



THE CENTER
FOR CHILDREN AND FAMILIES

Policies and Procedures

**Policies and Procedures
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THE CENTER FOR CHILDREN & FAMILIES, INC.

Introduction

The Center for Children & Families, Inc. (hereinafter referred to as “CFCF”) is a non-profit corporation committed to the betterment of children and families in northeast Louisiana. The Center for Children & Families, Inc. exists to promote safe, healthy environments for children and families through advocacy, counseling, education, and prevention.

Whether you have just joined our staff or have been with CFCF for a while, we are confident that you will find our agency a dynamic and rewarding place in which to work and we look forward to a productive and successful association.

The contents of these Personnel Policies and Procedures are presented as a matter of information only, and supersede any previous policies and procedures. To the extent possible, they characterize the culture of the organization, to describe who we are as an agency. While they correctly describe the current policies, procedures, and benefits of CFCF, they are not conditions of employment nor do they create any vested rights for CFCF employees. CFCF reserves the right, in its sole discretion, to modify, revoke, suspend, terminate, or change any or all such policies, procedures, or benefits, in whole or in part, at any time, with or without notice. Nothing contained in these Personnel Policies and Procedures shall be construed as a contract of employment for a specific term or duration between CFCF and any one or all of its employees. You have been hired by the organization, and just as you may voluntarily leave at any time, your employment may be terminated at any time with or without cause. To insure that your understanding of this subject is as complete as possible, please do not hesitate to discuss with your supervisor any policies or procedures about which you may have questions.

The CEO is responsible for the daily administration of the Personnel Policies and Procedures.

No employee or manager of CFCF, other than the Chief Executive Officer has any authority to offer, or enter into, an agreement for employment for a specific period of time with CFCF employees or applicants, or to make any exceptions or agreements contrary to the above policy.

Thank you for your support. We look forward to successful cooperation among all dedicated to the goals and future of CFCF.

Welcome from the Chief Executive Officer

The Center for Children and Families believes that employees enjoy working for an organization that values their contribution toward the mission of the organization. That is who we are.

CFCF also believes that employees appreciate understanding what their employer expects from them and what they can expect from their employer. That is the purpose of these policies.

By necessity, these policies are quite detailed. However, it is important that the information be as clear as possible for the benefit of employees and the agency. Additionally, this level of detail in our personnel policies is expected by the organizations that fund and regulate our agency.

We hope you find your work to be rewarding and that these policies are helpful to you in your employment relationship with The Center for Children and Families.

Cindy Murray
Chief Executive Officer

Hiring and Employment

Equal Employment Opportunity

CFCF values the uniqueness each person brings to the workplace. Accordingly, Equal Employment Opportunity and Diversity have been, and will continue to be, fundamental principles at CFCF.

All decisions about hiring, promotion, compensation, training or other terms and conditions of employment are made without regard to race, creed, color, age, religion, gender, national origin, non-job related physical condition or disability, veteran status or any other status protected by law. All job-related decisions will be based on objective criteria.

Any employees with questions or concerns about any type of discrimination, harassment or retaliation in the workplace are encouraged to bring these issues to the attention of Cynthia Murray, Chief Executive Officer at 318-398-0945. Employees can raise concerns and make reports without fear of reprisal or retaliation. Anyone found to be engaging in any type of unlawful discrimination, harassment or retaliation will be subject to disciplinary action up to and including termination from employment.

Employment of Relatives

CFCF requires that the CEO pre-approve all offers of employment to family members of existing employees. For the purpose of this policy, family members include spouse, brother, sister, parent, child, grandchild and including step and in-law relationships.

Under no circumstances can a relative be hired into a direct reporting or like relationship.

In the event that a relationship develops between employees after they are hired, the CEO will determine if an employment conflict exists. Should this occur, the agency will work with all the affected employees to recommend a resolution, but the agency has the right to take any action to resolve the employment conflict in its sole and exclusive discretion.

Children in the Work Place

The Center for Children and Families strives to maintain a family friendly workplace. Occasional brief visits from spouses and children are acceptable. However, visits from children on a regular basis or as a substitute for child care arrangements are not acceptable.

Smoke Free Workplace Policy

To protect and enhance our indoor air quality and to contribute to the health and well-being of all employees, The Center for Children and Families shall be entirely smoke free effective July 11, 2012. Additionally, effective 7-11-12 the use of all tobacco products, including chewing tobacco, is banned from the workplace, except as designated in this policy.

Smoking is prohibited in all enclosed areas without exception. This includes all employer owned or leased vehicles. This prohibition also applies to staff member's personal vehicle if and when they are transporting clients or collaterals.

Employees may smoke outside any Company building as long as they are a minimum of fifty feet from any entrance. Additionally, employees may smoke in their personal vehicles, but the smoke and tobacco products must be completely contained within their vehicle.

Smokers do so at their own risk. Smokers and users of tobacco products must also dispose of the remains in the proper containers.

Organization Insurance

The CFCF organization maintains adequate insurance protection for itself and its employees. Policies to protect the agency are updated on an annual basis and are approved by the Board of Directors. CFCF maintains both General Liability and Auto Insurance. It is important to CFCF that employees are protected. If claims are made regarding services provided by a CFCF employee, the organization will assume cost of legal assistance provided that the employee operated within the parameters of the CFCF Policies and Procedures.

Employee Performance and Conduct

Employee Conduct Guidelines

All employees have been hired to contribute toward the attainment of the mission of CFCF. The agency has certain expectations of its employees as should all team members have of their co-workers. As a result, certain standards of conduct are expected. All employees are expected to:

1. Report to work according to their established work schedule.
2. Dress in a manner appropriate for the position and the work environment and in a way that reflects positively upon CFCF.
3. Be informed about their conditions of employment and CFCF policies and procedures.
4. Use CFCF time, funds, and property for CFCF business and activities only.
5. Abide by policies, priorities, and directives in conjunction with the performance of their responsibilities.
6. Show concern for the rights and property of others.
7. Avoid non-constructive conversations and gossip about employees and clients.
8. When representing the agency, model the highest level of professionalism and standards of conduct.
9. Not report for work under the influence of drugs or intoxicants or use drugs or intoxicants on the job.
10. Cooperate with any internal investigation.
11. Work overtime when requested, whenever possible, and not work overtime unless approved in advance by the supervisor.

Dress and Personal Appearance

The perception of CFCF's quality and professionalism is often influenced by the appearance of its employees. As a result, the agency has expectations for employee dress and personal appearance.

While sufficient latitude will be allowed for staff members to keep current with dress and personal grooming styles and trends, it is the agency's policy that employees must consistently maintain dress and grooming standards appropriate to the type of work being performed and in consideration of employee contact with clients and the general public.

The dress code for the CFCF is generally business casual, but should be modified depending upon work, meetings, etc. as appropriate. Employees are expected to dress conservatively at all times.

All clothes worn should be tasteful, clean and in good condition. Employees may wear denim jeans on Fridays. However, denim worn must not be of a style that includes holes, fraying, rips or tears.

Certain articles of clothing should never be worn without expressed permission from the CEO. These articles include:

- Sweat pants
- Spaghetti strap tops without a covering jacket or shirt—shoulders should be covered
- T-shirts
- Sweat Shirts or Hoodies
- Flat Flip-flops/Crocs
- Hats/Caps
- Athletic Wear

Visible body-piercing jewelry is limited to one earring per ear for women. Men are not permitted to wear body-piercing jewelry at any time.

Employees shall not wear tight or excessively revealing clothes. Hair must be tastefully styled and be a natural hair color. No bright colors are permitted.

This policy is not intended to be all-inclusive. CFCF reserves the right to interpret its dress code policy in a manner that most favorably reflects upon the organization.

Performance Evaluations

Policy: It is the policy of the Center to enable and assist our employees to function at their highest level as an employee.

Procedure:

1. Each employee shall receive a performance evaluation at least annually.
2. The evaluation shall be documented and discussed with the employee.
3. The evaluation shall be provided by the employee's immediate supervisor and shall include performance-based and measurable goals and objectives.
4. The CEO's annual evaluations shall be conducted by the Personnel Committee of the Board. The Committee shall seek documented input from stakeholders of the Center, including but not limited to, Center employees, volunteers, all board members, and community partners.
5. The written evaluations shall be maintained in the employee's personnel file.

Confidentiality

The nature of the services provided by CFCF requires all employees to maintain the highest level of confidentiality. This policy outlines expectations of clients and requirements of the agency concerning confidentiality.

Clients have a right to expect that information shared with CFCF staff will not be discussed with anyone inside or outside the agency without a legitimate need to know. Casual conversations about clients or even referencing people who are clients of CFCF are strictly prohibited.

All CFCF records and information relating to CFCF, its clients and volunteers are confidential and employees must, therefore, treat all matters accordingly. No CFCF or CFCF-related information, including but not limited to documents, notes, files, records, oral information, computer files or similar materials (except in the ordinary course of performing duties on behalf of CFCF) may be removed from CFCF's premises without permission from CFCF. Additionally, the contents of CFCF's records or information otherwise obtained in regard to services may not be disclosed to anyone, except where required for agency business.

Employees who are unsure about the confidential nature of specific information must ask their supervisor or CEO for clarification. Employees will be subject to appropriate disciplinary action, up to and including dismissal, for knowingly or unknowingly revealing information of a confidential nature.

Inappropriate Workplace Conduct

The purpose of this policy is to create a standard for appropriate workplace conduct. CFCF will not tolerate verbal or physical conduct by any employee which harasses, disrupts, or interferes with another's work performance, or which creates an intimidating, offensive, or hostile environment.

While all forms of harassment are prohibited, it is the policy of CFCF to emphasize that sexual harassment is specifically prohibited. Each supervisor has a responsibility to maintain the workplace free of any form of sexual harassment. No supervisor shall threaten or insinuate, either explicitly or implicitly, that an employee's refusal to submit to sexual advances will adversely affect the employee's employment, evaluation, wages, advancement, assigned duties, shifts, or any other conditions of employment or career development.

Other sexually harassing conduct in the workplace, whether committed by supervisors or non-supervisory personnel, is also prohibited. Such conduct includes, but is not limited to:

- a. Sexual flirtations, touching, advances, or propositions;
- b. Verbal abuse of a sexual nature;
- c. Graphic or suggestive comments about an individual's dress or body;
- d. Sexually degrading words to describe an individual;
- e. The display in the workplace of sexually suggestive objects or pictures,;
- f. Other similar offensive conduct.

Each supervisor also has a responsibility to maintain the workplace free of any form of harassment based on race or national origin. Harassment based on race or national origin includes, but is not limited to:

- a. Verbal abuse of a racial or national origin nature;
- b. Slurs or epithets about an individual's race or national origin;
- c. Jokes that belittle or mock an individual's race or national origin;
- d. Distribution of literature or material which is degrading of any race or national origin.

Any employee who believes that the actions or words of a supervisor or fellow employee constitute unwelcome harassment has a responsibility to report or complain as soon as possible to Cindy Murray, CEO. The phone number is 318 398-0945.

All complaints of harassment will be investigated promptly in as impartial and confidential a manner as possible as directed by the CEO with advice of legal counsel. In all cases, the employee on whom the complaint was filed is to be advised of management's findings and conclusions.

Any employee, supervisor or manager who is found after appropriate investigation to have engaged in harassment of another employee will be subject to appropriate disciplinary action, depending on the circumstances, up to and including termination.

Supervisors must notify the CEO if they learn of any complaint of inappropriate workplace conduct.

Supervisors must also notify the CEO if they hear (or hear of) any conversations in the workplace that refer to or describe any person's body parts, sexuality, race, gender or any other potentially offensive remark.

The CEO will initiate and oversee an investigation including an interview with the complaining employee, employee being accused and any others necessary to the investigation.

The CEO will notify the reporting manager or supervisor about the results of the investigation and necessary actions.

Corrective Action

All employees are hired with the expectation that they will do a good job and succeed in the position for which they are hired. Occasionally, employees do not meet those standards. The agency does all it can to improve employee performance to an acceptable level. The procedure below outlines the general process the agency may follow in order to correct unacceptable performance. The agency reserves the right to skip any one of these steps depending upon the situation.

Counseling - Employees are notified of their performance problem or policy violation and given support for correcting the conduct.

Reprimand - May follow a verbal notice or counseling for continued performance problems or agency policy violations.

Discharge - May follow prior steps or may be immediate depending upon the severity of the problem.

Discharge from Employment

Discharge is a separation from employment used by the agency. A discharge may follow disciplinary steps outlined in the prior section or may be immediate depending upon the situation. The following list outlines some of the reasons employees may be discharged from employment. This list is illustrative and not exhaustive.

1. Verbal, sexual, psychological, or physical abuse or mistreatment or mockery of any client, staff member or visitor.
2. Falsification or unauthorized destruction of any record, including client records, personnel records, employment applications, time sheets, invoices, reports, petty cash vouchers, expense reports, etc.
3. Unauthorized removal or misappropriation of, or attempted unauthorized removal or misappropriation of, agency or client records.
4. Use, possession, or distribution of alcohol or illegal drugs while on duty or being under the influence of alcohol or illegal drugs while on duty.
5. Revealing confidential information to unauthorized persons.
6. Failure to report any accident, incident or improper treatment of a client.
7. Initiating or fostering verbal abuse, physical abuse, a fight or other disruptive event.
8. Insubordinate or disrespectful conduct.
9. Failure to call in or report for work.
10. Commission of or involvement in conduct of a criminal nature while on duty.
11. Conviction of a crime committed while on duty or which may be job-related.
12. Failure to maintain a current valid driver's license or with an uninsurable driving/accident record, in positions where required.
13. Gross misconduct.
14. Failure to perform job requirements to agency standards.
15. Failure to accept supervision.
16. Discourteous treatment of any client, public or staff.
17. Dishonesty about job-related matters.
18. Misuse of agency resources such as equipment, supplies, property, or utilities.
19. Conduct which the agency deems incompatible with employment.
20. Conduct unbecoming a staff member, which impairs job performance or reflects unfavorably upon the agency.
21. Deception in securing employment for oneself or as assistance to another.
22. Unauthorized absence.
23. Excessive absenteeism or tardiness.
24. Unauthorized representation or misrepresentation of the agency.
25. Any form of harassment between employees/supervisors, including but not limited to sexual harassment.
26. Unauthorized solicitation.
27. Conflict of interest.
28. Violation of client confidentiality.

Substance Abuse Policy

1. Statement of Policy

Center For Children & Families, Inc. (hereafter referred to as “The Center”) is committed to having a safe, health, and productive workplace for all employees. The Center recognizes that drug, alcohol, or other substance abuse by an employee will impair his or her ability to perform properly and can have serious adverse effects on the safety, efficiency, and productivity of other employees and The Center as a whole. The misuse of legitimate drugs or the use, possession, manufacture, distribution, or sale of unprescribed controlled substances on The Center premises (including lunch or other break periods) or while conducting The Center business while off premises is strictly prohibited. Possession, use, distribution or sale of alcoholic beverages on The Center premises (including lunch or other break periods) is prohibited. The term “The Center Premises” as used in this Policy refers to the work location, offices, desks, lockers, parking lots, The Center vehicles, and personal vehicles used for The Center business and client homes in which staff are performing services.

- a. First violation of this Policy will result in immediate suspension without pay or benefits for 30 days or removal from eligibility to work for The Center for 30 days or permanently, and will require a “negative” test result before becoming eligible to work.
- b. Second violation of this Policy will result in immediate suspension for 90 days, without pay or benefits, or removal from eligibility to work for The Center for 90 days or permanently, will require a negative test result, proof of rehabilitation and subsequent testing as noted in the Drug/Alcohol Plan.
- c. Third violation of this Policy will result in termination, or ineligibility to work for The Center for one year or permanently, and will require a “negative” test result, proof of rehabilitation and subsequent testing as noted in the Drug/Alcohol Plan in order to be eligible for employment with The Center. While this Policy refers specifically to drugs and alcohol, it is intended to apply to all forms of substance abuse. Employees must, as a condition of employment, abide by this Policy and report, within five (5) days, any conviction under a criminal drug statute for violations occurring on or off The Center premises while conducting The Center business. This policy is intended to comply with the Louisiana Drug Testing Act, the Louisiana Workers’ Compensation Act and the Louisiana Employment Security Law and any conflict between the law and this policy shall be governed by the law and this policy shall be conformed in any and all respects to be consistent with the applicable law.

2. Exceptions

The possession of a substance administered to an employee by a licensed physician who has advised the employee that the substance will not affect the employee’s ability to perform job-related duties is not a violation of this policy. Employees may maintain prescription drugs on The Center premises provided:

1. The drugs have been prescribed by a licensed physician for the person in possession of the drug; and

2. Supervision and management are informed by the employee of their use of a prescribed drug on The Center premises, if warranted by reason of possible side effects or behavioral changes.

3. Recognition

The Center recognizes that drug and alcohol dependency may be an illness and a major health problem. The Center also recognizes drug and alcohol abuse as a safety, security, and potential health problem. Employees who suspect they may have a drug or alcohol problem are encouraged to seek advice and follow appropriate treatment before it results in job performance or employee safety problems.

4. Post-Accident

Any employee whose performance was or could have been a contributing factor in an accident will be required to submit to a drug test within 24 hours after the accident. Under this Policy and Plan, an accident is defined as any event that includes serious injuries, deaths and property damage of \$500 or more. Additionally, motor vehicle accidents and accidents or injuries requiring medical treatment by a physician will require employees to submit to a drug test within 24 hours. Where there is "Reasonable Cause" (as defined in the Plan) to suspect alcohol use, The Center will direct employees to submit to an appropriate alcohol test immediately, or as soon as practicable, after the accident. The type of investigation to be conducted will be determined by the CEO. If the results of the investigation show that no misconduct or violations occurred the employee will be reinstated and paid for the time spent in administrative suspension. If the investigation substantiates the accusation, the staff member will be disciplined appropriately. This may include performance probation or discharge from employment. If the suspended employee is discharged, he/she will not be paid for time spent on administrative suspension.

5. The Center Rights

Because of the importance of the Policy, The Center reserves the right to conduct:

- a. Reasonable searches of The Center premises and The Center owned or controlled property, including personal effects of any employee or contract worker.
- b. Urine drug testing or other investigative examinations for Post-Accident, Reasonable Cause, and Post Rehabilitation.
- c. Confiscation of illegal drugs and delivery of such items to law enforcement authorities.

6. Leave of Absence

No employee with drug or alcohol dependency will be terminated or otherwise disciplined solely due to a request for help in overcoming that dependency or because of involvement in a rehabilitation effort. If, however, an employee violates provisions of this Policy, the employee

shall be subject to disciplinary action as stated herein, such disciplinary action cannot be avoided by requesting for treatment or rehabilitation subsequent to a violation. Any employee who, before a policy violation, voluntarily states he or she has a dependency on drugs or alcohol will be referred to appropriate resources for rehabilitation. Such an employee will be permitted to take an unpaid leave of absence for the purpose of undergoing a substance abuse treatment program. The leave of absence must be requested prior to scheduled treatment date and will be granted on a onetime basis. The Center reserves the right to conduct random drug tests on employees who return to work after treatment for substance abuse.

7. Other

This Policy does not require and should not result in any special regulations, privileges, or exemption from normal performance requirements.

8. Changes

The Center reserves the right to make administrative changes to this Policy and the attached Plan (e.g., third party vendors, administrative contacts, random testing rates, etc.) without notice and without re-printing these documents with subsequent employee acknowledgment of receipt. Such changes are not considered material, and are not meant to change the intent of these documents.

Drug and Alcohol Plan

In order to protect employees, the public, our customers and The Center property from danger which may result from the illegal use of drugs and/or misuse of alcohol, and to seek compliance with the application regulations, Center For Children & Families, Inc. (The Center) is committed to providing and maintaining a safe, drug-free and alcohol-free work environment by establishing the following Drug/Alcohol Plan (the Plan) to take effect October 1, 2008.

Methods and Procedures for Compliance

A. Covered Employees

All employees of The Center are covered under this Plan.

B. Prohibited Substances

All employees of The Center or applicants for employment will be subject to drug testing to detect the use of the following prohibited substances:

1. Marijuana
2. Cocaine
3. Opiates
4. Amphetamines
5. Phencyclidine (PCP)

Drug testing will be performed by analysis of urine specimens or other appropriate specimens provided by the employee at The Center-specified collection sites following procedures established by the Substance Abuse and Mental Health Services Administration (SAMHSA),

(formerly NIDA). Testing will be performed only by SAMHSA-certified or CAP-FUDTcertified laboratories.

C. Types of Tests

The following types of testing will be performed:

1. Reasonable Cause - Drug and Alcohol

Whenever The Center has sufficient reason to believe that an employee may have been using prohibited drugs or alcohol, The Center will require that employee to submit to an appropriate test. The reasonable cause determination will be based on specific, contemporaneous physical, behavioral, or performance indicators of probable drug use or alcohol misuse. The Supervisor(s) requesting that an employee submit to a reasonable cause test must document the basis for requiring the test. Where there is reasonable cause for alcohol use, The Center will direct employees to submit to an appropriate alcohol test immediately, or as soon as practicable. It is not necessary for the supervisors to have personally witnessed the behavior leading to a reasonable cause decision.

2. Post-Accident - Drug

Any employee whose performance was or could have been a contributing factor in an accident will be required to submit to a drug test within 24 hours after the accident. Under this Plan, an accident is injuries requiring medical treatment by a physician, deaths, and property damage of \$500 or more, vehicle accidents, accidents or incidents under the Louisiana Workers' Compensation Act or Louisiana Employment Security Law and other significant events. Illegal use or possession of drugs or alcohol may lead to denial of worker's compensation benefits and/or unemployment compensation benefits.

3. Post-Rehabilitation - Drug

The Center is not required to provide rehabilitation for employees. Employees who have been recommended for return to duty by a physician following their rehabilitation will be subject to unannounced drug tests scheduled by a supervisor, in addition to the other types of tests for a period of no more than 60 months following return to duty.

D. Refusal to test

Any employee who refused to submit to a drug/alcohol test or who tests positive on a drug/alcohol test as determined and reported to The Center, will be immediately ineligible to perform duties for The Center. In addition, that employee will be subject to disciplinary procedures up to and including termination as stated in the Substance Abuse Policy.

E. Submission of Adulterated Sample

A test will be considered "Positive" if an adulterated sample is submitted. Any employee who submits an adulterated sample as determined and reported to The Center, will be immediately ineligible to perform duties for The Center. In addition, that employee will be subject to disciplinary procedures up to and including termination as stated in the Substance Abuse Policy.

F. Employee right of contest

The employee shall have the right to contest the test results by requesting in writing to a supervisor, within 5 working days after the notification, to have an independent laboratory retest the sample originally collected. The expense for the retest of the original sample collected shall be the employee's responsibility. The independent laboratory must be SAMHSA-certified or CAP-FUDT certified and use SAMHSA testing procedures.

G. Plan of Action

The Center has established a Substance Abuse Policy that is at the front of this Plan and is posted on all bulletin boards. All employees will be required to sign and acknowledgment of receipt, which will be placed in The Center's Drug/Alcohol Plan files. All applicants will be informed of The Center's Substance Abuse Policy and Plan.

I. Transportation

A. Supervisors will arrange for transportation to the testing site in those cases where employees are unable to safely drive themselves. Supervisors will be responsible for making reasonable cause determinations as outlined herein.

II. Laboratory

A. The Center has selected the SAMHSA-certified or CAP-FUDT certified laboratory listed in Attachment A to perform drug testing under the Drug/Alcohol Plan.

B. Testing for the five prohibited drugs will be performed by urinalysis or other approved specimen. Each urine specimen received by the laboratory will be subjected to an initial immunoassay test. A positive result from the initial test will require the specimen to be subjected to a second, confirmatory test using gas chromatography/mass spectrometry (GS/MS) techniques. The laboratory will report a positive result to the supervisor only if the confirmatory GC/MS test result is positive. All other test results will be reported to the supervisor as negative. The laboratory will retain specimens that yield positive results for at least 365 days.

III. Recordkeeping Responsibilities

A. The person responsible for recordkeeping under the Drug/Alcohol Plan is The Center's Drug Program Coordinator.

IV. Maintenance of Records

The Center will maintain the following records for the periods specified below:

A. Records that demonstrate that the collection process conforms to appropriate regulations and The Center Policy will be kept for at least three years.

B. Records that show employees failed a drug test, the type of test failed and records that demonstrate rehabilitation, if any, will be kept for at least five years.

The following information will be included in these records:

1. Functions performed by those employees
2. Prohibited drugs which were used by those employees
3. Disposition of those employees (e.g., termination, rehabilitation)
4. Age of each of those employees

- C. Records that show that employees passed a drug test will be kept for a least one year.
- D. Records that show the number of employees tested by type of test will be kept for at least five years.
- E. Records confirming that supervisors and employees have received education and training will be kept for at least three years.

V. Confidentiality

A. The Center's Drug/Alcohol Plan will carefully consider individual expectations of privacy and confidentiality in establishing a records retention program. With the exception of the testing laboratory, designated Drug Program Coordinator, and appropriate The Center officials (or its designees) for the purpose of defending the testing process or results, the results of individual drug tests may not be released to anyone without the express written authorization of the tested individual, except to duly authorized officials as part of an accident investigation.

1. To maintain confidentiality, written records will be stored in lockable file cabinets in the office of the Drug Program Coordinator. Such records will not be a part of individual personnel files.
2. Unless an employee gives his or her written consent, The Center will not release the employee's rehabilitation or drug test records to a subsequent employer.

VI. Changes

A. The Center reserves the right to make administrative changes to this Plan (e.g., third party vendors, administrative contacts, random testing rates, etc.) without notice and without re-printing these documents with subsequent employee acknowledgment of receipt. Such changes are not considered material, and are not meant to change the intent of this document.

Administrative Suspension

On occasion it may become necessary to investigate allegations of misconduct by an employee. When that occurs, employees are placed on administrative suspension during which time an investigation, as needed is performed. Administrative suspensions generally do not last longer than 5 days during which time contact with staff and visits to the facility at any time are prohibited.

The type of investigation to be conducted will be determined by the CEO. If the results of the investigation show that no misconduct or violations occurred the employee will be reinstated and paid for the time spent in administrative suspension. If the investigation substantiates the accusation, the staff member will be disciplined appropriately. This may include performance probation or discharge from employment. If the suspended employee is discharged, he/she will not be paid for time spent on administrative suspension.

Other Administrative Matters

Whistle Blower

It is the policy of the Center to protect any employees who report violations of law to the proper authorities.

1. Employees are encouraged to report any and all violations of laws, grant requirements, Center policies, or ethics to their supervisor. If the employee's supervisor is the violator, the employee is encouraged to report such violation to the Center's CEO.
2. If the employee is more comfortable reporting violations to the Board of Directors, the employee is encouraged to do so.
3. A report or failure to report violations to Center staff or appropriate authorities shall not subject the employee to disciplinary action or retaliation within the Center.
4. Any employee who is determined to have taken actions in retaliation for report of violation shall be subject to immediate disciplinary action, including but not limited to termination.

Interns

Interns are hired into a position category to perform certain duties and functions as defined by the agency and educational institution.

Upon conclusion of the internship, the partnership with CFCF is terminated. Interns are eligible to apply for a regular position with CFCF.

Reference Checks

All inquiries regarding a current or former CFCF employee or volunteer must be referred to the CEO or designee. Should an employee receive a written request for a reference, he/she should refer the request to the CEO for handling. No CFCF employee may issue a reference letter to any current or former employee or volunteer without the permission of the CEO.

Under no circumstances should any CFCF employee release any information about any current or former CFCF employee or volunteer over the telephone. All telephone inquiries regarding any current or former employee or volunteer of CFCF must be referred to the CEO.

In response to an outside request for information regarding a current or former CFCF employee, the Human Resources Department will furnish or verify only an employee's name, dates of employment, job title and department. No other data or information regarding any current or former CFCF employee, or his/her employment with CFCF, will be furnished.

Personnel Records

To keep necessary CFCF employee records up to date, it is extremely important that you notify the Human Resources Department of any changes in:

- Name and/or marital status
- Address and/or telephone number
- # of eligible dependents
- W-4 deductions
- Person to contact in case of emergency

All employees have access to their personnel records for the purposes of review, addition and correction. Employees wishing to view their records may submit a request to their supervisor. If anything in the record is in need of updating, addition or correction, the employee should notify his or her supervisor in writing of the changes.

Accidents and Emergencies

Maintaining a safe work environment requires the continuous cooperation of all employees. CFCF strongly encourages employees to communicate with fellow employees and their supervisor regarding safety issues.

All employees will be provided care, first-aid and emergency service, as required, for injuries or illnesses while on CFCF premises. Employees should contact the nearest supervisor, and/or 911 in the event of an accident or emergency.

If an employee is injured on the job, CFCF provides coverage and protection in accordance with the Worker's Compensation Law. When an injury is sustained while at work, the injury must be reported immediately. Failure to report accidents is a serious matter and may adversely affect benefits available under the agency's Worker's Compensation Insurance.

Employees of the CFCF involved in auto accidents while performing job duties will be required to undergo a medical evaluation or provide written clearance from a physician to return to work.

Solicitation and Distribution of Information and Literature

CFCF limits any solicitation of employees. All agency communications systems are to be used for CFCF business only. All employees are expected to abide by the following policy:

1. No distribution of literature or printed matter in CFCF work areas during working hours. (Working hours do not include meal and break periods.)
2. No e-mail messages sent to any CFCF employee selling merchandise or soliciting donations. This applies to internal e-mail, external e-mail and any message system accessed through the Internet and agency Intranet.
3. CFCF work areas, bulletin boards and computer systems may not be used to distribute literature or information not related to CFCF.
4. Non-employees may not engage in solicitation, collection or distribution of written or printed matter of any kind at any time on CFCF premises.

The agency occasionally sponsors community activities such as blood drives and chamber of commerce programs, etc... These activities are considered agency business and may be communicated using agency communication systems.

CFCF recognizes that from time to time, employees have various items available for sale as fundraisers for schools and other organizations. This type of activity is permissible on a limited basis and must not interfere with work.

Employees may distribute catalogs informally for home parties that employees occasionally host. When this is done, it must not interfere with work or make employees feel pressured.

Sales of any kind by employees for an outside business is strictly prohibited.

Employees not conducting themselves in a manner consistent with these guidelines will be subject to disciplinary action up to and including discharge.

Privacy Policy

The Center for Children and Families (CFCF) places a high priority on protecting your privacy. This privacy policy was created in order to demonstrate CFCF's firm commitment to the privacy of our members and website users. This policy explains what types of information is collected by CFCF's website, www.cfcfnela.org, and how this information is used.

What Personally Identifiable Information is Collected:

Individuals that sign up to receive CFCF e-communications voluntarily provide us with contact information (such as name and e-mail address). We may use this information for specific, limited purposes. You may always "opt out," either now or at any time in the future, if you do not wish to receive our messages.

How Your Information May Be Used:

We use your personal information to provide you with personalized service; to send e-mail alerts to you; to answer your requests; etc. You may choose to opt out at any time, which will cease all communications from us. We may also use your information to track visitors of our website.

Email Privacy:

CFCF does not provide, sell, or rent email addresses to anyone outside the organization.

External Links:

www.standforhope.org includes links to external websites. These links do not fall under the www.standforhope.org domain, and CFCF is not responsible for the privacy practices or the content of external websites. Your use of any linked website is solely at your own risk.

Modifications:

We may amend this privacy policy from time to time; please review it periodically. We maintain the option to modify this privacy at any time by electronic notice posted on our website. Your continued use of our website after the date that such notices are posted will be deemed to be your agreement to the changed terms.

Resignation, Separation and Layoff

Occasionally, employees find it necessary to leave their positions at CFCF. Additionally, employees may be involuntarily terminated or laid off.

When employees resign, they must give appropriate notice in order for the agency to transfer job duties. Generally, a two-week notice is a minimum. Those with supervisory responsibilities are requested to give 30 days of notice.

The agency reserves the right to release the employee prior to the conclusion of the notice period. Should this occur, the employees will receive payment for the entire notice period.

On rare occasions, the agency might be required to layoff employees from their positions with CFCF. This may be done for business necessity and will consider, in order of priority:

- Agency needs
- Employee performance
- Date of hire

Consistent with Louisiana law, final checks are issued within 15 calendar days or the next payroll period, whichever is less.

When employees' final workday has been established, they must surrender all agency property including:

- CFCF business cards/letterhead
- Office keys
- CFCF credit cards
- Employee handbooks and CFCF manuals
- Any additional CFCF-owned or issued property

Conflict of Interest

The agency requires the highest possible level of conduct from all staff members and protects the integrity of the agency and its programs and facilities by recruitment and retention of the highest quality staff. Staff members are prohibited from using their position to secure privileges for themselves or others and from engaging in activities, which constitute a conflict of interest.

No agency staff member may engage in any activity which, directly or indirectly, constitutes a conflict of interest. The following activities are considered to create a conflict of interest:

- A staff member with a financial interest in an enterprise doing business with the agency.
- A staff member who acts as attorney, agent, broker, representative or employee for, or receives compensation or anything of value from, a firm, person, corporation, or other entity doing business with the agency.
- A staff member who uses agency resources or credit for personal use or gain.

The following activities, which relate specifically to relationships with clients also constitute a conflict of interest and are prohibited:

- Accepting gifts or favors from a client or his or her family or providing gifts or favors to a client or his or her family except as authorized in the official performance of duties. This prohibition does not include the transfer of items normally associated with social matters.
- Developing relationships with clients other than those necessary in the normal conduct of business. Staff members may not use their position to become emotionally, physically and/or personally involved with clients.

Nominal gifts such as advertising tokens or other expressions of appreciation may be accepted. However, special care must always be taken to avoid even the impression of bias or a conflict of interest. No employee may solicit or accept gifts of significant value (i.e., in excess of \$50.00), lavish entertainment or other benefits from clients, volunteers, or any attorney or other party, individual or entity.

Although staff members may take part in political campaigns of a partisan nature as individual citizens, no staff member may use his or her position with the agency to influence or affect the results of an election. This includes the use of agency letterhead to endorse a political candidate or support a particular position on legislation or referendums. Such action can cause the agency to lose its nonprofit status.

Employees who violate this conflict of interest policy are subject to disciplinary action up to and including termination from employment depending upon the situation.

Policy: The Board of Directors of the Center seeks to ensure that all directors and employees of the Center act in the best interest of the Center. It is further the policy of the Center that directors are aware of and uphold their **duties of care** and **loyalty** to the Center.

Definitions:

A. **Duty of care** means the obligation to attend, participate in decisions, and be reasonably informed on matters relating to board decisions by giving diligent attention to matters before the board, participating in deliberations of the board, keeping informed of the business of, and exercising independent judgment on decisions that come before the board.

B. **Duty of loyalty** means the obligation to exercise the power of the board and its directors in the interest of the Center rather than in their own or anyone else's interest.

C. **Conflict of interest** means an interest or situation which causes the person with the duties of care and loyalty to violate either or both of those duties. An example of a conflict of interest relating to the duty of care is relying on someone else's judgment when voting at a board meeting because the board member did not make themselves aware of the issues. An example of a conflict of interest relating to the duty of loyalty is proposing or voting on the Center entering a contract with an entity in which you have some interest.

D. A **controlling interest** shall mean an ownership or membership equal to or greater than 50% or the ability to vote of 50% or more.

E. **Disclose/disclosure** means to make the **conflict of interest** or potential **conflict of interest** known and document the same. The **disclosure** should be a full **disclosure** in that it includes the nature and extent of the conflicting interest.

F. One type of interest that may cause a conflict of interest is a **financial interest**. A person has a **financial interest** if the person has, directly or indirectly, through business, investment, or family member:

1. An ownership or investment interest in any entity with which the Center has a transaction or arrangement;
2. A compensation (including, but not limited to direct or indirect remuneration as well as gifts or favors that are not insubstantial) arrangement with the Center or with any entity or individual with which the Center has a transaction or arrangement; or
3. A potential ownership or investment interest in, or compensation arrangement with any entity or individual with which the Center is negotiating a transaction or arrangement.

G. **Family members** shall mean spouse, ascendants, descendants, siblings (step, whole, and half), spouses of siblings and descendants.

H. A **key employee** is any employee that manages a segment or activity of the Center that represents 10% or more of the Center's activities, assets, income, or expenses OR that has the authority to control 10% or more of the Center's expenditures, budget, or employee compensation.

Procedure:

- A. A director and the staff members of the Center shall review annually this policy and procedure and acknowledge the same in writing on the Survey attached hereto and made a part hereof as Exhibit A.
- B. A director and key staff member shall recognize and **disclose** to the Conflicts Committee of the Center's Board of Directors any **conflict of interest** or potential **conflict of interest** as the conflict becomes known to the director or staff member. Further, it is the obligation of all directors or staff members to **disclose** any **conflict of interest** or potential **conflict of interest** of which they are aware at every meeting in which any action is proposed on the matter that presents the conflict.
- C. All **disclosures** shall be documented in writing to the Board's Conflicts Committee. This written **disclosure** may be accomplished through letter, the Conflict Survey, or through detailed documentation in the minutes of the **disclosure**.
- D. A director or staff member who has a **conflict of interest** shall not take part in any discussion, debate, or vote on the item of business. A director or staff member may choose to treat a potential **conflict of interest** as a true **conflict of interest** and excuse himself from the discussion, debate, or vote on the item of business involved in any potential **conflict of interest**.
- E. A director or staff member may voluntarily excuse himself from the meeting until the item of business involved in the **conflict of interest** or potential **conflict of interest** is completed. A director of the board may move that the director or staff member with a **conflict of interest** leave the meeting until the item of business involved in the conflict be completed. If such motion passes, the director or staff member shall leave the meeting until being invited to return at the conclusion of that matter.
- F. The minutes of the meeting of the Board and its committees shall reflect any **conflicts** or potential **conflicts of interest** that were disclosed, the discussion surrounding the matter of business related to the **conflict of interest** or potential **conflict of interest**, and the specific vote or action taken thereon.

G. If the Board has reasonable cause to believe that a director or staff member has failed to disclose actual or potential **conflicts of interest**, it will notify such director or staff member of such perceived violation. Failure to disclose any **conflict of interest** is grounds for removal of a director and termination of employment should the Board or supervisor deem such action appropriate in the circumstances.

Transparency

It is the policy of the Center to operate in a transparent and accountable manner to our stakeholders and our community while protecting the privacy interests of our stakeholders for whom and about whom we maintain private information.

Procedure:

- A. The Articles of Incorporation, the bylaws, and the Conflict of Interest Policy shall be available on our website.
- B. An annual report shall be sent to all identified stakeholders and made available to the public upon request. The financial condition of the Center shall make up a portion of the annual report.
- C. A copy of the Form 990 filed with the Internal Revenue Service will be provided to the public upon request.
- D. Other Corporate Records may be provided to the public as may be determined from time to time by the Board of Directors.

Joint Venture

It is the policy of the Center to seek community partners with which to collaborate to provide effective, efficient and economical services to the families that we serve. The standard procedure for this is as follows:

1. The staff of the Center shall seek, establish, and maintain relationships with persons, groups, organizations, and entities that are willing to work with the Center to provide or enable the provision of services to the families that we serve.
2. The Center, however, shall not become a member of a limited liability company, a partner in a partnership, or participate in any other group to the extent that the center could be construed as a partner in a partnership recognized by the Internal Revenue Service.
3. The Center shall not participate in any joint venture unless an agreement with the other party participating in such venture is in writing and signed by an authorized officer of the Center's Board of Directors and by the other party or an authorized officer the of the other party in the case of an entity.

Outside Employment

Employees are required to obtain approval from their supervisor before participating in outside work activities. Approval may be granted unless in the sole and exclusive discretion of CFCF it creates a real or perceived conflict.

In general, outside work activities are not allowed when they:

- Prevent the employee from fully performing work for which he or she is employed at CFCF, including overtime assignments;
- Involve organizations or individuals that actually or potentially have interests in conflict with CFCF or its clients.
- Violate provisions of law or CFCF's policies or procedures.

Outside employment covers employees who operate a business outside their employment with CFCF.

From time to time, CFCF employees may be required to work beyond their normally scheduled hours. While every attempt is made to avoid such conflicts, employees must understand that their obligations to their employment with CFCF must be given priority.

Agency Travel

Occasionally, employees may be required to travel on agency business. When this occurs, reasonable and customary travel expenses will be paid by CFCF.

Some employees are required to drive an automobile in order to perform their job functions. When employees use their personal vehicle for work duties outside of the Monroe city limits, mileage expenses are paid at a pre-determined rate per mile.

CFCF's insurance policy covers employee owned vehicles, but the policy requires employees maintain their own coverage as well. Employees who drive their vehicles on agency business will be required to provide verification of coverage at least annually. CFCF is not responsible for insurance claims or damage to personally owned vehicles used on company business.

Employees of the CFCF are not allowed to transport clients in their personal vehicles without prior approval. Employees that transport clients will be responsible for applying for approval to transport clients and for maintaining liability insurance coverage and a safe driving record.

In the event of an accident while transporting a client, immediately contact your supervisor. All accidents must be reported in writing to CFCF immediately upon return to work. A police report is also required. If an accident occurs while conducting approved transportation of a client, CFCF will assume responsibility for insurance claims and damage that exceed the personal coverage of the employee.

No minor client may be transported at anytime without a guardian also present in the vehicle unless a transportation waiver has been signed by the guardian and the agency has given prior approval.

When driving the Center for Children and Families, Inc vehicle, the driver must have a valid driver's license.

Employees are not allowed to operate their own or the agency owned vehicle on agency business while under the influence of alcohol or drugs as defined by appropriate state law.

Any violations of traffic laws and resulting fines while driving on agency business are the responsibility of the individual. Furthermore, any violation of traffic laws that results in the issuance of a citation must be reported within 24 hours or one business day of the incident which resulted in the citation.

Electronic Devices While Driving

CFCF is committed to establishing safe practices to ensure the well-being of our employees. For this reason, employees are prohibited from the use of cell phones and other electronic devices while operating a motor vehicle.

Company Vehicle Procedure

Company vehicles are for the use of specific company personnel as specified by the CEO and their designees. Transporting of clients will be done by field personnel when deemed necessary to perform their job functions.

All passengers are required to use age appropriate passenger restraints. If appropriate passenger restraints are not available then the clients will not be transported in a company vehicle.

All minors must be accompanied by their adult care giver. Staff will not transport a minor without appropriate adult supervision.

Any accidents or incidents will be reported immediately to your direct supervisor and detailed in writing so that proper follow up can be provided.

Records:

All staff will have a copy of their valid driver's license and personal insurance in their personnel file.

These documents must be updated annually for individual personnel files. Proper insurance for company vehicles and liability insurance for all occupants must be maintained at all times. Proof of insurance will be kept in vehicles glove compartment for inspections.

Maintenance:

All company vehicles are to be kept in safe and good working order at all times.

Any suspected maintenance or safety issues will be reported to the office manager for immediate follow up.

Office manager will be responsible for current registration, inspection and maintenance of all vehicles.

Agency Credit Card

Some employees are assigned agency credit cards to use for purchases related to agency activities. Credit card holders are required to submit receipts for all agency credit card purchases. Each receipt must be noted for business purpose.

Agency credit cards may never be used for personal items or purchases. Employees doing so are subject to disciplinary action up to and including termination from employment.

Computers and Information Systems

Computer technology is an important part of operations at CFCF. This section outlines the policy regarding the use of computers and what is expected of all users and employees.

General Information Technology Standards

The agency maintains a relationship with computer support consultants to maintain its computer systems. If employees experience difficulties with their computer, they should contact their supervisor. The supervisor will determine if the computer consultants are to be contacted.

Computer users are prohibited from:

- Disabling firewall or antivirus software;
- Formatting hard drives;
- Installing or reinstalling operating system software;
- Otherwise making any permanent alterations to agency computers.

Software and Files

CFCF believes that employees need to have all tools possible to do their jobs efficiently and effectively. The agency has installed all the software necessary for computer users to do their jobs. Additionally, the agency strictly complies with software licensing laws and regulations.

Software and files can consume large amounts of agency computer system resources. Also, some software and files can create operating system conflicts or may automatically install programs that have the potential to slow or even disable agency computer systems.

Employees are prohibited from installing any software or files on agency computers without specific authorization from their supervisor. This includes software that is downloaded from the Internet or through the use of CD's. Shareware, games and instant message programs specifically must not be downloaded or otherwise installed. Music or pictures may be stored on agency computers on a limited basis but not to a level that it consumes large amounts of computer storage capacity.

Employees who have exclusive use of an agency computer may personalize their computers on a limited basis. This may involve personal digital photos on their monitor wallpaper or as screen savers. However, agency computers should not be used to store large amounts of digital photos.

Document Retention and Destruction Policy:

It is the policy of the Center to maintain accurate records of the activities of the Center until those records are no longer useful. It is further the policy of the Center to destroy records that no longer serve a useful purpose in a manner that protects the privacy of all agency matters.

Definitions:

1. **Case Records** shall mean all documentation of service provision and treatment provided to a specific individual or group.
2. **Corporate Records** shall mean articles, bylaws, resolutions, minutes of Board meetings and committee meetings.
3. **Employment Records** shall mean all applications, tax elections, job descriptions, evaluations, commendations, statutorily required forms, and disciplinary actions related to an employee.
4. **Financial Records** shall mean any and all documentation related to the finances of the Center including but not limited to accounts payable, accounts receivable, grant applications contracts and reports, bank account statements and ledgers, payroll, tax returns and withholding documentation.

Procedure:

1. All records shall be maintained by the Center's CEO.
2. **Financial Documents** shall be maintained for a minimum of seven years.
3. **Financial Records** shall be treated as private, corporate documents and shall be destroyed in a manner to protect the level of privacy expected in such a document.
4. **Corporate Records** shall be maintained for the lifetime of the corporation.
5. **Case Records** shall be maintained for ten years in the case of services provided to adults. In the case of services provided to a minor, records shall be maintained for one year after that minor reaches majority.
6. **Case Records** are protected privacy information and upon destruction all copies of such records shall be destroyed in a manner to maintain that privacy.
7. **Employment Records** shall be maintained for ten years after the termination of the employment relationship.
8. Any grant requirement or gift restriction that requires a retention period for longer than stated within this procedure shall supersede this procedure.
9. Any records maintained in an electronic format shall have at least one back-up copy maintained by the Center.
10. Any records related to any matter which is subject to an investigation by the Center, any governmental authority, or any matter subject to any claim made against the Center, its employees, directors, or volunteers by any person or entity shall be maintained by the Center for a period of one year after such matter is resolved.

Internet and E-Mail

The Internet and e-mail have become valuable tools for the agency. The computer consultants have installed antivirus, anti-spam and firewall software to protect the agency's computer systems. However, all employees must use common sense to insure the security of the agency's information technology resources.

For the purposes of this document the Internet is defined as a worldwide "network of networks" using Transmission Control Protocol/Internet Protocol (TCP/IP) or File Transfer Protocol (FTP) for communication.

This policy applies to any Internet service that is:

- Accessed on or from CFCF premises;
- Accessed using agency computer equipment or via agency-paid access methods; and/or
- Used in a manner that identifies the individual with the agency.

Employees are strictly prohibited from using agency provided Internet services in connection with any of the following activities:

- Engaging in illegal, fraudulent, or malicious conduct;
- Engaging in activities on behalf of organizations without any professional or business affiliation with CFCF;
- Sending, receiving, or storing offensive, obscene, or defamatory material;
- Annoying or harassing other individuals;
- Sending uninvited e-mail of a personal nature;
- Monitoring or intercepting the files or electronic communications of employees or third parties;
- Obtaining unauthorized access to any computer system;
- Using another individual's account or identity without explicit authorization;
- Attempting to test, circumvent, or defeat security or auditing systems of CFCF or any other organization without prior authorization; or
- Distributing or storing chain letters, jokes, solicitations, or other non-business material of a trivial or frivolous nature.

Personal Web Pages

Some employees have personal web pages or visit personal web page sites. These involve social media site. Employees should exercise good judgment when accessing these sites on company time or with company resources.

Additionally, employees are prohibited from posting negative comments on such sites about the corporation or other employees.

E-Mail Security

All agency computer users should be careful when opening e-mail. Messages from unknown senders generally should not be opened. Additionally, all users of the e-mail system are highly likely to receive SPAM e-mail. SPAM messages are sent as solicitations for a wide variety of products and services and should not be opened. SPAM messages have been known to contain virus or other nuisance programs.

Computer Viruses

Occasionally, computer users receive alerts through e-mail with sensational news designed to prompt recipients to open these messages. Often, these messages contain computer viruses. Any computer virus has the potential to cause widespread damage to computers and computer systems.

While the agency actively maintains anti-virus software and firewalls, it is possible for a virus to infiltrate agency computers for which virus definitions have not yet been written.

Users of agency computers should use extreme caution in these situations and are prohibited from opening any link to a website received from a sender who is unknown.

Personal Use of Computers, Internet and E-Mail

Computers are provided by the agency for employees' business use. Very limited or incidental use of agency computers for personal, non-business purposes is acceptable.

However, personal use must be infrequent and must not:

- Involve any prohibited activity;
- Interfere with the productivity of the employee or his or her co-workers;
- Consume system resources or storage capacity on an ongoing basis; or

- Involve large file transfers or otherwise deplete system resources available for business purposes.

Computer Privacy Policy and Enforcement

Employees should not expect privacy with respect to any of their activities using agency provided computers, Internet access or services. CFCF reserves the right to review any software, photos, files, messages, or communications sent, received, or stored on agency computer systems and review Internet sites visited by employees without notice.

In its sole and exclusive discretion, the agency determines whether or not computer use is in compliance with this policy.

Employees violating this policy are subject to disciplinary action, up to and including termination of employment. Employees using agency computer systems for defamatory, illegal, or fraudulent purposes also may be subject to civil liability and criminal prosecution.

Relevant Organizational Policies And Procedures

Gift Acceptance

It is the policy of the Center to accept appropriate gifts. Gifts are appropriate when those gifts are in keeping with the vision and policies of the Center and can be accepted without deterring the employees, directors, and volunteers from the vision of the Center.

Procedure:

1. Gifts of unrestricted cash, in-kind goods and services related to a fund-raising event shall be accepted.
2. Prior to the acceptance of any gift to the Center other than unrestricted cash, a pledge of unrestricted cash, or in-kind services related to a fund-raising event, the Board of Directors shall review of the details of the gift and approve the acceptance of such gift.
3. All gifts of goods valued under \$250 shall be reviewed by Center staff for appropriateness of the gift.
4. All gifts shall be acknowledged appropriately.

Fundraising

The Board of Directors of The Center for Children and Families recognizes that the organization engages in fundraising and solicitation activity from time to time. In order to comply with federal, state and local laws, as well as applicable ethical norms regarding fundraising activity, the Board has established this fundraising policy.

OVERSIGHT – All fundraising activity for CFCF is supervised, coordinated and directed by the Public Relations Coordinator. The Board shall annually review, as necessary, all fundraising activity by CFCF.

USE OF FUNDRAISING PROFESSIONALS - Third parties not directly affiliated with the organization must have written permission from the CEO prior to any solicitation on behalf of CFCF. Third party fundraisers engaged by CFCF must be registered with appropriate state and local authorities, and their representation of the organization must be evidenced by a written agreement approved by CFCF.

TRUTH AND ACCURACY

1. All solicitation and fundraising materials and other communications to donors and the public shall clearly identify the CFCF and be accurate and truthful.
2. The Public Relations Coordinator shall review fundraising or solicitation materials prior to publication for:

- a. material omissions or exaggerations of fact, use of misleading photographs, or any other communication which would tend to create a false impression or misunderstanding; and
- b. any statements or content that would tend to create unrealistic donor expectations of what the donor's gift will actually accomplish.

DONOR ACKNOWLEDGMENT – CFCF shall provide all donors with specific acknowledgments of charitable contributions, where applicable, in accordance with legal requirements for proper donor substantiation and the organization's disclosure.

SUPERVISION AND TRAINING

1. CFCF shall provide appropriate training and supervision of the people soliciting funds on its behalf, whether employees or third party representatives, including training to attempt to avoid use of techniques that are coercive, intimidating or intended to harass potential donors.

COMPENSATION – CFCF shall pay fundraisers no more than reasonable compensation for their services. CFCF shall not compensate internal or external fundraisers based on a commission or a percentage of the amount raised.

DONOR PRIVACY POLICY - CFCF respects the privacy of donors.

1. CFCF shall not sell or otherwise make available the names and contact information of its donors, except where disclosure is required by law [without providing them an opportunity at least once a year to opt out of the use of their names and contact information].
2. CFCF shall not send mailings on behalf of other organizations.
3. CFCF shall provide a clear, prominent and easily accessible privacy policy on any of its websites that tells visitors:
 - a. What information, if any, is being collected about them and how this information will be used;
 - b. How to access personal information collected and request correction;
 - c. How to inform CFCF that the visitor does not wish his/her personal information to be shared outside the organization; and

COMPLIANCE WITH LAW – In addition to any other requirements of this policy, all fundraising activities for CFCF shall be conducted in accordance with applicable law.

Contracts and Service Agreements

CFCF contracts for professional services when appropriate to the agency mission and purpose. The contracts are kept in personnel files and should contain all the terms, responsibilities, and applicable laws and include:

1. Responsibilities
2. Services to be provided
3. Measurable or expected outcomes
4. Services authorized
5. Training and Qualifications
6. Duration of contract
7. Method of resolving conflicts
8. Method of payment
9. Documentation responsibilities
10. Conditions for termination of the contract

CFCF does not enter into non-contractual service agreements and does not purchase social and human services from other organizations.

Contracting Procedures

All CFCF Contracts must be approved by the CEO. In the event that CFCF requires contracted services, a written agreement must be sign by the rendering agency and an authorized representative of CFCF. All contract agreements must adhere to agency policies/procedures and be free from any conflict of interest.

Contractor services are reviewed annually by the CEO of the Center for Children and Families or her designated representative to ensure compliance to the service agreement. CFCF reserves the right to cancel any contract with 30 days notice.

Volunteer Policy

CFCF Programs that utilize volunteers regularly must have a written plan and corresponding program procedures that address the following:

1. Volunteer recruitment practices
2. Application, Selection and Screening practices
3. Training and Supervision
4. Volunteer Roles and Responsibility
5. Dismissal

Research Policy

All research projects, involving human subjects, conducted by The Center for Children and Families, Inc. (CFCF) employees, interns, or volunteers (including collaborative projects with other institutions and agencies) must be reviewed and approved by the Board of Directors, CEO, and Program Director. All collaborative projects with university must include approval from the university's Institutional Review Board (IRB). All projects involving human subjects require the written consent of the participants, including guardians of minor children.

Staff and Volunteer Safety

CFCF prioritizes the safety of CFCF staff and volunteers when providing service in home, school, or community settings. Communication between staff/volunteers with their supervisor is essential to ensure safety.

- It is the responsibility of the staff member or volunteer to ensure that the supervisor has accurate records regarding clients. These records should include the address and contact information of clients and the location(s) services are provided.
- Supervisors are responsible for maintaining up to date information regarding the clients, locations, community setting, or service area where the staff member or volunteer is scheduled to work.
- When unexpected changes to the service area or clients to be served occurs, it is the responsibility to the staff member or volunteer to communicate that change to the supervisor.
- Staff members are to follow CFCF Safety guidelines when delivering services in the community.
- In the event of an incident, accident or emergency the staff member or volunteer is to notify their supervisor immediately.

Risk Management

CFCF is committed to protecting its human, financial, tangible, and goodwill resources through the practice of effective risk management. CFCF Board of Directors and Leadership are dedicated to safeguarding the safety and dignity of its paid and volunteer staff, its clients and anyone who has contact with the organization.

CFCF employees are responsible for ensuring that CFCF programs, activities, and policies are conducted in a manner that considers the risk of loss or injury. In maintaining the organizational risk management policy, the Risk Management Coordinator shall consult with the Risk

Management Committee, CEO and the Board of Directors. The Risk Management Coordinator will work with employees to carry out this policy and the following actions shall be taken:

1.) Risk Management Coordinator

A Risk Management Coordinator will be designated by the CEO or Risk Management Committee. The Risk Management Coordinator shall assist employees of CFCF in maintaining organizational risk management policies and practices and shall act as the interface for communications with the Risk Management Committee. The Risk Management Coordinator shall serve as the chair of the Risk Management Committee.

2.) Involvement of Administration

CFCF Administrative personnel shall be involved in maintaining the risk management policies. The Risk Management Coordinator shall provide support. Such assignments shall include responsibility for providing advice, information, and coordination leading to the full performance of risk management functions by all those having program responsibilities.

3.) Guidelines

Guideline documents issued by the CFCF Risk Management Coordinator shall be followed by the employees of CFCF. The Risk Management Coordinator will assist in sharing documents, requirements, and guidelines with appropriate administrators and will assist with monitoring and implementing risk management policies and activities.

4.) Training

All applicable personnel shall take part in training sponsored by the CFCF Risk Management Committee in risk management techniques and practice.

5.) Risk Management Committee

The Risk Management Coordinator will chair a Risk Management Committee. The committee will be composed of a broad representation of the organization. The committee will meet as needed for review of immediate and ongoing risks, quarterly in conjunction with PQI to review any incidents or reported risks, and will meet annually to assess areas of potential risk in order to report to the CEO, who will, if necessary, report any findings to the Board of Directors.

6.) Documentation of Risk

Risk Management is everyone's responsibility. Recognizing this, potential risks that are identified by CFCF employees should be discussed with the immediate supervisor. CFCF employees may also bring any potential or ongoing risks to the attention of the Risk Management Coordinator by filling out a "Risk Identification Sheet." The Risk Management

Coordinator will then bring the potential risk to the attention of the Risk Management Committee for review.



Annual Risk Review Procedures

CFCF is committed to protecting its human, financial, tangible, and goodwill resources through the practice of effective risk management. CFCF Board of Directors and Leadership are dedicated to safeguarding the safety and dignity of its paid and volunteer staff, its clients and anyone who has contact with the organization.

Annually, the CFCF Risk Management Committee, comprised of agency leadership, will assess potential threats to the agency by reviewing quarterly reports, assessing tangible and intangible threats, and assessing for potential threats in the foreseeable future.

At a minimum the CFCF Risk Management Committee will review:

- Agency compliance with all legal and ethical requirements related to CFCF operations, practices, and programs.
- Agency insurance and liability protection for governing body, organization, program staff and volunteers.
- Health and safety risk for organization staff and clients.
- The human resource practices of the agency
- Agency contracts and service agreements

- Program practices related to client rights and confidentiality.
- Financial risk that may threaten the sustainability of the agency.
- Any identified conflicts of interest or potential conflicts of interest.

The committee will detail any relevant findings and action steps in an annual risk assessment report to be made available to the CEO and Board of Directors.

Environmental Conservation

The Center for Children and Families is dedicated to the practice of sound environmental stewardship and promotion of health, safety and well being of our employees. These values originate at the company's top management and are emphasized through all levels of responsibility within the organization. As such, the Company agrees to:

- Meet or exceed all applicable federal, state, local and company environmental, safety and health standards.
- Provide a workplace free of recognized hazards and maintain healthy working conditions for all company employees.
- Closely monitor all facilities for prevention of pollution.
- Participate in recycling to the greatest practical extent to reduce impact on landfills and promote recovery of valuable resources.
- Strive to continuously improve our commitment to the above-stated principles through exercise of our Environmental Conservation Policy and the practical application of good stewardship.

Client Services

Client Rights

The following rights are to be acknowledged regarding all CFCF clients that receive services or participate in any program at the Center for Children and Families:

- You have the right to be treated with dignity and respect. You have the right to receive service in a manner that is non-coercive and that protects your right to self-determination.
- You have the right to choose the services or programs you participate in based upon information about rules, treatment procedures, costs, risks, rights and responsibilities.
- You have the right to ask questions and get answers about services and participate fully in all decisions about treatment or services.
- You have the right to refuse or request changes in treatment, services or medication unless mandated by law or court order. You have the right to be informed about the consequences of such refusal, including discharge.
- You have the right to request a review of your care, treatment and treatment plan.
- You have the right to participate fully in decisions regarding discharge from a program and receive advance notice regarding the proposed discharge, unless behavior threatens the well being of another person.
- You have the right to not be subjected to verbal, physical, sexual, emotional or financial abuse; harsh or unfair treatment.
- You have the right to make complaints, have them heard, get a prompt response, and not receive any threats or mistreatments as a result. Client complaints are taken very seriously and handled by a program coordinator and/or division director to resolve any issues clients may have with treatment or services. The coordinator or director will investigate the complaint, including, but not limited to speaking with the client and other parties involved and deciding on appropriate actions to aid in resolution of this problem. If a client is not satisfied with the resolution, a written grievance can be filed with the CAO or COO who will lead the client and agency personnel through a mediation process. You can call our office at 318.398.0945 to file a complaint or grievance.
- You have the right to review your record, with two exceptions. Limited portions of your records can be withheld from you if your treatment coordinator has written that seeing specific information would be harmful to your treatment, or reveal the identity or break the trust of someone who has provided information in confidence.
- You have the right not to be discriminated against on the basis of race, age, sex, religion, national origin, sexual orientation, disability, or marital status. You have the right to fair and equitable treatment, including the consistent enforcement of program rules and expectations as well as the right to receive services that are respectful of, and responsive to, cultural and linguistic differences.

- Your treatment may be terminated if you move out of our service area or if you are receiving the same services from another agency. You will be discharged if your Medicaid expires, you are unable to be contacted to schedule appointments, you do not keep appointments or you are not engaged in treatment. An interruption in services may occur if you change Medicaid providers during treatment.
- You have the right to contact us at any time. Our office hours are Monday through Friday, 8:30 a.m. and 4:30 p.m.

Health Insurance Portability Accountability Act (HIPAA) Compliance

We are committed to the privacy and protection of our clients and client health records created as a result of the HIPAA act of 1996. Our agency and staff will provide our clients with information related to their rights under HIPAA regulations. Our agency is dedicated to maintaining the privacy of the client's Individually Identifiable Health Information (IIHI). In providing services, we will create records regarding the client and the treatment services provided. By federal and state law, we must follow the terms of the Notice of Privacy Practices that we have in effect at the time:

1. to public health authorities and health oversight agencies that are authorized by law to collect information regarding lawsuits and similar proceedings in response to a court of administrative order if required to do so by law enforcement officials
2. when necessary to reduce or prevent serious threat to the client's health and safety or the health and safety of other individuals or the public, we will only make disclosures to a person or organization able to help prevent the threat
3. to federal officials for intelligence and national security activities as authorized by law
4. to correctional institutions or law enforcement officials if the client is an inmate under the custody of a law enforcement official
5. for worker's compensation and similar programs

This policy applies to all records containing IIHI that are created or retained by the Center for Families and Children, Inc. We reserve the right to revise or amend this policy. Any revisions or amendments to this policy will be effective for all client records that are our practice has created or maintained in the past and for any records that we might create or maintain in the future. Our practice will post a copy of our current notice in our clinic sites in a visible location at all times, and you may request a copy of our most current notice at any time.

HIPAA compliance will be available to any client that is served by the Center for Families and Children, Inc.

Behavior Support and Management

CFCF Staff promote positive behavior and protects the safety of clients and staff. Because the majority of services provided by CFCF are carried out in the natural environment (i.e. home, school, group facility) of the clients, CFCF recognizes that staff must take every

precaution, using sound judgment to ensure their safety and the safety of the children and families that we serve. While it is not considered an inherent disqualifier from services, CFCF will not compromise the safety of staff if children, youth or family members exhibit violent or threatening behavior. Clients that compromise the safety of staff members of CFCF may be subject to discharge from treatment programs.

Staff members and volunteers that provide direct service to clients should be alert to safety issues and notify their supervisor and/or the appropriate authorities of unsafe situations. CFCF staff utilize respectful verbal de-escalation techniques in crisis situations.

CFCF staff are prohibited from the use of any physical force to restrain or restrict clients. CFCF staff do not use isolation or locked seclusion. CFCF Staff do not use any mechanical or chemical restraints.

CFCF staff members utilize techniques such as family safety planning and crisis planning. Staff members assist caregivers in developing and implementing these plans of care. If a crisis or emergency cannot be de-escalated using verbal techniques, staff contact local authorities and emergency responders.

The procedures listed below are followed during home visits with clients:

1. While providing in-home services, staff members should place themselves between the client and the door for easy exit if there is potential that a situation could become unsafe.
2. If the client or family escalates during a visit, discontinue the session, inform the family that the appointment will be rescheduled for a later date, and then leave the premises.
3. If the staff member feels that the situation is volatile and children in the home are potentially in danger, the staff member should notify the DCFS abuse hotline for suspected abuse or neglect.
4. If the situation has escalated into violence, call the local police or sheriff's department. If it is possible to remain on the premises and stay safe, do so if a child is present and at potential risk for harm.
5. Under no circumstances is a staff member to remove a child from the premises.

In the event that a staff member or volunteer is subject to or observes violent, threatening, or potentially dangerous situations or behavior, the staff member or volunteer is to notify a supervisor and complete an incident report as directed by the supervisor.

Prohibited Interventions

The Center for Children and Families, Inc. prohibits the following intervention:

- a. Corporal punishment
- b. The use of aversive stimuli

- c. Interventions that involve withholding nutrition or hydration or that inflict physical or psychological pain
- d. The use of demeaning, shaming, or degrading language or activities
- e. Forced physical exercise to eliminate behaviors
- f. Unwarranted use of invasive procedures or activities as a disciplinary action
- g. Punitive work assignments
- h. Punishment by peers
- i. Group punishment or discipline for individual behavior

The use of such intervention by a CFCF Employee is grounds for immediate discharge from employment.

Parental Guardian Notification

CFCF does not use manual restraint, mechanical restraint, or locked seclusion.

In the event that a safety concern arises, CFCF staff notify the parent or guardian of the minor child immediately. Such incidents may include threat of harm to self or others, disclosure of abuse or neglect, or any other occurrence or threat of occurrence that places the client, family, community, or employee at risk of harm.

Incident Review

In the event that a staff member or volunteer is subject to or observes violent, threatening, or potentially dangerous situations or behavior, the staff member or volunteer is to notify a supervisor and complete an incident report as directed by the supervisor.

The incident report will be review by the supervisor and the program director. If immediate action is require the Program Director and Supervisor will assess and develop a plan of action to resolve any potential risk. The Incident report will be reviewed at the quarterly review meeting in conjunction with the Performance and Quality Improvement meeting. At such time, the committee will assess for continued risk and if further action is needed. Recommendations will be present to the CEO and Governing Body as needed.

Debriefing Protocol

In the event that a CFCF staff member is subject to or observe violent, threatening, or potentially dangerous situations or behavior, the staff member is to notify his or her supervisor and complete an incident report. The staff member is to schedule a time to debrief any incident with his or her supervisor. The CFCF Supervisor can when needed advise the staff member to take a mental health day, seek continued counseling, or schedule additional debriefing sessions as needed.

Grievance Policy

The Board of Directors of The Center for Children and Families (CFCF) seeks to respond to and resolve grievances from individuals and /or organizations regarding the services provided by all CFCF agencies in an effective, efficient, and expeditious manner.

The Grievance Form spells out the three step process in detail. In an effort to resolve issues as expeditiously as possible it is necessary for you to inform and discuss your grievance with your first and second level supervisor and/or division director as part of an informal procedure to resolve any issues you may have. A supervisor shall investigate the grievance including but not limited to speaking with the parties involved and deciding on appropriate actions to aid in resolution of this problem.

If the informal procedure does not remedy the problem the grievance must be put in writing. This document will include the remedy suggested by the grievant. At this point a formal meeting will be held as part of a mediation process. This meeting will include all the parties involved in the dispute and any individual that might be helpful in resolving the issue as decided by the CEO. The purpose of this meeting is to arrive at a mutual agreement between the grievant and the agency concerning the resolution of the grievance. If an agreement cannot be reached at this meeting the CEO will recommend that the issue be heard in a formal hearing. A formal hearing will be held by a Grievance Committee comprised of members of the Board of Directors, CEO, and designees as deemed appropriate by the CEO and Board. The issue will be resolved or deemed irresolvable as a result of this hearing. The results of this hearing will be binding for agency personnel and end the grievance process.

Research Policy

All research projects involving human subjects, conducted by The Center for Children and Families, Inc. (CFCF) employees, interns or volunteers (including collaborative projects with other institutions and agencies) must be reviewed and approved by the Board of Directors, CEO and Program Director. All collaborative projects with a university must include approval from the university's Institutional Review Board (IRB). All projects involving human subjects require the written consent of the participants, including guardians of minor children.

Non-English Speaking Clients

It is the policy of the Center to ensure access to our services to all children and families that qualify for those services. Children and families with any language barriers will receive available accommodations as follows:

1. If a minor child and/or all immediate family members present for services and are unable to communicate in English, the Center shall attempt to locate a local certified interpreter in a language in which the client can communicate
2. If a local interpreter cannot be located, the Center will attempt to communicate through interpreting software.

3. If the client has been referred and the referring agency has identified an interpreter, the same interpreter will be used if possible.

Medication Management Services

Medication Management Services are provided by appropriately credentialed and certified Medical and/or Behavioral Health Professional operating within their scope of practice in accordance with applicable laws and regulations. Medication Management Services are provided in coordination with the Primary Care Physician of the client.

- Medication Management Service Providers must discuss the indications, risks, benefits, and alternatives of prescription medication with their clients (or legal guardian) and document these discussions in the medical record.
- The client's allergy history should be reviewed prior to prescribing.
- Allergies/sensitivities should be documented in the record.
- Medication reconciliation should be performed on a routine basis. Clients should be encouraged to bring a list of medications or actual prescription bottles to their visit(s) to facilitate this process.
- Written consent should be obtained for high risk medications.
- Discontinuance of or a change in medication(s) should be documented in the medical record, including the rationale for the change.
- Client visit intervals should be established for the continuance of prescription medications.

False Claims Act Policy

The purpose of this policy is to abide by the requirements of Section 6032 of the Deficit Reduction Act of 2005 to implement and enforce The Center for Children and Families, Inc.'s policies and procedures to detect and prevent fraud, waste, and abuse with respect to payments to CFCF from federal or state healthcare programs and to provide protections for those who report actual or suspected wrongdoing.

Policy:

This policy is included in the CFCF employee handbook and communicated to business partners through the contracting processes, and via the organization's website.

The policy includes the following information related to applicable fraud and abuse laws, the rights of employees to be protected as whistleblowers and CFCF policies and procedures for detecting and preventing fraud, waste, and abuse.

- I. A summary of the Federal False claims Act including a summary of protections for employees (qui tam/whistleblowers) who report suspected violations of these federal laws.
- II. A summary of administrative remedies found in the Program Fraud civil Remedies Act
- III. State False Claims Acts
- IV. The role of federal and state laws in preventing and detecting fraud, waste, and abuse in federal and state health care programs
- V. CFCF policies and procedures for preventing and detecting fraud, waste and abuse
- VI. CFCF prohibitions against retaliation and whistleblower rights and protections.

1. Federal False Claims Act 31 U.S.C. §§ 3729-3733

The Federal False Claims Act applies to any federally funded contract or program and establishes liability for any person who knowingly presents or causes to be presented a false or fraudulent claim to the United States government for payment. In 1986, the False Claims Act was expanded to include Medicare and Medicaid programs.

Summary of Provisions:

The False Claims Act prohibits knowingly making a false claim against the government. False claims can take the form of overcharging for a product or service, delivering less than the promised amount or type of service, delivering less than the promised amount or type of goods or services, underpaying money owed to the government and charging for one thing while providing another.

The False claims Act imposes civil liability on any person or entity who:

- Knowingly files a false or fraudulent claim for payments to Medicare, Medicaid or other federally funded health care program;
- Knowingly uses a false record or statement to obtain payment on a false or fraudulent claim from Medicare, Medicaid or other federally funded health care program; or
- Conspires to defraud Medicare, Medicaid or other federally funded health care program by attempting to have a false or fraudulent claim paid.

“Knowingly” means:

- Actual knowledge that the information on the claim is false;
- Acting in deliberate ignorance of whether the claim is true or false; or
- Acting in reckless regard of whether the claim is true or false.

Penalties

The False Claims Act is not a criminal statute and thus imposes civil penalties. No proof of specific intent is required. A person or entity, such as a hospital, found liable under the False Claims Act is subject to a civil money penalty of between \$5,500 and \$11,000 plus three times the amount of damages that the government sustained because of the illegal act. In health care cases, the amount of damages sustained is the amount paid for each false claim that is filed.

Qui Tam “Whistleblower” provision

To encourage individuals to come forward and report misconduct involving false claims the FCA includes a qui tam or whistleblower provision. Anyone may bring a qui tam action under the federal False Claims Act in the name of the United States in federal court. A qui tam action is defined as a claim brought by an informer/relator under a statute which establishes a penalty for the commission or omission of a certain act. Part of the penalty paid by the wrongdoer is paid to the informer with the remainder going to the government.

Qui Tam Procedure

The case is initiated by an informer filing his or her lawsuit in a federal district court on behalf of the government for false or fraudulent claims submitted by an individual or an entity doing business with, or reimbursed by the United States government. The lawsuit is filed “under seal” and is not served on (presented to) the defendant at this time to enable the government to investigate the claim. The government has 60 days to investigate and decide whether it will pursue the action, in which case the complaint is unsealed and the Department of Justice or United States Attorney’s office begins prosecuting the claim. If the government decides not to pursue the case, the person who filed the action has the right to continue with the case on his or her own. The government may join the action at an alternate date if it can demonstrate good cause for doing so. Any case must be brought within six years of the filing of the false claim.

Qui Tam Whistleblower Awards

If the government proceeds with the lawsuit and is successful, the person who filed the action will receive between 15 and 25 percent of any monies recovered for the government plus attorney fees and costs. The amount of the award depends on the contributions of the individual to the success of the case. If the government declines to pursue the case, the qui tam whistleblower will be entitled to between 25 and 30 percent of the proceeds of the case, plus reasonable expenses and attorney’s fees and costs awarded against the defendant. The award may be reduced, however, if the court finds that the whistleblower planned and initiated the violation.

Qui Tam Whistleblower Anti-retaliation Protections

Individuals within an organization who observe activities or behavior that may violate the law in some manner and who report their observations either to management or to governmental agencies are provided protections under the law. Whistleblowers initiating a qui tam action may not be discriminated or retaliated against in any manner by their employer. Employees, who are discharged, demoted, harassed, or confront discrimination in furtherance of a qui tam action or as a consequence of whistleblowing activity, are entitled to all relief necessary to make the employee whole.

2. Federal Program Fraud Civil Remedies Act 31 U.S. C. §§ 3801 -3812

The Program Fraud Civil Remedies Act of 1986 (PFCRA) provides administrative remedies for making false claims to certain federal agencies, including the Department of Health and Human Services (HHS) separate from and in addition to, the judicial court remedy for false claims provided by the Civil False claims Act. The Act is quite similar to the Civil False claims Act in many respects, but is broader and more detailed, with differing penalties. The Act deals with submission of improper “claims” or “written statements” to a federal agency. PFCRA was enacted as a means to address lower dollar frauds and generally applies to claims of \$150,000 or less.

Summary of Provisions

The PFCRA imposes liability on people or entities who file a claim that they know or have reason to know:

- Is false, fictitious, or fraudulent;
- Includes or is supported by any written statement that contains false, fictitious, or fraudulent information;
- Includes or is supported by a written statement that omits a material fact, which causes the statement to be false, fictitious, or fraudulent, and the person or entity submitting the statement has a duty to include the omitted fact; or is for payment for property or services not provided as claimed.

Penalties

A violation of this section of the PFCRA is punishable by a \$5,000 civil penalty for each wrongfully filed claim, plus an assessment of twice the amount of any unlawful claim that has been paid.

In addition, a person or entity violates the PFCRA if they submit a written statement which they know or should know:

- Asserts a material fact that is false, fictitious or fraudulent; or

- Omits a material fact that they had a duty to include, the omission caused the statement to be false, fictitious, or fraudulent, and the statement contained a certification of accuracy.

Violations are investigated by the HHS Office of the Inspector General and enforcement actions must be approved by the Attorney General. PFCRA enforcement can begin with a hearing before an administrative law judge. Penalties may be recovered through a civil action brought by the Attorney General or through an administrative offset against “clean” claims. Because of the availability of other criminal, civil and administrative remedies, cases are not routinely prosecuted under PFCRA.

3. State False claims Acts

Many states have enacted statutes like the Federal claims Act that provide a civil remedy for the submission of false and fraudulent claims to state health care programs, including Medicaid. As of November 2006, at least twenty-five states have enacted civil false claims laws. Louisiana does have a state false claims law. It is titled, ACT NO. 1373, S.B. No. 1559 “Medical Assistance Programs Integrity law – Claims Review and Administrative Sanctions; Civil Actions; “Qui Tam” actions”. The Act intends for the Secretary of the Department of Health and Hospitals, the Attorney General, and private citizens of Louisiana to be agents of the state with ability, authority and resources to pursue civil monetary penalties, liquidated damages, or other remedies to protect the integrity of federal medical assistance programs from fraud, misrepresentation and abuse.

4. The Role of False Claims Laws

The laws described in this policy create a comprehensive scheme for controlling waste, fraud and abuse in federal and state health care programs by giving appropriate governmental agencies the authority to seek out, investigate and prosecute violations. Enforcement activities are pursued in criminal, civil and administrative forums. This provides a broad spectrum of remedies to battle this problem. In addition, whistleblower statutes and anti-retaliation policies protect individuals who in good faith report waste, fraud, and abuse. Whistleblower statutes, such as the federal Civil False claims Act create reasonable incentives for this purpose. Employment protections create a level of security employees need to help in prosecuting these cases.

5. CFCF Policies and Procedures for Detecting and Preventing Fraud

CFCF is dedicated to furthering the mission, while ensuring compliance with all applicable laws, rules, regulations and promoting adherence to the highest standards of ethical conduct. CFCF has developed a compliance plan and program, which is intended to identify areas of risk and potential liability and institute steps to minimize or eliminate those risks by:

- Emphasizing our commitment to conducting business in an ethical manner,

- Providing education, training, and guidance to all employees to meet increasingly complex statutory and regulatory requirements,
- Monitoring and overseeing compliance efforts on a proactive basis,
- Providing an avenue for reporting instances of potential non-compliance or unethical behavior;
- Investigating instances of potential non-compliance; and
- Preventing or reducing instances of accidental or intentional non-compliance, particularly in this time of increased government scrutiny.

The Compliance Plan provides the operational structure for how ethical conduct and integrity in our business practices is encouraged and promoted throughout the facility. You can find CFCF compliance plan and applicable documents on the organization's electronic document management system housed on the website.

In addition, CFCF has a designated officer to report compliance concerns. The designated officer is the Administrative Services Director. The Administrative Services Director can be reached at 318-398-0945 to report workplace concerns, including suspected illegal or unethical behavior; non-compliance with laws, regulations and policies; safety violations; criminal offenses; or other concerns. Callers may remain anonymous if they so choose.

6. CFCF Prohibitions Against Retaliation and Whistleblower Rights and Protections

Employees are protected from retribution by the Federal Whistleblowers Act. Therefore, you may report any concerns without fear of retaliation. CFCF encourages all employees to utilize our reporting process for any concerns no matter how trivial they may seem.

CFCF administration, officers, directors, managers, supervisors or any employees, are not permitted to engage in retaliation or any form of harassment directed against an employee who reports any concern in good faith. Any employee who engages in retaliation or harassment is subject to discipline, up to and including discharge, on the first offense. All reported concerns are presumed to be in good faith. Only when an investigation reveals strong evidence that someone reported a concern that had no factual basis and the concern was reported to embarrass or otherwise defame an employee or other entity, might adverse action be appropriate.

Revised Policies and Treatment Protocols

CFCF Policy: Assessment

The Center for Children and Families provides clients receiving Mental Health Services a comprehensive assessment. Assessments should be completed by appropriately trained staff members in accordance with applicable laws, regulations and practice standards.

CFCF Treatment Protocol: Assessments

CFCF Clients receiving services through the Louisiana Behavioral Health Partnership will receive a comprehensive assessment prior to authorization for therapeutic services; unless Crisis Intervention Services are deemed medically necessary and rapid response is required for treatment and the prevention of out of home placement. Assessments for Crisis Intervention follow-up should be completed prior to authorization for continued follow-up service. Comprehensive Assessments will include a Mental Status Exam; Description of Presenting Problems including functional impairments/skill deficits in the context of home, school, and community; DSM-V Diagnosis with Clinical Significance of Diagnosis and impact on client's daily functioning; Clinical Recommendations and other relevant notes for treatment.

CFCF utilizes standards assessment instruments when appropriate to support Clinical Observations and Recommendations.

*Note: Children and Adolescents served through the Louisiana Behavioral Health Partnership should receive an assessment that includes the Child and Adolescent Needs And Strengths (CANS) assessment. Children and Adolescents served through other contracts or agreements should receive assessments as required, such as the North Carolina Family Assessment Scale, Ansel Case Life Skills Assessment, etc. Additionally, assessments required by Functional Family Therapy (FFT) and Multi-Systemic Therapy (MST) models should be completed in accordance with model fidelity measure and standards.

CFCF Policy: Treatment Plan

The Center for Children and Families provides clients receiving Mental Health Services a Treatment Plan. Treatment Plans should be completed by appropriately trained staff members and in a timely fashion in accordance with applicable regulations and practice standards.

CFCF Treatment Protocol: Treatment Plan

CFCF provides each client with an Individualized Treatment Plan. Treatment Plans should be completed in cooperation with the client, parent or primary caregiver, and other relevant health professionals. Treatment Plans should specifically state what services, including frequency and duration, are to be rendered by CFCF in accordance with the Louisiana Behavioral Health Partnership. Treatment Plans should outline treatment goals that are

relevant to a comprehensive assessment including clinical recommendations, observations, and diagnosis. Treatment goals and objectives should be measurable and attainable.

CFCF Policy: Treatment Plan Review

The Center for Children and Families provides clients receiving Mental Health Services a Treatment Plan Review. Treatment Plan Reviews should be completed by appropriately trained staff members and within timeframes that are in accordance with applicable regulations and practice standards.

CFCF Treatment Protocol: Treatment Plan Review

Children and Adolescents served by CFCF received a Treatment Plan Review at a minimum of once every 6 months. In the event that CFCF provides service to an Adult, a Treatment Plan Review must be completed at least annually. Treatment Plan Reviews should also be completed prior to any addition or re-authorization for services provided under the Louisiana Behavioral Health Service Partnership. Treatment Plan Reviews provide information regarding progress or lack of progress towards treatment goals and objectives. Clinical recommendations and modification to the Treatment Plan are reflected in the client record.

CFCF Policy: Discharge Planning

The Center for Children and Families provides clients receiving Mental Health Services a Discharge Plan. Discharge Planning should be completed by appropriately trained staff members and within timeframes that are in accordance with applicable regulations and practice standards.

CFCF Treatment Protocol: Discharge Plan

CFCF staff members begin Discharge Planning for clients during the development of the Initial Treatment Plan. Client Discharge Plans are individualized and based on the comprehensive assessment and diagnosis. Clear expectations for treatment goals and criteria for discharge should be set as part of the Treatment Planning process. The Discharge Plan is to be included as part of the Initial Treatment Plan and reviewed accordingly as the Treatment Plan is reviewed and updated. Discharge Plans should be reviewed at a minimum every 6 months for children and adolescents (Adults annually), or if any service is added to or re-authorized for the Treatment Plan. Discharge Plans should be modified during review to reflect progress or lack of progress towards treatment goals.

Discharge Summaries are to be completed for all clients upon discharge and submitted within 30 days of discharge. Discharge Summaries should include the start and end dates for service, reason for discharge, the outcome of treatment, progress towards treatment goals, a summary of interventions/services provided, and aftercare or follow-up recommendations as needed. Discharge summaries should be submitted to clients and/or collateral agencies or health care providers as necessary and with appropriate releases of information.

CFCF Policy: Progress Notes

The Center for Children and Families documents Mental Health Services provided to clients with Progress Notes. Progress Notes should be completed by appropriately trained staff members, contain necessary information to be documented, and be completed within timeframes that are in accordance with applicable regulations and practice standards.

CFCF Treatment Protocol: Progress Notes

CFCF Behavioral Health Services are documented through service entries and progress notes that utilize a standardized format. Staff members must complete and submit progress notes weekly for any client receiving service in a given week. Progress Notes must be submitted in a timely fashion in order to ensure accuracy of documented services rendered. Progress Notes should be completed fully and detail the client name, service start and stop times, specific goals and objectives for the session specifically addressed in the client's Treatment Plan. Progress Notes should include the signature and credentials of the service provider.

CFCF Policy: Service Delivery and Billing

The Center for Children and Families ensure that services render by staff members are delivered and bill in accordance with applicable funding regulations and standards.

CFCF Treatment Protocol: Billing

CFCF Behavioral Health Services provided under the Louisiana Behavioral Health Partnership are delivered in accordance with regulations and standards set forth in the Louisiana Behavioral Health Service Definition Manual and/or subsequent updates or manuals issues by the Louisiana Department of Health regarding the provision of Behavioral Health Services. CFCF Services are billed in accordance with standards set by the Louisiana Department of Health including the definition, components, provider qualifications, eligibility criteria, service utilization, allowed modes of delivery, and additional service criteria. Services are documented by a standardized progress note that details all necessary information to record, maintain, and bill the individualized service rendered.

Staff and Volunteer Safety

CFCF prioritizes the safety of CFCF staff and volunteers when providing service in home, school, or community settings. Communication between staff/volunteers with their supervisor is essential to ensure safety.

- It is the responsibility of the staff member or volunteer to ensure that the supervisor has accurate records regarding clients. These records should include the address and contact information of clients and the location(s) services are provided.

- Supervisors are responsible for maintaining up to date information regarding the clients, locations, community setting, or service area where the staff member or volunteer is scheduled to work.
- When unexpected changes to the service area or clients to be served occurs, it is the responsibility to the staff member or volunteer to communicate that change to the supervisor.
- Staff members are to follow CFCF Safety guidelines when delivering services in the community.
- In the event of an incident, accident or emergency the staff member or volunteer is to notify their supervisor immediately.

Independent Contractor Professional Liability

Independent Contractors working under agreement with CFCF to provide services to CFCF clients are required to maintain professional liability and/or malpractice insurance in accordance with the amounts specified in the contract agreement. In the event of a claim of liability arising from treatment or services provided, including medication management, made or instituted by any person against CFCF or the Independent Contractor working in agreement with CFCF, the Independent Contractor and CFCF will provide all reasonable information and assistance in the defense or other disposition that may be required. In the event of a judgement or loss related to a claim arising from services provided by the Independent Contractor, the professional liability or malpractice insurance coverage of the contractor must first be exhausted, prior to additional coverage provided by CFCFs professional liability insurance.