

NJ SUD personnel files under N.J.A.C. 8:111 and 8:43K

Personnel file checklist

Reviewed 2026-10-13. Every line cites the rule it comes from. This checklist is general information, not legal advice.

IDENTITY AND EMPLOYMENT HISTORY

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| ☐ Name, address, Social Security number and proof of identification in the personnel record
all employees At hire | N.J.A.C. 8:111-3.5(a)
residential (8:111) |
| ☐ Previous employment history plus documented verification of that history
all employees At hire | N.J.A.C. 8:111-3.5(a)
residential (8:111) |
| ☐ Educational background, including the high school or equivalency diploma for non-counseling staff supervising day or evening hours
all employees; the diploma element applies to non-counseling supervisory staff on day and evening shifts At hire | N.J.A.C. 8:111-3.5(a); 8:111-3.5(f)4
residential (8:111) |
| ☐ Documented reasonable efforts at hiring: at minimum an inquiry on the employment application, plus reference checks and/or a criminal history record background check where indicated or necessary
all staff At hiring | N.J.A.C. 8:111-3.5(a)4i
residential (8:111) |
| ☐ Photo identification card showing first name and last initial, job title, and degree or certification
all staff members At hire | N.J.A.C. 8:111-3.5(a)3
residential (8:111) |

CREDENTIALS AND LICENSURE

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| ☐ Credentials on file, including documented progress toward acquiring the CADC or LCADC
all employees; the CADC/LCADC element applies to counseling staff At hire and kept current | N.J.A.C. 8:111-3.5(a)
residential (8:111) |
| ☐ Professional license number with effective date and expiration date, and certification where applicable
all licensed or certified employees At hire and at each renewal | N.J.A.C. 8:111-3.5(a)
residential (8:111) |
| ☐ Documented verification and confirmation of licenses, certifications and educational degrees showing they are current and not under suspension or other sanction
all staff At hire and on the schedule set by facility policy | N.J.A.C. 8:111-3.5(a)6
residential (8:111) |
| ☐ Dated credential roster reconciled against the active-staff list, showing license status and expiration for every person who provides client care or treatment
all personnel providing client care or treatment Continuously | N.J.A.C. 8:111-3.5(d)
residential (8:111) |

☐	Counseling staff credential roster showing 50 percent LCADC, CADC or other licensed clinical professionals doing alcohol and drug counseling work within their scope substance abuse counseling staff Continuously	N.J.A.C. 8:111-1.9(a) residential (8:111)
☐	Per-counselor three-year credentialing deadline computed from the individual's date of employment counseling staff employed after July 15, 2013 Three years from date of employment	N.J.A.C. 8:111-1.9(b) residential (8:111)
☐	Proof of enrollment in a qualifying course of study, plus a documented progress review at least semi-annually counselor-interns and credentialed-interns Enrollment continuous; review at least semi-annually	N.J.A.C. 8:111-1.9(a)2i residential (8:111)
☐	Copies of the employee's credentials in the personnel record where credentials apply to the position all employees From hire; kept current	N.J.A.C. 8:43K-4.11(a)4 outpatient (8:43K)
☐	Current and proper documentation of staff credentials, education, licensure, training and qualifications in personnel files all staff of a behavioral health services facility Continuously; re-verify before each expiration	N.J.A.C. 8:43K-6.2(a)3 outpatient (8:43K)
☐	New Jersey prescriber license for the medical doctor or advanced practitioner where the facility provides medication management, whether employed or contracted prescribers at behavioral health services facilities offering medication management Continuously while medication management is offered	N.J.A.C. 8:43K-6.2(a) (paragraph beginning "Facilities providing medication management services") outpatient (8:43K)
☐	LCADC license on file for a clinical supervisor qualifying by that route, valid only where the facility provides SUD treatment services exclusively clinical supervisor at SUD-only behavioral health services facilities At appointment and continuously	N.J.A.C. 8:43K-6.4(b) outpatient (8:43K)
☐	Primary case coordinator's qualifying degree or professional credential primary case coordinator of a partial care program At appointment	N.J.A.C. 8:43K-6.12(e)1v outpatient (8:43K)
☐	Medical services supervisor's board certification: a physician board certified in general psychiatry, or an APN board certified in psychiatric nursing or holding another commensurate certification with prior DMHAS approval, each with at least one year full-time or full-time equivalent in a behavioral health treatment program setting medical services supervisor of a partial care program At appointment and continuously	N.J.A.C. 8:43K-6.12(b)1 and (b)2 outpatient (8:43K)
☐	LCADC file: master's transcript, supervised-hours attestations, examination results, and the license with its expiration date applicants for and holders of the LCADC, wherever employed At licensure; refreshed at each renewal	N.J.A.C. 13:34C-2.2(b) both settings
☐	CADC file: diploma or degree, the 300 supervised practical training hours across the 12 core functions including counseling in its individual, group and family forms, education-hours ledger, examination results, certificate with expiration applicants for and holders of the CADC, wherever employed At certification; refreshed at each renewal	N.J.A.C. 13:34C-2.3(b) both settings

CRIMINAL HISTORY

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| ☐ Fingerprint-supported State-level criminal history background check, with a documented initiation date
all staff, including student interns and volunteers Initiated no later than the time of hiring | N.J.A.C. 8:111-3.5(a)2
residential (8:111) |
| ☐ Results of criminal history background checks filed in the personnel record
all employees and volunteers On receipt | N.J.A.C. 8:111-3.5(a); 8:111-23.2(c)
residential (8:111) |
| ☐ Record of voluntarily disclosed criminal convictions, kept as a separate item from the background check results
all employees At hire and whenever a post-hire disclosure is made | N.J.A.C. 8:111-3.5(a)
residential (8:111) |
| ☐ Written advisory from the administrator that candidates and staff must disclose to the administrator any disciplinary outcome, license action or criminal conviction
all candidates and staff members At the time of initial employment and/or during employment if the action occurs after hire | N.J.A.C. 8:111-1.7(c)6i
residential (8:111) |
| ☐ Written criminal history record review policy identifying the circumstances and the methods the facility will use
all employees, prospective and current Policy in place at licensure; reviews per the policy | N.J.A.C. 8:43K-4.11(a)7 and (a)7i
outpatient (8:43K) |
| ☐ Governing authority's documented determination that the administrator has not been convicted of a crime relating adversely to the administration of the facility, or the evidence of rehabilitation it relied on
administrator At appointment | N.J.A.C. 8:43K-4.3(a)1
outpatient (8:43K) |

EMPLOYEE HEALTH

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| ☐ Records of physical examinations performed on initial employment and at the intervals the facility's policy sets
all staff and other persons providing direct client care Upon initial employment and at policy intervals | N.J.A.C. 8:111-3.5(a); 8:111-3.7(a)
residential (8:111) |
| ☐ Rubella screening result, or documentation of seropositivity from a previous screening or of rubella vaccination
all staff Upon employment (the 60-day catch-up for staff employed as of July 15, 2013 has long expired; treat this as a hire-date duty) | N.J.A.C. 8:111-3.7(b)
residential (8:111) |
| ☐ Measles screening result, or documentation of live measles vaccine on or after the first birthday, physician-diagnosed measles, or serologic immunity
staff born in 1957 or later Upon employment (the 60-day catch-up for staff employed as of July 15, 2013 has long expired; treat this as a hire-date duty) | N.J.A.C. 8:111-3.7(b)
residential (8:111) |
| ☐ Written notice to the employee of each screening result, results filed in the personnel record, and a standing facility list of employees who are seronegative and unvaccinated
all employees After each screening test; list maintained continuously | N.J.A.C. 8:111-3.7(c)
residential (8:111) |
| ☐ Two-step Mantoux tuberculosis testing results
all employees, including medical staff members Upon employment (the 60-day catch-up for staff employed as of July 15, 2013 has long expired; treat this as a hire-date duty) | N.J.A.C. 8:111-3.7(d)
residential (8:111) |

☐	Repeat Mantoux within three weeks of a negative initial test; chest x-ray and referral for chemoprophylaxis or treatment on any positive all employees Within three weeks of the initial test; on any positive result	N.J.A.C. 8:111-3.7(d)2 and (d)3 residential (8:111)
☐	Documentation supporting a residential tuberculosis exception: a documented negative Mantoux within the prior 12 months reduces the requirement to a single test, and a documented previous positive or documented completed treatment for tuberculosis disease and latent infection removes the skin test entirely employees claiming an exception At hire, and whenever the exception is relied on	N.J.A.C. 8:111-3.7(d)4 and (d)5 residential (8:111)
☐	Chest x-ray and medical clearance for any symptomatic employee, regardless of the skin test result symptomatic employees Whenever symptoms are present	N.J.A.C. 8:111-3.7(d)7 residential (8:111)
☐	Annual Mantoux for every employee whose previous result was negative, unless contraindicated employees with previously negative results Annually	N.J.A.C. 8:111-3.7(d)6 residential (8:111)
☐	Pre-employment physical examination record, with the manual specifying the circumstances for other direct-care persons and the content and frequency for both groups all employees, plus other direct-care persons as the policy defines Upon employment; repeats per policy	N.J.A.C. 8:43K-4.12(a) outpatient (8:43K)
☐	Rubella test result or documented immunity or vaccination, written notice of the result, filing in the personnel record, and entry on the seronegative and unvaccinated list each new employee who cannot document a previous rubella screening result Upon employment	N.J.A.C. 8:43K-4.12(b), (b)1 through 4 outpatient (8:43K)
☐	Measles (rubeola) screening result or documented exemption for every employee born in 1957 or later employees born in 1957 or later Existing employees were due by October 3, 2026 (past due if missing); new employees upon employment	N.J.A.C. 8:43K-4.12(c) outpatient (8:43K)
☐	Tuberculosis exposure control plan built on the 2005 CDC guidelines and/or the 2019 NTCA/CDC recommendations facility-level document supporting every employee tuberculosis record Maintained continuously	N.J.A.C. 8:43K-4.12(d)1 and (d)2 outpatient (8:43K)
☐	Tuberculosis screening and testing record for every person who is to provide direct patient care, including contracted staff and volunteers all personnel providing direct patient care Before direct care; periodic screening thereafter	N.J.A.C. 8:43K-4.11(b) outpatient (8:43K)
☐	Baseline tuberculosis status and two-step Mantoux results, or documentation supporting one of the four exceptions, including the follow-up test due within 12 months of the last test all employees Upon employment; second step one to three weeks after a negative first test	N.J.A.C. 8:43K-4.12(e), (e)3i through iv outpatient (8:43K)
☐	Written medical clearance on file before a Mantoux-positive employee begins working employees with a positive Mantoux result Before the start date	N.J.A.C. 8:43K-4.12(e)2i outpatient (8:43K)

☐	Annual Mantoux for all tuberculin-negative employees, at the frequency the facility's tuberculosis plan sets by risk level, with records of results maintained all tuberculin-negative employees At least annually	N.J.A.C. 8:43K-4.12(f)1 through 3 outpatient (8:43K)
ORIENTATION AND TRAINING		
☐	Written staff orientation plan and written staff education plan, with written plans for each service and a designated person responsible for training all staff Maintained continuously	N.J.A.C. 8:111-3.5(g) residential (8:111)
☐	Orientation record at the time of employment and an annual in-service record covering emergency plans, infection prevention and control, universal precautions, conflicts of interest, ethics, confidentiality, client rights, co-occurring disorders, cultural competence and, where appropriate, child and elder abuse all staff At employment, then at least annually	N.J.A.C. 8:111-3.5(g)1 residential (8:111)
☐	Fire procedures and client evacuation training, including use of fire-fighting equipment all employees At initial orientation and at least annually thereafter	N.J.A.C. 8:111-16.1(c) residential (8:111)
☐	Client rights training record all staff At new employee orientation and annually thereafter	N.J.A.C. 8:111-17.1(b) residential (8:111)
☐	Training on identifying and reporting child abuse and neglect, sexual assault or abuse, domestic violence, and abuse of elderly or disabled adults all staff At least annually	N.J.A.C. 8:111-3.6(b)14iv residential (8:111)
☐	ADA compliance training record all staff At orientation and thereafter per the facility's staff education plan; the rule states no cadence	N.J.A.C. 8:111-3.6(b)16ii residential (8:111)
☐	Housekeeping personnel training record covering cleaning procedures, including the use, cleaning and care of equipment all housekeeping personnel At hire and as procedures or equipment change	N.J.A.C. 8:111-21.2(b) residential (8:111)
☐	Staff orientation plan and staff education plan covering each service, with designated training personnel all employees Maintained continuously	N.J.A.C. 8:43K-4.11(a)8 outpatient (8:43K)
☐	Orientation at the time of employment and at least annual in-service education, documented in each employee's employment record all personnel, not only direct employees At hire, then at least annually	N.J.A.C. 8:43K-4.11(a)9 outpatient (8:43K)
☐	Training record showing each of the thirteen minimum topics with its completion date all personnel At hire and at least annually thereafter	N.J.A.C. 8:43K-4.11(a)9i through xiii outpatient (8:43K)
☐	Record the reason any conditional training topic did not apply, so an omission reads as a judgment rather than a gap all personnel at an outpatient facility Whenever a conditional topic is omitted	Practice supporting N.J.A.C. 8:43K-4.11(a)9, which requires documentation of the activities but not a reason for omission recommended practice, not law

JOB DESCRIPTIONS AND DUTY ASSIGNMENT

☐	Written job description for every position, including volunteer positions, with actual assigned duties matching it all facility staff, including volunteers At hire and whenever duties change	N.J.A.C. 8:111-3.5(c) residential (8:111)
☐	Written record of the clinical discipline and educational qualifications held by each staff member who diagnoses, assesses or treats clients with co-occurring disorders clinical staff serving clients with co-occurring disorders Continuously; updated on staffing change	N.J.A.C. 8:111-1.9(c) residential (8:111)
☐	Written job descriptions for facility positions all employees In place before hire; updated as duties change	N.J.A.C. 8:43K-4.11(a)1 outpatient (8:43K)
☐	Documented duty assignment based on the employee's credential and its associated scope of practice, education, training and competencies all employees At assignment and whenever duties or credentials change	N.J.A.C. 8:43K-4.11(a)2 outpatient (8:43K)
☐	Written identification of the staff responsible for and qualified to perform diagnosis, screening, assessment and treatment, including for patients with co-occurring disorders clinical staff Continuously; updated on staffing change	N.J.A.C. 8:43K-6.2(a)4 outpatient (8:43K)
☐	Written designation of the program director, the clinical supervisor and the counseling and/or therapy staff program director, clinical supervisor, counseling and therapy staff Continuously; a vacancy is a compliance gap	N.J.A.C. 8:43K-6.2(a) (paragraph beginning "Employ and designate the following staff") outpatient (8:43K)
☐	Written designation of the three additional partial care staff: medical services supervisor, medical staff and primary case coordinator partial care programs Continuously; a vacancy is a compliance gap	N.J.A.C. 8:43K-6.12(a)1 through 3 outpatient (8:43K)
☐	Written designation of at least one program director alternate with equivalent or comparable credentials, available at all times when patients are on site program director and designated alternate In place at all times	N.J.A.C. 8:43K-6.3(b) and (b)1 through 3 outpatient (8:43K)
☐	Written designation of the licensed and credentialed staff member who directs peer support services peer staff and the directing staff member Continuously	N.J.A.C. 8:43K-6.6(c) outpatient (8:43K)
☐	Documentation of lived experience under facility policy plus a current peer certification, before any peer support duties are assigned, together with the written DMHAS confirmation of which certifications it accepts (the rule names none) peer staff At hire and continuously; renewal per the certifying authority	N.J.A.C. 8:43K-6.6(a) outpatient (8:43K)
☐	Peer job description that keeps peer duties non-clinical, consistent with the chapter's definition of a peer peer staff At hire; updated as duties change	N.J.A.C. 8:43K-1.3 (definition of "Peer") outpatient (8:43K)

☐	Only appropriately qualified staff perform evaluations using screening and assessment tools; interns only where the tool requires no clinical degree or license, under appropriate clinical supervision and consistent with their scope of practice clinical staff and interns at an adult outpatient behavioral health program Continuously	N.J.A.C. 10:36-5.2(b) and (b)1, the DMHAS chapter cross-referenced by N.J.A.C. 8:43K-6.1(c)1 outpatient (8:43K)
☐	Per-role list of the screening and assessment tools that each role, including interns, is authorized to use clinical staff and interns at an adult outpatient behavioral health program Continuously	Practice evidencing N.J.A.C. 10:36-5.2(b) and (b)1, which state no recordkeeping duty recommended practice, not law
PERFORMANCE AND SUPERVISION		
☐	Performance evaluation completed a minimum of once per year after initial employment all employees Annually, measured from initial employment	N.J.A.C. 8:111-3.5(a)1 residential (8:111)
☐	Weekly clinical supervision log per clinical staff member, showing individual and group time with group not exceeding 50 percent of supervision time all clinical staff At least one hour per week	N.J.A.C. 8:111-1.8(d)3 residential (8:111)
☐	Pre-assignment orientation and evaluation record for each new counselor, completed before any counseling responsibilities are assigned new counseling staff Before counseling responsibilities are assigned	N.J.A.C. 8:111-1.8(d)8 residential (8:111)
☐	Intern supervision records keyed to the licensing board governing the intern's own course of study counselor-interns and credentialed-interns Continuing, per the applicable board's rules	N.J.A.C. 8:111-1.9(a)2ii residential (8:111)
☐	Program director's documented assurance that each staff member holds the proper credentials, education, qualifications, supervision and training for the position and duties program director, for all staff Continuously	N.J.A.C. 8:43K-6.3(a)7 outpatient (8:43K)
☐	Clinical supervisor's records showing that clinical supervision and staff education, orientation and training are directly provided or arranged, plus maintained clinical staff supervision documentation, credentialing checks and quality improvement activity records clinical supervisor, for all clinical staff Continuously	N.J.A.C. 8:43K-6.4(c)2 and (c)3ii through iv outpatient (8:43K)
☐	Written supervision agreement between the qualified clinical supervisor and each CADC, plus dated logs totaling at least 50 face-to-face hours per year CADCs in supervised practice and their qualified clinical supervisors, in whichever setting they work At least 50 hours per year, averaging one hour per week; counselors with more than five years as a CADC may be supervised less often but no less than two hours per month	N.J.A.C. 13:34C-6.3(b) and (k) both settings
☐	Diagnosis workflow showing that all diagnoses are made by the qualified clinical supervisor and are not delegated to a CADC CADCs and their qualified clinical supervisors, in whichever setting they work Continuous scope-of-practice limit	N.J.A.C. 13:34C-6.3(l) both settings
☐	Annual quality assurance review of staff qualifications and credentials, and of staff orientation and education covering ASAM criteria, medication-assisted treatment and professional ethics all staff At least annually	N.J.A.C. 8:111-22.2(a)7 residential (8:111)

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| ☐ | Quality assurance review of the policies, procedures and practices for clinical supervision, including the methods and frequency by which staff receive it
all clinical staff Ongoing; results to the governing authority at least annually | N.J.A.C. 8:111-22.2(a)2
residential (8:111) |
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FACILITY POLICIES

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| ☐ | Written hiring policy addressing good physical and mental health, emotional stability, concern for client safety, and criminal conviction review, with the criminal-history hiring procedure clearly written
all staff At hiring; policy maintained continuously | N.J.A.C. 8:111-3.5(a)4
residential (8:111) |
| ☐ | Written conviction-review policy stating the process and standards, and expressly not precluding the hiring of persons with criminal convictions
all prospective employees Applied whenever a conviction is identified | N.J.A.C. 8:111-3.5(a)5
residential (8:111) |
| ☐ | Written policy stating how long staff in recovery must be continuously substance-free before employment, and the consequences of use during working hours
all employees, particularly staff in recovery Applied before employment; policy maintained continuously | N.J.A.C. 8:111-3.5(b)
residential (8:111) |
| ☐ | Written drug screening policy providing for pre-employment, random and suspicion-based screening, and stating the facility's response to a positive result
all staff Pre-employment; random thereafter; on suspicion | N.J.A.C. 8:111-3.7(f)
residential (8:111) |
| ☐ | Written employee safety policy including procedures for the care of employees who become ill or are injured at the facility
all employees Maintained continuously | N.J.A.C. 8:111-3.7(e)
residential (8:111) |
| ☐ | Written employee safety policy including procedures for the care of employees who become ill or are injured at the facility
all employees Maintained continuously | N.J.A.C. 8:43K-4.12(h) (recodified from proposed 4.12(e) without change in text; quote the wording from the Notice of Proposal)
outpatient (8:43K) |
| ☐ | Written policies on employing family members, past and present governing body members and volunteers, and on hiring staff with past convictions or ethical violations
all prospective and current staff Applied at each hire | N.J.A.C. 8:111-1.7(c)6
residential (8:111) |
| ☐ | Written, job-relevant criteria used to make evaluation, hiring and promotional decisions
all personnel Ongoing | N.J.A.C. 8:111-1.7(c)5
residential (8:111) |
| ☐ | Written drug screening policy identifying when pre-employment and random screening apply and how the facility responds to a positive screen
all employees, prospective and current Policy in place at licensure; testing per the policy | N.J.A.C. 8:43K-4.11(a)7ii
outpatient (8:43K) |
| ☐ | DMHAS contract or affiliation agreement where DMHAS requires one for your level of care, held as a condition of licensure rather than as a funding document
behavioral health services facilities Before licensure and maintained | N.J.A.C. 8:43K-6.1(c)2
outpatient (8:43K) |

☐	Labor law file: current wage and hour records, written exempt and non-exempt classification determinations, and a documented check that no unresolved State or Federal wage claim or judgment is outstanding all employees; the compliance lead owns the annual check Continuous; verify at least annually	Practice evidencing N.J.A.C. 8:43K-4.11(a)6, which requires compliance and good standing but names no records recommended practice, not law
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STAFFING AND COVERAGE RECORDS

☐	Staffing schedules showing at least one staff member per 24 adult clients during waking hours and per 30 during sleeping hours, with no fewer than two staff present and awake at all times supervisory and direct-care staff at facilities serving adults Every shift	N.J.A.C. 8:111-3.5(f)1 residential (8:111)
☐	Staffing schedules for women-and-children programs: the adult ratios for the women, plus one staff per five children under 2 1/2 and one per 10 children aged 2 1/2 to six during waking hours, and one per 10 and one per 20 respectively during rest or sleeping hours, with mixed age groups computed separately to the nearest tenth and any fraction above a whole number adding a staff member facilities serving women and children Every shift when children are not under the direct care of their mothers	N.J.A.C. 8:111-3.5(f)3 residential (8:111)
☐	Counselor caseload assignment records computed on daily census: one counselor per 8 clients short-term residential, per 12 long-term residential, per 15 extended care, per 20 halfway house, with detox at the non-detox ratio; separately, group counseling caps of 8 or fewer short-term residential, 12 or fewer long-term residential and extended care, and 15 or fewer halfway house, excluding educational and family sessions substance abuse counselors Continuously, recomputed on daily census	N.J.A.C. 8:111-10.1(b) and (b)6 residential (8:111)
☐	Current basic cardiac life support certification cards and shift coverage showing at least one certified person present at all times during hours of operation at least one staff person on premises at all times Continuously during hours of operation	N.J.A.C. 8:111-3.5(h) residential (8:111)
☐	Emergency equipment training records showing at least one trained and qualified person available whenever a client is on site at least one staff person whenever a client is present Continuously whenever a client is on site	N.J.A.C. 8:111-16.3(a)4 residential (8:111)
☐	Credential file for each substitute staff member showing appropriate equivalent qualifications for the position covered (the rule says "substitute staff"; applying it to per diem coverage is the conservative reading) substitute staff, and per diem coverage as a matter of practice Continuous	N.J.A.C. 8:111-3.5(e) residential (8:111)
☐	Nursing coverage schedules by modality, including the on-call roster where an RN is not on site registered professional nurses and nursing personnel Every shift	N.J.A.C. 8:111-8.1(a) residential (8:111)
☐	Personnel schedules maintained to ensure continuity of care within the facility all employees Continuous	N.J.A.C. 8:43K-4.11(a)3 outpatient (8:43K)
☐	Current basic cardiac life support certification for enough staff that at least one certified person is always present during operating hours at least one staff member on site at all times Continuous coverage during all operating hours	N.J.A.C. 8:43K-4.11(a)5 outpatient (8:43K)

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| ☐ | Copy of each patient-transport operator's driver license on file, with the validity or status confirmed at least every six months
every operator who engages in patient transportation At least every six months, per driver | N.J.A.C. 8:43K-4.14(a)4
outpatient (8:43K) |
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LEADERSHIP AND GOVERNANCE

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| ☐ | Administrator's degree, transcripts and verified administrative or supervisory experience in a licensed SUD treatment facility
administrator At hire | N.J.A.C. 8:111-1.7(a) and (b)
residential (8:111) |
| ☐ | Administrator credential verification file covering references, credentials, professional license and criminal background, plus governing authority minutes documenting the appointment
administrator At appointment; supervision ongoing | N.J.A.C. 8:111-4.1(a)6
residential (8:111) |
| ☐ | Board-adopted administrator hiring policy and written advisory that the administrator must disclose disciplinary outcomes to the governing authority
administrator At the time of initial employment and/or during employment if the action occurs after hire | N.J.A.C. 8:111-4.1(a)6i and 6ii
residential (8:111) |
| ☐ | Annual governing authority evaluation of the administrator, including the continuing education and professional development requirements the board sets
administrator At least annually | N.J.A.C. 8:111-4.1(a)7
residential (8:111) |
| ☐ | Written, governing-authority-approved designation of the administrator's alternate, naming the person and the length of service
administrator's alternate Whenever an alternate is used, except a short-term emergency of no more than two weeks | N.J.A.C. 8:111-4.1(a)8; N.J.A.C. 8:111-5.1(c)
residential (8:111) |
| ☐ | Medical director's New Jersey physician license, ASAM/ABAM certification and evidence of good standing in the medical community, or the alternative route of five years in a SUD treatment facility at 20 or more hours per week plus the ASAM/ABAM/AATOD clinicians training course
medical director at hospital-based and non-hospital-based detoxification, short-term residential and long-term residential facilities At appointment and continuously | N.J.A.C. 8:111-1.4(a) and (a)1
residential (8:111) |
| ☐ | Director of substance abuse counseling services qualification file showing which of the seven routes the person meets, including the APCBNJ Certified Clinical Supervisor certificate with its expiration date where the route requires it
director of substance abuse counseling services At appointment; the APCBNJ certificate tracked to expiration | N.J.A.C. 8:111-1.8(a)1 through 7;
N.J.A.C. 8:111-10.2
residential (8:111) |
| ☐ | Director of nursing file: current New Jersey registered professional nurse license, one year in nursing supervision or administration, and one year full-time experience with the management of addictions in a licensed SUD treatment facility, plus the added experience element where the facility provides detoxification
director of nursing services At appointment | N.J.A.C. 8:111-1.5(a)1 and (a)2, and (b)
residential (8:111) |
| ☐ | Pharmacist's current New Jersey State Board of Pharmacy license and evidence of good standing
each pharmacist At engagement and at each renewal | N.J.A.C. 8:111-1.6
residential (8:111) |

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| ☐ Registered dietitian's current registration with the Commission on Dietetic Registration
the engaged dietitian At engagement and at each renewal | N.J.A.C. 8:111-1.10(a)
residential (8:111) |
| ☐ Medical liaison designation by a licensed physician, with the liaison's B.A. and at least one year of experience in a substance abuse treatment facility documented
extended care facilities and halfway houses At designation and continuously | N.J.A.C. 8:111-7.1(a)
residential (8:111) |
| ☐ Program director's master's credential and documented two years of administrative and/or supervisory experience in behavioral health program services, plus on-site coverage records
program director At appointment; on-site presence during operating hours | N.J.A.C. 8:43K-6.3(a)1 and (a)2
outpatient (8:43K) |
| ☐ Administrator's qualifying route on file: an associate degree plus two years of full-time or full-time equivalent administrative experience in a clinical setting, or four years of that experience, with the experience verified
administrator At appointment | N.J.A.C. 8:43K-4.3(b)1 and (b)2
outpatient (8:43K) |
| ☐ Written designation of one or more administrator alternates holding equivalent or comparable credentials, with the administrator or a designee always available when patients are on site
administrator and designated alternates In place at all times | N.J.A.C. 8:43K-4.3(c) and (c)1
outpatient (8:43K) |

REPORTING TO THE STATE

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| ☐ Immediate report of any staff disciplinary action, including termination, resulting from inappropriate staff interaction with clients
all staff Immediately by telephone and fax, with a written report within five business days | N.J.A.C. 8:111-3.8(b)5 and (c)
residential (8:111) |
| ☐ Report of criminal convictions and board disciplinary sanctions imposed on staff, board members or governing authority representatives since the prior licensure application
all staff, board members and governing authority representatives Immediately on occurrence | N.J.A.C. 8:111-3.8(b)6
residential (8:111) |
| ☐ Written documentation in the staff record that a staff member against whom an alleged or suspected crime was committed was advised of the right to report it to local police, including any refusal to notify, with the administrator notified
any staff member against whom a crime is alleged or suspected At the time of the incident | N.J.A.C. 8:111-3.8(b)4i and ii
residential (8:111) |
| ☐ Written notice to the Division of the resignation or termination of the administrator, medical director, director of nursing or director of substance abuse counseling, naming the replacement or acting replacement and their qualifications
administrator, medical director, director of nursing, director of substance abuse counseling services No later than seven days following the resignation or termination | N.J.A.C. 8:111-3.8(d)
residential (8:111) |
| ☐ Board notification on termination, suspension, revocation or reduction of privileges of a licensed or credentialed employee, filed with the separation record
any employee licensed or credentialed in New Jersey On the triggering employment action | N.J.A.C. 8:111-3.10
residential (8:111) |

☐	Written report of the resignation or termination of the administrator and, as applicable, the medical director, with the replacement's name administrator and medical director Within three days	N.J.A.C. 8:43K-4.13(c)1 outpatient (8:43K)
☐	Written report to the Office of any disciplinary action initiated toward a staff member, including termination, resulting from inappropriate staff interaction with a patient all staff On the disciplinary action	N.J.A.C. 8:43K-4.13(c)3 outpatient (8:43K)
☐	Written report of a staff criminal conviction, or a credentialing board's imposition of a disciplinary sanction, arising since the initial license application or the last renewal application staff members, board members and representatives of the governing authority On the conviction or sanction	N.J.A.C. 8:43K-4.13(c)4 outpatient (8:43K)
☐	Documentation in the staff member's personnel record that the staff member was informed of the right to report a crime to law enforcement, plus documentation of any declination or refusal any staff member against whom a crime is alleged, suspected or confirmed At the time notice is given	N.J.A.C. 8:43K-4.13(d) and (d)1 outpatient (8:43K)
☐	Licensure renewal tickler set to the two-year outpatient cycle, shortened where the license carries conditions, a plan of correction or another compliance or enforcement action the administrator or compliance lead Every two years	N.J.A.C. 8:43K-2.5(c) and (c)1 outpatient (8:43K)

VOLUNTEERS AND STUDENT INTERNS

☐	Volunteer file containing the criminal history background check, physical examination and testing, credential verification, photo identification card and staff conduct policies volunteers Before service begins; maintained thereafter on the same cadence as staff	N.J.A.C. 8:111-23.2(c) residential (8:111)
☐	Volunteer photo identification card showing the volunteer's first name, last initial and volunteer status, which is not the staff card format at 3.5(a)3 volunteers Before service begins	N.J.A.C. 8:111-23.2(a)3 residential (8:111)
☐	Volunteer information file built by the method the volunteer policy states: education, credentials, employment experience, driver abstract, licensing-board sanctions, and arrests or convictions volunteers Before service begins	N.J.A.C. 8:111-23.2(a)2 residential (8:111)
☐	Written volunteer policy documenting the minimum age and physical examination requirements for volunteers, and the at-least-one-year continuously substance-free minimum for individuals with a prior history of substance abuse volunteers Applied before acceptance	N.J.A.C. 8:111-23.2(a)1i and 1ii residential (8:111)
☐	Volunteer orientation and continuing in-service records covering emergency procedures, client confidentiality, infection prevention and control, and task-specific policies volunteers Initial orientation plus continuing in-service	N.J.A.C. 8:111-23.1(b) residential (8:111)

☐	Volunteer job description stating that volunteers may not provide direct client care in lieu of staff, may not administer medications and may not restrain clients volunteers Continuously	N.J.A.C. 8:111-23.1(a)1 through 3 residential (8:111)
☐	Governing authority approval of the volunteer program and a named supervising staff member volunteers and their supervising staff Board approval on establishment and material change; supervision continuous	N.J.A.C. 8:111-23.2(b) and (d) residential (8:111)
☐	Credentialing and supervision file for a volunteer functioning as a counselor-intern, held to the same intern rules as paid interns volunteers functioning as counselor-interns Continuously	N.J.A.C. 8:111-23.1(e) residential (8:111)
☐	Contract arrangements with outside agencies disclosed as part of the facility's staffing patterns, criteria and credentials at licensure contracted staffing arrangements At licensure application and renewal	N.J.A.C. 8:111-2.3(i)3 residential (8:111)
CITATION HYGIENE		
☐	Repoint every policy, form header, job description and audit tool that cites N.J.A.C. 10:161A to the same section number in N.J.A.C. 8:111 the administrator or compliance lead One-time correction; verify at each policy manual review	Notice of Readoption, Readoption with Technical Changes and Recodification: N.J.A.C. 10:161A as 8:111 residential (8:111)
☐	Repoint every internal policy that cites N.J.A.C. 10:161B to N.J.A.C. 8:43K, checking substance rather than assuming a straight renumbering the administrator or compliance lead One-time correction following the April 6, 2026 repeal	N.J.A.C. 8:43K Notice of Adoption cover block, "Adopted Repeals: N.J.A.C. 10:161B" outpatient (8:43K)
☐	Confirm in writing with the Division of Certificate of Need and Licensing whether your outpatient license sits under N.J.A.C. 8:43A or 8:43K, because the Department did not adopt the proposed repeal of 8:43A-20, 21, 22, 23 and 26 and preserved 8:43A as an alternative the administrator or compliance lead Before your next renewal filing	N.J.A.C. 8:43K Notice of Adoption, Filed line; Summary of Agency-Initiated Changes item 8 outpatient (8:43K)
☐	Reprint every posted complaint sign and client notice. 8:111-17.3 requires a named State office with address and telephone number; confirm the current office and address with the Division of Certificate of Need and Licensing before printing, because the recodification changed the agency and this guide does not state the current address the administrator or compliance lead One-time correction; verify at each policy manual review	N.J.A.C. 8:111-17.3; Notice of Readoption, technical changes items 1 through 4 residential (8:111)
☐	Note on the rule-watch calendar that N.J.A.C. 8:111 expires November 10, 2028 and N.J.A.C. 8:43K expires April 6, 2033, and that the April 13, 2027 date in the same notice belongs to N.J.A.C. 8:43E the administrator or compliance lead Standing	N.J.A.C. 8:43K Notice of Adoption, Expiration Dates block; Notice of Readoption, New Expiration Date both settings
☐	Add proposed N.J.A.C. 8:43K-2.11, 7.8, 9.1, 9.2, 9.4, 9.5 and 9.6 to a do-not-cite list; the Filed line records all seven as not adopted, and 2.11 in particular means no transitional or interim license is issued the administrator or compliance lead Standing	N.J.A.C. 8:43K Notice of Adoption, Filed line; Summary of Agency-Initiated Changes item 6; Response to Comment 71 outpatient (8:43K)

- ☐ **Request the current version of the Tuberculosis Surveillance Procedures for Substance Abuse Treatment Facilities, incorporated by reference at 8:111 Appendix A, from the Division and keep a dated copy with the tuberculosis policy**

the administrator or compliance lead | Now, and whenever the tuberculosis policy is reviewed

N.J.A.C. 8:111-3.7(d) and 8:111 Appendix A residential (8:111)

RETENTION

- ☐ **Build one personnel-record retention schedule from outside authorities, since neither licensure chapter sets a personnel-file retention period**

the administrator or compliance lead | Standing

No retention period stated at N.J.A.C. 8:111-3.5 or N.J.A.C. 8:43K-4.11; 8:111-19.6 sets periods for clinical records only recommended practice, not law

- ☐ **Keep a per-employee due-date view of every expiring item: license, certification, annual in-service, annual Mantoux, annual evaluation, semi-annual intern review, basic cardiac life support card and, for outpatient drivers, the six-month license check**

all employees | Standing

Practice supporting the dated duties at N.J.A.C. 8:111-3.5, 3.7 and 1.9 and N.J.A.C. 8:43K-4.11, 4.12 and 4.14 recommended practice, not law

Track every one of these dates in one place

"Corvara HR was built for exactly this problem: per-requirement tracking of licenses, credentials, screenings, trainings and signed policies, each with its own due date and reminder ladder, so a semi-annual intern review, a six-month driver license check or a