

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 : _____

Personnel File Previously Reviewed for this agency? Yes (p1) No (p 2-3)

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](#), [State/County Intergovernmental Agreement, Exhibit A, Attachment I, BHIN No. 21-001](#) and [Exhibit A, BHIN No. 23-054, BHIN No. 23-064, Adolescent Best Practices Guide](#), and [SABG Minimum Quality Treatment Standards](#).

Personnel File Checklist for Paid Staff (PREVIOUSLY REVIEWED):

Standard	Included	Not Included	Comments
13010(b.6) –TB test results as required (Annually from the date of the last test)			
Training Documentation:			
DMC-ODS Documentation (Annual)			
Information & Privacy Security (Annual)			
Cultural Competency (4 Hours Annually):			
• 1 Cultural Humility training (annually)			
• 1 LGBTQ+ training (annually)			
• 1 Working with Interpreters training (Bi-annually)			
Oath of Confidentiality (Annual)			
Physician and LPHAs – At least 5 hours of CMEs/CEUs annually in addiction medicine			
Current Registration, Certification, Intern Status, or Licensure (Reference: IG, Sect III.XX.4.h)			
Evidence of being credentialed (Tri-annually) (Reference IG, Sect 111.E.ii.e, Contract Exhibit I.13.6)			
Signed BHRS Network Provider Attestation (Tri-annually)			
Proof of Continuing Education required by Licensing or Certifying Agency and Program. (Reference: IG, Sect III.XX.4.i)			
Withdrawal Management Only – Evidence of the Following Training for Personnel providing, monitoring or supervising the provision of WM services (Reference: BHIN 21-001, Exhibit A):			
<ul style="list-style-type: none"> • Certified in cardiopulmonary resuscitation • Certified in first aid • Trained in the use of Naloxone • Eight (8) hours of training annually that covers the needs of residents who receive WM services. 			

Personnel File Checklist for **Paid Staff (NOT PREVIOUSLY REVIEWED)**:

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 (4 Hours Annually):			
<ul style="list-style-type: none"> 1 Cultural Humility training annually 1 LGBTQ+ training annually 1 Working with Interpreters training bi-annually 			
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. (Reference: Adolescent Best Practices Guide)			
Naloxone (Aware of Location, Trained in Administration; Certification of Training) – Applicable if identified by agency as a staff with these responsibilities (Reference: BHIN 23-064)			
Current Registration, Certification, Intern Status, or Licensure (Reference: IG, Sect III.XX.4.h)			
Evidence of being credentialed (Tri-annually) (Reference IG, Sect 111.E.ii.e , Contract Exhibit I.13.6)			
Signed BHRS Network Provider Attestation (Tri-annually)			
Proof of Continuing Education required by Licensing or Certifying Agency and Program. (Reference: IG, Sect III.XX.4.i)			

Standard	Included	Not Included	Comments
<p>Code of Conduct (Reference: IG, Sect III.XX.4.iii) and Provider's and Certifying/Licensing Body.</p> <p>Provider Code of Conduct shall include:</p> <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; • Cooperate with complaint investigations. • The elements found in the code of conduct(s) for the certifying organization(s) the program's counselors are certified under; 			
<p>Withdrawal Management Only – Evidence of the Following Training for Personnel providing, monitoring or supervising the provision of WM services (Reference: BHIN 21-001, Exhibit A):</p> <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. 			
<p>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. (Reference IG, Sect III.XX.4.v).</p>			
<p>MAT Training (BHIN No. 23-054):</p> <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 45 days prior to or five (5) 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.