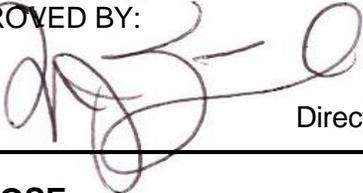




**DEPARTMENT OF MENTAL HEALTH  
POLICY/PROCEDURE**

SUBJECT	POLICY NO.	EFFECTIVE DATE	PAGE
<b>COMPLIANCE PROGRAM COMMUNICATION</b>	<b>112.01</b>	<b>12/3/2012</b>	<b>1 of 4</b>
APPROVED BY:  Director	SUPERSEDES	ORIGINAL ISSUE DATE	DISTRIBUTION LEVEL(S)
	<b>112.1</b>	<b>01/15/04</b>	<b>2</b>

**PURPOSE**

- 1.1 To describe particular means by which the Los Angeles County-Department of Mental Health (LAC-DMH or Department) will establish lines of communication between the LAC-DMH Compliance Officer and the employees or other LAC-DMH stakeholders, as required by the Code of Federal Regulations, Title 42, Section 438.608 (b) (4).

**POLICY**

- 2.1 LAC-DMH will uphold the highest ethical standards and comply with all rules, regulations, codes, and policies governing the provision of, and reimbursement for, mental health services provided to consumers by or on behalf of the County of Los Angeles.
- 2.2 To support ethical behavior and legal/regulatory compliance, LAC-DMH has established the following mechanisms for use by LAC-DMH employees or other stakeholders to raise questions, report concerns, or perceived violations.
  - 2.2.1 Most questions or concerns can be resolved promptly on a division/bureau/organizational unit level. This policy does not replace the traditional chain of command mechanism of communication and problem resolution. Rather, it is intended to provide additional paths that may be utilized by employees or other stakeholders for clarification of Departmental policies, mandates, and standards or for the reporting of perceived ethical or legal Compliance Program violations.
  - 2.2.2 To ask clarifying questions, express concerns or report perceived violations,



**DEPARTMENT OF MENTAL HEALTH  
POLICY/PROCEDURE**

<b>SUBJECT</b>	<b>POLICY NO.</b>	<b>EFFECTIVE DATE</b>	<b>PAGE</b>
<b>COMPLIANCE PROGRAM COMMUNICATION</b>	<b>112.01</b>	<b>12/3/2012</b>	<b>2 of 4</b>

2.2.2.1 Employees and stakeholders may contact the LAC-DMH Compliance Program and Audit Services Bureau (CPAS) by:

- telephone at 213-739-2390
- or by e-mail at the following e-mail address:

[compliance@dmh.lacounty.gov](mailto:compliance@dmh.lacounty.gov)

2.2.2.2 Or contact the County of Los Angeles Fraud Hotline by:

- telephone at 1-800-544-6861
- or by e-mail at the following email address:

[hotline@auditor.lacounty.gov](mailto:hotline@auditor.lacounty.gov)

- fax to 213-663-0991
- or write to:

Office of County Investigations  
500 W. Temple Street, Room 515  
Los Angeles, CA 90012

2.3 In accordance with the Code of the County of Los Angeles, Title 5, Personnel, Chapter 5.02 General Regulations:

“Retaliation for Reporting Fraud, Waste or Misuse of County Resources [is] Prohibited

A. No officer or employee of the County of Los Angeles shall use or threaten to use any official authority or influence to restrain or prevent any other person, acting in good faith and upon reasonable belief, from reporting or otherwise bringing to the attention of the County Auditor-Controller or other appropriate agency, office or department of the County of Los Angeles any information which, if true, would constitute: a work related violation by a County officer or employee of any law or regulation; gross waste of County funds; gross abuse of authority; a specific and substantial danger to public health or safety due to an act or omission of a County official or employee; use of County office or position or of County resources for personal gain; or a conflict of interest of a County officer or employee.



**DEPARTMENT OF MENTAL HEALTH  
POLICY/PROCEDURE**

<b>SUBJECT</b>	<b>POLICY NO.</b>	<b>EFFECTIVE DATE</b>	<b>PAGE</b>
<b>COMPLIANCE PROGRAM COMMUNICATION</b>	<b>112.01</b>	<b>12/3/2012</b>	<b>3 of 4</b>

- B. No officer or employee of the County of Los Angeles shall use or threaten to use any official authority or influence to effect any action as a reprisal against a County officer or employee who reports or otherwise brings to the attention of the Auditor-Controller or other appropriate agency, office or department of the County of Los Angeles any information regarding subjects described in subsection A of this section.
- C. Any person who believes he/she has been subjected to any action prohibited in subsections A or B of this section may file a complaint with the director of personnel. The director shall investigate the complaint and thereafter prepare a report thereon which shall be forwarded to the Board of Supervisors.
- D. Any officer or employee of the County of Los Angeles who knowingly engages in conduct prohibited by this section shall be disciplined, including but not limited to discharge, in accordance with the personnel rules and regulations of the County of Los Angeles. (Ord. 88-0162 § 1, 1988)”

**PROCEDURE**

- 3.1 LAC-DMH employees are encouraged to contact their respective supervisor or manager to ask clarifying questions, express concerns or report perceived Compliance Program violations before contacting the Compliance Officer. This contact is intended to promote clear communication within organizational units while ensuring that any misunderstandings are addressed quickly without the involvement of the Compliance Officer. This communication will also provide information so that the employee or stakeholder will be fully informed should there be a need to speak with the Compliance Officer.
- 3.2 When another communication path is desired, LAC-DMH employees or other stakeholders may informally contact CPAS by telephone at 213-739-2390 to ask clarifying questions, express concerns or discuss perceived Compliance Program violations.
  - 3.2.1 Consistent with all communications, at the request of the employee or other stakeholder, this communication will be kept confidential to the extent practical and consistent with laws and/or regulations.



**DEPARTMENT OF MENTAL HEALTH  
POLICY/PROCEDURE**

<b>SUBJECT</b> <b>COMPLIANCE PROGRAM COMMUNICATION</b>	<b>POLICY NO.</b> <b>112.01</b>	<b>EFFECTIVE DATE</b> <b>12/3/2012</b>	<b>PAGE</b> <b>4 of 4</b>
---	------------------------------------	---	------------------------------

3.3 LAC-DMH employees or other stakeholders may formally contact CPAS to ask clarifying questions, express concerns or report perceived Compliance Program violations by completing the form: Compliance and Audit Services Inquiries and Reporting sending (See Attachment 1). This form may be sent to CPAS by:

3.3.1 Fax No. 213-252-0233

3.3.2 Email to the following e-mail address: [compliance@dmh.lacounty.gov](mailto:compliance@dmh.lacounty.gov)

3.3.3 Mail to the following address:

Los Angeles County-Department of Mental Health  
Compliance Program and Audit Services Bureau  
600 S. Commonwealth Ave, 2nd Floor  
Los Angeles, CA 90005

3.3.4 Responses to Compliance and Audit Services Inquiries and Reporting form will be forwarded to the sender in accordance with directions identified by the sender on the form.

3.4 LAC-DMH employees or other stakeholders may contact the County of Los Angeles Fraud Hotline for reporting perceived ethical or legal violations of the Compliance Program by calling 1-800-544-6861.

3.4.1 Callers are not required to reveal their name.

**AUTHORITY**

1. Code of Federal Regulations, Title 42, Section 438.608 (b) (4).
2. Los Angeles County Code, Title 5, Personnel, Chapter 5.02.

**ATTACHMENT**

1. Compliance Program and Audit Services Bureau Inquiries and Reporting Contact Form

**REFERENCE**

1. The LAC-DMH Code of Organizational Conduct, Ethics, and Compliance

**RESPONSIBLE PARTY**

Office of the LAC-DMH Compliance Officer