
EVALUATOR MANUAL TRANSMITTAL SHEET

<u>Distribution:</u> <input type="checkbox"/> All Child Care Evaluator Manual Holders <input type="checkbox"/> All Residential Care Evaluator Manual Holders <input checked="" type="checkbox"/> All Evaluator Manual Holders	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px;"><u>Transmittal No.</u></td> </tr> <tr> <td style="padding: 2px;">02RM-02</td> </tr> <tr> <td style="padding: 2px;"><u>Date Issued</u></td> </tr> <tr> <td style="padding: 2px;">January 2002</td> </tr> </table>	<u>Transmittal No.</u>	02RM-02	<u>Date Issued</u>	January 2002
<u>Transmittal No.</u>					
02RM-02					
<u>Date Issued</u>					
January 2002					

Subject:

Reference Material – Comprehensive Evaluation Tool, Adult Residential Facilities

Reason For Change:

To add new Table of Contents and
 To add new and revised Sections 8-2010 through 8-2300 to the Reference Material.

Changes were also made to this document due to the CCLD program name changes from the reorganization of CCLD.

Filing Instructions:

- REMOVE – Pages 1 through 2
- INSERT – Page 1 through 2.1, and 9 through 20.
-

Approved:

Original Copy Signed by

Carole Jacobi

CAROLE JACOBI, Chief
 Policy Development Bureau

2-1-02

Date

Contact Person: Robert Gomez

Phone Number: 714-703-2851

**PROCEDURES FOR COMPREHENSIVE EVALUATIONS OF
ADULT RESIDENTIAL FACILITIES**

TABLE OF CONTENTS

GENERAL STATEMENT8-2000

PLANNING THE VISIT8-2010
 Preparing the Annual Visit Package8-2020

CONDUCTING THE VISIT8-2030
 Physical Plant Review.....8-2040
 Client Interviews.....8-2050
 Staff Interviews.....8-2060
 Facility Record Review.....8-2070
 Personnel Record Review8-2080
 Client File Review8-2090
 Concluding the Visit.....8-2100
 Exit Interview.....8-2110

FOLLOW UP.....8-2120
 Post Visit; Plan of Correction/Case Management8-2130

**PROCEDURES FOR CUMULATIVE FACILITY EVALUATION OF
ADULT RESIDENTIAL FACILITIES**

GENERAL STATEMENT8-2200

PREPARING FOR THE VISIT.....8-2210

SELECTING THE REGULATION AREAS OF INSPECTION.....8-2220

CONDUCTING THE VISIT8-2230
 Area I: Core Requirements.....8-2240
 Fingerprints
 Personal Rights
 Health Related Services
 Food Services
 Care and Supervision
 Physical Plant: Hazards
 Area II: Other, if applicable.....8-2250
 Water Supply
 Exceptions and Waivers
 Delayed Egress
 Signal Systems
 Pools and Bodies of Water
 Restricted Health Conditions

**PROCEDURES FOR CUMULATIVE FACILITY EVALUATION OF
ADULT RESIDENTIAL FACILITIES**

TABLE OF CONTENTS (Continued)

Area III: Cumulative Options8-2260

- License Posted
- Cap/Amb
- Fire Drill
- Personal and Incidental Money
- Incident Reporting
- Neighborhood Complaint
- Administrator Qualifications
- Personnel Qualifications
- Personnel Records
- Needs and Services
- Clients Records
- Register of Clients
- Transportation
- Activities
- Resident Council
- Physical Plant

Concluding the Visit8-2270

Exit Interview.....8-2280

FOLLOW UP.....8-2290.1

- Post Visit; Plan of Correction/Case Management8-2300

8-2000 GENERAL STATEMENT**8-2000**

These procedures provide the protocol for conducting comprehensive visits to adult residential facilities. Comprehensive visits to these facilities are required.

The comprehensive visit evaluation tool has been divided into the following sections:

- PLANNING THE VISIT; i.e. facility file review and gathering information to take into the field for reference.
- CONDUCTING THE VISIT; i.e. facility inspection, interviews and review of records.
- THE FOLLOW UP; i.e. technical assistance, documentation and communication with the placement agency.

8-2010 PLANNING THE VISIT**8-2010**

There is a lot of work involved in the "Planning the Visit" stage. An effective compliance visit cannot be made without a thorough knowledge of the program and operating history. Do not make a visit unless you have gone through the following steps:

Facility File Review

Review the facility file and document the review on an Annual License Visit Checklist (LIC 9120). A Detail Supportive Information (LIC 812) may also be used. At the **Local Unit Manager's** discretion, a new Licensing Program Analyst should review the file with the **Local Unit Manager** or an experienced Licensing Program Analyst. To assure that the file contains complete and current documents, the following should occur:

- Check the license to ensure the information is current.
- Become familiar with the Plan of Operation. Note the types and frequency of services provided by the facility.
- Review the most recent Personnel Report (LIC 500). Note the names and job descriptions of staff. The staff hours should reflect adequate 24-hour coverage.

8-2010 PLANNING THE VISIT (Continued)**8-2010**

- Note any incomplete, outdated, or missing documents including surety bonds and administrative organizational information. Document this review on the LIC 9120. These forms are intended for office use only, and are not provided to the facility. The Licensing Program Analyst may notify the licensee of the need to submit additional information either by mail or phone before the facility visit, or may notify the licensee during the visit. All requests to the licensee for additional information must be documented in the facility file. For this purpose the Licensing Program Analyst can document the request using the Facility Evaluation Report (LIC 809) or a Contact Sheet (LIC 185) or the LIC 812.
- Make note of the issues contained in informal conferences, compliance plans, non-compliance conferences and administrative actions.
- Check the file to determine if the services of the Technical Support Program (TSP) were provided. Note the date, issues that led to the TSP referral, and specific areas covered in the consultation.
- Note any time-limited or client-specific documents, such as waivers and exceptions.
- Review all licensing reports including Advisory Notes (LIC 9102), documents from the placement agency, assessment of civil penalties and complaints generated in the past year. Look for any trends in types of complaints or deficiencies.
- Review the incident reports. The Licensing Program Analyst should be reviewing incident reports on a flow basis, however, the licensing program analyst cannot be expected to remember all incidents that occur in a facility. The Licensing Program Analyst may decide, on a case by case basis, whether to review all or a limited number of reports. Look for any patterns such as the involvement of a particular staff or client or a trend in the types of incidents.

Licensing Information System (LIS)

Additional important information regarding the facility is available in the Licensing Information System:

- Obtain a current Facility Profile (LIS 055), review for accuracy and make changes as appropriate. Note any information in the “Comments” section such as special conditions and verify that the correct client population is identified.
- Obtain a current Facility Personnel Report Summary (LIS 531) from the Licensing Information System and compare the names to the LIC 500. Check for criminal record clearance for staff subject to these requirements.

8-2010 PLANNING THE VISIT (Continued)**8-2010**

Depending on the facility history, the Licensing Program Analyst may conduct a pre-visit contact with the placement agency to discuss their experiences with the facility and/or plan a joint facility visit. If the placement agency is a Regional Center, this contact may be conducted as addressed in the Memorandum of Understanding.

8-2020 PREPARING THE ANNUAL VISIT PACKAGE**8-2020**

The purpose of this package is to make the comprehensive visit more effective. It can serve to remind the Licensing Program Analyst of items to check or questions to ask, based on the information obtained during the planning phase. Some components listed may be accessible through the laptop computer at the time of the visit and obtaining a hard copy will not be necessary. Keeping in mind the importance of **safeguarding all confidential documents**, the following items should be available for reference at the time of the visit:

- A copy of previous Facility Evaluation Reports (LIC 809s).
- Personnel information including notes or copies of the current LIC 500 and Designation of Administrative Responsibility (LIC 308).
- Information on waivers and exceptions.
- A copy of the LIS 055 and LIS 531.
- Relevant regional center/placement agency documents.
- Records to be maintained at the facility (LIC 311C).
- Copy of the facility floor plan and fire clearance.
- Questions to ask the administrator, staff, and clients.

In addition to the above information, blank copies of the following forms should also be on hand when making visits:

- Facility Evaluation Report (LIC 809)
- Detail Supportive Information (LIC 812)
- Advisory Notes (LIC 9102)
- Client/Resident Records Review (LIC 858)
- Review of Staff/Volunteer records (LIC 859)

8-2020 PREPARING THE ANNUAL VISIT PACKAGE (Continued) 8-2020

- Facility Civil Penalty Assessment (LIC 421)
- Client Request: Health Relocation Order Review (LIC 9105A)

An Affidavit Regarding Client/Resident Cash Resources (LIC 400), LIC 500 and LIC 308 may also be taken to obtain updates if recent documents are not on file. A Forms Request (LIC183A) and a Proof of Correction (LIC 9098) should also be a part of the packet and offered when indicated.

8-2030 CONDUCTING THE VISIT 8-2030

The comprehensive evaluation visit is an overall assessment of the facility. The Licensing Program Analyst is responsible for evaluating compliance with all licensing laws and regulations, including areas where prior deficiencies were noted.

The visit is to be documented on the LIC 809, 858, 859, and if needed, the LIC 812 and LIC 9102. Photographs may also be used in conjunction with the Facility Photography Report (LIC 813) or the LIC 812 to document findings.

Citations should be issued according to the protocols outlined in Evaluator Manual Sections 3-3000 et seq. and 3-4200 et seq. When deficiencies are cited, Licensing Program Analyst must be able to justify the findings. The course of action must be discussed with a staff designated with administrative responsibility and/or licensee to ensure correction.

The visit should begin with the facility tour, followed by interviews with clients and staff, and then review of the client and personnel files. The Licensing Program Analyst may choose to alter the sequence when it is determined prudent to do so. Make sure that the facility is operating according to the waivers or exceptions, e.g. check that any client-specific exception is not used for other clients, and ensure that conditions still exist to warrant each exception and waiver.

The procedures specified below are to be used as minimum guidelines. The Licensing Program Analyst should use the following procedures when conducting the various components of the visit.

8-2040 PHYSICAL PLANT REVIEW 8-2040

The facility visit includes a walk-through to inspect the buildings, grounds and overall maintenance and operation. The Licensing Program Analyst shall conduct a complete review for compliance with all the applicable regulation sections. The staff should open unlocked doors to rooms that are designated for non-client use so that the Licensing Program Analyst can view the room. Privacy should be respected if the Licensing Program Analyst has no specific reason for concern and does not observe obvious health and safety issues in the room.

8-2040 PHYSICAL PLANT REVIEW (Continued)**8-2040**

The following can be used as a guide, but it is not all inclusive of the regulatory requirements that need to be reviewed.

- Telephones - Verify that there is a working telephone on the facility premises. If applicable, also review the facility's policies on telephone usage.
- Transportation - Verify the vehicle is in good operating condition. Verification may consist of interviewing staff, observing maintenance records and/or physical observation including checking for seat belts and child seats, if applicable.
- Health-Related Services - Verify adequacy of first aid supplies; verify storage of medication, including refrigeration.
- Food Services - Review for adequate supplies of perishable and non-perishable foods; storage; sanitary condition in food preparation areas; menus, including provisions for modified diets; cleanliness and adequacy of dishes and utensils; condition of appliances.
- Buildings and Grounds - Review for building changes/alterations; clients who are non-ambulatory reside in designated rooms; sufficient lighting is provided; operating signal systems (if required); adequate fencing or approved cover for bodies of water; all areas are free from potential hazards; exits are not obstructed; clients can operate front door locks and are not locked in any room; proper storage of poisons, toxic substances, firearms and other dangerous objects.
- Fixtures, Furniture, Equipment and Supplies - Review fixtures, e.g. toilets, sinks, showers/baths; solid waste disposal; inaccessibility of fireplace or heaters; adequacy of linens; review furniture for cleanliness and adequacy; availability of basic hygiene items; determine that faucets deliver water and the temperature of the hot water. If applicable, review for a current bacteriological analysis on private water source to establish the safety of the water.

8-2050 CLIENT INTERVIEWS**8-2050**

Clients should be interviewed briefly when in the facility at the time of the facility visit and in a manner that is least disruptive. Evaluator Manual Section 3-2000 includes procedures for conducting interviews. Regulations require the licensee to allow private interviews, however; the Licensing Program Analyst or the client may request the presence of a third person. The licensee's permission is not required to interview the client. When a client objects to the interview, the Licensing Program Analyst shall honor this objection. To ensure confidentiality, the interview should occur away from facility staff and other clients.

8-2050 CLIENT INTERVIEWS (Continued)**8-2050**

The interview offers opportunity to observe and evaluate the physical appearance of the client. Issues that may be discussed include:

- Meals
- Personal rights
- Fire drills
- Activities

8-2060 STAFF INTERVIEWS**8-2060**

The adult residential facility comprehensive visit requires interviewing a sampling of facility personnel. The Licensing Program Analyst may interview additional staff by telephone. The purpose of the interview is to determine how knowledgeable staff is about the facility's policies, procedures and operations. Discussion questions may address the following:

- Familiarity with the needs of the clients in placement.
- How information is relayed among staff about each client.
- Specific staff responsibilities.
- Familiarity with medication procedures.
- Responding to emergencies.
- Knowledge of the clients' personal rights.
- Knowledge of reporting requirements.

8-2070 FACILITY RECORD REVIEW**8-2070**

Review the facility's files to verify the following documentation is complete, current and posted when required:

- Facility license
- Activity plan
- Disaster and Mass Casualty Plan

8-2070 FACILITY RECORD REVIEW (Continued)**8-2070**

- Menus
- House rules
- Register of Clients
- Waivers

At this time, the Licensing Program Analyst may request any documents noted during the file review as incomplete or missing.

8-2080 PERSONNEL RECORD REVIEW**8-2080**

The Licensing Program Analyst must select the files to be reviewed. Personnel records must be reviewed for completeness and accuracy. The Licensing Program Analyst should use the Review of Staff/Volunteer Records (LIC 859) to document the personnel file review, citing deficiencies when appropriate. Ten personnel records or 10 percent (which ever is greater) shall be reviewed.

Additional files may be reviewed at the Licensing Program Analysts discretion. For example, the Licensing Program Analyst has not been to the facility before; the facility has a history of Type A deficiencies or civil penalty assessments.

- The LIC 500 may be used to select the files for review.
- Consideration should be given to new hires and staff mentioned frequently in incident reports.
- Verify that the individuals listed on the LIS 555 are current employees.
- Note any changes, such as terminated staff and new hires.
- Review files to verify completion of training including Administrators Certification and HIV/TB.

8-2090 CLIENT FILE REVIEW**8-2090**

The Licensing Program Analyst must select the files to be reviewed. Ten client files or 10 percent (whichever is greater) shall be reviewed. Additional files may be reviewed at the Licensing Program Analysts discretion. Existing regulations require the facility to provide a current Register of Clients, either the LIC 9020 or a comparable form. The Licensing Program Analyst may randomly select the files from this list, or may select files for review using the following criteria:

8-2090 CLIENT FILE REVIEW (Continued)**8-2090**

- Client is mentioned in numerous incident reports.
- Client's file was not reviewed at the time of the previous annual visit.
- Client requires the facility to have an exception to remain in current placement.
- Client has one or more restricted health conditions.

In addition to the overall review of the client files, the comprehensive visit requires a review of the client's Needs and Services Plan or Individual Program Plan.

- Are the Needs for Services or individual program plan current?
- Has the client's authorized representative approved the plan?
- Does the facility have qualified staff to provide the services specified in the Needs and Services Plan, e.g. the facility contracts out to health care professionals?
- In addition to review of the centrally stored medication records, the actual medication on hand should be viewed and compared against the record. The Licensing Program Analyst may recommend a "start date" for medication be added to the record keeping.

Using the Client/Resident Records Review (LIC 858), the files must be checked for completeness and accuracy, citing deficiencies when appropriate.

8-2100 CONCLUDING THE VISIT**8-2100**

At the conclusion of the visit, the Licensing Program Analyst should be able to answer the following questions:

- What are the major components of the facility's general plan of operation?
- What does the facility do to ensure that staff is appropriately trained?
- What are the lines of communication; how is general facility information and client specific information relayed, e.g. at shift changes, and staff meetings?
- What is the staff's understanding of their responsibility to report abuse and special incidents?
- How does the facility staff respond to medical and other emergencies?

8-2100 CONCLUDING THE VISIT (Continued)**8-2100**

- What are the procedures for prescription medication, including but not limited to:
 - a. How does the staff ensure that each client's medication is always available in the facility?
 - b. What procedures are in place to prevent mistakes in distribution of medication and to safeguard medications?
 - c. What are the facility's procedures for over the counter, PRN and sample medications?
 - d. What does the staff do when a client refuses to take medication?
 - e. What are the policy and procedure for physician's orders given over the phone, e.g. medication dose alteration or discontinued medication?
 - f. What is the procedure for medications that are taken on outings or to school, work, or weekend visits?
- How does the facility ensure that client's personal rights are not violated?
- What is the overall physical condition of the facility and what are the facility's procedures for maintenance?

8-2110 EXIT INTERVIEW**8-2110**

The Licensing Program Analyst shall conduct the exit interview as outlined in the Evaluator Manual Section 3-4200. If the facility has only a few Type B violations relating to physical plant or record keeping issues and the facility history indicates substantial compliance and responsiveness to prior plans of correction, the LIC 9098 can be offered for clearing the violations cited.

8-2120 FOLLOW UP**8-2120**

Once the visit is concluded, the Licensing Program Analyst should determine the need for intervention and make the following decisions:

- Should the Licensing Program Analyst discuss the facility with the **Local Unit Manager**?

8-2120 FOLLOW UP (Continued)**8-2120**

- Should the licensee come into the office for a compliance plan, informal or noncompliance conference?
- Should the Licensing Program Analyst provide information to the licensee/administrator regarding the Technical Support Program?
- Should the facility be referred to Legal for possible action against their license?

The Licensing Program Analyst's work related to comprehensive visits does not end upon conclusion of the visit. Plan of Correction due dates must be entered into the Control Book. An entry must be made when deficiencies are cleared or to indicate assessment of civil penalties.

After the comprehensive evaluation visit is completed, the Licensing Program Analyst shall send copies of the LIC 809 to the placement agency.

The Licensing Program Analyst should contact the following as necessary:

- Community Care Licensing Division Audit Section, e.g. potential trust audit.
- Legal Division, e.g. potential or pending temporary suspension order or revocation.
- Other public agencies, e.g. local planning authority or fire authority.
- Placement Agency.

8-2130 POST VISIT, PLAN OF CORRECTION/CASE MANAGEMENT**8-2130**

The Licensing Program Analyst shall comply with the plan of correction protocols outlined in Evaluator Manual Section 3-3600 et seq. A copy of the LIC 809 clearing the violations cited should be sent to the placement agency.

8-2200 GENERAL STATEMENT**8-2200****PROCEDURES FOR CUMULATIVE FACILITY EVALUATION OF ADULT RESIDENTIAL FACILITIES**

These regulations provide the protocol for conducting an annual Cumulative Facility Evaluation* visits to compliant adult residential facilities **.

***Cumulative Facility Evaluation** is a streamlined annual visit designed to review selected areas of facilities' operations over a three-year period. Essential and other applicable health and safety regulation areas will be monitored yearly while cumulative option requirements will be reviewed over a three-year period.

****Compliant Adult Residential Facilities** are defined as those facilities who have not had informal conferences, compliance plans, civil penalty assessments, non-compliance conferences and/or administrative actions and have not experienced other compliance problems within the last 18 months.

The Cumulative Facility Evaluation tool is divided into the following sections:

- **PREPARING FOR THE VISIT;** i.e. Regulation Compliance Checklist *, facility file review, gathering and accessing information and forms to take into the field for reference and use.

***Annual Regulation Compliance Checklist (LIC 9201)** is a self-assessment tool used by the licensee to review the facility's operations and correct deficiencies prior to the facility visit. The licensee and/or administrator will initial regulation items met and certify compliance by signature. Once completed the Annual Regulation Compliance Checklist is to be retained at the facility. The Licensing Program Analyst will receive, review, and sign the checklist during the visit. Failure of the licensee to complete the Regulation Compliance Checklist may result in a comprehensive and/or a return visit.

- **SELECTING THE REGULATION AREAS;** i.e. Cumulative Facility Evaluation Report*, Area I, Area II, Area III.

***Cumulative Facility Evaluation Report** is a report form on the Field Automation System, which documents the Cumulative Facility Evaluation visit. It contains facility, deficiency, plan of correction, and civil penalty information, regulation areas, and a place for supervisors' and Licensing Program Analyst names, Licensing Program Analyst signature, and appeal rights on back. A Cumulative Facility Evaluation Report is to be completed at the end of the visit with a copy is given to the licensee and the original copy is placed in the facility file.

8-2200 GENERAL STATEMENT (Continued)**8-2200**

- **CONDUCTING THE VISIT**; i.e., core requirements, other applicable requirements and cumulative option requirements.
- **FOLLOW-UP**; i.e. technical assistance, documentation and communication with the placement agency.

8-2210 PREPARING FOR THE VISIT**8-2210**

Both the licensee and the Licensing Program Analyst must prepare for the Cumulative Facility Evaluation visit. The licensee shall self-assess the facility prior to the annual visit and correct any deficiencies. The Licensing Program Analyst should have a thorough knowledge of the program and operating history. The steps to be followed are:

Annual Regulation Compliance Checklist

At least 120 days prior to the license issuance date, the licensing agency shall mail to the licensee an Annual Regulation Compliance Checklist with instructions to complete the form within five (5) days of receipt. The licensee will self-assess the facility, correct any deficient areas listed, check the listed regulations as met, certify with a signature and keep the form at the facility for the Licensing Program Analyst to receive during the visit.

Facility File Review

The Licensing Program Analyst shall review the facility file and may document the review on an Annual License Visit Checklist (LIC 9120). A Detail Supportive Information (LIC 812) may also be used. The following should be reviewed:

- The facility license for accurate information.
- The Plan of Operation for facility program and client services.
- Facility floor plan and fire clearance.
- Current Personnel Report (LIC 500) for staff names, duties, and 24-hour coverage.
- Valid surety bond if cash resources are handled by licensee.
- Recent administrative organizational information. If information is outdated, the Licensing Program Analyst is to notify the licensee during the visit to submit additional, current information.
- Exceptions and waivers noting the effective date and conditions.
- Previous Facility Evaluation Reports (LIC 809)

8-2210 PREPARING FOR THE VISIT (Continued)**8-2210**

- Cumulative Facility Evaluation Reports to identify the sequence year in the three-year period and the previous areas inspected.
- Any licensing reports, advisory notes (LIC 9102), civil penalties and complaints generated within the last year.
- Incident reports for patterns, trends and recurring staff names. The Licensing Program Analyst may determine the amount to be reviewed.

Licensing Information System

Check the Licensing Information System for accurate facility information and obtain current information as follows:

- Facility Profile (LIS 055) for client population and special licensing conditions.
- Facility Personnel Report Summary (LIS 531) for comparison of staff names to LIC 500.

In addition to the above, the following forms (if needed when making visits) are available on the Field Automation System:

- Facility Evaluation Report (LIC 809)
- Detail Supportive Information (LIC 812)
- Confidential Names (LIC 811)
- Advisory Notes (LIC 9102)
- Client/Resident Records Review (LIC 858)
- Review of Staff/Volunteer Records (LIC 859)
- Facility Civil Penalty Assessment (LIC 421)
- Proof of Correction (LIC 9098)

The Field Automation System does not contain the following forms. If updated documentation of the following information is required, the Licensing Program Analyst should provide the form at the visit, when indicated.

8-2210 PREPARING FOR THE VISIT (Continued)**8-2210**

The office forms to have available are:

- Affidavit Regarding Client/Resident Cash Resources (LIC 400)
- Personnel Report (LIC 500)
- Designation of Administrator (LIC 308)
- A Forms Request (LIC 183A)
- Client Request: Health Relocation Order Review (LIC 9105A)

8-2220 SELECTING THE REGULATION AREAS OF INSPECTION**8-2220**

The Licensing Program Analyst shall review specific areas on an annual basis and decide on other regulation areas to be reviewed based on the previous years and/or any Licensing Program Analyst concerns. The Licensing Program Analyst will select and inspect all of the required areas over a three-year period.

Area I: Core Requirements

The Licensing Program Analyst shall annually review all of the core requirements. Reviewing the requirements is not optional and cannot be deferred for any reason.

Area II: Other, If Applicable

If the licensee has any of the listed areas present at the facility, the Licensing Program Analyst shall select and evaluate the applicable areas for compliance every year. The applicable areas will be reviewed annually.

Example: if a facility has a waiver in effect, the Licensing Program Analyst will review the waiver for compliance.

Area III: Cumulative Options

Cumulative Options are a group of licensing requirements that are to be reviewed in their entirety over a consecutive three-year period. For each of the three years, the Licensing Program Analyst shall have the option of selecting a minimum of four (4) or more options each year over a three-year period. Some options may be repeated each year but all cumulative options must be reviewed totally by the end of the third-year's consecutive annual visit.

Example: if a facility has chronic problems with clients' records, the Licensing Program Analyst may decide to review clients' records each year of the three-year cycle. This can be done if client records and at least three (3) additional cumulative options are reviewed. In the third year, all remaining options not yet checked must be evaluated so that all 12 options are assessed by the end of the Cumulative Facility Evaluation cycle.

8-2230 CONDUCTING THE VISIT**8-2230**

The cumulative facility evaluation visit is a complete assessment of the facility's operation divided into three (3) annual visits. The Licensing Program Analyst is to evaluate the facility for compliance with all licensing laws and regulations.

The visit is to be documented on the Cumulative Facility Evaluation Report on the Field Automation System. Photographs may be taken and findings documented on the Facility Photography Report (LIC 813) or the LIC 812.

Citations are to be written on the Cumulative Facility Evaluation Report indicating Type A and B violations. Type C violations are documented on the Advisory Note (LIC 9102). Deficiencies are to be issued according to the protocols as outlined in Evaluator Manual Sections 3-3000 through 3-4200. The plan of correction is to be discussed with the staff designated with administrative responsibility and/or the licensee.

The visit should begin with a tour of the physical plant, followed by review of the other areas. The Licensing Program Analyst may choose a different sequence if desired.

The Cumulative Facility Evaluation visit is an effective tool for a comprehensive facility evaluation of compliance with General and Adult Residential Facility regulations. Please refer to the following reference table for the regulation sections and several examples of items to be checked.

8-2240 AREA I:**8-2240**

Core Requirements	General Regulations	Adult Residential Facilities Regulations
Fingerprints	80019	N/A
Ensure every person has a criminal record clearance and the clearance is associated to the facility. This includes a FBI check for persons printed after January 9, 2000.		
Personal Rights	80072	85072
Ask staff and clients about attending religious services, client treatment, and staff training procedures. Additionally, if there is any adaptive equipment, ensure there is appropriate approval.		
Health Related Services	80075	85075
Review medication administration, storage, PRN's, and medical equipment such as oxygen delivery devices. Check staff first aid certification and clients' medical/dental appointments.		
Food Services	80076	85076
Review food supplies, menus, special diets, portions, cleanliness, and staff qualifications.		

8-2240 AREA I: (Continued)**8-2240****Core Requirements General Regulations Adult Residential Facilities Regulations****Care and Supervision****80078****85078**

Review staffing ratios and ability to communicate with the clients, licensing and emergency personnel.

Physical Plant: Hazards**80087-80088****85087-85088**

Conduct a walk through looking for hazards such as broken windows, pest infestations, unlocked toxins, etc.

8-2250 AREA II:**8-2250****Other, if applicable General Regulations Adult Residential Facilities Regulations****Water Supply****80021****N/A**

If the water supply is private, check for a bacteriologist analysis.

Exceptions and Waivers**80024****N/A**

Ensure the waivers and exceptions remain valid and necessary.

Delayed Egress**80077.3(a)2****N/A**

Ensure conditions are met for client acceptance, care and staff training.

Signal System**N/A****85088 (f)1,2**

Ensure the signal system operates, if required.

Pools and Bodies of Water**80087(f)(g)****N/A**

Review proper fencing, or covering and inaccessibility to clients.

Restricted Health Conditions**80092****N/A**

Ensure there is an approved program and all documentation, staff training, and other items are in compliance.

8-2260 AREA III:**8-2260****Cumulative Options General Regulations Adult Residential Facilities Regulations****License Posted****N/A****85009**

Ensure that the license is available at the facility or posted if the capacity is seven (7) or more.

Cap/Amb**80010****N/A**

Ensure that the facility is not over capacity including the non-ambulatory capacity.

8-2260 AREA III: (Continued)**8-2260****Core Requirements General Regulations Adult Residential Facilities Regulations**

Fire Drill	80023(d)1,2	N/A
Review documentation maintained at the facility that fire drills are conducted every six months and clients know evacuation procedures.		
P & I Money	80026	N/A
Review receipts and records of cash on hand and bank account balances to assure they are current and accurate.		
Incident Reporting	80061	85061
Prior to the visit, review the incident reports for completeness and thoroughness. Discuss reporting procedures with staff.		
Neighborhood Complaint	80018(d)4	N/A
Review neighborhood complaint policy with staff.		
Administrator Qualifications	80064	85064
Ensure the administrator has a current administrator certificate and has the necessary education, experience, and training such as HIV/TB training to qualify as the administrator.		
Personnel Qualifications	80065	85065
Review records for experience or training, interview the staff for knowledge of the facility's program and client's needs.		
Personnel Records	80066	85066
Review the records for completeness, including a criminal record statement, health screen, and TB test.		
Needs and Services	80068.2	85068.2
Review needs and services plans to ensure they are complete and appear appropriate.		
Clients Records	80070	85070
Review the records for complete and updated information, including personal property inventories.		
Register of Clients	80071	N/A
Ensure the register is current, maintained confidential, and available for emergency personnel.		
Transportation	80074	N/A
Inspect the facility vehicle for safe operating conditions and review transportation policies, staff driver's license and vehicle maintenance logs.		

8-2260 AREA III: (Continued)**8-2260****Core Requirements General Regulations Adult Residential Facilities Regulations****Activities****80079****85079**

Review the activity records and posted notices of activities if the capacity is seven (7) or more. Interview clients for participation and activity selection.

Resident Council**N/A****85080**

If a resident council is present, ensure that the licensee maintains the required documentation.

Physical Plant:**Comprehensive****80087-80088****85087-85088**

Review all physical plant areas for adequacy, cleanliness, and safety.

8-2270 CONCLUDING THE VISIT**8-2270**

At the conclusion of the annual Cumulative Facility Evaluation visit, the Licensing Program Analyst will have monitored the following information and licensing requirements:

- Annual Regulation Compliance Checklist (LIC 9201): the self-assessment form completed by the licensee/administrator prior to the annual visit has been reviewed by the Licensing Program Analyst during the visit.
- Area I: Core Requirements, the basic health and safety licensing requirements have been inspected.
- Area II: Other, if Applicable Requirements, the other health and safety licensing requirements if present in the facility have been inspected.
- Area III: Cumulative Options Requirements, at least four (4) on-going health and safety licensing requirements have been inspected with all (12) options checked over a three (3)-year period.

The Licensing Program Analyst shall have completed a comprehensive annual visit over the 3-year cycle using the Cumulative Facility Evaluation process. The objective is that the facility's entire operations, policies, procedures, and physical plant have been monitored.

8-2280 EXIT INTERVIEW**8-2280**

The Licensing Program Analyst shall conduct the exit interview as outlined in the Evaluator Manual Section 3-4200. The facility can be offered a LIC 9098 to clear deficiencies if the facility has a past history of timely correction and has only a few B violations.

8-2290.1 FOLLOW UP**8-2290.1**

At the end of each annual visit the Licensing Program Analyst should determine if further licensing services or actions are needed such as:

- Should the Licensing Program Analyst discuss the facility visit with the Local Unit Manager?
- Is there a need to schedule a compliance plan, informal or noncompliance conference?
- Should the Licensing Program Analyst discuss with the licensee/administrator the services of the Technical Support Program?
- Should the Licensing Program Analyst discuss with the Local Unit Manager the possibility of referred to the Departments Legal Division.

The Licensing Program Analyst should track the Plan of Correction due dates in the Control Book noting clearance dates and civil penalties.

After each annual visit, the Licensing Program Analyst shall send copies of the Cumulative Facility Evaluation Report to the placement agencies.

The Licensing Program Analyst should contact the following as necessary:

- Community Care Licensing Audit Section, e.g. potential trusts audit.
- Other public agencies, e.g. local planning or fire authority.
- Placement Agency.

8-2300 POST VISIT; PLAN OF CORRECTION/CASE MANAGEMENT**8-2300**

The licensing Program Analyst shall comply with the plan of correction protocols outlined in Evaluator Manual Section 3-3600 et seq. A copy of the LIC 809 clearing the violations should be sent to all placement agencies.