

 <p style="text-align: center;"><b>County of Sacramento</b>  <b>Department of Health Services</b>  <b>Division of Behavioral Health Services</b>  <b>Policy and Procedure</b></p>	Policy Issuer (Unit/Program)	BHS-CMH-YDF
	Policy Number	08-02
	Effective Date	10/2009
	Revision Date	07/2017
Title: DBHS Compliance Program	Functional Area: Health Information Management	
Approved By:		
Matthew Quinley, LCSW Health Program Manager	Christopher Eldridge, LMFT Mental Health Program Coordinator	

**Background/Context:**

Federal and state laws, regulations, rules and guidelines require the Sacramento County Division of Behavioral Health Services (DBHS) and the County Mental Health Plan (MHP) to abide by Federal Medicaid Managed Care regulations. This framework requires the DBHS and MHP to have administrative and management arrangements and procedures, including a compliance plan, designed to guard against fraud and abuse. The DBHS is firmly committed to achieving the mutual goals of preventing fraud and abuse, improving operational quality, and ensuring the provision of high quality, cost-effective mental health and alcohol and drug care.

As a matter of policy, the DBHS will apply the requirements applicable to the MHP to all functions and activities of the Division’s employees and contractors in order to establish a culture within the Division that promotes prevention, detection and resolution of instances of conduct that may not conform to federal and state law as well as the Division’s Compliance Program requirements and business policies.

**Definitions:**

Abuse: Unsound medical, fiscal or business practices that may result in improper payment, unnecessary medical service or care that does not meet professionally recognized standards of care.

Fraud: Intended misrepresentation which could result in unauthorized benefits. Examples include: billing for services that were not provided, misrepresenting a diagnosis or altering claim forms.

**Purpose:**

The objective of this policy and procedure is to establish conduct to which each Juvenile Justice Institutions Mental Health Team (JJIMHT) member are obligated as a condition of employment and to conform to all federal and state laws as well as the Division’s requirements and business practices.

## Details:

### 1. Code of Conduct

- A. This Code of Conduct is not intended to be an exhaustive list of all standards by which Division employees and contractors are to be governed. Rather, it is intended to convey to Division employees and contractors the Division's commitment to the high standards the Division has set for each of its employees and contractors.
- B. Each Division employee and contractor should perform his/her duties in good faith and in a manner that he/she reasonably believes to be in the best interest of the Division and the public it serves.
- C. All Division employees and contractors must maintain a high level of integrity in their conduct and avoid any conduct that could reasonably be expected to reflect adversely upon the integrity of the Division and the services it provides.
- D. Division employees and contractors shall:
  - Be responsible for reviewing, understanding and complying with the Division Compliance Program policies and procedures.
  - Conduct themselves with integrity, honesty, courtesy and fairness in their professional and personal actions related to their employment by, or contract with, the Division.
  - Maintain high standards of business conduct in accordance with applicable federal, state and local laws and regulations, rules and guidelines.
  - Practice good faith in transactions occurring during the course of business.
  - Preserve patient confidentiality, except as otherwise permitted or required by law, unless there is written permission to disclose information.
  - Promptly report any activity that they believe in good faith may violate Division policies and procedures or any other applicable law, regulation, or guideline, in accordance with the reporting procedures set forth in Division policies and procedures.
  - Comply with Division policies and procedures. When in doubt about what constitutes compliance performance, Division employees and contractors should consult with their supervisor or contract administrator, respectively.
  - Protect and retain records and documents as required by professional standards, governmental regulations and organizational policies.
  - Take all reasonable steps necessary to prevent fraud and abuse.

### 2. DBHS Employee/Contractor Responsibility

- A. A copy of this Code of Conduct shall be provided to all Division employees at the time of their initial hiring.
- B. A copy of this Code of Conduct shall be furnished to all Division contractors at the time the contract is entered into or renewed. Contractors are required to disseminate this Code of Conduct to all program staff.
- C. Upon receipt of this Code of Conduct, employees and contractors shall certify that they will abide by it by completing the Code of Conduct Employee/Contractor Affirmation form. The DHS Human Resources Office will maintain the signed

Affirmation forms for County employees and volunteers. Contract Providers shall maintain their own records and shall make the records available to the Division Compliance Officer or designee upon request.

- D. Senior management of each Division and contractor facility will ensure that the Code of Conduct is prominently displayed within each respective facility.

**Reference(s)/Attachments:**

BHS-QM-41-03-Division of Behavioral Health Services Code of Conduct 7-1-14

Title 42, Code of Federal Regulations, Section 438.608

California Administrative Code Title 9, Section 1840.112

Code of Conduct Employee/Contractor Affirmation Form

**Related Policies:**

BHS-CMH-YDF-02-03-Confidentiality

BHS-CMH-YDF-08-01-Administrative, Technical and Physical Safeguards

BHS-CMH-YDF-08-03-Release of Protected Health Information

BHS-CMH-YDF-08-06-HIPAA Complaints and PHI/EPHI Breach Protocol

BHS-CMH-YDF-08-07-Records Management

BHS-CMH-YDF-09-01-Countywide Personnel Policies and Procedures

BHS-CMH-YDF-09-03-New Employee Orientation

**Contact Information:**

Christopher Eldridge, LMFT, Mental Health Program Coordinator, (916)876-9339,  
[eldridgec@saccounty.net](mailto:eldridgec@saccounty.net)