APPENDIX J

Suggested Documents to Maintain (Primarily for EOR Model)

Topics	Document(s) to Maintain	Provided By
Applicants	Information gathered on applicants who are not hired	Employer of Record (EOR)
Back-up Staffing Incident Reports	Back-up Staffing Incident Reports	Community Navigator
Criminal background check request results	Criminal background check results are filed separately and not included in employee personnel files	Financial Support Services Agency (FSSA)
NCDHHS Restrictive Intervention Details Report	North Carolina Department of Health and Human Services (NCDHHS) Restrictive Intervention Details Report, blank copies; completed reports are placed in file folder	Community Navigator
Individual clinical documentation	Completed documentation forms and other clinical information related to individual service provision	EOR
FSSA Correspondence	Information sent to EOR by FSSA	FSSA
Financial Support Services Agreement and purchase request forms	Agreement and forms provided by FSSA	FSSA
EOR Monthly Revenues and Expenditures Reports	Monthly Revenues and Expenditures (R&E) Report	FSSA
Incident reports	Blank incident report forms, completed copies of incident reports, back-up staffing incident reports	Community Navigator; forms completed by EOR
Completed time and billing forms	Copies of time and billing forms	EOR
Workers' compensation insurance policy	Copies of policies	Facilitated by FSSA
Employee personnel files	Employee applications, agreements, job descriptions, duties, training certifications, evaluations	EOR
Confidentiality statement	Confidentiality statement	Community Navigator

Topics	Document(s) to Maintain	Provided By
Criminal background check request forms	Criminal background request/release form	FSSA
Criminal conviction not on Convictions Baring Employment list	FSS background check acknowledgement form (if applicable) for applicant	FSSA/ EOR
Documentation forms	Documentation forms	Community Navigator
Employee Support Agreement	Employee Support Agreement	Community Navigator
Employment application	Employment application	Community Navigator
Evaluations	Evaluations	Community Navigator
Hepatitis B notification	Notifications	Community Navigator
Job description	Job description developed by EOR	EOR
Reference release checks	Reference release checks	Community Navigator
Supervision log	Supervision log	Community Navigator
Time and billing forms	Blank timesheets and billing forms (may submit electronically per Financial Support process)	FSSA
Training documentation	Obtained by EOR	EOR