

**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.*** Each staff person who has direct client contact or is involved in food preparation shall be tested for tuberculosis and have a physical examination within six months prior to hiring, unless the staff can produce valid documentation of the physical and tuberculosis test from within the previous three years. Physical examinations shall be completed every three years thereafter. Evidence of these examinations or tests shall be included in each personnel file. The examinations or tests shall be completed by one of the following:

- a. A physician as defined in Iowa Code section 135.1(4);
- b. An advanced registered nurse practitioner who is registered with and certified by the Iowa board of nursing to practice nursing in an advanced role; or
- c. A physician assistant licensed under Iowa Code chapter 148C.

**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 of all record checks and evaluations as required in subrule 114.24(1).
  - (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) Reserved.
  - (6) Records of a physical 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) Reserved.
  - (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.  
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