

Marin County Division of Behavioral Health and Recovery Services

Site Visit - Personnel File Checklist

Agency: _____ Personnel File Being Reviewed: _____
 Date of Review: _____ County Staff Reviewing: _____

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, 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 | | | |
| Current Registration, Certification, Intern Status, or Licensure | | | |
| Proof of Continuing Education required by Licensing or Certifying Agency and Program. | | | |
| Code of Conduct [Provider’s and Certifying/Licensing Body’s]. 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; <ul style="list-style-type: none"> • 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. | | | |
| 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. | | | |

*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 of conduct(s) 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.