



YOLO COUNTY
ALCOHOL, DRUG AND MENTAL HEALTH DEPARTMENT
POLICY AND PROCEDURES MANUAL

SUBJECT: Disciplinary Guidelines

POLICY

The Yolo County Alcohol, Drug and Mental Health Department (ADMH) Compliance Plan clearly outlines consistent and appropriate sanctions for compliance violations while, at the same time, is flexible enough to account for mitigating or aggravating circumstances. The range of disciplinary actions that may be taken closely follow the Yolo County Stationary Engineers Local 39, General Unit, Yolo County Supervisor's Association and the Yolo County Management Association Union guidelines.

Each ADMH employee is expected to be familiar with the Compliance Plan and the appropriate processes necessary to perform his/her duties, and/or how to obtain the requisite information pertinent to performing his/her duties, in a manner consistent with legal, regulatory, and departmental requirements. Employees who act in violation of the Compliance Plan or who otherwise ignore or disregard the standards of ADMH may be subjected to progressive disciplinary action up to and including termination.

PROCEDURE

When an alleged compliance violation has been discovered, corrective action shall be taken. The Compliance Officer, in coordination with the Compliance Committee, will develop a plan of correction to address the alleged violation. As determined by the type of violation, the corrective action may include:

- Development of internal changes in policies, procedures, and/or the Compliance Program;
- Re-training of staff;
- Internal discipline of staff;
- The prompt return of any overpayments;
- Reporting of the incident to the appropriate federal department;
- Referral to law enforcement authorities; and/or
- Other corrective actions as deemed necessary.

The ADMH disciplinary action plan for compliance issues is outlined below.

Disciplinary Actions

The range of disciplinary activities taken follows the Yolo County Stationary Engineers Local 39, General Unit, Yolo County Supervisor's Association and the Yolo County

Management Association Union guidelines.

“Disciplinary Action” means dismissal (except dismissal for medical reasons), demotion, suspension without pay, suspension or written reprimand.

The following items represent a range of areas that may constitute cause for disciplinary action of an employee. This is not a comprehensive list and is not intended to replace the range of areas identified in the ADMH Policies and Procedures that may justify disciplinary actions.

- Falsifying personnel records or County records or providing false information concerning employment qualifications;
- Incompetence;
- Inefficiency;
- Repeatedly failing to detect or report violations;
- Inexcusable neglect of duty; and
- Willfully disobeying a reasonable order or refusal to perform the job as required.

A. ADMH Policies and Procedures are developed that include the Code of Ethics, documentation standards within expectations for an employee’s assigned job duties, timeliness of documentation, and consequences of inaccurate documentation.

B. New employees, and all staff on an annual basis, are required to sign a signature page stating their understanding of the documentation and professional conduct expectations outlined in the Yolo County Alcohol, Drug & Mental Health Department Policies and Procedures and in the Code of Ethics.

C. ADMH follows the disciplinary procedures outlined in Article 13 of the MOU for Stationary Engineers Local 39 General Unit, Article 23 of the Yolo County Supervisors Association MOU and Article 7 of the MOU for the Yolo County Management Association in addressing issues of noncompliance. These may include:

1. Verbal Warning
2. Written Warning
3. Written in Annual Evaluation or during Probationary Period
4. Written in the Departmental Personnel File
5. Demotion
6. Dismissal

D. The following ADMH committees and/or departments will monitor and manage Compliance issues:

1. Quality Improvement Committee
2. Compliance Committee
3. Personnel Department

Federal Guidelines for Compliance Violations as per the Department of Health Services Office of the Inspector General

Staff who have been informed of non-covered services or practices, but continue to bill for them, or staff whose claims must consistently be reviewed because of repeated over-

utilization, repeated late entries, or other practices of concern, could be subjected to administrative actions, as outlined by federal guidelines.

These actions include suspension from participation in the Medi-Cal/Medicare programs and assessment of a civil monetary penalty. This penalty could be an amount up to \$10,000 for each false or improper item or service claimed and an additional assessment of up to three times the amount falsely claimed.

Subsequent investigations may be conducted to determine if corrective action has been followed by the appropriate staff member(s). If the subsequent investigation indicates that corrective action was not taken, responsible staff may be subject to disciplinary action and/or the case may be sent to the federal Office of the Inspector General to be reviewed for possible civil and criminal action.

Healthcare professionals convicted of program-related crimes after December 4, 1980, will be suspended from participation in the Medi-Cal/Medicare programs.

REFERENCES

Memoranda of Understanding for Yolo County Operating Engineers, Local 39 (General Unit), Yolo County Supervisor's Association and the Yolo County Management Association.
PP 409 Sanctions and Corrective Actions

APPROVED BY:

ADMH Director

Date