

**Marin County Division of Behavioral Health and Recovery Services
Site Visit - Personnel File Checklist**

Agency: _____ Personnel File Being Reviewed: _____
 Date of Review: _____ Staff Reviewing: _____
 Staff Role: Medical Director Non-Physician LPHA SUD Counselor Other : _____
 For WM Providers (check all that apply): Provide WM Services: Yes No / Monitor or Supervise WM: Yes No

The checklist is based on the California Department of Health Care Services, [Alcohol and/or Other Drug Program Certification Standards \(Section 13000 Personnel Practices\)](#), [Drug/Medi-Cal Certification Standards](#), and State/County Intergovernmental Agreement, Exhibit A, Attachment I, [Behavioral Health Information Notice No. 23-054](#), and [SABG Minimum Quality Treatment Standards](#).

Personnel File Checklist for Paid Staff:

Standard	Included	Not Included	Comments
13010(b.1) – Application for Employment and Resume			
13010(b.2) – Signed Employment Confirmation Statement/Duty Statement			
13010(b.3) – Job Description and Duty Statement <ul style="list-style-type: none"> • Title and Classification • Duties and Responsibilities • Lines of Supervision • Qualifications [education, training, work experience, etc.] for the position 			
13010(b.4) – Salary Schedule and Salary Adjustment Information			
13010(b.5) – Employee Performance Evaluations			
13010(b.6) – Health Records including a health screening report and health questionnaire, and TB test results as required*			
13010(b.7) – Other personnel actions (e.g., commendations, discipline, status change, employment incidents and/or injuries)			
Training Documentation:			
DMC-ODS Documentation (Annual)			
Information & Privacy Security (Annual)			
Cultural Competency (Annual)			
ASAM (E-Training 1 and 2)			
Oath of Confidentiality (At Hire & Annual)			
Physician and LPHAs – At least 5 hours of CMEs/CEUs annually in addiction medicine			
Adolescent Providers – Training for Case Managers related to AOD treatment, community resources, physical and sexual abuse, family dynamics and legal issues.			
Naloxone (Aware of Location, Trained in Administration; Certification of Training) – Applicable if identified by agency as a staff member with these responsibilities			

Current Registration, Certification, Intern Status, or Licensure			
Evidence of being credentialed			
Signed Attestation			
Proof of Continuing Education required by Licensing or Certifying Agency and Program.			
Code of Conduct [Provider's and Certifying/Licensing Body]. Provider Code of Conduct shall include: <ul style="list-style-type: none"> • Use of drugs and/or alcohol; • Prohibition of social/business relationship with beneficiary's or their family members for personal gain; • Prohibition of sexual contact with beneficiary's; • Conflict of interest; • Providing services beyond scope; • Discrimination against beneficiary's or staff; • Verbally, physically, or sexually harassing, threatening, or abusing beneficiary's, family members or other staff; • Protection beneficiary confidentiality; • The elements found in the code of conduct(s) for the certifying organization(s) the program's counselors are certified under; and • Cooperate with complaint investigations. 			
Withdrawal Management Only – Evidence of the Following Training for Personnel providing, monitoring or supervising the provision of WM services: <ul style="list-style-type: none"> • Certified in cardiopulmonary resuscitation • Certified in first aid • Trained in the use of Naloxone • Six (6) hours of orientation training for all personnel providing WM services, monitoring and supervising the provision of WM services. • Repeated orientation training within 14-days for returning staff following a 180 continuous day break in employment. • Eight (8) hours of training annually that covers the needs of residents who receive WM services. 			
Medical Director Only - Written roles and responsibilities and a code of conduct for the medical director shall be clearly documented, signed and dated by a provider representative and the physician.			
MAT Training (Behavioral Health Information Notice No. 23-054): <ul style="list-style-type: none"> • Evidence of training personnel about the benefits and risks of MAT. Information shall be specific to each type of medication offered to clients. • Evidence of training personnel on the facility's MAT policy. 			

*Staff and volunteers whose functions require or necessitate contact with participants or food preparation shall complete a health screening report or a health questionnaire and be tested for tuberculosis. The TB tests shall be conducted under licensed medical supervision **not more than three months prior to or seven days after employment** and renewed annually from the date of the last tuberculosis test. Refer to Section 13030 for additional Health Screening and TB test information.

Personnel File Checklist for Volunteers*:

Standard	Included	Not Included	Comments
13010(d.1) – Health Records including a health screening report and health questionnaire, and TB test results as required*			
13010(d.2) – Code of Conduct Statement. Includes: <ul style="list-style-type: none"> • Use of drugs and/or alcohol; • Prohibition of social/business relationship with beneficiary’s or their family members for personal gain; • Prohibition of sexual contact with beneficiary’s; • Conflict of interest; • Providing services beyond scope; • Discrimination against beneficiary’s or staff; • Verbally, physically, or sexually harassing, threatening, or abusing beneficiary’s, family members or other staff; • Protection beneficiary confidentiality; • The elements found in the code(s) of conduct for the certifying organization(s) the program’s counselors are certified under; and • Cooperate with complaint investigations. 			
13010(d.3) – Protection of Confidentiality Statement			
13010(d.4) – Job description including lines of supervision			

*If a program uses volunteers or interns, procedures shall be implemented which address: Recruitment; Screening; Selection; Training and Orientation; Duties and Assignments; Scope of Practice; Supervision; Evaluation; and Protection of Client Confidentiality.