**Section 404.47 Records and Reports**

a) The institution shall maintain records on each child receiving services and all agency personnel, and in addition, shall submit certain reports as prescribed by the Department. These records and reports shall be confidential. Authorized representatives of the Department shall have access to the records and reports. All persons with access to the records and reports shall respect their confidential nature.

b) The institution shall submit to the Department of Children and Family Services such periodic and special reports as may be required.

c) The institution shall state in the child's record and shall report to the child's parent, guardian and the Department licensing representative any unusual incidents or serious occurrences involving children. These incidents and occurrences shall be reported immediately by telephone, fax or other electronic means to the Department licensing representative and confirmed in writing within 48 hours after the occurrence. These incidents and occurrences (see 89 Ill. Adm. Code 331 (Unusual Incidents)) include serious accident or injury requiring extensive medical care or hospitalization; death; arrest; alleged abuse or neglect; major fire or other emergency situations; or any serious incident which results in legal action by or against the institution, which affects any child or children, personnel, or conduct of the institution.

d) A permanent record and master file card shall be maintained for every child under care which shall include:

1) name, birthdate, sex, race, religion and legal status of the child;

2) names, addresses and telephone numbers of parents, significant relatives, guardian, referring agency and social worker;

3) dates of admission and termination of care;

4) information pertaining to the circumstances and reasons for termination of care;

5) names, relationship, address and telephone number of the persons with whom the child resides following termination of care;

6) summaries of evaluation conferences; and

7) the child's health, including current health evaluations, medical and dental reports, psychological and psychiatric examination reports, illnesses, treatment and persons providing treatment, charting of medication including type, dosage, time and signature of persons dispensing the medication, any history of alcoholism or drug addiction.

e) In addition to the permanent record, the institution shall maintain active records containing the admission study and ongoing data including important documents pertaining to birth, family, legal status, school, religious affiliation, health findings and treatment and consents and other documents as appropriate.

f) Children's records shall also include the child's adjustment, functioning and progress in:

1) group interaction; staff and peer relationships;

2) school or work;

3) special skills, interests and activities;

4) the community;

5) relationship with his family and significant changes in the family;

6) relationship and contacts with guardian, and other agencies;

7) treatment services provided the child;

8) reducing behavioral problems to enable him to live in a less restrictive setting; and

9) interaction with his family during visitation.

g) Records shall be maintained for all employees and, in addition, for each volunteer who has responsibility for the direct care or supervision of children. These records shall contain all pertinent information relative to character, suitability, qualifications for the position, health, 3 pre-employment references, history of employment for the last 5 years, and at a minimum, annual evaluations of performance. Personnel records shall include the date of employment and the date and reasons for separation. These records shall be available for Department review.

h) The institution shall maintain and submit reports on staff and volunteers to the Department on forms prescribed by the Department.

1) An individual report on each new employee (including owner, operator, or director) shall be filed with the Department; a copy of this report shall be kept at the facility.

2) For all new hires, a complete authorization for background checks, as required by 89 Ill. Adm. Code 385 (Background Checks) must be submitted to the Department Central Office of Licensing within 2 business days after beginning employment.

3) Changes of the administrator shall be forwarded to the licensing representative of the Department, within 2 business days after the change. If the 2 day notification is submitted electronically or by phone, written confirmation, with documentation of credentials as required by Section 404.11, shall be submitted to the Department licensing representative within 10 business days. All other staff changes should be reported monthly to the licensing representative.

4) Copies of documentation of medical information and verification of educational achievement.

i) The institution shall maintain a separate file of the results of the background check required by Section 404.24 and 89 Ill. Adm. 385 (Background Checks).

j) The institution shall maintain in its official records the major decisions and policies of the governing body or board.

k) Financial records of operations including a copy of the annual independent certified audit shall be maintained as part of the permanent records of the institution.

l) The institution shall provide safe, locked places for maintenance, safe storage and preservation of confidential and business records.

(Source: Amended at 29 Ill. Reg. 9976, effective July 1, 2005)