govern how we work by preventing fraud, waste, and abuse. These policies were written to reflect Kindred's mission and Core Values and ultimately serve to enhance our operations as well as the quality care we provide. Policies and procedures apply to all employees, staff members, management, and volunteers and can be reviewed in 'Policy Manager' found on Knect.

Pillar 3 details compliance training aimed toward providing a deeper understanding of what behaviors are and are not permissible as part of day-to-day operations. The training is designed to develop individuals' abilities to identify potential compliance concerns as well as when and how to report those concerns.

Pillar 4 reviews the importance of auditing and monitoring to ensure the care we provide, as well as how services are billed and how records are kept, meets the regulations and guidelines of federal healthcare programs.

Pillar 5 and 6 focuses on the fair and consistent implementation of policies, procedures, laws and regulations. Failure to follow Kindred policy could result in disciplinary actions and may lead to violations of state or federal law. Many of these laws carry penalties for violators such as fines, actions against a license, jail time, and/or exclusion from participating in federal healthcare programs.

Pillar 7 ensures Kindred has a compliance hotline where you can report your concerns about illegal activity or potential violations of Kindred policies and procedures.

Remember, you play a vital role in Kindred's compliance and the program can only be effective and successful when each and every employee acts with integrity and does the right thing.

CODE OF CONDUCT: Lynette Dukes

An important first step in making sound ethical decisions in the workplace is to become familiar with the objective and purpose of Kindred's Code of Conduct. The Code of Conduct details your responsibility for

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compliance with a number of laws and policies, but it goes well beyond that by placing those responsibilities within the context of our Core Values and Kindred's commitment to conducting business with integrity.

The Code of Conduct describes Kindred's commitment to focus on: sustaining the highest quality of services; providing a respectful work environment; upholding strict ethical, professional, clinical, and financial standards; producing continuous financial transparency; and maintaining appropriate confidentiality of sensitive and protected information. Other topics covered in the Code include: disclosing conflicts of interest, avoiding kickback issues, preventing harassment and discrimination in the workplace, and maintaining accurate and timely records. The Code also outlines the appropriate paths for reporting suspected misconduct.

While the Code may not have answers for every ethical dilemma we face, it still serves as a navigation tool specifically designed to direct you to resources and guide your daily decisions in the right direction. If you have questions regarding the Code of Conduct, it is available for viewing in 'Policy Manager' on Knect, or you may contact your supervisor or the Compliance Department directly.

CORE VALUES: Lynette Dukes

In addition to the Code of Conduct, our compliance program is embodied by your ability to live Kindred's Core Values: Be kinder than expected, stay focused on the patient, respect individuality to create the team, give you best, do the right thing always, and finally, create fun in what you do.

By living and applying these simple values in your daily work, you can make a difference to our patients, your coworkers and the company.

SEGWAY: Lynette Dukes

Now that you're aware of Kindred's expectations laid out in the Code of Conduct and Core Values, let's examine some of the behaviors that should be avoided in order to uphold compliance with Kindred's policies and procedures, including with fraud, waste, and abuse.

FRAUD, WASTE AND ABUSE: Matt Steinburg

Fraud, waste and abuse are illegal according to many different laws, so it is important that you take responsibility and actively participate in the detection and prevention of fraud, waste, and abuse.

Fraud is any activity defined by the intent to deceive on the part of a patient, a provider or supplier, a third-party biller, or even a payer, with the goal of receiving an improper benefit.

Waste occurs from practices that result in unnecessary costs.

Abuse occurs when a provider's practices are not consistent with sound fiscal, business or medical practices. Unlike fraud, abuse may involve acts that are not done intentionally.

Some common examples of fraud, waste, and abuse include billing for services that have not actually been provided, misrepresenting provided services, treating patients past their eligibility for services, unbundling claims, providing separate bills for procedures that should be covered by a single fee, miscoding or upcoding, or using the wrong code for a procedure either through carelessness or with the intent to charge for a higher procedure that wasn't performed.

If you suspect or witness behaviors resulting in fraud, waste or abuse, you must report the situation immediately. By reporting the issue, you are helping the company to protect its patients and save billions of dollars every year.

SEGWAY: Matt Steinburg

In addition to preventing fraud, waste, and abuse, a large part of the compliance program are the laws and regulations which serve to guide Kindred in conducting business with the highest degree of integrity. These laws and regulations include HIPAA, Information Security, and licensure and exclusion screenings.

HIPAA – PRIVACY RULE: Meredith George

The Health Insurance Portability and Accountability account, or HIPAA, is a law that requires organizations to protect the privacy and confidentiality of patient information, keep protected health information secure both physically and electronically, disclose only the minimum patient information necessary to accomplish required tasks, and ensure that patients know their rights regarding access, use and disclosure of their health information.

Some common examples of a HIPAA breach include: leaving patient records in areas where other people can view them or having conversations that include patient information in areas such as hallways, cafeterias, elevators, or patients' rooms where others may overhear; neglecting to shred or place all protected information in designated, secure shred bins; sharing any information about patients on social media or using unsecured SMS text to communicate with patients, doctors or staff.

It is best practice to only access information on a need-to-know basis, that is, only access patient information if it is required for you to do your job and always be sure to log off your workstation and never share your passwords. Remember that disclosing information for purposes other than treatment, payment, or operations likely requires special authorization and any inappropriate access or disclosure of patient information can result in serious consequences for both yourself and the organization.

If you suspect a privacy breach or other HIPAA violation has occurred, you must report the incident immediately. Acting with integrity and doing the right thing could help avoid putting your patients, coworkers, and even yourself at risk.

INFORMATION SECURITY: Guy Turner

In addition to HIPAA, knowing your role as part of Information Security could help you take the proper steps in protecting our patients' data as well as your own. When most people think of Information Security, they primarily consider the complicated technology involved. However, technology is simply a tool and how we use that tool determines the strength of our security as well as our overall compliance. Many of the actions you take to protect your personal information are the same behaviors you should exercise to protect information entrusted to us by our patients. Some of these behaviors include:

- Contacting building security immediately if you notice someone, whether an employee or not, in any unauthorized areas
- Always locking your computer, laptop or mobile phones when not in use and using a long passphrase as a password – the longer the password, the more secure the device
- Never leaving devices unattended and reporting instances of theft immediately
- Never using public WiFi without a VPN (Virtual Private Network) and always applying patches and updates as soon as they become available
- And, of course, immediately reporting any suspected data breach to our IT, Security, or
- Compliance departments, no matter how insignificant it may seem

PROFESSIONAL LICENSES AND EXCLUSION SCREENING: Mary Van de Kamp

Along with HIPAA and Information Security, the Department of Health and Human Services also has a role in maintaining the quality of federal healthcare programs. It requires all clinical and professional employees, including nurses, therapists, physicians, billers, sales and operations, maintain licenses or certifications that are active and in good standing. The Department may exclude individual providers or whole organizations if the provider or organization fails to meet this requirement.

Kindred does not allow any excluded individuals or contractors to provide services on the company's behalf. For this reason, Kindred uses a government database to regular screen employees and vendors for professional licensure, sanctions against licenses, and exclusions from participation in federal healthcare

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programs like Medicare and Medicaid. Working while excluded can put yourself, your patients, and the company at risk and can result in exclusion from government funded programs, fines, and even jail time. If you are concerned about the pending or current status of your clinical license or are worried you may not be allowed to participate in federal healthcare programs, you should contact a supervisor or the compliance department immediately. You can prevent actions that compromise the services Kindred provides by speaking up when you suspect there is a situation that could violate our integrity or our ability to provide the highest quality care to our patients.

SEGWAY: Mary Van de Kamp

Now that you are familiar with some of the behaviors that lead to non-compliance and the laws and regulations that aim to prevent them, we'll discuss the consequences of non-compliance as well as how you can recognize and report concerns you believe are compliance violations.

CONSEQUENCES OF NON-COMPLIANCE: Cecelia Weihe

Failure to comply with laws and regulations can lead to serious consequences and disciplinary actions up to and including termination of employment, licensure actions, individual lawsuits, government investigations and prosecutions, prison, fines against you and Kindred, exclusion from participating in state and federal healthcare programs, loss of credibility with investors and loss of respect from your peers.

Overlooking actual or potential wrongdoings is also considered to be non-compliant. Therefore, failure to report actions you know are illegal or unethical could lead to disciplinary action including verbal warnings, suspension, or termination of employment and doesn't just have the potential to impact you, but the entire organization, your patients, and others.

Disciplinary actions for non-compliance may be used against any employee for: participating in or authorizing any violation of laws, regulations, Kindred's Code of Conduct, or Kindred policies and procedures; failing to report violations; concealing violations; refusing to cooperate with an internal investigation; or threatening or retaliating against a coworker who reports a violation.

Behavior that does not align with the Core Values or company rules and regulations is sure to lead to non-compliance and simply does not have a place here at Kindred.

REPORTING CONCERNS OF NON-COMPLIANCE OR MISCONDUCT: Cecelia Weihe

Having the responsibility and the willingness to report suspected violations of the Code and Program standards is a crucial part of the effectiveness of Kindred's Compliance Program. You are required to report any activities you suspect: are harmful to a patient, family member, or staff member; are illegal or unethical; violate any state or federal healthcare program requirements; include harassment, bullying, intimidation, abuse, neglect or exploitation; or violate the Code of Conduct, the employee handbook, or any policy or procedure.

Concerns, complaints, and potential violations of the Code or any other company policy may be reported via mail, email, call, or by contacting the Chief Compliance Officer or someone in the Compliance Department directly. Regardless of how you report a concern, you may remain anonymous if you wish. Kindred will maintain the confidentiality and the anonymity of your reported concern to the highest extent possible.

If you are unsure if a practice is compliant, ask. It may not seem like a big deal in the short run or maybe you don't want to get someone in trouble, but in the long run, reporting suspected concerns is always the right thing to do. More importantly, your reputation for having integrity will remain intact and you may

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even be recognized for your courage to protect your patients and the company.

OPEN DOOR POLICY: Jason Zachariah

Through the open door policy, we make sure that every employee has the ability to express any concerns or complaints without fear of reprisal or any other penalty. Kindred does not tolerate retaliation or retribution of any kind. Any Kindred supervisor, manager, or employee who conducts or condones retaliation or retribution will be subject to discipline, up to and including discharge.

Employees should feel free to contact their supervisor to ask questions, request training, report problems, express concerns, or make suggestions. It is best practice to contact your immediate supervisor first and, if necessary, proceed up the chain of command to resolve problems and concerns.

COMPLIANCE HOTLINE: Tami Johnson

If contacting your supervisor about a compliance concern is not viable or is ineffective, Kindred's compliance hotline is available 24 hours a day, 365 days a year by calling 844-760-5835. All reported concerns to the Hotline are taken seriously and will be addressed to the fullest extent if necessary. Therefore, it is important to use the Hotline appropriately, as misusing the Compliance Hotline may be cause for disciplinary action.

SEGWAY: Tami Johnson

As a result of non-compliance, companies may also be subject to entering a Corporate Integrity Agreement.

KINDRED'S CORPORATE INTEGRITY AGREEMENT: Tami Johnson

One of Kindred's affiliates, RehabCare, is in its fifth and final year of a Corporate Integrity Agreement, or CIA, with the Office of the Inspector General. A CIA is a tool used by the government to improve the quality of healthcare and to promote compliance with healthcare regulations. One of the primary goals of the CIA is to make sure a healthcare company has an adequate compliance program in place.

As part of this agreement, Kindred is required to submit a report to the Office of the Inspector General outlining the company's compliance activities for the year, including audit results and confirming employees completed required training.

CLOSING: Tami Johnson

Finally, I would just like to thank you for all of your cooperation and hard work in support of these important efforts. Embodying the six core values and practicing compliance is everyone's responsibility and your continued collaboration will help Kindred demonstrate its dedication to patients and focus on doing the right thing always.