

# FAMILY & YOUTH INVESTMENT

A Program of Region V Systems



## ORIENTATION HANDBOOK

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## Definitions

In order to ensure the correct person is completing the required documentation for FYI and signing the appropriate forms, we ask you to read and consider the following definitions. Your Professional Partner will work with you to best identify who should complete and sign the various documents. In some cases, this may change during the time you are enrolled with FYI.

**Participant\*** – This is the term FYI uses for the identified client we are working with. In some cases, the participant may be their own guardian.

**Parent\*** – In its most restricted use, the term *parent* refers only to a mother or father who is related to the child by blood. As of 2003, as a result of statutes, adoptive parents have the same rights and responsibilities as natural parents. Other persons standing in the place of natural parents, such as stepparents, are not, however, given such extensive rights and responsibilities. Although in some instances foster parents and foster care agencies have the legal responsibility to nurture a minor, they are not entitled to the full status of parent.

**Legal Guardian\*** – A *guardianship* is a legal relationship created when a person or institution named in a will or assigned by the court to take care of minor children or incompetent adults (sometimes called a *conservatorship*). To become a guardian of a child, either the party intending to be the guardian or another family member, a close friend or a local official responsible for a minor's welfare, will petition the court to appoint the guardian. The guardianship of a minor remains under court supervision until the child reaches majority at 19.

A guardianship of a child takes away the parents' right to make decisions about their child's life. However, it does not permanently terminate parental rights. This means that although the guardian now has custody and is responsible for making decisions on behalf of the child, the parents are still the child's parents and should be involved whenever appropriate.

The term *guardian* may also refer to someone who is appointed to care for and/or handle the affairs of a person who is incompetent or incapable of administering his/her affairs.

\*A participant (identified client) who is 18 years of age or older may consent to mental health services for him/herself without the consent of his or her parent or guardian (Nebraska Revised Statute 43-2101, effective 7/19/18). This means that a participant may legally sign required documentation for the FYI Program with or without the parent/legal guardian's consent, if he/she is 18 years of age or older.

## 1. WELCOME

Welcome to Family & Youth Investment (FYI). This handbook is designed to provide you with information about our program as well as your rights and responsibilities while receiving services. By now, you have already been assigned a Professional Partner who will work with you throughout the duration of your involvement with FYI.

## 2. ABOUT REGION V SYSTEMS

You may be familiar with the FYI program but not who Region V Systems is and its relationship to our program. Region V Systems is a political subdivision of the State of Nebraska, serving southeast Nebraska to provide publicly funded behavioral health programs. The FYI program is a division of Region V Systems and just one of many programs and services supported and/or funded by Region V Systems. If you would like more information about Region V Systems, please visit our website at [www.region5systems.net](http://www.region5systems.net).

Region V Systems wants to ensure its consumers are kept well informed of our strategic planning efforts. Our *Annual Report* and *Strategic Plan* are posted annually on our website for your convenience. If you do not have access to a computer, you may ask your Professional Partner to provide hard copies of these documents.

## 3. HOW DO I CONTACT MY PROFESSIONAL PARTNER?

FYI Professional Partners maintain regular business hours of Monday through Friday, 8:00 a.m. to 4:30 p.m. and can be contacted at 402-441-4343 or toll-free at 1-877-286-4343 (main receptionist). However, accommodations will be made to meet your schedule and to aid in crisis situations.

In the event you experience a crisis after regular business hours, please contact the CenterPointe Crisis Response line at 402-475-6695.

## 4. CRISIS INTERVENTION NUMBERS

We also suggest knowing the following crisis intervention numbers:

Poison Control .....	1-800-222-1222
Telephone Line to Care (St. E's) .....	402-219-7000
Center Pointe Crisis Response.....	402-475-6695
Lincoln Police Department (Non-Emergency).....	402-441-6000
Local Police Department (Emergency) .....	911
Boys Town <i>National</i> Hotline .....	1-800-448-3000
Boys Town <i>Nebraska</i> Family Helpline.....	1-888-866-8660
National Suicide Prevention Lifeline .....	1-800-273-8255
Crisis Text Line .....	Text HOME to 741741

## 5. ADVOCACY ASSISTANCE

Please first refer to page 15 of this handbook should you have a grievance or complaint about the FYI program. Should you find it necessary to seek advocacy assistance from someone outside of the FYI program, we suggest the following contact who is not a part of our program and who may be able to offer neutral assistance:

Nebraska Legislature the Office of the Public Counsel (also known as the State's Ombudsman's Office) .....402-471-2035 or Toll Free 1-800-742-7690  
E-mail: [ombud@leg.ne.gov](mailto:ombud@leg.ne.gov)

## 6. WHAT IS THE FYI PROGRAM?

FYI is a wraparound program administered by Region V Systems, a behavioral health management entity. The wraparound process is an intensive, individualized care management process for individuals with serious or complex needs. FYI is a voluntary program that is designed to be individualized, culturally competent, and strengths based. Our purpose is to help serve participants in the least restrictive environment. This is accomplished by relying on the participant's natural supports. FYI will assist participants, as equal partners, in creating, implementing, and modifying a plan organized around the participant's own perceptions of needs, strengths, and goals. The Professional Partner's role is *not* to provide formal therapeutic interventions (e.g., we do not act as a "therapist" or "counselor").

***Our Mission.*** The mission of FYI is to tap the energy of families by renewing hope through investment in their strengths, individuality, family culture, life experience, and communities.

***Philosophy & Description.*** FYI is a program that uses a wraparound process with participants who are diagnosable with a Serious Emotional Disturbance (SED) FYI intends to reduce and/or prevent the need for participants to be removed from their homes and/or communities by accessing community services. FYI has the availability of flexible funds which may be used as determined by your team and described in the individualized Plan of Care.

***National Accreditation.*** The FYI program has achieved national accreditation, which means the program has put itself through a rigorous peer review process by independent experts in the field during an on-site visit. Achieving accreditation means FYI is committed to offering services that are measurable, accountable, and of the highest quality. To view Region V Systems' latest accreditation report for the FYI program, please visit our website at [www.region5systems.net](http://www.region5systems.net). If you do not have access to a computer, you may ask your Professional Partner to provide a hard copy of this report.

The FYI program continuum of care includes the Traditional Professional Partner track (TRAD), Transition Age Professional Partner track (TAPP), Prevention Professional Partner track (PPP), and Juvenile Justice (JJ). A description of each follows:

- ***Traditional Professional Partner (TRAD):*** This track serves individuals through the age of 20 who are diagnosable with a Serious Emotional Disturbance (SED). Individuals eligible for this track may be involved with the justice system, at risk of being placed outside of their natural home, at risk of becoming a state ward, or dropping out of school. Parents are involved in all stages of the planning process to create an individualized plan for their family. Referrals can be made by anyone in the community including professionals, family members, and informal supports.
- ***Prevention Professional Partner (PPP):*** This track serves individuals through the age of 18 who are diagnosable with serious/complex needs and are at high risk of becoming state wards or entering the juvenile justice system of care. This track is more intensive than the Traditional Professional Partner track due to the shortened length of stay of 90 days. Parents are involved in all stages of the planning process to create an individualized plan for their family that will prevent the youth from becoming a state ward. Referrals can be made by anyone in the community including professionals, family members, and informal supports.
- ***Transition Age Professional Partner (TAPP):*** This track serves individuals ages 18 through 24 years old who have been diagnosed with a Serious Emotional Disturbance (SED). Individuals eligible for this track are at risk of entering or have entered the adult emergency system. Referrals can be made by anyone in the community including professionals, family members, and informal supports with priority given to referrals from providers in the adult emergency system.
- ***Juvenile Justice (JJ):*** This track serves probation-involved youth through the age of 18 who are struggling to meet probation requirements, at high risk of being placed out of home or out of state as a result of mental, behavioral, emotional and/or substance use disorders; and probation youth re-entering back to community from Youth Residential Treatment Centers YRTCs or other higher out-of-home placement. Referrals can only be made by Nebraska Probation District 3J Administration.

## **7. WHERE ARE SERVICES PROVIDED?**

You will work with your Professional Partner to determine where the best location will be to meet. Some participants prefer to meet in their homes or at a public location, and some participants prefer to meet at the Region V Systems' office where the FYI program is located (1645 'N' Street in Lincoln). If meetings are held at FYI's business office, you can be assured that we will hold all discussions in confidence. We have adequate office space to conduct private discussions, including the use of private conference rooms with "noise machines" if necessary, to ensure privacy and noise control. If you prefer a more informal setting, we have a conference room that has been set up so that the decor is "kid-friendly" with easy chairs, couches, and games vs. an "at-the-table" setting.

## **8. WHAT ARE THE PROGRAM GOALS?**

- To ensure the availability of accountable individuals to serve as a team facilitator, service coordinator, advocate, and liaison in conjunction with the participant and their family, if involved.
- To provide cost-efficient services through the wraparound approach.
- To improve the overall well-being of the participant and their family.
- To ensure individualized care.
- To reduce the risk factors which contribute to the participant being placed in a more restrictive level of care.
- To ensure appropriate services for participant.

## **9. WHAT IS THE WRAPAROUND TEAM?**

The Wraparound Team is developed by you, your family (if involved), and the Professional Partner. You are considered an expert and are best suited to identify individuals in the community who will serve on your team. If your family is involved, they will be an integral part of your team. Your Professional Partner will coordinate with each of the prospective team members to arrange a Wraparound Team meeting. The role of the Professional Partner, with respect to the team, is to facilitate and coordinate the monthly team meetings.

## **10. WHAT DOES THE ASSESSMENT PROCESS INVOLVE?**

The primary assessment is completed by the Professional Partner for each participant within 30 days of enrollment in the FYI program. Participants involved in the Prevention Professional Partner track typically have a LINCS assessment completed prior to enrollment. The purpose of the primary assessment is to gain a historical social history to assist in the development of a Plan of Care. The assessment will include information from each of the following areas:

- Cultural background
- Education history
- Family history
- Legal history
- Medical history
- Mental health diagnosis and treatment history
- Placement history
- Safety concerns
- Social/recreational interests and needs
- Substance abuse history
- Vocational history

## **11. WHAT IS THE PLAN OF CARE?**

The Plan of Care is a document that is created by you and your Wraparound Team. The Plan of Care is never “set in stone” as it is continually monitored and updated by the Wraparound Team. The purpose of the Plan of Care is to identify strengths, needs, abilities, and preferences (SNAP) to ensure that you and your team develop an individualized plan. Once the plan identifies needs and outcomes, strength-based strategies will indicate what you or team members will do to meet those needs. It will be very important that you and your team are comfortable with the Plan of Care and the methods for achieving the goals.

The initial Plan of Care will be developed within 30 days of enrollment and will address immediate safety concerns. In the initial Crisis Plan concerns will be addressed and documented. In addition, a Crisis Intervention Contact list will be established and provided to you.

Ways that input is given regarding quality of care, achievement of outcomes, and satisfaction of the participant served are through the:

- Monthly Team Meetings
- Weekly contact with your Professional Partner
- Reviewing and revising the Plan of Care
- Wraparound Fidelity Index 6-Month Survey
- Professional Partner Discharge Survey
- Grievance Procedure

## **12. WHAT DATA IS COLLECTED?**

As a part of the FYI program, you will be asked on a regular basis to answer questions about how well you and your family are functioning and how satisfied you are with the services that you and your family are receiving.

Data instruments that are used in the FYI program include the following:

### **Child and Adolescent Functional Assessment Scale (CAFAS®)**

- Purpose: Evaluates emotional and behavioral symptoms and their impact on functioning in eight psychosocial domains.
- Frequency: At screening, intake, every 6 months while in the program, and at discharge.
- Who participates: All program tracks.



**Wraparound Fidelity Index (WFI)**

- Purpose: To determine the extent to which services and supports being received by the participant adhere to the basic characteristics of wraparound.
- Frequency: Completed once at 6 months after enrollment.
- Who participates: All participants.

**Suicide Behavior Questionnaire (SBQ-R)**

- Purpose: To identify youth who are at risk for suicide.
- Frequency: At intake and annually.
- Who participates: All participants.

**Cluster-Based Planning and Ratings**

- Purpose: Systematic process that facilitates clinical practice by identifying a holistic picture of patterns in the lives of youth and their families.
- Frequency: Within 30 days of intake. Ratings are completed every 90 days.
- Who participates: All participants.

**Discharge Survey**

- Purpose: Provides feedback about how helpful the FYI program was and if the participant became a state ward after discharge.
- Frequency: 6 months after discharge.
- Who participates: All participants.

**Electronic Health Records Satisfaction Survey**

- Purpose: Family rating of family satisfaction.
- Frequency: Monthly
- Who participates: All participants.

**13. WILL I BE CHARGED A FEE?**

The FYI program is required to complete a financial assessment for each family referred (this is not required for the JJ track). For families meeting the financial eligibility criterion, there is no cost to participate. For families not meeting the financial eligibility criterion, the option of paying a monthly rate for participation is available.

## **14. WHAT ARE MY RIGHTS?**

- You have the right to receive services regardless of race, color, national origin, gender, religion, age, political beliefs, sexual orientation, marital or family status, or disabling condition in conformity with applicable laws.
- You have the right to receive caring and safe services free from physical, sexual, psychological, and financial abuse as well as neglect, harassment and physical punishment, humiliating, threatening, retaliating, or exploiting actions.
- You have the right to be treated respectfully, impartially, and fairly.
- You have the right to make all decisions on your own behalf (unless someone else has been legally authorized to do so).
- You have the right to have all records pertaining to your family treated with confidentiality (no information will be released to anyone without your authorization, excluding mandates by law).
- You have the right to be involved in team planning and to make decisions regarding your Plan of Care.
- You have the right to express dissatisfaction with the program and to file grievances according to the grievance policy.
- You have the right to be informed of the policies and procedures of Region V Systems.

## **15. WHAT ARE MY RESPONSIBILITIES?**

- You are responsible for contributing to the planning of your care and services.
- You are responsible for treating Region V Systems' staff with respect.
- You are responsible to report any changes that are pertinent to your care (i.e., changes in address, medications, physicians, or other services).
- You are responsible, as a parent or guardian, to be committed to this program, your team, and your child(ren).
- You are responsible, as the participant, to be committed to this program, your team, and to your parent(s)/guardian(s) if involved.
- You have the responsibility to refrain from discriminating against staff or team members and from using language or behavior in a manner that would imply prejudice or discrimination.
- You have the responsibility to report any infringement of your rights to staff members immediately.
- You have the responsibility to follow the grievance procedure in making any complaint and to report to the Corporate Compliance Officer any actions taken against you by staff because of that complaint.

## 16. HOW IS CONFIDENTIALITY MAINTAINED?

Confidentiality is of the utmost importance to us. We will take every reasonable precaution to safeguard your rights to confidentiality according to federal and state laws or regulations. This includes:

- Requiring all employees to sign a confidentiality agreement upon hire that prohibits them from discussing any element of your care with non-employees.
- Requiring all employees to abide by our Code of Ethics policy; this includes signing an acknowledgement form that holds them accountable to ethical and professional standards of conduct concerning privacy, confidentiality, and other rights of family members.
- Securing your client file in locked storage.
- HIPAA compliant electronic health records system with an option for you to have an individualized log-in for the client portal to view your Plan of Care.
- Not releasing any of your information without first obtaining a signed release from you.
- Ensuring that your records are kept in a locked briefcase when your Professional Partner should need to have access to your file when meeting off site with you.
- Providing you and your Professional Partner with a private conference area when meeting at our office.

## 17. WHAT POLICIES/PROCEDURES SHOULD I BE AWARE OF?

***Use of Tobacco Products:*** It is our policy to provide a smoke-free environment for our employees and the participants we serve. Region V Systems does not discriminate against individuals on the basis of their use of legal products, such as tobacco; however, smoking is not allowed in our building or during transportation with your Professional Partner (Note: if smoking occurs when meeting in your home or another off-site location, the Professional Partner may ask that you refrain from smoking during the meeting; if that is not acceptable, the meeting location may need to be changed to accommodate a smoke-free environment for the employee).

***Illegal Drugs:*** We do not permit illicit (illegal) drugs to be brought or stored on our premises, and your Professional Partner will not conduct services in the presence of illegal drug possession or use. In the event that your Professional Partner finds him/herself in a situation where there is possession of illegal drugs by you or a family member, the following action will occur:

- The Professional Partner will leave the environment. If services are being conducted in the office, you will be asked to leave the office.

The Professional Partner will be legally obligated to report the incident to the proper authorities according to Nebraska's Child Abuse and Neglect Reporting Law (*Revised Statutes 28-710*). If a minor is involved, his/her parent/guardian will be notified.

***Alcohol Use:*** We do not permit alcohol to be brought or stored on our premises, and your Professional Partner will not conduct services in the presence of alcohol use. In the event that your Professional Partner finds him/herself in a situation where there is the presence of alcohol use by you or a family member, the following action will occur:

- The Professional Partner will leave the environment. If services are being conducted in the office, you will be asked to leave the office.
- As applicable, the Professional Partner will be legally obligated to report the incident to the proper authorities. If a minor is involved, his/her parent/guardian will be notified.

***Medications:*** We cannot prescribe, dispense, nor administer medication of any type (including over-the-counter medications). If you or a family member requires medication, those services will need to be obtained from sources outside of the FYI program (e.g., private physician, psychiatrist, hospital, parent/legal guardian, etc.).

***Advance Directives:*** The FYI program does not address advance directives related to medical or psychiatric needs. (“Advance directives” means specific instructions given by a participant to his/her care provider about medical treatment and/or the use of artificial life support.)

***Management of Personal Funds:*** We do not provide management of personal funds for you or your family. If you need assistance with this, your Professional Partner can help you in locating an agency that specializes in money management.

***Seclusion & Restraint:*** We do not use seclusion or restraint under any circumstances, including emergency intervention in response to assault or aggression. Professional Partners are trained in de-escalation techniques and will use these means as an alternative way to diffuse a potentially dangerous situation. If the situation cannot be resolved with verbal attempts to de-escalate the situation, your Professional Partner may find it necessary to call for outside assistance from law enforcement.

***Program Restrictions:*** We will not use special treatment or intrusive procedures of any kind as a means of restricting your care while in the FYI program. We will inform participants and their families, as applicable, of program rules and expectations including any restrictions the program may place on the participant, events, behaviors, or attitudes and their likely consequences that may lead to the loss of rights or privileges for the participant and means by which the participant may regain rights or privileges that have been restricted.

***Legal Rights:*** You have the right to be considered competent to make decisions on your own behalf unless someone other than yourself has been legally authorized to do so and shall be provided with the information necessary to facilitate this decision making. The FYI program does not mandate or enforce legal requirements imposed on participants.

If you are 18 years of age or older, you may consent to mental health services for yourself without the consent of your parent or guardian (Nebraska Revised Statute 43-2101, effective 7/19/18). This means that you may legally sign required documentation for the FYI Program with or without your parent/legal guardian’s consent.

**Building Safety:** Region V Systems' building has many safety features to ensure reasonable precautions are taken should you be in our building during an event such as a fire or tornado. Each office and conference room have maps that indicate exit routes and procedures in case of such emergencies. There are also first aid kits, fire extinguishers, and emergency lighting. Should it be necessary to evacuate the meeting area you are in when visiting our building, either to lower-level safety or outside the building, your Professional Partner or another staff member will assist you with finding the appropriate area to go to.

**Participant Photographs:** As a general practice, we do not take photographs of participants and their families. However, there are some situations when it is legally mandated (abuse/neglect circumstances) and/or when it would be helpful as a part of the individual's wraparound plan.

In situations when a participant's photograph is taken, the photograph(s) will be added to the participant's health record and becomes protected under HIPAA. All photographs taken will be deleted from the device on which the photo was taken.

## **18. DOES FYI ABIDE BY A CODE OF ETHICS?**

Yes. Region V Systems seeks to ensure that the highest ethical standards are followed by staff members, interns, and volunteers. Region V Systems believes that all people have the right to be treated with dignity and respect, all people should have access to needed services that achieve optimum outcomes, and all people should be empowered to exercise an informed choice. Region V Systems will not discriminate against or refuse professional services to anyone on the basis of race, color, national origin, gender, religion, age, political beliefs, sexual orientation, marital or family status, or disabling condition in conformity with applicable laws.

If a staff member violates the Code of Ethics, it may be cause for disciplinary action, including dismissal, demotion, and/or suspension of employment.

The following Code of Ethics policy and practices serves as a guideline for staff members' professional and organizational conduct and promotes the dignity and individual rights of each person served:

### **POLICY [Revised 11-12]**

*Region V Systems believes that operating by a designated Code of Ethics is needed to ensure integrity and credibility and that a written ethics code represents the major philosophical beliefs, principles, and values of the organization. The Code of Ethics shall include identified moral principles of business practices, marketing practices, service delivery, professional conduct, human resources, and potential conflicts of interest as well as procedures for investigating and acting on violations of the Code of Ethics. All personnel, Regional Governing Board members, volunteers, interns, and consultants shall familiarize themselves with the Code of Ethics as it applies to their association or performance of work responsibilities. All persons served in the Family & Youth Investment program shall be provided with Region V's Code of Ethics policy at time of orientation.*

## **CODE OF ETHICS PRACTICES**

### *Business Practices*

- I will not accept, receive, give, or buy gifts, services, or loans that would affect in any way my professional relationship with personnel, persons served and their families, vendors, suppliers, or service providers. Examples might include gift certificates, money, and/or gifts.
- I will not accept any other payment for the work I do other than for wages received as part of my job duties at Region V Systems unless authorized by the Regional Administrator.
- I will not subject others to fiduciary abuse.

### *Marketing Practices*

- I will be honest and professional in all interactions with Region V Systems' customers and stakeholders.
- I will be honest and professional in all interactions with the media and the general public.
- I will be honest and transparent when promoting or seeking funding, applying for grants, or entering into contracts for Region V Systems.
- I will build positive relationships with Region V Systems' customers and stakeholders and work with them cooperatively to meet their needs and expectations.
- I will focus on the customer's needs and expectations when developing or delivering services.

### *Service Delivery*

- I will not provide services that I am not licensed or certified to provide.
- I will not refuse to provide professional services to any one on the basis of race, color, national origin, gender, religion, age, political beliefs, sexual orientation, marital or family status, or disabling condition.
- I will provide the best quality of service to those who need my help.
- I will not, under any circumstances, physically, emotionally, or sexually abuse, harass, and/or physically punish other personnel, persons served, or guests.
- I will respect the privacy of persons served and keep their information confidential.
- I will maintain confidentiality when handling client records.
- I will show genuine interest in all persons served and do hereby dedicate myself to their best interests in helping them help themselves.
- I will not utilize Region V Systems' resources to engage in personal fundraising (e.g., on work time, electronic communication, or otherwise). I understand that personal fundraising announcements (e.g., Girl Scout cookie drive, children's school fundraising events) may only be made on Region V Systems' employee Intranet site as permitted.
- I will not ask clients of Region V Systems to contribute funds on my behalf or the organization's behalf.
- I will respect and safeguard the property and equipment I am given to use on behalf of Region V Systems.
- I will respect the property and personal belongings of persons served.
- I will demonstrate appropriate boundaries with persons served, including but not limited to, social media communication, dating and/or having a sexual relationship while persons served are receiving services from Region V Systems.
- I will not serve as a witness to execute personal, legally binding documents on behalf of persons served (power of attorney, guardianship, or advance directives), which are outside the scope of my professional duties.

### Professional Conduct/Responsibilities

- I will provide professional assistance to others based upon my level of education, training, experience, and/or ability to do so.
- I will maintain a professional attitude that upholds confidentiality towards persons served, personnel, and guests.
- I will be honest, fair, consistent, and do what is right, acting with professional integrity.
- I will be honest about my level of education, training, experience, and abilities as they relate to my job position.
- I will correct incorrect information and information given by others concerning my level of education, training, experience, and abilities.
- I will be on time for all Region V Systems' activities.
- I will continually assess my personal strengths, limitations, biases, and effectiveness.
- I will continue to learn and gain knowledge about my position, as well as my duties.
- I will maintain a professional appearance that reflects Region V Systems in a positive way.
- I will not market professional services that are not provided by Region V Systems during hours of employment for Region V Systems, i.e., accepting phone calls/referrals from potential clients.

### Human Resources

- I understand that all requested information from outside entities that relates to personnel employed by Region V Systems shall be provided by the Regional Administrator and/or Human Resources.
- I will respect the rights and views of all personnel, persons served, and guests and treat them with respect and dignity.
- If I supervise and review the performance of other personnel, I will be responsible, fair, and considerate.
- If I supervise other personnel, I will make sure information is correct about level of education, training, experience, and abilities of those personnel.
- Upon leaving Region V Systems, I will not share confidential information about persons served, personnel, or Region V Systems.

### Potential Conflict of Interest

A conflict of interest, for purposes within this policy, is defined as a situation in which an employee has a private, personal, and/or financial interest that may affect his/her ability to be objective in his/her position and/or situations where an employee would have a real or apparent conflict of interest by participating in the selection, award, or administration of a contract supported by federal funds under 24 CFR 84.42.

- I will not use my professional relationship for personal gain.
- I, nor members of my family or my partner will not solicit, nor accept, gratuities, favors, or anything of monetary value from contractors or parties to sub-agreements when applying for and/or during the administration of a federal grant under 24 CFR 84.42.
- I will not use, without prior consent, Region V Systems' property for private advantage, e.g., taking office supplies or equipment for home use.
- I will not establish outside employment without prior review from the Regional Administrator to determine potential conflict of interest.

### Prohibition of Waste, Fraud, Abuse, and Other Wrongdoing

Region V Systems strictly prohibits activities and/or intentional wrongdoing that may be considered wasteful, fraudulent, or abusive with respect to its organizational assets, facility, equipment, adherence to policies, procedures, or practices, or in the treatment of co-workers and persons served related to same areas.

### Procedures to Address Allegations of Code of Ethics Violations

Region V Systems strives to maintain a safe and ethical work environment where personnel are able to report waste, fraud, abuse, or other questionable activities or practices without fear of loss of job, harassment, or reprimand. Region V Systems also promotes resolving conflict or concerns at the lowest-level possible (peer-to-peer and/or with the supervisor) whenever possible. When this problem-solving strategy fails to remedy the situation or the employee is not comfortable in doing so or the alleged violation warrants a higher level of attention (e.g., theft, fraud, sexual harassment), the employee must file an *Incident Report* with Region V Systems' Corporate Compliance Officer.

After the Corporate Compliance Officer receives this report, he/she shall:

- Notify the employee that he/she is in receipt of the report.
- Assess the report to determine severity of situation and what immediate steps need to take place, which could include notifying other parties (Regional Administrator, Board chair, authorities, etc.).
- Present the report to Region V Systems' Corporate Compliance Team for input and direction.
- Act upon the Corporate Compliance Team's direction (e.g., conduct investigation or gather additional information), providing updates as needed.
- Notify employee of actions taken to resolve issue.
- Record report on Region V Systems' Incident Report chart.

Violations to the Code of Ethics policy will not be tolerated. Personnel, interns, or volunteers violating the *Code of Ethics* shall be subject to disciplinary actions, up to and including termination of employment or association with Region V Systems.

### Education of Personnel and Other Stakeholders

Education regarding Region V Systems' Code of Ethics policy shall include:

- All new personnel, volunteers, and interns shall be provided the policy upon hire or internship; a signed acknowledgement form is kept in their personnel file.
- All personnel, volunteers, and interns shall be provided with revised versions of the Code of Ethics policy as changes are made, with a signed acknowledgement kept in their personnel file.
- A current Code of Ethics policy shall be posted on Region V Systems' employee Intranet site.
- Upon hire, personnel shall receive training on expectations regarding professional conduct. Ongoing training shall be provided on a periodic basis.
- All persons served in the Family & Youth Investment program shall be provided with the Code of Ethics policy at time of orientation (via the *Family Orientation Handbook*).
- The Regional Governing Board shall review and approve the Code of Ethics policy as changes are needed.
- The Code of Ethics shall be displayed in the reception area.



## 19. CAN I REPORT A GRIEVANCE OR FILE A COMPLAINT?

Yes. Region V Systems has established procedures by which you may confidentially report a grievance, file a complaint, or appeal a decision of a staff member or a member of your team.

It is important to note that you will NOT be retaliated against for doing this. This means you cannot be discharged from the FYI program or be subjected to any other consequences just because you reported a grievance or filed a complaint or appealed a decision.

If you are not satisfied with a decision made by your Professional Partner, Wraparound Team, or the service that is received, the following procedures should be followed:

### Grievances, Complaints, and Appeals Procedures

Region V Systems maintains a Corporate Compliance Program to address incidences of waste, fraud, abuse, and other questionable activities and practices as well as to address formal complaints from employees, persons served, Network Providers, and the community at large. This means that any person/entity has the right to file an incident or complaint without fear of being harassed, fired, or disciplined from an employer, retaliated against, or removed from services, or funding consequences as a result from action or behaviors by coworkers, peers, management, or Region V Systems' governance authority. The following definitions should be used to determine when an individual/entity needs to file a formal complaint/appeal:

**Grievance:** Dissatisfaction by a person with some aspect of the operations, activities, services, or employee behavior at Region V Systems or by its Provider Network, but his/her grievance can be resolved at an informal level (this is considered a perceived concern).

***NOTE:*** A grievance is **not considered a complaint** as the situation can be informally resolved without filing a written complaint.

**Complaint:** A formal written grievance by a person to express dissatisfaction with any aspect of the operations, activities, services, or employee behavior at Region V Systems or by its Network Provider for which such grievance cannot be resolved at an informal level. (Generally, complaints about Network Providers must first be addressed by following the Network Provider's established protocol for written complaints).

#### ***NOTES:***

- A formal complaint is considered different than an individual reporting an "incident," which is generally defined as an event or occurrence that happened to an individual or likewise that the individual observed. This may include situations involving waste, fraud, abuse, or other questionable activity. An incident also includes health and safety occurrences, such as workplace accidents/injuries. The individual is required to report these incidences but is not making a complaint about the situation. "Incident" reporting is handled under Region V Systems' organizational response and prevention initiative practices as part of its Corporate Compliance Program.

- An *Incident / Complaint Report* may be completed, but the report will be assessed to determine if the concern can first be addressed on an informal basis as described below before considering it a formal complaint.

**Appeal:** A formal request is made by a person/entity for review and reconsideration of the outcome of his/her/its formal written complaint when the person/entity is unhappy with the action taken to remediate the complaint. *NOTE:* Appeals directed at the Network Provider must follow whatever appeal process is set up by the Network Provider.

### **Levels of Review**

#### **A. Informal Basis**

Grievances should be handled on an informal basis if possible. Persons who are dissatisfied with a decision or action should first attempt to work out the issue with the parties directly involved. This includes reporting the concern to a supervisor, if applicable. If the grieving party does not know who to start the informal conversation with, he/she can call Region V Systems' receptionist (402-441-4343) for assistance in whom to contact.

If a resolution to the concern cannot be agreed upon at an informal level, the person grieving the situation should continue with the steps as listed below.

#### **B. Filing Formal Complaint**

1. Complaints may be filed within 30 days following any action which is perceived to have violated the person's rights or situations that cause the person dissatisfaction under the "complaint definition" above.
2. Complaints must be submitted in writing by completing Region V Systems' Incident / Complaint Report. A blank Incident / Complaint Report can be accessed by contacting Region V Systems' receptionist at 402-441-4343 or by downloading the form at [www.region5systems.net](http://www.region5systems.net).

The Corporate Compliance Officer shall be available to aid or answer questions if help is needed in completing the *Incident / Complaint Report*.

The *Incident / Complaint Report* must be sent to the Corporate Compliance Officer, c/o of Region V Systems, 1645 'N' Street, Lincoln, NE 68508.

***NOTE:*** If the report contains allegations involving the Corporate Compliance Officer, the person initiating the report shall file it directly with the Regional Administrator at same address.

3. Region V Systems' Corporate Compliance Officer shall provide the individual completing the *Incident / Complaint Report* with written confirmation that the *Incident / Complaint Report* was received.

4. The Corporate Compliance Officer shall assess the *Incident / Complaint Report* to determine the appropriate initial steps to be taken to investigate the report as well as the timeliness needed to address it, using the following guidelines:
  - a. Briefing the Corporate Compliance Team, receiving directives as needed to address the concern/issue. Exceptions to this are:
    - If the report contains allegations involving the Regional Administrator, the Corporate Compliance Officer shall work directly with the Regional Governing Board Executive Committee.
    - If the report contains allegations involving a personnel matter, the Corporate Compliance Officer will initially work with the Regional Administrator.
5. Region V Systems' Corporate Compliance Team shall determine the best course of action regarding the *Incident / Complaint Report* (unless the incident falls under the exception rules stated above).
6. Once the complaint has been appropriately addressed by Region V's Corporate Compliance Team, the Regional Administrator, or his/her designee, shall provide a written response within five (5) business days to the individual who submitted the *Incident / Complaint Report*. The response shall include the specific action to be taken by Region V Systems regarding the complaint.

**C. Appeal Process**

The person who filed the complaint may appeal the Regional Administrator's decision to the Regional Governing Board, taking the following steps:

1. Within 14 business days of the date of the Regional Administrator's written response, the person who filed the complaint may submit a request in writing to the Corporate Compliance Officer to appeal the decision. Upon receipt of this request, the Corporate Compliance Officer must forward all complaint documentation within 5 business days to the Regional Governing Board chair.
2. The complaint shall be placed on the next available agenda of the Regional Governing Board.
3. Within five (5) business days of the scheduled Regional Governing meeting, the Regional Governing Board chair shall provide, in writing, to the address on record, the decision of the Region Governing Board regarding the appeal.
4. The decision of the Regional Governing Board is final.

**Confidentiality**

All information related to the complaint/appeal and/or its proceedings shall be kept confidential by all parties.

**Advocacy Assistance**

The participant will have access to advocacy assistance numbers at any time during the complaint/appeals process (see page 3 of this handbook for contact information).

## **20. UNDER WHAT CONDITIONS WOULD MY FAMILY BE DISCHARGED FROM THE PROGRAM?**

FYI has a strict policy that it will not give up on individuals and their families. FYI can work with individuals while they continue to meet the enrollment criteria. If services are still needed or wanted by you or your family and you no longer meet the enrollment criteria, your Professional Partner will refer you to alternative services. Possible reasons for discharge from the FYI program are as follows:

- Participant is 21 or older (Traditional Professional Partner track).
- Participant is 25 or older (Transition Age Professional Partner track).  
Participant is 20 or older (Prevention and Juvenile Justice Professional Partner tracks).
- Duplication of services (e.g. if youth is made a state ward).
- Participant has successfully completed the program.
- Participant is moving out of Region V Systems' service area.
- Participant or family no longer wishes to be involved in the FYI program.
- Participant or family is not actively participating in the program (including when family/participant can no longer be reached via phone, e-mail, or written correspondence).
- Participant is discharged from juvenile probation (Juvenile Justice track)

When any of the above-stated criteria apply, your Professional Partner will discuss with you the discharge procedure. Prior to your discharge, your Professional Partner will develop a Transition Plan with your Wraparound Team that is distributed to you and your team members. You will decide if a final team meeting should be held, and the Professional Partner will act accordingly. You will need to meet with your Professional Partner to fill out the discharge paperwork and to complete the final assessments.

## **21. ORIENTATION ACKNOWLEDGEMENTS**

This section of the handbook explains the agreements we ask in order to participate in the program. By signing the Orientation Handbook Acknowledgement Form, you are agreeing to the following:

### **AGREEMENT TO PARTICIPATE IN SERVICES**

The wraparound process is an intensive, individualized care management process for individuals with serious or complex needs. FYI is a voluntary program, designed to be individualized, culturally competent, and strengths based. Our purpose is to help serve participants in the least restrictive environment. This is accomplished by relying on the participant's natural supports. FYI will assist in creating, implementing, and modifying a plan organized around the participant's own perceptions of needs, strengths, and goals.

We also believe that **you** are the expert in terms of what the issues are and what is likely to work for you and/or your family. In order to develop solutions that will work for you, we need you to be an active part of the planning. We also believe that we may not find the right solution the first time and that some issues are so complex that we may have to try many things before we find the one that works. If the plan doesn't work, we will change the plan.

As you make your decision as to whether FYI is a good fit for you and or your family, it is important that you consider the following items. As part of our program, you will be asked to fill out data and fidelity forms periodically. This information will be used to assess needs as well as provide quality assurance within our program.

To participate in the FYI program, you must agree to do the following:

- **Complete the data forms that the Professional Partner asks of you.**
- **Be an active part of the team and participate in meetings.**
- **Help your Professional Partner construct a personal and/or family history.**
- **Be an active part of developing your plan.**
- **Keep in weekly contact with your Professional Partner.**

### **CONFIDENTIALITY AGREEMENT**

I agree to maintain the confidentiality of any information I may hear or see while being served by the FYI program as well as after my case has been discharged from FYI. This includes, but is not limited to, discussing any other participants I may see at the offices of Region V Systems (or co-located sites) or other information I may come in contact with or that is presented through any other media or in the course of educational material being provided.

**In reviewing this handbook with you, your Professional Partner will also ensure that you receive your privacy rights under HIPAA.**

### **AUTHORIZATION TO UTILIZE ASSESSMENT**

As part of your participation in the FYI Program, you must complete a number of assessment instruments, which are used to develop and evaluate the treatment plan. These assessments include:

- **Electronic Health Records Satisfaction Survey.**
- **Wraparound Fidelity Index (WFI)** – This is a one-time survey completed via phone interview by Families Inspiring Families.
- **Suicide Behaviors Questionnaire-Revised (SBQ-R).**

Additionally, your Professional Partner will complete the following assessments based on information gathered from you and your wraparound team:

- **Cluster Assessments.**
- **Descriptive Information Questionnaire (DIQ).**
- **Child and Adolescent Functional Assessment Scale (CAFAS).**

All assessments used as part of the FYI Program's evaluation are kept completely confidential. Results from the above assessments may be made available to your FYI team for planning purposes. Assessments are considered a part of the FYI Program and used for FYI's program evaluation.

## **ZERO TOLERANCE FOR WEAPONS ACKNOWLEDGEMENT**

It is the policy of Region V Systems to not permit weapons, of any kind, to be brought or stored on its premises at 1645 'N' Street nor shall weapons be present at any meetings involving Region V Systems staff.

Region V Systems acknowledges the right to own weapons, including firearms, according to federal laws. By agreeing to enroll and participate in FYI you acknowledge that you are willing to adhere to our policy to not have weapons present at any meeting or activities involving Region V staff including agreeing to lock up and keep weapons out of the immediate area/room should Region V Systems staff meet you your home or other location. Violations of this agreement will lead to the immediate cancellation of the meeting and could mean potential discharge from the program.

It is not the responsibility of Region V Systems' staff members to determine if the law has been violated in regard to weapon possession. On a case-by-case basis, law enforcement may be contacted to report possible law violations regarding the possession of weapons.

Special note for youth: The parent/guardian will be notified if you violate this policy in addition to potentially notifying law enforcement.

## **ALTERNATIVE SERVICE DELIVERY PRACTICES**

In some situations, team meetings may be held via alternative service delivery like teleconference or videoconference. The participant/family will be involved in the planning for how and when this occurs. Situations where this is utilized include health and safety, extreme weather, family choice, or when necessary to involve critical team members.

Professional Partners will assist the family, as needed, to be able to access and utilize the appropriate technology to fully participate in such a meeting.