

**VIRGINIA DEPARTMENT OF SOCIAL SERVICES
DIVISION OF LICENSING PROGRAMS
POLICIES AND PROCEDURES COMPLIANCE REVIEW FORMAT
FOR CHILDREN'S RESIDENTIAL FACILITIES
22 VAC 40-151**

FACILITY NAME: _____
DATE (S) OF P & P Review: _____ Reviewed by: _____
Date(s) of facility visit: _____

Page # / compliance

____/____ § 120. B Develop and implement a written decision-making plan that provides for and designates a CAO or PD qualified staff person to assume temporary responsibility of the facility.

- Plan includes an organizational chart.

____/____ § 120. C Written statement of the objectives of the facility including a description of:

- the target population and
- the programs to be offered

____/____ § 120. D Policies and procedures to:

- Monitor and evaluate quality and effectiveness on a systemic basis
- Monitor and evaluate quality and effectiveness on an on-going basis

____/____ § 130. C Policies and procedures that address the day-to-day handling of facility funds
To include:

1. Handling of deposits
2. Writing of checks
3. Handling of petty cash

____/____ § 160 Possession and use of firearms, pellet guns, air guns, and other weapons on the facility's premises and during facility-sponsored activities. The policy shall provide that no firearms, pellet guns, air guns, or other weapons shall be permitted on the premises or at facility-sponsored activities unless the weapons are:

1. In the possession of licensed security personnel or law enforcement officers,
2. Kept securely under lock and key, or
3. Used by a resident with the guardian's permission under the supervision of a responsible adult in accord with policies and procedures developed by the facility for the weapons' lawful and safe use.

____/____ § 230.A Provider shall approve written personnel policies.

- ___/___ § 230.B Policies and procedures to assure that persons employed in or designated to assume the responsibilities of each position possess the education, experience, knowledge, skills and abilities specified in the job description for the position.
- ___/___ § 250.D Policies and procedures to ensure part-time staff receive training applicable to their positions.
- ___/___ § 260 Policies and procedures regarding supervision of staff, volunteers, contractors, and student/interns. These policies and procedures shall include:
1. Type of supervision
 2. Frequency of supervision
 3. How the supervision will be documented
- ___/___ § 340.A Policies and procedures governing selection AND use of volunteers or student/interns (for facilities that use volunteers and student/interns).
- ___/___ § 570.A Written Criteria for admission which shall include:
1. A description of the population to be served;
 2. A description of the types of services offered;
 3. Intake and admission procedures; and
 4. Exclusionary criteria defining behaviors or problems facility staff do not have experience or training to manage
 5. Description of how educational services will be provided
- ___/___ § 580.C.1 Policies and procedures for the management of written and automated resident records shall describe:
- access
 - duplication
 - dissemination of any portion of the records (incl. 3rd party information)
 - acquiring information
- ___/___ § 580.C.2 Procedures for automated records shall address how records are:
- a. protected from unauthorized access
 - b. protected from unauthorized Internet access
 - c. protected from loss
 - d. protected from unauthorized alteration
 - e. backed up
- ___/___ § 580.C.3 Policies and procedures for the management of written and automated resident records shall describe security measures to protect records from:
- loss
 - unauthorized alteration
 - inadvertent or unauthorized access
 - disclosure of information
 - transportation of records between service sites

___/___ § 580.C.4 Policy and procedures for records management shall designate the person responsible for record management.

___/___ § 580.C.5 Policy and procedures for records management shall describe the disposition of records in the event the facility ceases to operate.

___/___ § 580.D Policy and procedures for records management shall specify what information is available to the resident.

___/___ § 600 Human Research:

1. Implement a written policy stating that residents will not be used as subjects of human research; or
2. Document approval, as required by the appropriate regulatory authorities, for each research project using residents as subjects of human research, unless such research is exempt from review.

___/___ § 610.1 Written policies & procedures for providers accepting emergency or self-admissions – to make and document prompt efforts to obtain (i) a written placement agreement signed by the legal guardian or (ii) the order of a court of competent jurisdiction; (if standard is not applicable to the provider, look for a written statement; do not accept these types of placements).

___/___ § 620.D Written policies and procedures for application process to assess prospective resident to ensure:

1. Facility's services can address the needs of prospective resident
2. Facility's staff are trained to meet prospective resident's needs
3. Prospective resident's admission would not pose any significant risk to (i) prospective resident or (ii) facility's residents or staff

___/___ § 660.D Written policies and procedures to document progress of the resident towards meeting goals and objectives of the service plan shall include:

1. Format
2. Frequency
3. Person responsible

___/___ § 680.A Written criteria for discharge that shall include:

1. Criteria for a resident's completing the program that are consistent with the facility's programs and services;
2. Conditions under which a resident may be discharged before completing the program; and
3. Procedures for assisting placing agencies in placing the residents should the facility cease operation.

- _____/____ § 730.A Written health care procedures for promptly:
1. Providing or arranging for the provision of medical and dental services for health problems identified at admission;
 2. Providing or arranging for the provision of routine ongoing and follow-up medical and dental services after admission;
 3. Providing emergency services for each resident as provided by statute by the agreement with the resident's legal guardian;
 4. Providing emergency services for any resident experiencing or showing signs of suicidal or homicidal thoughts, symptoms of mood or thought disorders, or other mental health problems; and
 5. Ensuring that the required information in subsection B of this section is accessible and up to date.

- _____/____ § 740.J Written policies and procedures that include use of standard precautions and addresses communicable and contagious medical conditions.
- Shall be approved by a medical professional
 - Does P&P address instructions if can't serve child in home, contact legal guardian/placing agency?

STANDARD PRECAUTIONS- (Internet information)

- protective wear
- clean up protocols

- _____/____ § 750.I Written policies and procedures for documenting:
- medication errors
 - reviewing medication errors and reactions
 - making necessary improvements
 - disposal of medication
 - storage of controlled substances
 - distribution of medication off campus
 - Policy has been approved by a health care professional (see documentation of approval)

- _____/____ § 770.F Written policies and procedures staff supervision of children (approved by licensing prior to implementation). Addresses contingency plans for:
- resident illnesses
 - emergencies
 - resident preferences
 - off campus activities

Policies shall be based on:

- a. needs of the population served (ratio for each shift 1:8 awake unless justification has been approved by regulatory authority);
- b. types of services offered;
- c. qualifications of staff on duty; and
- d. number of residents served
 - address awake or asleep staff
 - unsupervised off campus (tied into responsibility/level system?)
 - unsupervised on campus (tied into responsibility/level system?)
 - recreational activities

- ___/___ § **790.B** Provider that does not conduct pat downs -written policy prohibiting them.
- ___/___ § **790.C** Provider that conducts pat downs shall have policies and procedures, which provide that:
1. Pat downs limited to prohibit contraband;
 2. Pat downs conducted by personnel of the same gender as the resident being searched;
 3. Pat downs conducted only by personnel who are specifically authorized to conduct searches (written policies and procedures); and
 4. Pat downs conducted to protect the subject's dignity and in the presence of one or more witnesses.
- ___/___ § **810.A** TIMEOUT-written policies and procedures
- Conditions under which a resident may be placed in timeout AND
 - maximum period of timeout (based on the resident's chronological and developmental level)
- ___/___ § **820** PROHIBITIONS - include all 1-14, stated in a policy using standard language PLUS
- strip search and body cavity search [except as ordered by a court of competent jurisdiction] (§ **790.A.**)
 - pharmacological restraint (§ **830.B**)
 - mechanical restraint (§ **830.A**)
 - Seclusion (§ **850**)
- ___/___ § **840.A** Written policies and procedures for behavioral interventions and for documenting and monitoring the management of resident behavior. (methods and principals to help achieve positive behavior, help to correct inappropriate behavior, documentation protocols, monitoring protocols):
- Rules of conduct shall be included
 1. define and list all techniques available for use in order of relative degree of restrictiveness
 2. specify staff members who may authorize the use of each technique
 3. specify processes for implementing policies and procedures
 - fining residents for behaviors is not an allowed method [malicious (e.g. property) damage payments may be assessed from allowance]
 - under physical restraint process – if facility uses a non-standardized system - define physical holds/include pictures of the holds approved for use by facility
 - under physical restraint process- if facility uses a standardized recognized system (MANDT, CPI, etc.) - manual available for staff reference

- ____/____ § 840.D Written policies and procedures governing use of physical restraint:
1. specify staff position who will write report and time frame;
 2. specify staff position who will review the report and time frame;
 3. specify methods to be followed should physical restraint, less intrusive interventions, or measures permitted by other applicable state regulations prove unsuccessful in calming and moderating the resident's behavior.
- ____/____ § 860.F EDUCATION: Written policies and procedures to ensure that each resident has adequate time to study.
- ____/____ § 870.A Written policies and procedures regarding opportunities for residents to participate in religious activities (include shall not be coerced to participate §870.C)
- ____/____ § 880.A Written description of recreation program that describes activities consistent with the facilities total program and with the ages, developmental levels, interests, and needs of residents that includes:
1. Opportunities for individual and group activities;
 2. Free time for personal interest pursuit (in addition to formal recreation program);
 3. Use of available community resources/facilities;
 4. Scheduled structured activities to develop skills and attitudes, not conflicting with other events; and
 5. Regularly scheduled indoor and outdoor recreational activities that are structured to develop skills and attitudes.
- ____/____ § 880.B Written policies and procedures to ensure safety of residents participating in recreational activities:
1. How activities will be directed and supervised by individuals knowledgeable in the safeguards required for the activities;
 2. How residents are assessed for suitability for an activity and the supervision provided; AND
 3. How safeguards for water-related activities will be provided including ensuring that a certified life guard supervises all swimming activities.
- ____/____ § 890.B Written policies and procedures for evaluating persons or organizations in the community who wish to associate with residents on the premises OR take residents off the premises.
- Procedures shall cover HOW the facility will determine if participation in such community activities or programs would be in the residents' best interest.
- ____/____ § 890.D Written policies and procedures for promoting positive relationships with the neighbors (p & p approved by regulatory authority)

- ___/___ § 910.B Written policy regarding allowances (specify whether residents get an allowance)
- malicious (e.g. property) damage payments may be assessed from allowances (reasonable re-payment)
- ___/___ § 910.C Written policies and procedures for safekeeping and recordkeeping of resident's money:
- storage & access
 - record keeping systems for deposits & withdrawals
- ___/___ § 930.A Written visitation policies and procedures that allow reasonable visiting privileges and flexible visiting hours except as permitted by other applicable state regulations.
- ___/___ § 950.B Written safety rules for transportation of residents appropriate to the population served that shall include taking head counts at each stop.
- ___/___ § 950.C Written safety rules for use and maintenance of vehicles AND power equipment.
- ___/___ § 970.A Child abuse and neglect- written policies and procedures shall include:
1. Handling accusations against staff; and
 2. Promptly referring, consistent with requirements of the *Code of Virginia*, suspected cases of child abuse and neglect to the local child protective services unit; AND cooperating with the unit during any investigation.
- ___/___ § 980.A Handling of grievances by children- written policies and procedures shall:
1. Be written in clear and simple language;
 2. Be communicated to the residents in an age/developmentally appropriate manner;
 3. Be posted in an area easily accessible to residents and their parents and legal guardians;
 4. Ensure that any grievance shall be investigated by an objective employee who is not the subject of the grievance; and
 5. Require continuous monitoring by the licensee of any grievance to assure there is no retaliation or threat of retaliation against the child.
- ___/___ § 990.A Written emergency preparedness and response plan for **all** locations which shall address:
1. documentation of contact with local emergency coordinator to determine local disaster risks and community-wide plans to address different disasters and emergency situations;
 2. analysis of provider's capabilities and potential hazards, including:
 - natural disasters
 - severe weather
 - fire
 - flooding

_____/____ § 990.A

(Continued from previous page) Written emergency preparedness and response plan for **all** locations which shall address:

2. analysis of provider's capabilities and potential hazards, including:
 - work place violence or terrorism
 - missing persons
 - severe injuries
 - other emergencies that would disrupt normal course of service delivery

3. policies outlining specific responsibilities for:
 - provision of administrative direction and management of response activities,
 - coordination of logistics during the emergency,
 - communications,
 - life safety of employees, contractors, students, volunteers, visitors, & residents
 - property protection
 - community outreach
 - recovery & restoration

4. emergency response procedures for:
 - assessing the situation
 - protecting the employees, contractors, students, volunteers, visitors, & residents
 - protecting vital records
 - restoring services
 - a. communicating with employees, contractors, and community responders;
 - b. warning and notification of residents;
 - c. providing access to secure areas and opening locked doors;
 - d. conducting evacuations of emergency shelters/alternative sites and accounting for all residents
 - e. relocating residents (if necessary);
 - f. notifying family members and legal guardians;
 - g. alerting emergency personnel and sounding alarms
 - h. locating and shutting off utilities when necessary;

5. Supporting documents needed in an emergency including:
 - a. emergency call lists
 - b. building and site maps necessary to shut off utilities
 - c. designated escape routes
 - d. list of major resources such as emergency shelters

6. Schedule for testing implementation of plan
Schedule for conducting emergency preparedness drills

____/____ § 1000.D Independent Living Programs- written policies and procedures to train all direct care staff on:

- content of IL curriculum
- use of IL materials
- application of the assessment tool
- documentation methods used

____/____ § 1000.E Independent Living Programs- 18 year olds & sharing responsibility for their own medication-provider has written policies and procedures to include:

1. Training for resident in self administration and recognition of side effects
2. Method for storage and safekeeping of medication
3. Method for obtaining approval for the resident to self administer medication from a person authorized by law to prescribe medication
4. Method for documenting the administration of medication

____/____ § 1000.F Independent Living Programs- written policies and procedures that ensure that each resident is receiving adequate nutrition as required in standard §760.A, §760.B and § 760.C.

____/____ § 1010.A Mother/Baby Programs- written policies and procedures to orient direct care staff within 14 days of hire regarding the following:

1. Responsibilities of mothers regarding the child
 - Define the areas of responsibility the mother is responsible for
 - Define (how) the staff's role in ensuring the infant/toddler receives appropriate care
 - Define times when staff will have responsibility for direct care of the infant/toddler
 - Define the circumstances when staff must take over care of the infant/toddler from the mother
 - Include the staff's responsibilities in reporting the mother's abuse or neglect of the infant/toddler
 - Define how staff members are to be responsible for modeling appropriate care and teaching the teen mothers how to provide appropriate care to the infant/toddlers.
2. Child development including age-appropriate behavior for each stage of development
 - Define the protocols staff will take when staff suspect that the infant/toddler may be experiencing development delays
3. Appropriate behavioral interventions for infants and toddlers
4. Basic infant and toddler care including but not limited to:
 - Nutritional needs
 - Feeding procedures
 - Bathing techniques

____/____ § 1010.A (continued) Mother/Baby Programs- written policies and procedures to orient direct care staff within 14 days of hire regarding the following:

5. Safety issues for infants and toddlers
 - Define how staff will keep the environment safe for the infants/toddlers and teens.
 - Define how staff will teach the teen mothers how to keep the environment safe

____/____ § 1010.J Mother/Baby Programs- written policies and procedures for tracking:

1. What a child 18 months or younger is eating;
2. How much a child 18 months or younger is eating, and
3. The response to newly introduced foods of the child 18 months or younger

____/____ § 1010.K Mother/Baby Programs- written policies and procedures to record all diaper changes.

____/____ § 1010.Q Mother/Baby Programs- written policies and procedures regarding health care of the adolescent's child including:

1. Obtaining health care;
2. Ensuring follow-up care is provided;
3. Ensuring adolescent mothers administer to their children only prescription medication and nonprescription medication authorized by a health care professional licensed to prescribe medication and
4. Medication administration
 - Identify the name of the health care facilities or providers that will be used
 - Designate who will be responsible for making appointments and providing oversight to ensure the appointments are kept
 - Define the procedures staff use for documenting initial and follow-up appointments and how staff will ensure that all medications, prescription and non-prescription, are given only under written order from an authorized prescriber.

____/____ § 1010.R Mother/Baby Programs- written policies and procedures to ensure that all toys and equipment to be used by children are:

- sturdy,
- of safe construction,
- nontoxic and free of hazards, and
- meet industry safety standards.

____/____ § 1010.S Mother/Baby Programs- written policies and procedures for inspecting toys and equipment on a regular basis for cleanliness and safety.

- Define how the inspections will occur, how often and who will conduct the inspections and document the inspections
- Define the protocols and procedures when a toy is broken or non-safe
- Define the protocols as to how the toys and equipment will be cleaned, by whom, how often and with what safe cleaning products

____/____ § 1010.Y Mother/Baby Programs- written policies and procedures to protect infants, toddlers, and young children from environmental dangers to include (but not limited to):

1. Electrocution;
2. Falling down steps or ramps or gaining access to balconies, porches or elevated areas;
3. Poisons, including poisonous plants
4. Drowning

____/____ § 1020.A Campsite Programs or Adventure Activities-written policies and procedures that include:

1. Staff training and experience requirements for each activity;
2. Resident training and experience requirements for each activity;
3. Specific staff-to-resident ratio and supervision plan appropriate for each activity; including sleeping arrangement and supervision during night time hours;
4. Plans to evacuate and document each participant's physical health throughout the activity;
5. Preparation and planning needed for each activity and time frames;
6. Arrangement, maintenance, and inspection of activity areas;
7. Plan to ensure that any equipment and gear is appropriate to the activity, certified if required, in good repair, in operable condition and age and body size appropriate;
8. Plans to ensure all ropes and paraphernalia for rock climbing, rappelling, high and low ropes courses or other adventure activities are approved annually by an appropriate certifying organization, and have been inspected by responsible staff before engaging residents in the activity;
9. Plans to ensure that all participants are appropriately equipped, clothed, and wearing safety gear appropriate to the adventure activity in which the resident is engaged;
10. Plans for food and water supplies and management of these resources;
11. Plans for safekeeping and distribution of medication;
12. Guidelines to ensure that participation is conducted within the boundaries of the resident's capabilities, dignity and respect for self-determination;
13. Overall emergency, safety, and communication plans for each activity including rescue procedures, frequency of drills, resident accountability, prompt evacuation, and notification of outside emergency services; and
14. Review of plan trips by trip coordinator.