

441—114.7(237) Policies and record-keeping requirements.

114.7(1) *Policies in writing.* The following current personnel policies and practices of the agency and relating to the specific facility shall be described in writing and accessible to staff upon request:

- a. Affirmative action and equal employment opportunity policies and procedures covering the hiring, assignment, and promotion of employees.
- b. Job descriptions for all positions.
- c. Provisions for vacations, holidays, and sick leave.
- d. Effective, time-limited grievance procedures allowing the aggrieved party to bring the grievance to at least one level above that party's supervisor.
- e. Authorized procedures, consistent with due process, for the suspension and dismissal of an employee for just cause.
- f. Written procedures for annual employee evaluations.

114.7(2) *Health of staff.* Staff who have direct client contact or are involved in food preparation shall be medically determined to be free of serious infectious communicable diseases and able to perform their duties. A statement by a physician (as defined in Iowa Code section 135.1(5)) attesting to these facts shall be secured at the time of employment and whenever necessary thereafter and filed in the staff record of the staff person. A new statement shall be secured at least every three years.

114.7(3) *Staff records.*

- a. The facility shall maintain the following information with respect to each staff person:
 - (1) Name and current address of each staff person.
 - (2) At least two written references or documentation of oral references. In case of unfavorable references, there shall be documentation of further checking to ensure that the person will be reliable.
 - (3) Documentation that a criminal records check with the Iowa division of criminal investigation has been completed on the staff person prior to providing any care or service directly or indirectly to children under the care of the agency. A copy of the department's evaluation of the criminal record check shall be kept in the staff record.
 - (4) A written, signed and dated statement furnished by the staff person prior to providing any care or services to or on behalf of the facility which discloses any founded reports of child abuse on the person that may exist.
 - (5) Documentation that a check of the staff person has been completed with the Iowa central abuse registry for any founded reports of child abuse prior to the person's providing any care or services directly or indirectly to children under the care of the agency. A copy of the department's evaluation of this child abuse record check shall be kept in the staff record.
 - (6) Records of a health examination or a record of a health report, as required in subrule 114.7(2), plus a written record of subsequent health services rendered to staff necessary to ensure that each individual is physically able to perform the job duties or functions.
 - (7) If the staff person has completed and submitted Form 470-2310, Record Check Evaluation, to the agency, a copy shall be kept in the staff record.
 - (8) Records of training sessions attended, including dates and content of the training.
 - (9) When otherwise required in situations that apply, a certified copy of a school transcript, diploma, or written statement from the school or supervising agency for positions having educational requirements.
- b. In addition, with respect to staff who are employed by the facility, the facility shall maintain the following records:
 - (1) Social security number of each employee.
 - (2) A job application containing sufficient information to justify the initial and current employment.
 - (3) A certified copy of a school transcript, diploma, or written statement from the school or supervising agency before permanent employment of applicants for positions having educational requirements.
 - (4) Written verification of licensure before permanent employment of applicants for positions requiring licenses. Evidence of renewal of licenses as required by the licensing agency.
 - (5) Current information relative to work performance evaluation.

- (6) Information on written reprimands or commendations.
- (7) Information on position in the agency and date of employment.
- (8) If the applicant, probationary or temporary employee has completed and submitted Form 470-2310, Record Check Evaluation, to the agency, a copy shall be kept in the staff record.