

California SUD program personnel files

Personnel file checklist

Reviewed 2026-10-16. Every line cites the rule it comes from. This checklist is general information, not legal advice.

EVERY STAFF MEMBER

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| ☐ Name, address, phone, position, duties and date of employment
All staff, including administrators At hire | 9 CCR Sec. Sec. 10564(l)(1), 10565(a);
Standards Sec. 37(a); 9 CCR Sec.
10125(c)(1)
DHCS licensing and certification |
| ☐ Application, resume or transcripts documenting the experience and education the position requires
All staff At hire | 9 CCR Sec. Sec. 10564(l)(2),
10565(a)(5); Standards Sec. 37(a)(5); 9
CCR Sec. 10125(c)(2)
DHCS licensing and certification |
| ☐ Duty statement; for certified programs, with title and classification, duties, lines of supervision and required qualifications
All staff At hire; kept current | 9 CCR Sec. 10565(a)(6); Standards
Sec. 37(a)(6)
DHCS licensing and certification |
| ☐ Driver's license number, class and expiration date
Staff who transport clients Before transporting | 9 CCR Sec. 10565(a)(2); Standards
Sec. 37(a)(2)
DHCS licensing and certification |
| ☐ Performance evaluations and personnel actions, including commendations and discipline
Staff of certified programs As they occur | Standards Sec. 37(a)(7)-(8)
DHCS licensing and certification |
| ☐ Termination date
Former staff At separation | 9 CCR Sec. 10565(a)(7); Standards
Sec. 37(a)(11)
DHCS licensing and certification |
| ☐ Signed and dated copy of the staff code of conduct
Staff of certified licensed residential facilities At hire | Standards Sec. 57(c)-(d); HSC Sec.
11832.8(b)(5) (policy for all certified
programs)
DHCS licensing and certification |
| ☐ Files kept for interns and volunteers as well as employees
Certified programs At placement | Standards Sec. Sec. 37(a), 2(a)(34)
DHCS licensing and certification |

COUNSELORS (9 CCR CHAPTER 8)

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| ☐ Registration or certification with CAADE, CADTP or CCAPP, verified on the organization's registry
Staff providing counseling services, unless exempt Before the first counseling service | HSC Sec. 11833(c)(1); 9 CCR Sec.
10564(c); Standards Sec. 36(c);
MHSUDS IN 18-056
DHCS licensing and certification |
| ☐ Copy of the registration or certification and of the certifying organization's code of conduct
Counselors At hire; updated at renewal | 9 CCR Sec. 10564(l)(3); Standards
Sec. 37(b); 9 CCR Sec. 10125(c)(3)
DHCS licensing and certification |

☐	Certification completed Registrants Within five years of initial registration	9 CCR Sec. 13035(f)(1) DHCS licensing and certification
☐	Registration renewed every year, since a registration is valid for one year Registered counselors Before expiration; first-year registrants apply at least 120 days before	BHIN 25-029 Sec. 2.C DHCS licensing and certification
☐	80 hours of education, including the core competency topics Counselors first registering on or after July 1, 2025 Within six months of registration	HSC Sec. 11833(b)(5); BHIN 25-029 DHCS licensing and certification
☐	50 hours of education for registration renewal, or 20 once 315 hours are complete Registered counselors Each annual renewal	BHIN 25-029 Sec. 3.B DHCS licensing and certification
☐	Certification renewal with 40 continuing education hours, filed before expiration Certified counselors Every two years	9 CCR Sec. Sec. 13050, 13055(a); MHSUDS IN 18-056 DHCS licensing and certification
☐	Copy of the California license, and 36 continuing education hours every two years Exempt licensed professionals providing counseling At hire; continuing education every two years	9 CCR Sec. 13015(c)-(d) DHCS licensing and certification
☐	Annual proof of graduate enrollment or BBS associate registration renewal; removal from counseling when status ends Exempt practicum students and BBS associates Annually; immediately on loss of status	HSC Sec. 11833(d); BHIN 23-008 DHCS licensing and certification
☐	At least 30 percent of counseling staff licensed or certified Each program Ongoing	9 CCR Sec. 13010(a) DHCS licensing and certification
☐	Report of an alleged code of conduct violation to DHCS and the certifying organization Counselors and registrants Within 24 hours of learning of it	9 CCR Sec. 13065(a) DHCS licensing and certification

HEALTH SCREENING

☐	Signed health screening report with a TB test Licensed residential staff 60 days before to 7 days after employment; TB renewed every year	9 CCR Sec. Sec. 10564(e)(1)-(2), 10565(b) DHCS licensing and certification
☐	Signed good-health statement and TB test (TB may be waived without frequent or prolonged resident contact) Residential volunteers 60 days before to 7 days after first presence; annually	9 CCR Sec. 10564(e)(3) DHCS licensing and certification
☐	Health screening by a primary care provider with a TB test Certified program staff, interns, volunteers and health care practitioners 60 days before to 7 days after employment; TB renewed every year	Standards Sec. Sec. 36(d), 37(a)(10) DHCS licensing and certification
☐	TB assessment made available, vaccines offered, signed influenza declinations, kept as confidential medical records Employees with occupational exposure in drug treatment programs At least annually; records kept employment plus 30 years	8 CCR Sec. 5199(a)(1)(E), (h)(3), (h)(10), (j)(1) Cal/OSHA

TRAINING

☐	Ongoing training program participation, documented Residential and certified program staff Records kept 3 years	9 CCR Sec. 10564(k); Standards Sec. 36(i) DHCS licensing and certification
☐	Training record with type, dates, hours and method of instruction Certified program staff Each training	Standards Sec. 37(a)(9) DHCS licensing and certification
☐	Training record showing the employee, the provider, duration and date, core competencies and the resulting certification or qualification Every employee whose training records the employer keeps Each training	Labor Code Sec. 1198.5(a)(2) California law (all employers)
☐	Naloxone administration training, documented in the personnel file Residential staff trained to give naloxone; at least one on the premises at all times On completion	HSC Sec. 11834.26(g)(1); BHIN 22-025 DHCS licensing and certification
☐	MAT training under the program's MAT policy, documented in the personnel file Staff of licensed and certified programs At the frequency the policy sets	HSC Sec. Sec. 11834.28(c), 11832.9(c); BHIN 23-054 DHCS licensing and certification
☐	Six hours of detox orientation, repeated after a break in employment of more than 180 consecutive days, and eight hours of detox training a year Staff who provide or supervise detox Before detox duties; annually	Standards Sec. 36(b)(4)-(5); BHIN 21-001 Exhibit A DHCS licensing and certification
☐	CPR and first aid qualification from the American Red Cross or another recognized agency At least one person present during services; detox: one per 15 residents, also trained in naloxone During services	9 CCR Sec. 10572(b); Standards Sec. 44(c); BHIN 21-001 Exhibit A DHCS licensing and certification
☐	ASAM training Clinical or professional staff who assess residents, determine level of care or provide direct treatment in residential programs No deadline stated; document it before assigning those duties	BHIN 21-001 Exhibit A DHCS licensing and certification
☐	Sexual harassment prevention training (2 hours supervisors, 1 hour others), with documentation kept 2 years Employers with five or more employees or contractors Within six months of hire or promotion, then every two years	Gov. Code Sec. 12950.1; 2 CCR Sec. 11024(b) California law (5+ employees)
☐	Signed acknowledgment of receipt of the anti-harassment policy Every employee At hire or training	2 CCR Sec. 11024(c)(2)(L) California law (5+ employees)
☐	Workplace violence training, with records kept one year All staff; refresher for patient-contact staff and their supervisors At hire or assignment; refresher at least annually	8 CCR Sec. 3342(f)(1)-(2), (h)(2) Cal/OSHA

PROGRAM LEADERSHIP

☐	Administrator competencies documented; DHCS notified of a change with the new administrator's qualifications Residential facility administrator Within 10 working days of a change	9 CCR Sec. Sec. 10564(a), 10561(c)(3) DHCS licensing and certification
☐	Program director with at least two years of SUD experience; DHCS notified of a change on DHCS 5082 and 5085 Certified programs At hire; within 10 working days of a change	Standards Sec. Sec. 36(a), 34(d)(3) DHCS licensing and certification

☐	California physician license and at least one year of opioid use disorder treatment experience NTP medical director At appointment	9 CCR Sec. 10110(a) (BHIN 25-008) DHCS licensing and certification
☐	License status, hours, resume and coverage arrangements on file NTP physicians, NPs, PAs, nurses, psychiatric technicians, counselors and pharmacists Kept current	9 CCR Sec. 10130(b) (BHIN 25-008) DHCS licensing and certification
☐	Medi-Cal enrollment, exclusion check, five hours of addiction medicine CME a year, and signed roles and code of conduct Medi-Cal SUD medical director At appointment; CME annually	22 CCR Sec. Sec. 51000.70, 51341.1(b)(28)(A)(iii); DMC-ODS Agreement 2025-26, Att. 2C Sec. 22.D.5 Medi-Cal
MEDI-CAL (DRUG MEDI-CAL AND DMC-ODS)		
☐	Current license for each LPHA; LPHA review of counselor assessments and the diagnosis Drug Medi-Cal and DMC-ODS providers At hire; each assessment	State Plan TN 23-0026; BHIN 23-068 Medi-Cal
☐	Five hours of continuing education in addiction medicine Physicians and LPHAs in DMC-ODS Each year	DMC-ODS Agreement 2025-26, Att. 2C Sec. 2.A.5-6 Medi-Cal (DMC-ODS)
☐	ASAM e-Training modules "ASAM Multidimensional Assessment" and "From Assessment to Service Planning and Level of Care" Staff conducting assessments in DMC-ODS Before assessing	DMC-ODS Agreement 2025-26, Att. 2C Sec. 21.C.2 Medi-Cal (DMC-ODS)
☐	DMC-ODS personnel file items, including the signed employment confirmation or duty statement, SUD training, current credential, continuing education proof, code of conduct and withdrawal management training Employees, contractors, volunteers and interns of DMC-ODS providers Kept current	DMC-ODS Agreement 2025-26, Att. 2C Sec. 22.D.1 Medi-Cal (DMC-ODS)
☐	Documentation that the BBS registration application was submitted, then approved Licensure candidates billing within 90 days of their degree Until registration is approved	BHIN 24-023 Medi-Cal
☐	Primary source verification, signed attestation and Suspended and Ineligible list check by the county plan Licensed, registered and certified providers, including AOD counselors At credentialing, then at least every three years	MHSUDS IN 18-019; BHIN 25-015 Medi-Cal (county plans)
☐	Current Medi-Cal Peer Support Specialist certification, verified in the CalMHSA registry Peers delivering Medi-Cal peer support Before services; renewal every two years with 20 continuing education hours including 6 of law and ethics	WIC Sec. 14045.15; BHIN 25-010 Sec. Sec. 6(a), 9(f)(6) Medi-Cal
☐	Direction by a licensed, waived or registered Behavioral Health Professional; supervisor training completed Peers; peer support specialist supervisors Supervisor training within 60 days of beginning to supervise	BHIN 25-010 Sec. Sec. 6(e), 7(b) Medi-Cal
BACKGROUND CHECKS AND HIRING		
☐	DHCS criminal record clearance with fingerprints Staff with supervisory responsibility for, or frequent contact with, adolescents in waiver facilities Before involvement; continuously after	HSC Sec. 11834.50(c); 9 CCR Sec. Sec. 10615(b)-(c), 10624-10626 DHCS licensing and certification

☐	No conviction history inquiry before a conditional offer; individualized assessment, preliminary notice with the report, at least five business days to respond, and a final written notice Employers with five or more employees During hiring	Gov. Code Sec. 12952; 2 CCR Sec. 11017.1 California law (5+ employees)
☐	Stand-alone disclosure and written authorization for a background report; copy provided on request Employers using screening companies Before the report is obtained	Civ. Code Sec. 1786.16 California law
☐	No questions about or use of arrests without conviction, diversion, sealed or dismissed convictions, juvenile records or minor marijuana convictions older than two years All employers Always	Labor Code Sec. Sec. 432.7, 432.8 California law (all employers)

EXCLUSION SCREENING

☐	Medi-Cal Suspended and Ineligible Provider List and federal LEIE check, documented Everyone whose services are billed to Medi-Cal Before hire, then regularly; DHCS updates its list monthly and county contracts may set the interval	WIC Sec. 14043.61(a); DHCS 6208 §28.c(5); 42 CFR 1001.1901(b)(1) Medi-Cal; federal payment bar
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CALIFORNIA EMPLOYMENT LAW

☐	Applications and personnel records kept Employers with five or more employees Four years from creation or the personnel action, whichever is later	Gov. Code Sec. 12946; 2 CCR Sec. 11013(c) California law (5+ employees)
☐	Personnel records made available within 30 calendar days of a written request and kept at least three years after termination All employers On request; after termination	Labor Code Sec. 1198.5(b)-(c) California law (all employers)
☐	Medical information kept on separate forms and in a medical file separate from the personnel file Employers with five or more employees Whenever medical information is collected	2 CCR Sec. Sec. 11069(g), 11071(b)(3); Civ. Code Sec. 56.20 California law
☐	Records of sex, race and national origin kept separately from the main personnel file Employers with five or more employees At hire	2 CCR Sec. 11013(c)(3) California law (5+ employees)
☐	Annual Know Your Rights notice, with compliance records kept three years, and the chance to name an emergency contact All employers By February 1 each year and at hire; emergency contact at hire	Labor Code Sec. Sec. 1553(a), (e), 1555(b) California law (all employers)

FEDERAL (ALL EMPLOYERS)

☐	Form I-9 Section 1 at the time of hire and Section 2 within three business days Every employee At hire	8 CFR 274a.2(b)(1)(i)(A), (b)(1)(ii)(B) Federal (all employers)
☐	Form I-9 kept on file Every employee and former employee Three years after hire or one year after termination, whichever is later	8 CFR 274a.2(b)(2)(i)(A) Federal (all employers)

Keep every counselor credential and TB date current

Corvara HR tracks each row above as a requirement on the employee's file, with its own due date, document and reminder before it lapses, so annual counselor registrations, TB tests and detox training hours come due on their own instead of being found