**Section 357.130 Required Documentation**

a) Purchase of service providers shall maintain financial records for 5 years from the expiration or termination of each contract. The Department reserves the right to inspect all purchase of service provider records that relate to services for which the Department provides funding. These records shall be kept in accordance with generally accepted accounting principles. The records must be detailed and accurate enough to document the reasons for a decision, the ways monies were spent, and the beneficiaries of income, goods, and services. Such required recordkeeping shall include but not be limited to:

1) establishment of financial recordkeeping which includes:

A) Cash Receipts Journal

B) Cash Disbursements Journal

C) General Journal

D) General Ledger

E) All cash disbursements and/or expenses, fully supported by documentation, such as invoices, time sheets, time studies, or approved cost allocation plans

F) Revenue and expenses by program

2) establishment of programmatic compliance recordkeeping that includes:

A) individual client files on each client applying for and receiving service;

B) schedule of service provided to each client that includes the date and time service was provided and the agency's employee providing service;

b) Purchase of service providers shall maintain individual client records for clients for whom services were purchased by the Department 5 years from the date services are terminated. Individual client records shall contain:

1) the original referral from the Department or in the case of funded day care facilities the documentation of need for services if it was the provider's responsibility to gather it or if the Department submitted it to the provider;

2) documentation that supports Title IV-E and XIX (42 CFR 431) eligibility determinations, redeterminations, court orders, and court findings regarding reasonable effort (i.e., effort to prevent placement or that effort was not possible) as appropriate, if it was the provider's responsibility to gather it or if the Department submitted it to the provider;

3) documentation that supports the need for child protective services if it was the provider's responsibility to gather it or if the Department submitted it to the provider;

4) documentation of the service planning goals established within required timeframes, when the case was opened and the changes made in the service planning goals as the client's needs changed;

5) documentation of the child and family's progress or lack of progress toward achieving the service planning goals including the social service worker's or other responsible employee's reports and official records regarding the child and family's cooperation in meeting service planning goals;

6) basic client social history data and updates, as necessary, if it was the provider's responsibility to gather it or if the Department submitted it to the provider; and

7) any other documentation specifically required in the purchase of service contract.

c) Purchase of service providers shall maintain personnel records of all employees who provide direct or supportive services to Department clients. Personnel records shall be maintained on each employee for 5 years after the termination of employment. The following information shall be maintained:

1) proof of educational background including high school or college transcripts or a copy of the diploma; or, if the employee has attended a training program, documentation of the employee's completion of the program;

2) detailed summary of the employee's work experience;

3) at a minimum, yearly employee performance evaluations;

4) payroll data, including salary, accrued vacation and sick days, records of when vacation and sick days were taken, and travel expense records; and

5) documentation that a background check was completed for each employee in accordance with 89 Ill. Adm. Code 385 (Background Checks).

(Source: Amended at 31 Ill. Reg. 7616, effective May 31, 2007)