


|  |   |                   |
|--|---|-------------------|
|  <p style="text-align: center;"><b>County of Sacramento</b><br/> <b>Department of Health Services</b><br/> <b>Division of Behavioral Health Services</b><br/> <b>Policy and Procedure</b></p>   | Policy Issuer<br>(Unit/Program)   | <b>QM</b>         |
|  | Policy Number   | <b>QM-41-03</b>   |
|  | Effective Date  | <b>10-01-2005</b> |
|  | Revision Date   | <b>12-24-2020</b> |
| Title:<br><b>Division of Behavioral Health Services<br/>Code of Conduct</b>  | Functional Area:<br><b>Policies, Procedures, and Standards of<br/>Conduct</b> |                   |
| <p>Approved By: (Signature on File) <b>Signed version available upon request</b><br/> <b>Christine Janes, LMFT</b><br/> Compliance Officer, Division of Behavioral Health Services<br/> <a href="mailto:MHDivisionComplianceOfficer@SacCounty.net">MHDivisionComplianceOfficer@SacCounty.net</a></p> <p><b>Alexandra Rechs, LMFT</b><br/> Program Manager, Quality Management</p> <p><b>Ryan Quist, PHD</b><br/> Deputy Director, Division of Behavioral Health Services</p> |   |                   |

**BACKGROUND/CONTEXT:**

Federal and state laws, regulations, rules, and guidelines require the Division of Behavioral Health Services (BHS) and the County Mental Health Plan (MHP) to abide by Federal Medicaid Managed Care regulations. This framework requires DBHS and MHP to have administrative and management arrangements and procedures, including a compliance plan, which is designed to guard against fraud and abuse. The Division of Behavioral Health Services (BHS) 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.

**PURPOSE:**

This policy specifically addresses conduct prescribed by the BHS Compliance Program and is maintained in addition to other standard codes of conduct already in effect. As a matter of policy, BHS will apply the requirements applicable to the MHP to all functions and activities of BHS employees and contractors in order to establish a culture within BHS that promotes prevention, detection, and resolution of instances of conduct that may not conform to federal and state law as well as the BHS Compliance Program requirements and business policies. The employees and contractors of BHS, and the manner in which they conduct themselves, are at the core of this commitment. To assure that BHS commitment is shared by its employees and contractors, BHS has established a Code of Conduct that each employee and contractor will be required to comply with as a condition of employment or contractual relationship with BHS.

**DETAILS:**

1. Distribution:
  - a) A copy of this Code of Conduct shall be provided to all existing BHS employees and to all future employees at the time of their initial hiring.
  - b) A copy of this Code of Conduct shall also be furnished to all BHS contractors, including all independently contracted health care providers, at the time a contract is entered into or renewed. Contractors are required to disseminate this Code of Conduct to all program staff.

2. 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. The Department of Health Services Human Resources Office will maintain the signed Employee/Contractor Affirmations for County employees and volunteers. Contract Providers shall maintain their own records and shall make the records available to the BHS Compliance Officer or designee upon request.
3. Senior management of county operated site and contractor facility will ensure that the Code of Conduct is prominently displayed within each respective facility.

### **Code of Conduct:**

BHS employees and contractors shall:

- Be responsible for reviewing, understanding, and complying with the BHS 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, BHS;
- 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 BHS policies and procedures, or any other applicable law, regulation, rule, or guideline, in accordance with the reporting procedures set forth in BHS policies and procedures;
- Comply with BHS policies and procedures. When in doubt about what constitutes compliance performance, BHS 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.

BHS clients and the public at large have a right to expect that BHS services will be rendered in a professional manner consistent with this Code of Conduct. This Code of Conduct is not intended to be an exhaustive list of all standards by which BHS employees and contractors are to be governed. Rather, it is intended to convey to BHS employees and contractors commitment to the high standards BHS has set for each of its employees and contractors.

Each BHS employee and contractor should perform his or her duties in good faith and in a manner that he or she reasonably believes to be in the best interests of BHS and the public it serves. All BHS 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 BHS and the services it provides.

**REFERENCE(S)/ATTACHMENTS:**

- Title 42, Code of Federal Regulations, Section 438.608
- California Administrative Code Title 9, Section 1840.112
- Code of Conduct Employee/Contractor Affirmation (attached)

**RELATED POLICIES:**

- No. 41-01 Compliance Program

**DISTRIBUTION:**

| <b>Enter X</b> | <b>DL Name</b>                                      | <b>Enter X</b> | <b>DL Name</b>      |
|----------------|---|----------------|---------------------|
| <b>X</b>       | Mental Health Staff                                 | <b>X</b>       | County Counsel      |
| <b>X</b>       | Mental Health Treatment Center                      | <b>X</b>       | DHS Deputy Director |
| <b>X</b>       | BHS Adult Contract Providers                        | <b>X</b>       | DHS Human Resources |
| <b>X</b>       | BHS Children's Contract Providers                   |                |                     |
| <b>X</b>       | Substance Use and Prevention Treatment              |                |                     |
| <b>X</b>       | Management Team                                     |                |                     |
| <b>X</b>       | County of Sacramento Privacy and Compliance Officer |                |                     |

**CONTACT INFORMATION:**

- Quality Management Information  
[QMInformation@SacCounty.net](mailto:QMInformation@SacCounty.net)

**DEPARTMENT OF HEALTH SERVICES  
DIVISION OF BEHAVIORAL HEALTH SERVICES  
COMPLIANCE PROGRAM**

**CODE OF CONDUCT**

Behavioral Health Services employees and contractors shall:

- Be responsible for reviewing, understanding, and complying with the BHS 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 BHS;
- 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 BHS policies and procedures, or any other applicable law, regulation, rule, or guideline, in accordance with the reporting procedures set forth in BHS policies and procedures;
- Comply with BHS policies and procedures. When in doubt about what constitutes compliance performance, BHS 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.

BHS clients and the public at large have a right to expect that services will be rendered in a professional manner consistent with this Code of Conduct. This Code of Conduct is not intended to be an exhaustive list of all standards by which BHS employees and contractors are to be governed. Rather, it is intended to convey to BHS employees and contractors the commitment to the high standards BHS has set for each of its employees and contractors.

Each BHS employee and contractor should perform his or her duties in good faith and in a manner that he or she reasonably believes to be in the best interests of BHS and the public it serves. All BHS 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 BHS and the services it provides.

**DEPARTMENT OF HEALTH SERVICES  
DIVISION OF BEHAVIORAL HEALTH SERVICES  
COMPLIANCE PROGRAM**

**CODE OF CONDUCT**

**EMPLOYEE/CONTRACTOR AFFIRMATION**

I certify that I have read, understand, and will comply with the Department of Health Services Behavioral Health Division Compliance Program Code of Conduct.

I understand that when necessary, I may seek advice from the appropriate supervisor and/or the Behavioral Health Services Compliance Officer concerning appropriate actions that I may need to take in order to comply with the Department of Health Services Behavioral Health Division Compliance Program Code of Conduct.

---

Signature

---

Name (Printed)

---

Date

---

Title or Capacity

---

Department/Clinic/Contractor