

# **HUMAN RESOURCES UNLIMITED, INC**

116 Market Street @ Magnolia Commons  
New Bern, North Carolina 28560-6704

Member of: The ARC  
CARF ACCREDITED

TELEPHONE: 1.252.635.1232  
FACSIMILE: 1.252.635.5164

## **COMPLIANCE PLAN: CODE OF CONDUCT**

Human Resources Unlimited has adopted a Code of Conduct, which provides guidance to employees and affirms our commitment to conduct business and operations in accordance with the highest ethical and legal standards. In summary:

### *Business Responsibilities:*

1. Human Resources Unlimited is dedicated to the maintenance of accurate and reliable client and corporate records. Records of the organization will be prepared honestly and in accordance with established finance and accounting procedures. Human Resources Unlimited employees will maintain confidentiality of records and information and will maintain procedures to prevent unauthorized release of information.

### *Marketing Responsibilities:*

2. Human Resources Unlimited will carry out public and commercial communications in a professional manner. Marketing and advertising will be accurate and sensitive to community culture without false or misleading information.

### *Contractual Relationships:*

3. Human Resources Unlimited may periodically find the need to enter into a contract or service agreement with a contractor or vendor. Human Resources Unlimited will designate an administrator to oversee and monitor all contractual or service agreement relationships. Human Resources Unlimited has established a consistent procedure to determine that each contract or service agreement meets the culture and purpose of the organization. The organization conducts its due diligence prior to entering into any contract or service agreement. Legal counsel will review and approve all contracts or service agreements.

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### *Service Delivery:*

4. Human Resources Unlimited is committed to delivering necessary services to its clients in a compassionate, respectful and ethical manner without regard to race, creed, color, religion, national origin, gender or disability. Clients will be treated with dignity and respect at all times Human Resources Unlimited will provide each client with information regarding his/her rights and responsibilities and will endeavor to protect those rights throughout their care and treatment.
5. Human Resources Unlimited provides clients with understandable explanations of services rendered and will hold responsible parties financially accountable only for care rendered. Human Resources Unlimited seeks to resolve business conflicts in a fair and equitable manner.

### *Conflicts of Interest:*

6. Human Resources Unlimited relies on the good faith of its employees in the exercise of their responsibilities to Human Resources Unlimited. All business judgments on behalf of Human Resources Unlimited should be made by its employees on the basis of such trust and in Human Resources Unlimited best interests. Human Resources Unlimited respects the rights of employees to privacy in their personal affairs and financial activities. The purpose of this standard and Human Resources Unlimited Compliance Policy, "Conflicts of Interest" is to provide guidance to employees in avoiding situations in their personal activities which are, or appear to be, in conflict with their responsibilities to Human Resources Unlimited.

Although it is impractical to attempt to define every situation, which might be considered a conflict of interest, generally speaking, a conflict exists when an employee's personal interests or activities may influence his or her judgment in the performance of his or her duty to Human Resources Unlimited. There may be cases where such conflicts are more theoretical than real, but employees should be concerned about possible conflicts and review and disclose questionable situations in light of the following guidelines and Human Resources Unlimited Compliance Policy, "Conflicts of Interest."

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### *Gifts, Money, and Gratuities:*

7. A conflict may arise through the acceptance of gifts, money, or gratuities from competitors, customers, or others having or desiring to have a business relationship with Human Resources Unlimited, if the acceptance or the prospect of receiving gifts tends to limit the employee/recipient from acting solely in the best interests of Human Resources Unlimited. "Gifts, Money, or Gratuities" include any gratuitous service, loan, discount, money or article of value, but do not include articles of nominal value given as sales promotions or holiday remembrances. The guidelines for the acceptance of gifts are governed Human Resources Unlimited Compliance Policy "Gifts and Entertainment".

### *Personal Fund Raising:*

8. Human Resources Unlimited does not allow employees or clients to engage in solicitation of personal fund raising causes at the office during business hours. Human Resources Unlimited will allow the passive selling of cookies, candy, and other fund raising efforts as long as this fund raising does not interfere with the daily business of the organization.

### *Personal Property:*

9. Human Resources Unlimited requires that all employees, clients, and visitors show respect for the personal property of others as well as the organizations. Any individual found to have taken or destroyed the personal property of another or the organizations, will face disciplinary action. The extent of the discipline will be determined by the administration.

### *Setting Boundaries:*

10. Human Resources Unlimited prohibits non-professional relationships between personnel and clients. Personnel are prohibited from having any sexual contact or relationship with any current or previous client. If any personnel have a potential conflict with this code, it is the responsibility of the personnel to contact the administration for clarification and direction. Severe disciplinary action can be taken for violation of this code, up to termination.

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### *Witnessing Documents:*

11. Human Resources Unlimited does not allow personnel to witness powers of attorney, guardianship, advance directives or any other legal document relating to a client. If a client requires witnessing of a legal document, they are required to contact the administration and the administration will determine if any organization personnel can sign the documents.

### *Professional Responsibilities:*

12. Human Resources Unlimited is committed to compliance with all applicable Federal, State and Local laws and regulations. All employees, contractors and agents are expected to be guided by the basic principles of honesty and fairness in the conduct of the organization's affairs and to be knowledgeable about and ensure compliance with all laws and regulations.
13. Human Resources Unlimited acknowledges that there is potential for conflicts of interest in any organization and profession. Human Resources Unlimited will continuously examine the organization's practices to identify, avoid or eliminate potential areas of difficulty.
14. Human Resources Unlimited maintains contacts with governmental officials and other governmental personnel in a professional manner.

### *Human Resources:*

15. Human Resources Unlimited requires that all individuals associated with human resources duties maintain a high level of confidentiality regarding personnel private information. Human Resources personnel are required to maintain well organized and secured personnel files of all individuals currently working or previously worked for the organization.

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### *Prohibition of Waste, Fraud, Abuse, or other Wrongdoing:*

16. Human Resources Unlimited will take reasonable steps to achieve compliance with government rules and regulations and conduct its business within the highest ethical and legal standards. Adherence to the Human Resources Unlimited Compliance Program by all employees is vital to its success. Human Resources Unlimited supervisors are responsible for ensuring that employees are aware of and adhere to the laws and regulations that apply to their job activities and to the provisions stated in the Human Resources Unlimited compliance program. Human Resources Unlimited overall goal of its Corporate Compliance Program is to prevent financial waste, fraud, abuse or other wrongdoings within the company. For clarification or interpretation of the Plan, please consult the Corporate Compliance Officer.

\_\_\_\_\_  
Employee Printed Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
HRU Representative

\_\_\_\_\_  
Date

## **CLIENT RIGHTS & RESPONSIBILITIES INTRODUCTION**

In providing quality services to clients, it is of the utmost importance that all agency staff remain keenly aware of the rights of the persons they serve and work diligently to protect those rights. Though agency assures that a client's rights are not abridge (reduced) or abrogated (abolished) solely as a result of placement in this program and has policies and procedures in place to achieve this end, it is ultimately the responsibility of all staff to ensure that theses rights are protected through a combination of self-awareness in provision of services, due diligence in monitoring, and client education.

This area of training covers specific rights and responsibility of clients, methods for ensuring and protecting those rights, and mechanisms in place to allow clients to report any violations or grievances.

The client's civil rights are protected through accessibility or referral to legal counsel. A client will not be denied access to this program on the basis of race, color, religion, sex, age, national origin, handicap, political beliefs, or any non-merit factor, in accordance with all state and federal regulations,

### **Client Rights and Responsibilities**

To ensure the process that a client will be an active, informed participant in his/her plan of care, the client will be empowered with certain rights and responsibilities as described in the Client Rights and Responsibilities. A client may designate someone to act as his/her client representative. This representative, on behalf

of the client may exercise any of the rights provided by the policies and procedures established by the agency

All policies are available at all times to the agency personnel, clients and representatives as well as other organizations and the interested public to assist with fully understanding the client's rights and responsibilities.

1. Before or upon admission, the staff will provide each client and/or their representative with a copy of the Client Rights and Responsibilities.
2. The Client Rights and Responsibilities will be explained and distributed to the client prior to the initiation of agency services and annually. This explanation will be in a language he/she can reasonably understand. Communication of these rights and responsibilities can occur through:
  - a. Verbal
  - b. Written
  - c. For non-English speakers, all related information will be translated

## **CLIENT RIGHTS**

The client is informed at admission and annually of:

- a. Confidentiality of all personal and service related information.
- b. The right to privacy, security, and respect of property.
- c. The right for protection from abuse, neglect, retaliation, humiliation, exploitation.

- d. The right to have access to, review, and obtain copies of pertinent information needed to make decision regarding services in a timely manner.
- e. The rights to informed consent or refusal or expression of choice regarding participation in all aspects of care/services and planning of care/services to the extent permitted by law including: 1) Service delivery, 2) Release of Information, 3) Concurrent services, 4) Composition of the service team.
- f. The right to access or referral to legal entities for appropriate representation.
- g. The right to access to self-help and advocacy support services.
- h. The right to investigation and resolution of alleged infringements of rights.
- i. The right to provision of care in the least restrictive environment.
- j. The right to adequate and humane care.
- k. The right to evidence-based information about alternative services, medications, and modalities
- l. The cost of services that will be billed to his/her insurance(s) and/or self (verbally and in writing).
- m. The value or purpose of any technical procedure that will be performed, including the benefits, risks, and who will perform the task/procedure.
- n. The right to protection from the behavioral disruptions of other persons served.
- o. The right to 24-hour crisis intervention.
- p. The right to equal access to services for all persons in need regardless of race, ethnicity, gender, age, sexual orientation, or sources of payment.
- q. The right to a grievance procedure that includes the rights to: be informed of appeal procedures, initiate appeals, have access to the grievance procedures posted in a conspicuous place, receive a decision in writing, and appeal to an unbiased source



If any restrictions are placed on a client's privileges, the Supervisor/Administrator will meet with the client to inform them of any and all restrictions and regularly evaluate the restrictions placed on the persons served through client interviews, case notes, staffing minutes, incident reports, and any formally filed grievance reports. Only Supervisor/Administrator are able to make medical decisions that will place limits or return the restricted privileges of the persons served.

## **CLIENT RESPONSIBILITIES**

Client agrees to meet the following guidelines for successful completion of services.

- a. Clients agree to attend and participate in all required services as mandated by the agency and the program requirements.
- b. Failure to meet scheduled appointments will be defined as non-compliance. Non-compliance is grounds for discharge or transfer out of the agency or the program.
- c. Participation in any illegal or suspicious activity or acting out, or defacing Human Resources Unlimited property, will not be tolerated. Any threat or act of violence directed toward staff, other clients, or visitor to the clinic is grounds for immediate dismissal from the program. Any individual dismissed under these circumstances will be barred from reentry for one (1) year and must have approval from the staff and Executive Director
- d. Selling, giving away or using drugs on Human Resources Unlimited' premises will be defined as non-compliance and will result in an immediate discharge.
- e. Stealing from Human Resources Unlimited, its staff or other clients will result in an immediate discharge.
- f. Known or suspected abuse or neglect will be reported immediately.
- g. Spouses, family members or significant others will be permitted to participate in services with proper permission and consent.

- h. You are encouraged to discuss with your assigned worker sexual and/or physical abuse, with expectation of a referral to the most appropriate service provider for assistance.
- i. You will be expected to dress appropriately whenever on the premises of Human Resources Unlimited.
- j. Human Resources Unlimited is not responsible for loss or theft of any personal property.
- k. You will be expected to honor the Federal Confidentiality Law.

**IMPORTANT-** If at any time a client becomes non-compliant with treatment requirements, or otherwise fails to meet their responsibilities as a client, it is the responsibility of staff to report these issues to the Executive Director in order to address the problem as quickly as possible.

## **CLIENT GRIEVANCE**

It is imperative that clients have a means to openly discuss and document issues that are interfering in the recovery process. Human Resources Unlimited wants to be informed of any client grievances and will resolve all issues to the best of their ability. Client's actions will not result in retaliation or barriers to services.

To assure that all clients have an effective means of providing feedback to the agency when they have concerns or grievances with the agency's methods or personnel.

1. We have an obligation to provide a method to address any grievance for which the client may feel that we have done to any of his/her rights.
  - a. "Grievance" is defined as; "any circumstance for which there is just cause for protest"
  - b. The grievance procedurs are to be followed in the event of a client grievance:
    1. The agency shall provide the client with a written statement on the "grievance procedure."
    2. The client will sign the Receipt of Client Orientation Packet form to document his or her receipt and understanding of the rights and responsibilities of each client.
    3. Client Grievance forms are readily available at all locations.
    4. All grievances shall be made in writing to the Supervisor at the local office of Human Resources Unlimited. If the complaint is made by telephone, Human Resources Unlimited personnel will connect the client or family member with the appropriate Supervisor. The Supervisor will document the compliant either by phone or at a scheduled meeting to assure an understanding of the nature of the grievance. If the grievance involves the agency Supervisor, the staff will contact the Administrator to complete the grievance report.
    5. The Supervisor is required to investigate, review and make a written determination of his\her findings including action to be taken to address the complaint within forty-eight (48) hours of the completion of the

written report. A copy of the written report will be given to the client upon its completion.

6. The Supervisor is required to refer the grievance and his/her report to the Administration/Board of Directors.
7. Should the grievance be of such a nature that it is reasonable to consider that a legal question has been raised, the administration shall refer the grievance and his/her report to the attorney of record for the agency.
8. On the advice of said attorney, the administrator shall make the client grievance to the appropriate law enforcement authority.
9. In all cases, every attempt will be made by all parties to the resolve grievances informally within thirty (30) working days.
10. The client has a right at any step of the grievance review process to take his/her grievance directly to:

Trillium Health Resources  
1708 E. Arlington Blvd.  
Greenville, NC 27858-5872  
Toll Free (866)998-2597  
Fax (252)215-6870

11. Human Resources Unlimited is required to comply with and adhere to the Civil Rights Act of 1964 and all subsequent amendments; including religious, age, sex, and political affiliation as all relate to any and all civil rights which are granted/or implied by statute of law.

12. Each new client will be given a copy of the grievance procedure and have this procedure explained at intake.

### **Admissions and Non-discrimination**

Our policy is to accept and treat individuals that meet the program requirements for services. Admission and Readmission criteria are established by state and funding sources. The agency does not have the authority to prioritize admission or make the final decision for admission.

The agency will not refuse admission on the grounds of age, except where funding by the state or federal monies and the appropriate program office's eligibility criteria indicate age restrictions.

Agency will not admit any client into care whose presence would be seriously damaging to the ongoing functioning of the agency or to clients already in care, or for whom the agency is not capable of providing the necessary care.

Lastly, agency will not admit more clients into care than the number specified on their license.