**JUVENILE GROUP HOME CASE RECORD REVIEW**

**FACILITY:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ DATE:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ REVIEWER:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Case Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Status: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Begin Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

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| --- | --- | --- | --- |
| **Regulation** | **Compliant**  **(Y, N, NA, or ND)** | **Comments** | **Supervisor’s Initials/Date** |
| **AGE OF RESIDENTS** | | | |
| **6VAC35-41-50 (B). Age of residents.**  B. A facility shall not admit a resident who is above the age approved for certification. A child may remain in the facility above the age of certified capacity (i) to allow the resident to complete a program identified in the resident's individual service plan and (ii) if a discharge plan has been established. This subsection does not apply to shelter care programs. |  |  |  |
| **SUSPECTED CHILD ABUSE OR NEGLECT** | | | |
| **6VAC35-41-100 (C). Suspected child abuse or neglect.**  C. Any case of suspected child abuse or neglect shall be reported and documented as required in 6VAC35-41-90 (serious incident reports). The resident's record shall contain a written reference that a report was made. |  |  |  |
| **MAINTENANCE OF RECORDS** | | | |
| **6VAC35-41-330 (A). Maintenance of records.**  A. A separate written or automated case record shall be maintained for each resident that shall include all correspondence and documents received by the facility relating to the care of that resident and documentation of all case management services provided. |  |  |  |
| **6VAC35-41-330 (C). Maintenance of records.**  C. Each case record and health record shall be kept   * (i) up to date |  |  |  |
| * (ii) in a uniform manner, |  |  |  |
| * (ii) confidential from unauthorized access. |  |  |  |
| **FACE SHEET** | | | |
| **6VAC35-41-340 (A). Face sheet.**  A. At the time of admission each resident's record shall include, at a minimum, a completed face sheet that contains the following: |  |  |  |
| * Resident's full name |  |  |  |
| * Last known residence |  |  |  |
| * Birth date |  |  |  |
| * Gender |  |  |  |
| * Race |  |  |  |
| * Unique numerical identifier |  |  |  |
| * Admission date |  |  |  |
| * Names, addresses, and telephone numbers of the applicable court service unit, emergency contacts, and parents or legal guardians, as appropriate and applicable. |  |  |  |
| **6VAC35-41-340 (B). Face sheet.**  B. Upon discharge, the following shall be recorded on the face sheet:   * Date of and reason for discharge, |  |  |  |
| * Names and addresses of persons to whom the resident was discharged, |  |  |  |
| * Forwarding address of the resident, if known |  |  |  |
| **6VAC35-41-340 (C). Face sheet.**  C. Information shall be updated when changes occur. |  |  |  |
| **PLACEMENT PURSUANT TO A COURT ORDER** | | | |
| **6VAC35-41-710. Placement pursuant to a court order.**  When a resident is placed in a facility pursuant to a court order, the following requirements shall be met by maintaining a copy of a court order in the resident's case record:  1. 6VAC35-41-730 (application for admission).  2. 6VAC35-41-740 (admission procedures).  3. 6VAC35-41-750 (written placement agreement).  4. 6VAC35-41-780 (emergency admissions).  5. 6VAC35-41-810 (discharge procedures). |  |  |  |
| **READMISSION TO A SHELTER CARE PROGRAM** | | | |
| **6VAC35-41-720 B). Readmission to a shelter care program.**  B. When a resident is readmitted to a shelter care facility within 30 days from discharge, the facility shall: |  |  |  |
| 1. Review and update all information on the face sheet as provided in 6VAC35-41-340 (face sheet); |  |  |  |
| 2. Complete a health screening in accordance with 6VAC35-41-1200 (health screening at admission); |  |  |  |
| 3. Complete required admission and orientation process as provided in 6VAC35-41-760 (admission); and |  |  |  |
| 4. Update in the case record any other information regarding the resident that has changed since discharge. |  |  |  |
| **APPLICATION FOR ADMISSION** | | | |
| **6VAC35-41-730 (A). Application for admission.**  A. Except for placements pursuant to a court order or resulting from a transfer between residential facilities located in Virginia and operated by the same governing authority, all admissions shall be based on evaluation of an application for admission. |  |  |  |
| **6VAC35-41-730 (B). Application for admission.**  B. Providers shall develop and fully complete, prior to acceptance for care, an application for admission that is designed to compile information necessary to determine: |  |  |  |
| 1. The educational needs of the prospective resident; |  |  |  |
| 2. The mental health, emotional, and psychological needs of the prospective resident; |  |  |  |
| 3. The physical health needs, including the immunization needs, of the prospective resident; |  |  |  |
| 4. The protection needs of the prospective resident; |  |  |  |
| 5. The suitability of the prospective resident's admission; |  |  |  |
| 6. The behavior support needs of the prospective resident; and |  |  |  |
| 7. Information necessary to develop a service plan and a behavior support plan. |  |  |  |
| **ADMISSION PROCEDURES** | | | |
| **6VAC35-41-740 (A). Admission procedures.**  A. Except for placements pursuant to a court order, the facility shall admit only those residents who are determined to be compatible with the services provided through the facility. |  |  |  |
| **WRITTEN PLACEMENT AGREEMENT** | | | |
| **6VAC35-41-750 (A). Written placement agreement.**  A. Except for placements pursuant to a court order or when a resident admits himself to a shelter care facility, each resident's record shall contain, prior to a routine admission, a completed placement agreement signed by a facility representative and the legal guardian or placing agency. Routine admission means the admittance of a resident following evaluation of an application for admission and execution of a written placement agreement. |  |  |  |
| **6VAC35-41-750 (B). Written placement agreement.**  B. The written placement agreements shall:  1. Authorize the resident's placement; |  |  |  |
| 2. Address acquisition of and consent for any medical treatment needed by the resident; |  |  |  |
| 3. Address the rights and responsibilities of each party involved; |  |  |  |
| 4. Address financial responsibility for the placement; |  |  |  |
| 5. Address visitation with the resident; and |  |  |  |
| 6. Address the education plan for the resident and the responsibilities of all parties. |  |  |  |
| **ADMISSION** | | | |
| **6VAC35-41-760 (A). Admission.**  A. Written procedure governing the admission and orientation of residents to the facility shall provide for:  1. Verification of legal authority for placement; |  |  |  |
| 2. Search of the resident and the resident's possessions, including inventory and storage or disposition of property, as appropriate; |  |  |  |
| 3. Health screening; |  |  |  |
| 4. Notification of parents and legal guardians, as applicable and appropriate, including of (i) admission, (ii) visitation, and (iii) general information, including how the resident's parent or legal guardian may request information and register concerns and complaints with the facility. The facility shall ask the parent or legal guardian regarding whether the resident has any immediate medical concerns or conditions; |  |  |  |
| 5. Interview with resident to answer questions and obtain information; |  |  |  |
| 6. Explanation to resident of program services and schedules; |  |  |  |
| 7. An orientation on the residents' rights including, but not limited to, the prohibited actions provided for in 6VAC35-41-560 (prohibited actions); and |  |  |  |
| 8. Assignment of resident to a housing unit or room. |  |  |  |
| **6VAC35-41-760 (B). Admission.**  B. When a resident is readmitted to a shelter care facility within 30 days from discharge, the facility shall update the information required in subsection A of this section. |  |  |  |
| **ORIENTATION TO FACILITY RULES AND DISCIPLINARY PROCEDURES** | | | |
| **6VAC35-41-770 (A). Orientation to facility rules and disciplinary procedures.**  A. During the orientation to the facility, residents shall be given written information describing facility rules, the sanctions for rule violations, and the facility's disciplinary process. These shall be explained to the resident and documented by the dated signature of resident and staff. |  |  |  |
| **EMERGENCY ADMISSIONS** | | | |
| **6VAC35-41-780. Emergency admissions.**  Providers accepting emergency admissions, which are the unplanned or unexpected admission of a resident in need of immediate care excluding self-admittance to a shelter care facility or a court ordered placement, shall:  1. Develop and implement written procedures governing such admissions that shall include procedures 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; |  |  |  |
| 2. Place in each resident's record the order of a court, a written request for care or documentation of an oral request for care, and justification of why the resident is to be admitted on an emergency basis; and |  |  |  |
| 3. Except placements pursuant to court orders, clearly document in written assessment information gathered for the emergency admission that the individual meets the facility's criteria for admission. |  |  |  |
| **6VAC35-41-770 (B). Orientation to facility rules and disciplinary procedures.**  B. Where a language or literacy problem exists that can lead to a resident misunderstanding the facility rules and regulations, staff or a qualified person under the supervision of staff shall assist the resident. |  |  |  |
| **RESIDENT TRANSFER BETWEEN RESIDENTIAL FACILITIES LOCATED IN VIRGINIA AND OPERATED BY THE SAME GOVERNING AUTHORITY** | | | |
| **6VAC35-41-790 (A). Resident transfer between residential facilities located in Virginia and operated by the same governing authority.**  A. Except for transfers pursuant to a court order, when a resident is transferred from one to another facility operated by the same provider or governing authority the sending facility shall provide the receiving facility, at the time of transfer, a written summary of (i) the resident's progress while at the facility; (ii) the justification for the transfer; (iii) the resident's current strengths and needs; and (iv) any medical needs, medications, and restrictions and, if necessary, instructions for meeting these needs. |  |  |  |
| **6VAC35-41-790 (B). Resident transfer between residential facilities located in Virginia and operated by the same governing authority.**  B. Except for transfers pursuant to a court order, when a resident is transferred from one to another facility operated by the same provider or governing authority the receiving facility shall document at the time of transfer:  1. Preparation through sharing information with the resident, the family and the placing agency about the facility, the staff, the population served, activities, and criteria for admission; |  |  |  |
| 2. Notification to the family, if appropriate; the resident, the placement agency, and the legal guardian; and |  |  |  |
| 3. Receipt of the written summary from the sending facility required by subsection A of this section. |  |  |  |
| **PLACEMENT OF RESIDENTS OUTSIDE THE FACILITY** | | | |
| **6VAC35-41-800. Placement of residents outside the facility.**  A resident shall not be placed outside the facility prior to the facility obtaining a placing agency license from the Department of Social Services, except as permitted by statute or by order of a court of competent jurisdiction. |  |  |  |
| **DISCHARGE PROCEDURES** | | | |
| **6VAC35-41-810 (C). Discharge procedures.**  C. Residents shall be discharged only to the legal guardian, legally authorized representative, or foster parent with the written authorization of a representative of the legal guardian. Residents over the age of 17 or who have been emancipated may assume responsibility for their own discharge. |  |  |  |
| **6VAC35-41-810 (D). Discharge procedures.**  D. As appropriate and applicable, information concerning current medications, need for continuing therapeutic interventions, educational status, and other items important to the resident's continuing care shall be provided to the legal guardian or legally authorized representative, as appropriate. |  |  |  |
| **DISCHARGE DOCUMENTATION** | | | |
| **6VAC35-41-820 (A). Discharge documentation.**  A. Except for residents discharged pursuant to a court order, the case record shall contain the following:  1. Documentation that discharge planning occurred prior to the planned discharge date; |  |  |  |
| 2. Documentation that discussions with the parent or legal guardian, placing agency, and resident regarding discharge planning occurred prior to the planned discharge date; |  |  |  |
| 3. A written discharge plan developed prior to the planned discharge date; and |  |  |  |
| 4. As soon as possible, but no later than 30 days after discharge, a comprehensive discharge summary placed in the resident's record and sent to the placing agency. The discharge summary shall review the following:  a. Services provided to the resident; |  |  |  |
| b. The resident's progress toward meeting service plan objectives; |  |  |  |
| c. The resident's continuing needs and recommendations, if any, for further services and care; |  |  |  |
| d. Reasons for discharge and names of persons to whom resident was discharged; |  |  |  |
| e. Dates of admission and discharge; and |  |  |  |
| f. Date the discharge summary was prepared and the signature of the person preparing it. |  |  |  |
| **6VAC35-41-820 (B). Discharge documentation.**  B. When a resident is discharged pursuant to a court order, the case record shall contain a copy of the court order. |  |  |  |
| **STRUCTURED PROGRAMMING** | | | |
| **6VAC35-41-840 (B). Structured programming.**  B. Each facility shall have goals, objectives, and strategies consistent with the facility's mission and program objectives utilized when working with all residents until the residents' individualized service plans are developed. These goals, objectives, and strategies shall be provided to the residents in writing during orientation to the facility. |  |  |  |
| **INDIVIDUAL SERVICE PLAN** | | | |
| **6VAC35-41-860 (A). Individual service plan.**  A. An individual service plan shall be developed and placed in the resident's record within 30 days following admission and implemented immediately thereafter. The initial individual service plan shall be distributed to the resident; the resident's family, legal guardian, or legally authorized representative; the placing agency; and appropriate facility staff. |  |  |  |
| **6VAC35-41-860 (B). Individual service plan.**  B. Individual service plans shall describe in measurable terms the:  1. Strengths and needs of the resident; |  |  |  |
| 2. Resident's current level of functioning; |  |  |  |
| 3. Goals, objectives, and strategies established for the resident including a behavior support plan, if appropriate; |  |  |  |
| 4. Projected family involvement; |  |  |  |
| 5. Projected date for accomplishing each objective; and |  |  |  |
| 6. Status of the projected discharge plan and estimated length of stay except that this requirement shall not apply to a facility that discharges only upon receipt of the order of a court of competent jurisdiction. |  |  |  |
| **6VAC35-41-860 (C). Individual service plan.**  C. Each service plan shall include the date it was developed and the signature of the person who developed it. |  |  |  |
| **6VAC35-41-860 (D). Individual service plan.**  D. The service plan shall be reviewed within 60 days of the development of the plan and within each 90-day period thereafter. The individual service plan shall be revised as necessary. Any changes to the plan shall be made in writing. All participants shall receive copies of the revised plan. |  |  |  |
| **6VAC35-41-860 (E). Individual service plan.**  E. The resident and facility staff shall participate in the development of the individual service plan. |  |  |  |
| **6VAC35-41-860 (F). Individual service plan.**  F. The (i) supervising agency and (ii) resident's parents, legal guardian, or legally authorized representative, if appropriate and applicable, shall be given the opportunity to participate in the development of the resident's individual service plan. |  |  |  |
| **6VAC35-41-860 (G). Individual service plan.**  G. Copies of the individual service plan shall be provided to the (i) resident; (ii) parents or legal guardians, as appropriate and applicable, and (iii) the placing agency. |  |  |  |
| **QUARTERLY REPORTS** | | | |
| **6VAC35-41-870 (A). Quarterly reports.**  A. Except when a resident is placed in a shelter care program, the resident's progress toward meeting his individual service plan goals shall be reviewed and a progress report shall be prepared within 60 days of the development of the plan and within each 90-day period thereafter and shall review the status of the following:  1. Resident's progress toward meeting the plan's objectives; |  |  |  |
| 2. Family's involvement; |  |  |  |
| 3. Continuing needs of the resident; |  |  |  |
| 4. Resident's progress towards discharge; and |  |  |  |
| 5. Status of discharge planning. |  |  |  |
| **6VAC35-41-870 (B). Quarterly reports.**  B. Each quarterly progress report shall include the date it was developed and the signature of the person who developed it. |  |  |  |
| **6VAC35-41-870 (C). Quarterly reports.**  C. All quarterly progress reports shall be distributed to the resident; the resident's family, legal guardian, or legally authorized representative; the placing agency; and appropriate facility staff. |  |  |  |
| **WORK AND EMPLOYMENT** | | | |
| **6VAC35-41-950 (A). Work and employment.**  A. Assignment of chores that are paid or unpaid work assignments shall be in accordance with the age, health, ability, and service plan of the resident. |  |  |  |
| **BEHAVIOR SUPPORT** | | | |
| **6VAC35-41-1300 (A). Behavior support.**  A. Each facility shall have a procedure regarding behavior support plans for use with residents who need supports in addition to those provided in the facility's behavior management program that addresses the circumstances under which such plans shall be utilized. Such plans shall support the resident's self-management of his own behavior and shall include:  1. Identification of positive and problem behavior; |  |  |  |
| 2. Identification of triggers for behaviors; |  |  |  |
| 3. Identification of successful intervention strategies for problem behavior; |  |  |  |
| 4. Techniques for managing anger and anxiety; and |  |  |  |
| 5. Identification of interventions that may escalate inappropriate behaviors. |  |  |  |
| **6VAC35-41-1300 (B). Behavior support.**  B. Individualized behavior support plans shall be developed in consultation with the:  1. Resident;  2. Legal guardian, if applicable;  3. Resident's parents, if applicable;  4. Program director;  5. Placing agency staff; and  6. Other applicable individuals. |  |  |  |
| **INDEPENDENT LIVING PROGRAMS CURRICULUM AND ASSESSMENT** | | | |
| **6VAC35-41-970 (B). Independent living programs curriculum and assessment.**  B. Within 14 days of placement the provider must complete an assessment, including strengths and needs, of the resident's life skills using an independent living assessment tool approved by the department. The assessment must cover the following areas:  1. Money management and consumer awareness;  2. Food management;  3. Personal appearance;  4. Social skills;  5. Health and sexuality;  6. Housekeeping;  7. Transportation;  8. Educational planning and career planning;  9. Job seeking skills;  10. Job maintenance skills;  11. Emergency and safety skills;  12. Knowledge of community resources;  13. Interpersonal skills and social relationships;  14. Legal skills;  15. Leisure activities; and  16. Housing. |  |  |  |
| **6VAC35-41-970 (C). Independent living programs curriculum and assessment.**  C. The resident's individualized service plan shall include, in addition to the requirements found in 6VAC35-41-860 (individual service plan), goals, objectives, and strategies addressing each of the areas listed in subsection B of this section, as applicable. |  |  |  |
|  |  |  |  |