

Iowa Department of Human Services

ANNUAL EVALUATION AND RECOMMENDATION FOR FOSTER GROUP CARE LICENSE

Agency Name	Phone #
Agency Address	
Facility Name	Phone #
Facility Address	

<u>PHYSICAL STANDARDS</u>		Yes	No
114.3(1)	Meets local building and zoning ordinance's grounds	_____	_____
(1)a	75 sq. ft. play area per child	_____	_____
b	Play area identified and free from hazards	_____	_____
c	Rubbish & trash separated from play area	_____	_____
c	Adequate drainage	_____	_____
114.3(2)	<u>Buildings</u>		
(2)a	<u>Living areas</u>		
(1)	Screened windows for ventilation	_____	_____
(2)	Clean, sanitary, free from vermin, rodents, dampness, gases and odors	_____	_____
(3)	Safe repair	_____	_____
(4)	Adequate light	_____	_____
(5)	Heating & storage areas separate from sleeping and play areas	_____	_____
(6)	Walls and ceiling asbestos-free	_____	_____
b	<u>Sleeping rooms</u>		
(1)	60 sq. ft. multiple occupancy	_____	_____
(2)	80 sq. ft. single occupancy	_____	_____
(3)	No more than 4 children per room	_____	_____
(4)	Finished construction	_____	_____
c	<u>Above ground rooms</u>		
(1)	7'6" ceilings	_____	_____
(2)	Window area 8% of floor area, unless there is adequate mechanical ventilation	_____	_____
d	<u>Below ground rooms</u>		
(1)	6'8" ceilings	_____	_____
(2)	Window area 2% of floor area, unless there is adequate mechanical ventilation	_____	_____
(3)	Floor and walls have impervious finish, are free from ground water leakage	_____	_____

		Yes	No
114.3(3)	<u>Bedrooms</u>		
a	Solidly constructed bed	_____	_____
b	Sheets, pillow cases, blankets clean and in good repair	_____	_____
c	Adequate storage space	_____	_____
d	No child over 5 shares bedroom with opposite sex	_____	_____
114.3(4)	<u>Heating</u>		
a	65°F day and 55°F night minimum temperature	_____	_____
b	Space heaters, etc. vented to outside	_____	_____
c	No rubber or plastic tubing for gas heater lines	_____	_____
d	Heating or cooling plant checked at least annually; in safe condition at all times	_____	_____
<u>SANITATION, WATER AND WASTE DISPOSAL</u>			
114.4(1)	<u>Bathrooms</u>		
a	Adequate hot and cold running water	_____	_____
b	Properly equipped	_____	_____
c	Toilets, bath, showers provide privacy	_____	_____
d	Shower or tub for each 10 children	_____	_____
e	Showers and tubs have slip-proof surfaces	_____	_____
f	1 toilet and 1 lavatory for each 6 children	_____	_____
g	Toilet facilities vented to remove odors and moisture	_____	_____
h	Toilet facilities completely separated from adjacent food preparation areas by solid door	_____	_____
i	Toilet facilities kept clean	_____	_____
j	Partition if more than one stool	_____	_____
k	Toilets, wash basins, other plumbing and sanitary facilities in good operating condition	_____	_____
114.4(2)	<u>Food Preparation and Storage</u>		
a	No cracked dishes or utensils	_____	_____
b	45°F storage area for perishable foods	_____	_____
c	0°F storage area for frozen foods	_____	_____
d	Hot food maintained at 140°F or above	_____	_____
e	Cold food maintained 45°F or below	_____	_____
g	No food stored on floor	_____	_____
h	Floors & walls of smooth construction and good repair	_____	_____
114.4(3)	<u>Personnel Handling Food</u>		
a	Free of infection	_____	_____
b	Clean and neatly groomed	_____	_____
c	Wearing clean clothes	_____	_____
d	No tobacco use during preparation or serving	_____	_____
114.4(4)	<u>Dishwashing Facilities</u>		
b	Commercial dishwasher if over 15 people	_____	_____
	If commercial dishwasher:		
(1)	Chemicals added for sanitation are automatically added	_____	_____
(2)	Single temperature machine at least 165°F	_____	_____
(2)	150°F washwater and 180°F rinse	_____	_____
(3)	Cleaned at least daily and as needed	_____	_____
c	Dish table space available to separate soiled from clean dishes for a meal	_____	_____

		Yes	No
114.4(4)d	All hand-held food equipment cleaned and sanitized each meal	_____	_____
d	Dispensers, urns, etc. cleaned and sanitized daily	_____	_____
114.4(5)	<u>Food Not Prepared at Site of Serving</u>		
a	Preparation site meets standards for on-site preparation	_____	_____
b	Food transported in covered containers, completely wrapped to avoid contamination	_____	_____
c	During transportation and until serving 145°F for hot foods and 45°F for cold food	_____	_____
114.4(6)	<u>Milk Supply</u>		
	If fluid milk, it is pasteurized Grade "A"	_____	_____
114.4(8)	<u>Water Supply</u>		
	Public water supply or private supply annually checked for deficiencies (including NO <sub>3</sub> content); multiple sources analyzed	_____	_____
	OR		
	Written statement regarding how potable water will be obtained, transported and stored	_____	_____
114.4(9)	<u>Heating and Storage of Hot Water</u>		
	Pressure and temperature relief valve	_____	_____
114.4(10)	<u>Sewage Treatment</u>		
	Public system (if available) or private system designed, constructed and maintained so that no unsanitary or nuisance conditions exist	_____	_____
114.4(11)	<u>Garbage Storage and Disposal</u>		
a	Sufficient # garbage & rubbish containers	_____	_____
b	Fly-tight, leak-proof, rodent-proof and maintained in sanitary condition	_____	_____
	<u>SAFETY</u>		
114.5(1)	Sufficient measures taken to ensure safety of children	_____	_____
a	Stairways, halls and aisles in good state of repair, adequately lighted, and kept free of obstructions; Handrail on stairways	_____	_____
b	Radiators, registers and steam and hot water pipes have protective coverings	_____	_____
c	Electrical outlets and switches have wall plates	_____	_____
d	Fuse boxes are inaccessible to children	_____	_____
e	Written procedures exist for the handling and storage of hazardous materials	_____	_____
f	Any firearms and ammunition are under lock and key and inaccessible to children	_____	_____
	Have written policies regarding purpose, use and storage	_____	_____
g	All swimming pools:		
	Conform to state and local health and safety regulations	_____	_____
	Have adult supervisors when children use the pool	_____	_____

		Yes	No
114.5(1)h	Written policies regarding any fishing grounds, lakes or other bodies of water on or near institution's grounds and accessible to children	_____	_____
114.5(2)	<u>Emergency evacuation</u> All units have posted plan for evacuation of children in case of fire or disaster Practice drills are held at least every 6 months	_____	_____
	<u>ORGANIZATION AND ADMINISTRATION</u>		
114.6	Any change in name of facility, address, executive or capacity has been reported to licensing manager within 30 days of change, capacity change requires prior approval	_____	_____
114.6(1)	A table of organization identifies the lines of responsibility and authority for policy making	_____	_____
114.6(2)	The purpose and function of the organization are clearly defined in writing and include description of children to be accepted and services to be offered	_____	_____
114.6(3)a	The organization has a governing body which is accountable for and has authority over the policies and activities of organization	_____	_____
b	Department has been provided names, addresses, phone numbers of governing body	_____	_____
c	Organization has adequate insurance covering fire and liability	_____	_____
d	Organizations based outside of Iowa have designated authorized representatives with decision making abilities within Iowa	_____	_____
114.6(4)	The governing body has selected and appointed an executive director with full administrative responsibility	_____	_____
114.6(5)	Organization has sufficient financial resources, predictable income, or both for three months of operation	_____	_____
	<u>PERSONNEL POLICIES</u>		
114.7(1)	Current written personnel policies and practices of the specific facility accessible to staff include:	_____	_____
a	Affirmative action and equal employment	_____	_____
b	Job descriptions	_____	_____
c	Provisions for vacation, holidays and sick leave	_____	_____
d	Effective, time-limited grievance procedures	_____	_____
e	Authorized procedures for suspension and dismissal for just cause	_____	_____
f	Written procedures for annual evaluations	_____	_____

- 114.7(2) Staff with direct contact with clients or who are involved in the preparation of food shall:  
Be medically free of serious infectious communicable diseases and able to perform job duties  
Obtain a statement by a physician at the time of employment and every 3 years verifying the above conditions \_\_\_\_ \_\_\_\_
  
- 114.7(3) The following information is maintained in a personnel record for each employee:
  - a Name, address and social security number \_\_\_\_ \_\_\_\_
  - b Job application & justification of initial and current employment \_\_\_\_ \_\_\_\_
  - c Certified copy of transcript, diploma or written statement for educational requirements \_\_\_\_ \_\_\_\_
  - d Written verification of any required licensure \_\_\_\_ \_\_\_\_
  - e At least two written or documented oral references and with documentation of further investigation if negative references involved \_\_\_\_ \_\_\_\_
  - f Documentation of criminal records check if hired after 11/1/81 \_\_\_\_ \_\_\_\_
  - g A written, signed and dated statement furnished by a new applicant which discloses any verified reports of child abuse, neglect or sexual abuse that may exist (If hired after 11/1/81) \_\_\_\_ \_\_\_\_
  - h Documentation, prior to permanently hiring, of Child Abuse Registry check (If hired after 11/1/81) \_\_\_\_ \_\_\_\_
  - i Current information relative to work performance evaluation \_\_\_\_ \_\_\_\_
  - j Records of pre-employment health exam or health report plus written record of health services rendered to the employee to ensure employee able to do the job \_\_\_\_ \_\_\_\_
  - k Information on written reprimands or commendations \_\_\_\_ \_\_\_\_
  - l Information on position in agency and date of employment \_\_\_\_ \_\_\_\_
  
- 112.10(5)a Documentation of the content and amount of child abuse identification and reporting training. \_\_\_\_ \_\_\_\_

STAFF QUALIFICATIONS

Community and Comprehensive Residential Facilities

- 114.8(1)a \*Caseworkers have a BA or BS degree in social work, psychology or a related behavioral science, plus two years of supervised experience; or a BSW with one year of supervised experience; or six years of supervised child welfare experience in residential care; or a combination of advanced education in the behavioral sciences and experience equal to six years. \_\_\_\_ \_\_\_\_
  
- b \*Casework supervisors have either an MSW with one year of supervised experience beyond the master's degree or a master's degree in psychology or counseling with two years of experience beyond the master's degree, one of which was under supervision. The experience is in the area of child welfare services. \_\_\_\_ \_\_\_\_

114.8(1)c \*Child care workers are at least 18 years of age  
 \*Any licensed facility having persons in employment in positions for which rules effective up to 11/1/81 required lower standards, shall be considered to meet current requirements. All new staff and promoted staff must meet the new requirements (114.8(1)d)

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Community and Comprehensive Residential Facilities for Mentally Retarded Children only

116.3(1) Direct Service Providers  
 Direct service providers are paraprofessionals or professionals meeting all of the following criteria:

a Paraprofessionals

- (1) Are at least eighteen years of age
- (2) Have graduated from high school or earned a high school equivalency degree
- (3) Have completed the prescribed agency training program
- (4) Are appropriate to the specific job description of the employing agency.

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b Professionals in the direct-service provider category:

- (1) Are at least eighteen years of age
- (2) Have a BA degree in a related field; or an AA degree in a related field and two years experience specific to the job responsibilities; or two years of higher education in a related field and two years experience specific to job responsibilities; or four years experience in programming specific to job responsibilities.
- (3) Have completed the prescribed agency training program
- (4) Are appropriate to the specific job description of the employing agency.

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116.3(2) Indirect-service providers meet one of the following education and experience criteria:

- a. Have an MSW or an MA degree in a related field and one year of experience specific to job responsibilities
- b. Have a BA degree in a related field and two years experience specific to job responsibilities
- c. Have an AA degree in a related field and four years experience specific to job responsibilities
- d. Have five years of specific treatment program experience relating to the job responsibilities.

\_\_\_\_\_

NUMBER OF STAFF

All Facilities

114.8(2)a There is at least one readily accessible staff person on duty for each currently occupied living unit.  
 b Each facility has the services of a casework supervisor and a caseworker adequate to fulfill the staff duties. (These are indirect service providers for MR)

\_\_\_\_\_  
 \_\_\_\_\_

- 114.8(2)c There is an on-call system operational twenty-four hours a day to provide supervisory consultation. There is a written plan documenting this system.
- d There is at least a one-to-eight staff-to-client ratio during prime programming time. .  
During prime programming time staff-to-child ratio is \_\_\_\_\_ to \_\_\_\_\_. Prime programming time is \_\_\_\_\_

Comprehensive Residential Facilities

- 115.4(1)a There is at least a one-to-five staff-to-child ratio during prime programming time.
- b There are a minimum of three checks between the hours of 12:00 midnight and 6:00 a.m. These checks are logged. Policies for nighttime checks are in writing.

116.4 Community and Comprehensive Residential Facilities for Mentally Retarded Children Only

There is at least a one to four staff to client ratio during prime programming times.

STAFF DUTIES

All Facilities

- 114.8(3)a The casework supervisor (or indirect service provider) provides in-person case-specific supervision at the site of the facility for one hour per month per case-worker and is available for consultation in case of emergency.
- b Caseworkers (or indirect service providers):  
(1) Develop a care plan for each child containing goals and objectives with projected dates of accomplishment and involve the client, referral agency, and family whenever possible.  
(2) Develop a specific plan relating to the involvement of the child's parents, unless documented by the case-worker that their involvement would be counterproductive.
- c The facility defines in writing who is responsible for the following staff duties:  
(1) Documenting case reassessments quarterly, involving the same personnel as previously involved in care plan development.  
(2) Documenting the implementation of the care plan  
(3) Providing for scheduled in-person conferences with each child  
(4) Providing a supportive atmosphere for the child  
(5) Providing for co-ordination of internal and external activities of the child  
(6) Providing for liaison with the referring agency

	Yes	No
(7) Providing leadership and guidance to the children	_____	_____
(8) Providing a mechanism for dealing with day-to-day program operations	_____	_____
(9) Being responsible for overseeing and maintaining general health and well-being of children	_____	_____
(10) Supervising the living activities of the children.	_____	_____
(11) Monitoring and recording behavior on a daily basis	_____	_____
(12) Knowing where the children are supposed to be at all times.	_____	_____

Comprehensive Residential Facilities and Comprehensive Residential Facilities for Mentally Retarded Children Only

115.4(2)a	A casework supervisor (or indirect service provider) provides:		
	(1) One hour per week per caseworker of in-person case-specific supervision.	_____	_____
	(2) On-site supervision at least monthly.	_____	_____
	(3) At least one additional hour per week per caseworker in other related duties including case intake discussions, staffing of cases, evaluations of caseworkers, teaching and administrative duties	_____	_____
b	Casework (or indirect service provider) staff:		
	(1) provides at least weekly group or individually scheduled in-person conferences with each child for whom the caseworker is responsible. More frequent in-person contact is provided if required in the care plan.	_____	_____
	(2) Provides a supportive and therapeutic atmosphere for the child.	_____	_____
	(3) Selects and employs appropriate treatment approaches to different types of children.	_____	_____

STAFF DEVELOPMENT

Staff development is appropriate to the size and nature of the facility. There is a written format for staff training that includes:

114.8(4)a	Orientation for all new employees to acquaint them with the philosophy, organization, program practices, and goals of the facility.	_____	_____
b	Training of new employees in areas related to their job assignments.	_____	_____
c	Provisions for all staff members to improve their competency. This may be accomplished through such means as attending staff meetings; attending seminars, conferences, workshops and institutes; visiting other facilities; access to consultants; access to current literature, including books, monographs, and journals relevant to the facility's services	_____	_____
d	A person designated responsible for staff development and training, who completes a written staff development plan which is updated annually	_____	_____



112.10(3) The agency provides the required training in child abuse identification and reporting \_\_\_\_\_

INTAKE PROCEDURES

114.9(1) Agency has written intake policies \_\_\_\_\_

114.9(2) Children are accepted for care only after an assessment of the child's need for service indicates the care offered by the facility meets these needs \_\_\_\_\_

114.9(3) The agency has the following information prior to making an acceptance decision: current social history, copy of child's physical assessment, any psychological testing done within a year of referral, current educational data, any psychiatric reports done within a year of referral, referring agency's case plan, and documentation of legal status of child \_\_\_\_\_

114.9(4)a The following information is secured upon admission of the child to the facility: placement agreement (within 48 hours) and emergency medical authorization \_\_\_\_\_

b The following items are provided to the child, the child's family or guardian and the referring worker at the time of placement: a description of services provided; written policies regarding children's rights; and written policies regarding religion, work or vocational experiences, family involvement, grievance procedures and discipline \_\_\_\_\_

114.9(5) At time of intake, individual needs are identified by staff based on written and verbal information from referral sources, observable behavior at intake and initial interview with youth or family, school contacts, physical examinations and other relevant material. This assessment is the basis for the development of the child's care plan. \_\_\_\_\_

114.9(6) An educational assessment is developed by the staff and referring worker. Parents or guardian, area education agencies and public school are involved as appropriate \_\_\_\_\_

114.9(7) The agency has designated a person or persons to have authority to do intake \_\_\_\_\_

114.9(8) An intake sheet is completed on each child \_\_\_\_\_

PROGRAM SERVICES

114.10(1)a	When evaluation services are provided by staff of the facility, the services are clearly defined so that referral sources are clear about the components of the service.	_____	_____
b	Evaluations are based on behavioral observations, social history, and educational assessments, and shall include an assessment of vocational needs, recreational skills, and physical therapy, speech, language, vision and hearing needs to assist in planning and placement for the child. The need for providing all of these evaluative services is determined on the basis of the specific child being referred.	_____	_____
114.10(2)	There is a written care plan for each child. The care plan is based on the individual needs determined through the assessment of the child, provides for consultation with the family, and includes the following: identification of special needs, description of planned services which indicates the staff person who is responsible for each service, and indication of where the services are to occur and the frequency of activities or services.	_____	_____
114.10(3)	The facility provides a daily routine for the children in residence which is directed toward developing healthful habits in eating, sleeping, exercising, personal care, hygiene, and grooming according to the needs of the individual child and the living group.	_____	_____
114.10(4)	The facility maintains a daily log. The log is used to note general progress in regard to the care plan and any problem areas or unusual behavior for each child.	_____	_____
114.10(5)	An educational program is available for each child in accordance with abilities and needs. The educational and teaching standards established by the state Department of Public Instruction shall be met when an educational program is provided within an institution.	_____	_____
114.10(6)a	There are twenty-four-hour emergency and routine medical and dental services available and provided when prescribed. Provisions for these services are documented.	_____	_____
b	The facility arranges a physical assessment including vision and hearing tests for each child in care within one week of admission, unless the child has received an examination within the past year and the results of this examination are available to the facility.	_____	_____

		Yes	No
c	The facility does not require medical treatment when the parents or guardian of the child or the child objects to treatment on the grounds that is conflicts with the tenets and practices of a recognized church or religious denomination of which the parents, guardian or child is an adherent. In potentially life-threatening situations, the facility refers the child's care to medical and legal authorities.	_____	_____
d	The facility has written procedures for staff members to follow in case of medical emergency.	_____	_____
e	The facility schedules a dental examination for each child within fourteen days of admission, unless the child has been examined within six months prior to admission and the facility has the results of that examination.	_____	_____
114.10(7)	The facility provides properly planned, nutritious and inviting food and takes into consideration the special food needs and tastes of children.	_____	_____
114.10(8)	The facility provides the opportunity for recreation and leisure activities for children in care. Opportunities are based on both the individual interests and needs of the children in care and the composition of the living group. The facility uses the recreational resources of the community whenever appropriate.	_____	_____
114.10(9)	The facility provides or obtains casework services in accordance with the needs of each child's individual care plan. Casework services include crisis intervention, daily living skills, interpersonal relationships, future planning and preparation for placement as required by the child.	_____	_____
114.10(10)a	When the diagnostic evaluation of a child indicates need for care by a psychiatrist or under psychiatric guidance, the specialized treatment or consultation is provided or arranged by the facility.	_____	_____
b	Psychologists whose services are used in behalf of children are licensed as psychologists in Iowa or certified by the Department of Public Instruction.	_____	_____
114.10(11)	If the facility uses volunteers to work directly with a particular child or group of children, there is a written plan for using volunteers. This plan is given to all volunteers. The plan indicates that all volunteers are directly supervised by a paid staff member; oriented and trained in the philosophy of the facility, the needs of children in care, and methods of meeting those needs; and subject to character and reference checks required of employment applicants.	_____	_____

Comprehensive Residential Facilities and Comprehensive Residential Facilities for Mentally Retarded Children Only

- 115.5(1) Recreation program.
- a The facility provides adequately designed and maintained indoor and outdoor activity areas, equipment and equipment storage facilities appropriate for the age group it serves. There is a variety of activity areas and equipment so that all children can be active participants in different types of individual and group sports and other motor activities. \_\_\_\_\_
  - b Games, toys, equipment, and arts and crafts material are selected according to the age and number of children with consideration to the needs of the children to engage in active and quiet play. \_\_\_\_\_
  - c The facility works with community recreational resources, so these resources may provide opportunities for children to participate in community recreational activities \_\_\_\_\_

115.5(2) The facility has the internal capacity to provide individual, family and group counseling, including, but not limited to, casework dealing with crisis intervention, daily living skills, peer relationships, future planning and preparation for discharge.

Community and Comprehensive Residential Facilities for Mentally Retarded only

116.5 The facility has defined in writing who is responsible for overseeing personal hygiene of children and maintaining general orderliness in the facility \_\_\_\_\_

CASE FILES

- 114.11(1) Facility maintains a case file on each child \_\_\_\_\_  
 Case files include the following \_\_\_\_\_
- (2) Face sheet \_\_\_\_\_
  - (3) Referral packet information \_\_\_\_\_
  - (4) Legal documents (court orders, placement agreements, etc.) \_\_\_\_\_
  - (5) Psychiatric and psychological reports (if available) \_\_\_\_\_
  - (6) Correspondence \_\_\_\_\_
  - (7) Medical and surgical information and authorizations \_\_\_\_\_
  - (8) School information \_\_\_\_\_
  - (9) Care plan \_\_\_\_\_
  - (10) Dictation (notes, contacts with parents, workers, etc., staff counseling and behavior notation, information on release of child, including name, address and relationship of person or agency to whom child was released) \_\_\_\_\_

DRUG USE AND CONTROL  
General

For Information of Pharmacy Board

620-8.16(1)	Approved medication administration course completed by staff administering controlled substances.	_____	_____
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114.12	Agency has written policies and procedures governing methods of handling prescription and over-the-counter drugs.	_____	_____
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	No prescription or narcotic drugs are allowed without authorization of licensed physician.	_____	_____
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114.12(1)	Only drugs approved by Federal Food and Drug Administration for use in U.S. are used. No experimental drugs are used.	_____	_____
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114.12(2)	Such drugs are prescribed by a physician licensed to practice in the state in which the physician is currently practicing and are prescribed for use in accordance with the dosage ranges and indication approved by Federal Food and Drug Administration.	_____	_____
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114.12(3)	Drugs provided to residents are dispensed from a licensed pharmacy or by a licensed physician.	_____	_____
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114.12(11)	Prescriptions are refilled only with the permission of the attending physician	_____	_____
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114.12(13)	No prescribed medications are administered to a resident without the order of a licensed physician	_____	_____
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114.12(15)	Dilution or reconstitution of drugs and their labeling is done only by a licensed pharmacist	_____	_____
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Storage of Drugs

114.12(4)	All drugs are maintained in a locked cabinet	_____	_____
	Controlled substances are maintained in a locked box within the locked cabinet	_____	_____
	The cabinet key is always in the possession of a staff person	_____	_____

	Bathrooms are not used for drug storage	_____	_____
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	Exceptions to these policies for self-administration of drugs are documented by a physician	_____	_____
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114.12(5)	All medications requiring refrigeration are kept in a locked box in the refrigerator and separated from food and other items	_____	_____
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		Yes	No
114.12(6)	All potent poisonous or caustic drugs are plainly labeled, stored separately from other drugs in a specific well-illuminated cabinet, closet or storeroom and only accessible to authorized persons	_____	_____
114.12(7)	All prescribed medications are clearly labeled indicating the child's full name, physician's name, prescription number, name and strength of the drug, dosage, directions for use and date of issuance. Medications are packaged and labeled according to state and federal guidelines	_____	_____
114.12(8)	Medication containers having soiled, damaged, illegible or makeshift labels are returned to the issuing pharmacist	_____	_____

Administration of Drugs

114.12(12)	No prescription medication prescribed for one resident is administered to or allowed to be in the possession of another resident	_____	_____
114.12(14)	Any unusual patient reaction to a drug is reported to the attending physician immediately	_____	_____
114.12(16)	Medications are administered only in accordance with the instructions of the attending physician Controlled substances are administered only by qualified personnel The type and amount of the medication, the time and date, and the staff member administering the medication are entered in the child's record	_____	_____
114.12(17)	Self-administration of prescription medications by children is covered by written policies and procedures and occurs only when: a. Medications are prescribed by a physician b. The physician agrees that the child can self-administer the medication c. What is being taken and when is documented in the record of the child	_____	_____

Unused Medication

114.12(9)	When a resident is discharged or leaves the facility, any unused prescriptions are sent with the resident or with a responsible agent, and with the approval of the physician	_____	_____
114.12(10)	Unused controlled prescription drugs are returned to the issuing pharmacist or physician for credit or destruction according to state law Other unused prescription drugs are destroyed by staff in the presence of a witness and this destruction is documented	_____	_____

CHILDREN'S RIGHTS

- 114.13(1) All policies and procedures covered in this section are in writing and are provided to the child and parents or guardian upon the child's admission to the facility. The rationale and circumstances of any deviation from these policies is discussed with the child's parents or guardian and the referring worker, and documented in the child's case record. \_\_\_\_ \_\_\_\_
  
- 114.13(2) Information regarding children and their families is kept confidential and released only with proper authorization \_\_\_\_ \_\_\_\_
  
- 114.13(3)a Visits are allowed with members of the child's immediate family unless otherwise regulated by the court \_\_\_\_ \_\_\_\_
- b Visits are allowed with other significant persons \_\_\_\_ \_\_\_\_
- c Consideration is given to privacy for family visits \_\_\_\_ \_\_\_\_
- d The child is permitted to communicate with legal counsel and referring worker \_\_\_\_ \_\_\_\_
- e The child is allowed to conduct private telephone conversations with family members. Incoming calls may be screened by staff to verify the identity of the caller before approval is given \_\_\_\_ \_\_\_\_
- f The child is allowed to send and receive mail. The facility may require the child to open incoming mail in the presence of a staff member when it is suspected to contain contraband articles, or when there is money that should be receipted and deposited. \_\_\_\_ \_\_\_\_
- g When limits on visits, calls or other communications are indicated, they are determined with the participation or knowledge of the child, family or guardian, and the referring worker. All restrictions have specific bases which are made explicit to the child and family and entered in the child's case record. \_\_\_\_ \_\_\_\_
  
- 114.13(4) Reasonable provisions are made for the privacy of residents \_\_\_\_ \_\_\_\_

PERSONAL POSSESSIONS

- 114.14(1) The facility allows the child in care to bring personal belongings and to acquire belongings in accordance with the child's service plan. However, the facility does, as necessary, limit or supervise the use of these items while the child is in care. \_\_\_\_ \_\_\_\_

		Yes	No
114.14(2)	The facility ensures that each child in care has adequate, clean, well-fitting, attractive, and seasonable clothing as required for health, comfort, and physical well-being. The clothes are appropriate to age, sex, and individual needs.	_____	_____

RELIGION

114.15(1)	The facility has a written description of its religious orientation, particular religious practices that are observed, and any religious restrictions. This description is provided to the child, parents or guardian, and the placing agency at the time of admission.	_____	_____
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114.15(2)	The child does have the opportunity to participate in religious activities and services of the child's own faith or that of the child's parents or guardian. The facility, when necessary and reasonable, arranges transportation for religious activities. Where feasible, the child is permitted to attend religious activities and services in the community.	_____	_____
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WORK OR VOCATIONAL EXPERIENCES

114.16(1)	The facility has a written statement of any work and vocational experiences available to children.	_____	_____
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114.16(2&3)	Work as part of the program is identified in the child's case plan. Ordinary self-care and self-sufficiency tasks are not considered work.	_____	_____
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114.16(4)	Work is in the child's interest, within the child's ability, with payment where appropriate, and never solely in the interest of the facility's goals or needs.	_____	_____
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FAMILY INVOLVEMENT

114.17	Written policies and procedures encourage continued involvement of the family with the child	_____	_____
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CHILDREN'S MONEY

114.18(1)	Money earned, received as a gift, or as an allowance by a child in care is deemed to be that child's personal property.	_____	_____
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114.18(2)	The facility has a written policy on limits on the child's use of funds.	_____	_____
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114.18(3)	The facility has a separate accounting system for children's money.	_____	_____
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CHILD ABUSE

114.19 The facility has written policies prohibiting mistreatment, neglect, or abuse of children and specifying reporting and enforcement procedures. Alleged violations are reported immediately to the director of the facility and DHS personnel. Any employee found to have abused a child as substantiated by DHS investigation is subject to the agency's policies concerning dismissal. \_\_\_\_\_

DISCIPLINE

114.20(1) The facility has written policies regarding methods used for control and discipline of children which are available to all staff and to the child's family. Agency staff are in control of and responsible for discipline at all times. Discipline does not include the withholding of basic necessities such as food, clothing or sleep. \_\_\_\_\_

114.20(2) The facility has a policy that clearly prohibits staff or the children from using corporal punishment as a method of disciplining or correcting children. This policy is communicated in writing to all staff of the facility. \_\_\_\_\_

114.20(3) The use of physical restraint is employed only to prevent behavior extremely disruptive to others or to prevent the child from injury to self, to others, or to property. The rationale and authorization for the use of restraint and staff action and procedures carried out to protect the child's rights and to ensure safety are set forth clearly in the child's record by responsible professional staff. \_\_\_\_\_

114.20(4) Only comprehensive residential facilities may use a control room, locked cottages, mechanical restraints or chemical restraint. \_\_\_\_\_

114.20(5) The facility provides the child and the child's parents or guardian written policies regarding the following areas:  
 a. The general expectation of behavior including the facility's rules and practices.  
 b. The range of reasonable consequences that may be used to deal with inappropriate behavior. \_\_\_\_\_

ILLNESS, ACCIDENT, DEATH OR ABSENCE FROM THE FACILITY

114.21(1) The child's parents or guardian and responsible agency are notified of any serious illness, incidents involving serious bodily injury or circumstances causing removal of the child from the facility \_\_\_\_\_

		Yes	No
114.21(2)	The child's parents or guardian, the placing agency and the appropriate state authority are notified immediately in the event of a child's death. The agency cooperates in arrangements made for examination, autopsy and burial	_____	_____

UNANNOUNCED VISIT

114.23	At least one unannounced visit was conducted in last year (for license renewals only; for initial licensure mark NA in No column).	_____	_____
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Date of unannounced visit: \_\_\_\_\_

ADDITIONAL STUDY REPORT:

SUMMARY:

RECOMMENDATION

Time Frames of License \_\_\_\_\_

Licensed Capacity	Occupancy	Financial Type	Date of Visit

Denial                       Provisional                       Full

Rationale for Recommendation:

- Community residential facility
- Community residential facility for mentally retarded children
- Comprehensive residential facility
- Comprehensive residential facility for mentally retarded children
- Control room (Attach SS-2209-3)
- Locked cottage (Attach SS-2210-3)
- Mechanical restraint (Attach SS-2212-3)
- Chemical restraint (Attach SS-2211-3)

Prepared by \_\_\_\_\_ Date \_\_\_\_\_

Decision Maker \_\_\_\_\_ Date \_\_\_\_\_