SAMPLE POLICY

Sample policy from the CareRulebook North Carolina manual. Fictional agency. Rule-verified on October 1, 2026.

This is Policy 2.1 of the 32 in the manual, exactly as it prints in a buyer's copy, but filled in with example answers for a fictional agency, Sample Home Care, LLC. Rule-verified means each quote under Rule basis was checked word for word against the official text we saved on that date. It is not legal advice.

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POLICY 2.1

Client rights, conduct and responsibilities

G.S. 131E-144.3 · G.S. 131E-144.4 · G.S. 131E-144.5 · 10A NCAC 13J .1007(a)-(c) · 10A NCAC 13J .1402(a)(1)(B) · 10A NCAC 13J .1107(a) · 10A NCAC 13J .1110(g) · 10A NCAC 13J .1504(6)

Purpose

To make sure every client of Sample Home Care, LLC knows their rights and responsibilities before services start, that staff respect those rights, and that the agency can show each client was told. This is the client rights and responsibilities policy required by 10A NCAC 13J .1007 and G.S. 131E-144.3 to 144.5 (the Home Care Clients' Bill of Rights).

Scope

This policy applies to every client of Sample Home Care, LLC, to each client's responsible party, and to every employee, and every individual under contract with the agency, who works with clients or handles client information.

Policy

The declaration of clients' rights (G.S. 131E-144.3)

1. Each client of Sample Home Care, LLC has the following rights, which the agency must respect. The agency's written declaration of clients' rights sets out all of them, in this order:
    1. To be informed about, and take part in, their plan of care. The plan of care is developed with the client under Policy 5.1.
    2. To be treated with respect, consideration and dignity, and with full recognition of their individuality and their right to privacy.
    3. To receive care and services that are adequate and appropriate, and that comply with relevant federal and State laws, rules and regulations.

4. To voice grievances about their care without being subjected to discrimination or reprisal for doing so. Policy 2.2 sets out how complaints are made and investigated.
5. To have their personal and medical records kept confidential, and not disclosed except as permitted or required by applicable State or federal law (Policy 10.2).
6. To be free of mental and physical abuse, neglect and exploitation. Policy 6.1 sets out how allegations are reported to the Health Care Personnel Registry.
7. To receive a written statement of the services the agency provides and the charges the client is liable for paying.
8. To be informed of the process for acceptance and continuance of service and for eligibility determination (Policy 2.3).
9. To accept or refuse services.
10. To be informed of the agency's on-call service.
11. To be informed of how supervisors can be reached and when they are available.
12. To be advised of the agency's procedures for discharge (Policy 2.4).
13. To receive a reasonable response to their requests of the agency.
14. To be notified within 10 days when the agency's license has been revoked, suspended, canceled, annulled, withdrawn, recalled or amended.
15. To be advised of the agency's policies on client responsibilities (items 6 to 8 below).

Notice before services start (G.S. 131E-144.4; .1007(a)-(b))

2. **Written notice of rights and responsibilities (.1007(a)).** The agency must give each client a written notice of the client's rights and responsibilities in advance of furnishing care, or during the initial evaluation visit before services start.
3. **What each client receives (G.S. 131E-144.4(a); .1007(b)).** During the initial evaluation visit or before furnishing services, the agency must give each client:
    1. a copy of the declaration of home care clients' rights in item 1;
    2. a copy of the agency's policies on client responsibilities as they relate to safety and care plan compliance (items 6 to 8);
    3. the address and telephone number for information, questions or complaints about the agency's services: Sample Home Care, LLC, 100 Main Street, Suite 2, Raleigh, NC 27601, (919) 555-0100; and
    4. the address and telephone number of the section of the Department of Health and Human Services responsible for enforcing the Home Care Clients' Bill of Rights. Policy 2.2 gives the contact details the agency uses.
4. **Signed receipts (G.S. 131E-144.4(b)).** The client must sign a receipt for the declaration of rights and the contact information in item 3, and the agency must keep the signed receipt in its files. The client record must contain a copy of the signed client's rights form or documentation of its delivery (.1402(a)(1)(B)).
5. **Documentation for every client (.1007(a)).** The agency must keep documentation showing that all clients have been informed of their rights and responsibilities as set out

in G.S. 131E-144.3.

Client responsibilities: safety and care plan compliance (G.S. 131E-144.4(a)(2))

6. **Care plan compliance.** Sample Home Care, LLC asks each client, or the client's responsible party, to:
    1. give the agency accurate and complete information about the client's health, needs and home, and tell the agency about changes, including a hospital stay, a new medication or a change in the client's condition;
    2. take part in developing the plan of care, sign it, and keep the copy of the in-home aide plan of care that the agency leaves in the home (.1107(a)) where staff can see it;
    3. ask staff to do only the tasks in the plan of care, and ask the agency, not the aide, when the client wants a task added or changed. In-home aides may help a client take their own medication but may not give medication (Policy 5.2);
    4. tell the agency as early as possible when the client will not be home for a scheduled visit or wants to cancel or change one; and
    5. tell the agency when the client is not satisfied with the care or with a member of staff, using the complaint process in Policy 2.2.
7. **Safety.** Sample Home Care, LLC asks each client, or the client's responsible party, to:
    1. keep the home reasonably safe for the client and for staff, for example with clear walkways, working lights, and the equipment the plan of care lists;
    2. keep pets secured during visits when asked;
    3. keep any weapons in the home secured and out of sight during visits;
    4. treat staff with courtesy, and not threaten, harass or abuse them; and
    5. tell the agency about anything in the home that could put the client or staff at risk, such as an infectious illness in the household or oxygen equipment in use.
8. **When responsibilities are not met.** If a client does not meet these responsibilities, the RN supervisor, Taylor Brooks, RN, talks with the client or responsible party and reviews whether the plan of care needs changing (Policy 5.1). If the client's needs can no longer be met safely at home, or there is a danger to the client or a staff member, the agency follows Policy 2.4. A client is never subjected to discrimination or reprisal for voicing a grievance (item 1, right 4).

Respecting rights in practice

9. **Staff conduct.** Every employee and every individual under contract with the agency treats each client with respect, consideration and dignity; respects the client's privacy and property; keeps client information confidential (Policy 10.2); never abuses, neglects or exploits a client; and reports any allegation of abuse, neglect, exploitation or misappropriation of property under Policy 6.1.
10. **Refusals.** A client may accept or refuse any service or task. Staff do not force a service on a client. The staff member records the refusal in the service record and reports it to

the service's supervisor (Policy 1.3), who decides whether the plan of care needs reviewing.

L1. **Services and charges.** Before services start, the agency gives each client a written statement of the services the agency will provide and the charges the client is liable for paying. It gives the client an updated statement when those services or charges change.

L2. **On-call service and supervisor availability.** The client information packet tells each client how to reach the agency during office hours (Monday to Friday, 8:00 a.m. to 5:00 p.m., at (919) 555-0100) and at other times ((919) 555-0199). It names the RN supervisor, Taylor Brooks, RN, and says that the RN supervisor is available for supervision during the hours in-home aide services are provided (.1110(g)) and can be reached through these numbers.

L3. **License changes.** If the agency's license is revoked, suspended, canceled, annulled, withdrawn, recalled or amended, the agency must notify every client within 10 days.

L4. **Responsibility and training (G.S. 131E-144.5).** The agency director, Jordan Lee, is responsible for implementing the Home Care Clients' Bill of Rights in the agency. The agency must provide appropriate training to implement it: every employee who works with clients is trained on this policy and the declaration of rights during orientation (Policy 4.1).

L5. **Complaints (.1007(b)-(c)).** Clients may complain to the agency or to the Division of Health Service Regulation (DHSR), which investigates all allegations of non-compliance with the licensing rules. The agency investigates complaints from clients and their families within 72 hours under Policy 2.2.

Companion, sitter and respite services

L6. For clients receiving companion, sitter or respite services, the client information packet also names the companion supervisor, Jordan Lee, who is available for supervision, on-site when necessary, during the hours those services are provided (.1504(6)). For clients who receive only these services, the companion supervisor gives and explains the packet under the Procedure below, and receives reports of refusals under item 10.

Procedure

At the initial evaluation visit, before services start

1. The RN supervisor, or the supervisor named in the Policy for the client's services, gives the client the client information packet, which contains:
   - the declaration of clients' rights (Policy item 1);
   - the client responsibilities (Policy items 6 to 8);
   - the agency's and DHSR's addresses and telephone numbers for information, questions and complaints (Policy 2.2);
   - the written statement of services and charges;
   - a summary of how the agency accepts clients, continues services and decides eligibility (Policy 2.3), and of its discharge procedures (Policy 2.4);

    - the on-call and supervisor information in Policy item 12; and
    - the no-smoking notice (Policy 2.6).
2. The staff member explains each right and responsibility in plain language, answers the client's questions, and gives the responsible party a copy if the client has one.
3. The client signs and dates the receipt for the declaration of rights and the contact information. If the client cannot sign, the staff member records why on the receipt, and the client's legal representative or responsible party signs it.
4. The staff member files the signed receipt in the client record. Services do not start until the client has received the packet.

After services start

5. When a client asks for something, the staff member who receives the request passes it on to the right person promptly, and the agency gives the client a reasonable response.
6. When a client refuses a service or task, the staff member records the refusal and reports it under Policy item 10.
7. When the services or charges change, the agency gives the client an updated written statement and files a copy in the client record.
8. When the agency receives notice that its license has been revoked, suspended, canceled, annulled, withdrawn, recalled or amended, the agency director sends each client a written notice right away, so that every client is notified within 10 days, and keeps a copy with the date it was sent.

Training

9. The agency director makes sure each new employee is trained on this policy during orientation, and that the training is recorded in the personnel record (Policy 3.2).

Responsibilities

- **Agency director:** implements the Home Care Clients' Bill of Rights; makes sure staff are trained; sends license change notices; makes sure every client record holds a signed receipt.
- **RN supervisor:** gives and explains the client information packet at the initial evaluation visit; follows up when a client refuses services or does not meet their responsibilities.
- **Companion supervisor:** does the same for clients receiving only companion, sitter or respite services.
- **All staff:** respect clients' rights, pass on requests and complaints, and record refusals.

Records

- The signed receipt for the declaration of rights and contact information, or documentation of its delivery, in each client record.

- The written statement of services and charges, and any updated statement, in each client record.
- Copies of license change notices sent to clients, with the date sent.
- Records of client rights training in each personnel record.

Recommended practice

- Read the declaration of rights aloud to clients who have difficulty reading, and offer it in large print or another language when needed.
- Ask each client at the 90-day supervisory visit whether they have any questions about their rights or the agency's services.
- Review the client information packet each year, and whenever this policy or the agency's charges change.

Rule basis

> An agency shall provide each client with a written notice of the client's rights and responsibilities in advance of furnishing care to the client or during the initial evaluation visit before the initiation of services. The agency shall maintain documentation showing that all clients have been informed of their rights and responsibilities as set forth in G.S. 131E-144.3.
>
> `10A NCAC 13J .1007(a)`

> An agency shall provide notice to clients as set forth in G.S. 131E-144.4. The Division of Health Service Regulation shall investigate all allegations of non-compliance with rules of this Subchapter.
>
> `10A NCAC 13J .1007(b)`

> An agency shall comply with G.S. 131E-144.6(b).
>
> `10A NCAC 13J .1007(c)`

> Each client of a home care agency shall have the following rights: (1) To be informed and participate in his or her plan of care. (2) To be treated with respect, consideration, dignity, and full recognition of his or her individuality and right to privacy. (3) To receive care and services that are adequate, appropriate, and in compliance with relevant federal and State laws and rules and regulations. (4) To voice grievances about care and not be subjected to discrimination or reprisal for doing so. (5) To have his or her personal and medical records kept confidential and not be disclosed except as permitted or required by applicable State or federal law. (6) To be free of mental and physical abuse, neglect, and exploitation. (7) To receive a written statement of services provided by the agency and the charges the client is liable for paying. (8) To be informed of the process for acceptance and continuance of service and eligibility determination. (9) To accept or refuse services. (10) To be informed of the agency's on-call service. (11) To be informed of supervisory accessibility and availability. (12) To be advised of the agency's procedures for discharge. (13) To receive a reasonable response to his or her requests of the agency. (14) To be notified within 10 days when the agency's license has been revoked, suspended, canceled, annulled, withdrawn, recalled, or amended. (15) To be advised of the agency's policies regarding patient responsibilities.
>
> `G.S. 131E-144.3`

> During the agency's initial evaluation visit or before furnishing services, a home care agency shall provide each client with the following: (1) A copy of the declaration of home care clients' rights. (2) A copy of the agency's policies regarding client responsibilities as it relates to safety and care plan compliance. (3) The address and telephone number for information, questions, or complaints about services provided by the agency. (4) The address and telephone number of the section of the Department of Health and Human Services responsible for the enforcement of the provisions of this Part.
>
> `G.S. 131E-144.4(a)`

> Receipts for the declaration of home care clients' rights and contact information required in this section shall be signed by the client and shall be retained in the agency's files.
>
> `G.S. 131E-144.4(b)`

> Responsibility for implementing the provisions of this Part shall rest with the home care agency director. Each agency shall provide appropriate training to implement this Part.
>
> `G.S. 131E-144.5`

> If the agency is providing services to a client, the service record shall contain the following information: (1) Admission data: ... (B) a copy of the signed client's rights form or documentation of its delivery;
>
> `10A NCAC 13J .1402(a)(1)(B)`

> The client shall have access to a copy of the in-home aide plan of care in the home.
> `10A NCAC 13J .1107(a)`

> The health care practitioner shall be available for supervision during the hours that in-home care services are provided.
> `10A NCAC 13J .1110(g)`

> The agency directed supervisor shall be available for supervision, on-site where services are provided when necessary, during the hours that companion, sitter, or respite services are provided.
> `10A NCAC 13J .1504(6)`

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