

 Utah Department of Health & Human Services Licensing & Background Checks		Assisted Living Facility Inspection Checklist			This inspection checklist is the tool CCL licensors use to ensure consistency for every inspection. <i>(Revised 09/2023)</i>
R432-270 Assisted Living Facilities					
Facility Name:	Tradition Assisted Living	Facility ID:	UT000549	Phone Number:	8019782424
Address:	2938 South Redwood Road			Email Address:	Jamie@traditionassistedliving.com
Provider:	Jamie Merrone				
Please review the following items prior to the inspection: (Mark with a check mark if completed and make and necessary notes)		Please review the following items during the inspection: (Mark with a check mark if completed and make and necessary notes)			
☒	Abuse investigations past 6 months			☒	Incident Reports
☒	List of current residents and discharged residents past 6 months			☒	QA meetings
☒	List of all current employees			☒	Fire and Disaster Drills past 12 months
☒	Significant Change Log			☒	Facility Disaster Plan
☒	Inservice Records			☒	Policies and Procedure Manual
☒	Designated Administrator in Administrators Absence			☐	
Inspection Information:					
- I will email you this inspection checklist after the inspection is completed. I will send you an official inspection report once this inspection has been approved by OL management.					
- If the only rule noncompliances are documentation and/or records, please submit them to the Office of Licensing by the correction required date listed. A licensor may conduct a follow-up inspection to verify compliance and ensure compliance maintenance.					
- You may submit feedback on this inspection by visiting the website dlbc.utah.gov					
Signature Information					
Inspection Type:	Unannounced	Date:	11/1/2023	Time Started:	9:15 AM
Number of rule noncompliances:		18	Name of Individual Informed of this Inspection:		Jamie Merrone
				Time Ended:	5:30 PM

☒	Licensors(s) Conducting this Inspection:	Brian Palmer, Danielle Mckisson, Troy Knudsen, April Chlarson	OL Staff Observing Inspection:	
	The Licensors reviewed compliance.	Please sign/type individual informed name and date of review:	<i>Janie' Merrone</i>	

 Utah Department of Health & Human Services Licensing & Background Checks	ASSISTED LIVING FACILITIES		This inspection checklist is the tool OL licensors use to ensure consistency for every inspection.
	R432-270 Assisted Living Facilities		
Licensor Introductory Items			
☒	Introduction of any unknown OL staff to the provider	☐	
☒	Give a brief explanation of the inspection process to the provider	☐	
☒	ASK: the provider if they want you to tell staff about rule noncompliances as you conduct the walk- though, or wait until the inspection is over to tell them.	☐	
☒	Wash hands or use hand sanitizer before touching items in the facility.	☐	
☐		☐	
☒	Please review the Facility's days and hours of operations:		
General Notes			

RULES CHECKLIST								
Rule # R432	Rule Description		C	NC	NA	Compliance Required By Date:	Corrected During Inspection	Notes
		C = Compliant NC = Not Compliant NA = Not Assessed during this inspection						
R432-1-4. Identification Badges								
4(1)(a)-(b) 4(2)(a)-(b)		(1) A licensee shall ensure that the following individuals wear an identification badge: (a) any employee who provides direct care to a patient; and (b) any volunteer. (2) The identification badge shall include the following information: (a) the person's first or last name; and (b) the person's title or position, in terms generally understood by the public.	☒	☐	☐		☐	
R432-270-5 Licensee								
R432-270-5(1)(a-g)		(1) The licensee shall: (a) ensure compliance with all federal, state, and local laws; (b) assume responsibility for the overall organization, management, operation, and control of the facility; (c) establish policies and procedures for the welfare of residents, the protection of their rights, and the general operation of the facility; (d) implement a policy that ensures the facility does not discriminate on the basis of race, color, sex, religion, ancestry, or national origin in accordance with state and federal law; (e) secure and update contracts for required services not provided directly by the facility; (f) respond to requests for reports from the Department; and (g) appoint, in writing, a qualified administrator who shall assume full responsibility for the day-to-day operation and management of the facility. The licensee and administrator may be the same person.	☒	☐	☐		☐	

R432-270-5(2)(a-b)	(2) The licensee shall implement a quality assurance program to include a Quality Assurance Committee. The committee shall: (a) consist of at least the facility administrator and a health care professional; and (b) meet at least quarterly to identify and act on quality issues.	☒	☐	☐	☐	☐	
Section 6. Administrator Qualifications.		C	NC	NA	Date	Notes	
R432-270-6(1)(a-e)	(1) The administrator shall have the following qualifications: (a) be 21 years of age or older; (b) have knowledge of applicable laws and rules; (c) have the ability to deliver, or direct the delivery of appropriate care to residents; (d) successfully complete the criminal background screening process defined in Rule R432-35; and (e) for Type II facilities, complete a Department approved national certification program within six months of hire.	☒	☐	☐		☐	
R432-270-6(2)	(2) In addition to Subsection R432-270-6(1) the administrator of a Type I facility shall have an associate degree or two years experience in a health care facility.	☐	☐	☒		☐	This is a Type II facility.
R432-270-6(3)(a-c)	(3) In addition to Subsection R432-270-6(1) the administrator of a small or limited-capacity assisted living facility shall have one or more of the following: (a) an associate degree in a health care field; (b) two years or more management experience in a health care field; or (c) one year experience in a health care field as a licensed health care professional.	☐	☐	☒		☐	Not a small or limited capacity facility.

R432-270-6(4)(a-d)	(4) In addition to Subsection R432-270-6(1) the administrator of a Type II large assisted living facility shall have one or more of the following: (a) a State of Utah health facility administrator license; (b) a bachelor's degree in a health care field, to include management training or one or more years of management experience; (c) a bachelor's degree in any field, to include management training or one or more years of management experience and one year or more experience in a health care field; or (d) an associate degree and four years or more management experience in a health care field.	☒	☐	☐	☐	☐	
Section 7. Administrator Duties.		C	NC	NA	Date	Notes	
R432-270-7(1)	The administrator shall: (a) be on the premises a sufficient number of hours in the business day, and at other times as necessary, to manage and administer the facility; (b) designate, in writing, a competent employee, 21 years of age or older, to act as administrator when the administrator is unavailable for immediate contact. It is not the intent of this subsection to permit a de facto administrator to replace the designated administrator.	☒	☐	☐			

R432-270-8(1)	(1) Qualified competent direct-care personnel shall be on the premises 24 hours a day to meet residents' needs as determined by the residents' assessment and service plans. Additional staff shall be employed as necessary to perform office work, cooking, housekeeping, laundering and general maintenance.	☒	☐	☐	☐	☐	☐
R432-270-8(2)	(2) The services provided or arranged by the facility shall be provided by qualified persons in accordance with the resident's written service plan.	☒	☐	☐	☐	☐	☐
R432-270-8(3)	(3) Personnel who provide personal care to residents in a Type I and Type II facility shall be at least 18 years of age or be a certified nurse aide and shall have related experience in the job assigned or receive on the job training.	☒	☐	☐	☐	☐	☐
R432-270-8(4)	(4) Personnel shall be licensed, certified, or registered in accordance with applicable state laws.	☒	☐	☐	☐	☐	☐
R432-270-8(5)	(5) The administrator shall maintain written job descriptions for each position, including job title, job responsibilities, qualifications or required skills.	☒	☐	☐	☐	☐	☐
R432-270-8(6)	(6) Facility policies and procedures shall be available to personnel at all times.	☒	☐	☐	☐	☐	☐
R432-270-8(7)(a)-(f)	(7) Each employee shall receive documented orientation to the facility for their hired position. Orientation shall be completed within 30 days of hire and include the following: (a) job description; (b) ethics, confidentiality, and residents' rights; (c) fire and disaster plan; (d) policy and procedures; (e) reporting responsibility for abuse, neglect and exploitation; and (f) a Department-approved core competency training.	☐	☒	☐	12/1/2023	☐	Orientation did not include core competency training.

R432-270-8(8)(a)-(c)	(8) In addition to completing facility orientation and demonstration of core competency skills, each direct-care employee shall receive 16 hours of documented one-on-one job training with a direct-care employee, with at least 3 months of experience and who has completed orientation, or with the supervising nurse at the facility. (a) This training is not transferable to another facility and must include: (i) transfer assistance and safety; and (ii) activities of daily living. (b) Direct-care employees hired from a staffing agency must be certified nurse aides and are exempt from the 16 hours of one-on-one training. (c) Employees who are certified nurse aides are exempt from the 16 hours of one-on-one job training.	☐	☒	☐	12/1/2023	☐	Two employees did not have documented 16 hours of one-on-one job training.
R432-270-8(9)(a)-(f)	(9) Each employee shall receive documented in-service training. The training shall be tailored to annually include the following subjects that are relevant to the employee's job responsibilities: (a) principles of good nutrition, menu planning, food preparation, and storage; (b) principles of good housekeeping and sanitation; (c) principles of providing personal and social care; (d) proper procedures in assisting residents with medications; (e) recognizing early signs of illness and determining if there is a need for professional help; (f) accident prevention, including safe bath and shower water temperatures; (g) communication skills, which enhance resident dignity; (h) first aid; (i) resident's rights; (j) abuse and neglect reporting requirements of Section 62A-3-305; (k) dementia and Alzheimer's specific training; and (l) review of core competency training.	☐	☒	☐	12/1/2023	☐	Four employees did not have documented in service training in safe bath and shower water temperatures, first aid, resident's rights, abuse and neglect reporting requirements, dementia and Alzheimer's specific training and review of core competency training.
R432-270-8(10)	(10) The facility administrator shall annually receive a minimum of 4 hours of core competency training that includes Dementia and Alzheimer's specific training.	☐	☒	☐	12/1/2023	☐	The facility did not implement annual core competency training.

R432-270-8(11)	(11) An employee who reports suspected abuse, neglect, or exploitation may not be subject to retaliation, disciplinary action, or termination by the facility for that reason alone.	☒	☐	☐	☐	☐
R432-270-8(12)	(12) The facility shall establish a personnel health program through written personnel health policies and procedures that protect the health and safety of personnel, residents and the public.	☒	☐	☐	☐	☐
R432-270-8(13)(a)-(d)	(13) The facility shall complete an employee placement health evaluation to include at least a health inventory when an employee is hired. Facilities may use their own evaluation or a Department approved form. (a) A health inventory shall include at least the employee's history of the following: (i) conditions that may predispose the employee to acquiring or transmitting infectious diseases; and (ii) conditions that may prevent the employee from performing certain assigned duties satisfactorily. (b) The facility shall develop employee health screening and immunization components of the personnel health program. (c) Employee skin testing by the Mantoux Method or other FDA approved in-vitro serologic test and follow up for tuberculosis shall be done in accordance with Rule R388-804, Special Measures for the Control of Tuberculosis. (i) The licensee shall ensure employees are skin-tested for tuberculosis within two weeks of: (A) initial hiring; (B) suspected exposure to a person with active tuberculosis; and (C) development of symptoms of tuberculosis. (ii) Skin testing shall be exempted for employees with known positive reaction to skin tests. (d) Infections and communicable diseases reportable by law shall be reported to the local health department in accordance with Section R386-702-3.	☒	☐	☐	☐	☐
R432-270-8(14)	(14) The facility shall develop and implement policies and procedures governing an infection control program to protect residents, family and personnel; that includes appropriate task related employee infection control procedures and practices.	☒	☐	☐	☐	☐

	R432-270-8(15)	(15) The facility shall comply with the Occupational Safety and Health Administration's Blood-borne Pathogen Standard.	☒	☐	☐		☐	
	Section 9. Residents' Rights		C	NC	NA	Date	CDI	Notes
	R432-270-9(2)(a)-(b)	(2) The administrator or designee shall give the resident a written description of the resident's legal rights upon admission, including the following: (a) a description of the manner of protecting personal funds, in accordance with Section R432-270-20; and (b) a statement that the resident may file a complaint with the state long term care ombudsman and any other advocacy group concerning resident abuse, neglect, or misappropriation of resident property in the facility.	☐	☒	☐	11/8/2023	☐	Ten resident files were reviewed and were not observed to have a written description of the resident's legal rights related to personal funds and contacting the ombudsman concerning complaints related to abuse, neglect, or misappropriation of resident property.
	R432-270-9(3)	(3) The administrator or designee shall notify the resident or the resident's responsible person at the time of admission, in writing and in a language and manner that the resident or the resident's responsible person understands, of the resident's rights and rules governing resident conduct and responsibilities during the stay in	☐	☒	☐	11/8/2023	☐	The administrator or designee did not notify four residents or the residents responsible person at the time of admission, in writing, the resident's rights and rules governing resident conduct and responsibilities during their stay.
	R432-270-9(4)	(4) The administrator or designee shall promptly notify in writing the resident or the resident's responsible person when there is a change in resident rights under state law.	☒	☐	☐		☐	

R432-270-9(5)(a)-(x)	(5) Resident rights include the following: (a) the right to be treated with respect, consideration, fairness, and full recognition of personal dignity and individuality; (b) the right to be transferred, discharged, or evicted by the facility only in accordance with the terms of the signed admission agreement; (c) the right to be free of mental and physical abuse, and chemical and physical restraints; (d) the right to refuse to perform work for the facility; (e) the right to perform work for the facility if the facility consents and if: (i) the facility has documented the resident's need or desire for work in the service plan; (ii) the resident agrees to the work arrangement described in the service plan; (iii) the service plan specifies the nature of the work performed and whether the services are voluntary or paid; and (iv) compensation for paid services is at or above the prevailing rate for similar work in the surrounding community; (f) the right to privacy during visits with family, friends, clergy, social workers, ombudsmen, resident groups, and advocacy representatives; (g) the right to share a unit with a spouse if both spouses consent, and if both spouses are facility residents; (h) the right to privacy when receiving personal care or services; (i) the right to keep personal possessions and clothing as space permits; (j) the right to participate in religious and social activities of the resident's choice; (k) the right to interact with members of the community both inside and outside the facility;	☒	☐	☐	☐	☐
R432-270-9(6)(a)-(c)	(6) The following items must be posted in a public area of the facility that is easily accessible and visible by residents and the public: (a) the long term care ombudsmen's notification poster; (b) information on Utah protection and advocacy systems; and (c) a copy of the resident's rights.	☒	☐	☐	☐	☐

		(8) A resident may organize and participate in resident groups in the facility, and a resident's family may meet in the facility with the families of other residents. (a) The facility shall provide private space for resident groups or family groups. (b) Facility personnel or visitors may attend resident group or family group meetings only at the group's invitation. (c) The administrator shall designate an employee to provide assistance and to respond to written requests that result from group meetings.	☒	☐			☐	
R432-270-9(8)(a)-(c)								
Section 10. Admissions		C	NC	NA	Date	CDI	Notes	
R432-270-10(1)		(1) The facility shall have written admission, retention, and transfer policies that are available to the public upon request. ☒	☐	☐		☐		
R432-270-10(2)(a)-(b)		(2) Before accepting a resident, the facility shall obtain sufficient information about the person's ability to function in the facility through the following: (a) an interview with the resident and the resident's responsible person; and (b) the completion of the resident assessment. ☒	☐	☐		☐		
R432-270-10(3)		(3) If the Department determines during inspection or interview that the facility knowingly and willfully admits or retains residents who do not meet license criteria, then the Department may, for a time period specified, require that resident assessments be conducted by an individual who is independent from the facility. ☒	☐	☐		☐		

R432-270-10(6)(a)-(c)	(6) Type I and Type II assisted living facilities may not admit or retain a person who: (a) manifests behavior that is suicidal, sexually or socially inappropriate, assaultive, or poses a danger to self or others; (b) has active tuberculosis or other chronic communicable diseases that cannot be treated in the facility or on an outpatient basis; or may be transmitted to other residents or guests through the normal course of activities; or (c) requires inpatient hospital, long-term nursing care or 24-hour continual nursing care that will last longer than 15 calendar days after the day that the nursing care begins.	☒	☐	☐	☐	☐	☐	
R432-270-10(7)	(7) Type I and Type II assisted living facilities may not deny an individual admission to the facility for the sole reason that the individual or the individual's legal representative requests to install or operate a monitoring device in the individual's room in accordance with Title 26, Chapter 21, Part 304, Monitoring Device -- Facility admission, patient discharge, and posted notice.	☒	☐	☐	☐	☐	☐	
R432-270-10(8)(a)-(g)	(8) The prospective resident or the prospective resident's responsible person shall sign a written admission agreement prior to admission. The admission agreement shall be kept on file by the facility and shall specify at least the following: (a) room and board charges and charges for basic and optional services; (b) provision for a 30-day notice prior to any change in established charges; (c) admission, retention, transfer, discharge, and eviction policies; (d) conditions when the agreement may be terminated; (e) the name of the responsible party; (f) notice that the Department has the authority to examine resident records to determine compliance with licensing requirements; and (g) refund provisions that address the following: (i) thirty-day notices for transfer or discharge given by the facility or by the resident, (ii) emergency transfers or discharges; (iii) transfers or discharges without notice; and (iv) the death of a resident.	☐	☒	☐	☐	11/6/2023	☐	Two resident files did not have admission agreements. Ten resident admission agreements did not contain refund provisions addressing 30-day notices, emergency transfers or discharges, transfers or discharges without notice and death of a resident.

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R432-270-11(1)(a)-(e)	(1) A resident may be discharged, transferred, or evicted for one or more of the following reasons: (a) the facility is no longer able to meet the resident's needs because the resident poses a threat to health or safety to self or others, or the facility is not able to provide required medical treatment; (b) the resident fails to pay for services as required by the admission agreement; (c) the resident fails to comply with written policies or rules of the facility; (d) the resident wishes to transfer; or (e) the facility ceases to operate.	☒	☐	☐	☐	☐	☐
R432-270-11(2)	(2) Prior to the facility initiating a transfer or discharge of a resident, the facility shall serve a transfer or discharge notice upon the resident and the resident's responsible person.	☒	☐	☐	☐	☐	☐
R432-270-11(3)(a)-(g)	(3) The notice of transfer or discharge shall: (a) be in writing with a copy placed in the resident file; (b) be phrased in a manner and in a language that is most likely to be understood by the resident and the resident's responsible person; (c) detail the reasons for transfer or discharge; (d) state the effective date of transfer or discharge; (e) state the location where the resident will be transferred or discharged, if known; (f) state that the resident may request a conference to discuss the transfer or discharge; and (g) contain the following information: (i) the name, mailing address, email address and telephone number of the State Long Term Care Ombudsman; (ii) for facility residents with developmental disabilities, the mailing address and telephone number of the agency responsible for the protection and advocacy of developmentally disabled individuals established under the Developmental Disabilities Assistance and Bill of Rights Act, Part C; and (iii) for facility residents who are mentally ill, the mailing address and telephone number of the agency responsible for the protection and advocacy of mentally ill individuals established under the Protection and Advocacy for Mentally Ill Individuals Act.	☐	☒	☐	☐	☐	None of the discharged resident files that were reviewed received a notice of transfer or discharge.

			☒	☐	☐			☐	
R432-270-12(2)	(2) In Type I and Type II facilities, the initial and six-month resident assessment shall be completed and signed by a licensed health care professional.		☒	☐	☐			☐	
R432-270-12(3)	(3) The resident assessment must accurately reflect the resident's status at the time of assessment.		☒	☐	☐			☐	
R432-270-12(4)	(4) The resident assessment must include a statement signed by the licensed health care professional completing the resident assessment that the resident meets the admission and level of assistance criteria for the facility.		☒	☐	☐			☐	
R432-270-12(5)	(5) The facility shall use a resident assessment form that is approved and reviewed by the Department to document the resident assessments.		☒	☐	☐			☐	
R432-270-12(6)	(6) The facility shall revise and update each resident's assessment when there is a significant change in the resident's cognitive, medical, physical, or social condition and update the resident's service plan to reflect the change in condition.		☒	☐	☐			☐	
Section 13. Service Plan			C	NC	NA	Date	CDI	Notes	
R432-270-13(1)	(1) Each resident shall have an individualized service plan that is consistent with the resident's unique cognitive, medical, physical, and social needs, and is developed within seven calendar days of the day the facility admits the resident. The facility shall periodically revise the service plan as needed.		☒	☐	☐		☐		
R432-270-13(2)	(2) The facility shall use the resident assessment to develop, review, and revise the service plan for each resident.		☐	☒	☐	11/7/2023	☐	Three residents assessments were not used to develop the service plan.	

			☒	☐	☐				
R432-270-13(3)(a)-(e)	(3) The service plan shall include a written description of the following: (a) what services are provided; (b) who will provide the services, including the resident's significant others who may participate in the delivery of services; (c) how the services are provided; (d) the frequency of services; and (e) changes in services and reasons for those changes.	☒	☐					☐	
	Section 14. Nursing Services	C	NC	NA	Date	CDI	Notes		
R432-270-14(1)	(1) The facility shall develop written policies and procedures defining the level of nursing services provided by the facility.	☒	☐	☐		☐			
R432-270-14(2)	(2) A Type I assisted living facility shall employ or contract with a registered nurse to provide or delegate medication administration for any resident who is unable to self-medicate or self-direct medication management.	☐	☐	☒		☐	This provider is a Type II facility.		
R432-270-14(3)(a)-(c)	(3) A Type II assisted living facility shall employ or contract with a registered nurse to provide or supervise nursing services to include: (a) a nursing assessment on each resident; (b) general health monitoring on each resident; and (c) routine nursing tasks, including those that may be delegated to unlicensed assistive personnel in accordance with Section R156-31B-701.	☒	☐	☐		☐			
R432-270-14(4)	(4) A Type I assisted living facility may provide nursing care according to facility policy. If a Type I assisted living facility chooses to provide nursing services, the nursing services shall be provided in accordance with Subsections (3)(a) through (c).	☐	☐	☒		☐	This provider is a Type II facility.		

R432-270-14(5)(a)-(b)	(5) Type I and Type II assisted living facilities may not provide skilled nursing care, but shall assist the resident in obtaining required services. To determine whether a nursing service is skilled, the following criteria shall apply: (a) the complexity or specialized nature of the prescribed services can be safely or effectively performed only by, or under the close supervision of licensed health care professional personnel; or (b) care is needed to prevent, to the extent possible, deterioration of a condition or to sustain current capacities of a resident.	☒	☐	☐	☐	☐	
R432-270-14(6)	(6) At least one certified nurse aide must be on duty in a Type II facility 24 hours per day.	☒	☐	☐	☐	☐	
Section 15. Secure Units		C	NC	NA	Date	CDI	Notes
R432-270-15(1)	(1) A Type II assisted living facility with approved secure units may admit residents with a diagnosis of Alzheimer's or dementia if the resident is able to exit the facility with limited assistance from one person.	☐	☐	☒		☐	This facility does not have a secure unit.
R432-270-15(2)(a)-(b)	(2) Each resident admitted to a secure unit must have an admission agreement that indicates placement in the secure unit. (a) The secure unit admission agreement must document that a wander risk management agreement has been negotiated with the resident or resident's responsible person. (b) The secure unit admission agreement must identify discharge criteria that would initiate a transfer of the resident to a higher level of care than the assisted living facility is able to provide.	☐	☐	☒		☐	This facility does not have a secure unit.
R432-270-15(3)	(3) In addition to completing the facility orientation and demonstration of core competency skills, each direct-care employee in the secure unit shall receive a minimum of four hours of the 16 required hours of documented one-on-one job training in the secure unit.	☐	☐	☒		☐	This facility does not have a secure unit.
R432-270-15(4)	(4) There shall be at least one direct-care staff in the secure unit at all times.	☐	☐	☒		☐	This facility does not have a secure unit.

R432-270-15(5)	(5) Each secure unit shall have an emergency evacuation plan that addresses the ability of the secure unit staff to evacuate the residents in case of emergency.	☐	☐	☒		☐	This facility does not have a secure unit.
Section 16. Arrangements for Medical or Dental Care							
R432-270-16(1)	(1) The facility shall assist residents in arranging access for ancillary services for medically related care including physician, dentist, pharmacist, therapy, podiatry, hospice, home health, and other services necessary to support the resident.	☒	☐	☐		☐	
R432-270-16(2)(a)-(c)	(2) The facility shall arrange for care through one or more of the following methods: (a) notifying the resident's responsible person; (b) arranging for transportation to and from the practitioner's office; or (c) arrange for a home visit by a health care professional.	☒	☐	☐		☐	
R432-270-16(3)	(3) The facility shall notify a physician or other health care professional when the resident requires immediate medical attention.	☒	☐	☐		☐	
Section 17. Activity Program							
R432-270-17(1)	(1) Residents shall be encouraged to maintain and develop their fullest potential for independent living through participation in activity and recreational programs.	☒	☐	☐		☐	
R432-270-17(2)(a)-(d)	(2) The facility shall provide opportunities for the following: (a) socialization activities; (b) independent living activities to foster and maintain independent functioning; (c) physical activities; and (d) community activities to promote resident participation in activities away from the facility.	☒	☐	☐		☐	

R432-270-17(3)(a)-(c)	(3) The administrator shall designate an activity coordinator to direct the facility's activity program. The activity coordinator's duties include the following: (a) coordinate recreational activities, including volunteer and auxiliary activities; (b) plan, organize, and conduct the residents' activity program with resident participation; and (c) develop and post monthly activity calendars, including information on community activities, based on residents' needs and interests.	☒	☐	☐	☐	☐		
R432-270-17(4)	(4) The facility shall provide sufficient equipment, supplies, and indoor and outdoor space to meet the recreational needs and interests of residents.	☒	☐	☐	☐	☐		
R432-270-17(5)	(5) The facility shall provide storage for recreational equipment and supplies. Locked storage shall be provided for potentially dangerous items such as scissors, knives, and toxic materials.	☒	☐	☐	☐	☐		
Section 18. Medication Administration		C	NC	NA	Date	CDI	Notes	
R432-270-18(1)	(1) A licensed health care professional shall assess each resident to determine what level and type of assistance is required for medication administration. The level and type of assistance provided shall be documented on each resident's assessment.	☒	☐	☐		☐		

	R432-270-18(2)(a)-(f)	(2) Each resident's medication program shall be administered by means of one of the methods described in Subsections (2)(a) through (f): (a) The resident is able to self-administer medications. (i) Residents who have been assessed to be able to self-administer medications may keep prescription medications in their rooms. (ii) If more than one resident resides in a unit, the facility shall assess each person's ability to safely have medications in the unit. If safety is a factor, a resident shall keep his medication in a locked container in the unit. (b) The resident is able to self-direct medication administration. Facility staff may assist residents who self-direct medication administration by: (i) reminding the resident to take the medication; (ii) opening medication containers; and (iii) reminding the resident or the resident's responsible person when the prescription needs to be refilled. (c) Family members or a designated responsible person may administer medications. If a family	☒	☐	☐	☐	☐
	R432-270-18(3) R432-270-18(4)(a)-(g)	(3) The facility shall have a licensed health care professional or licensed pharmacist review resident medications at least every six months. (4) Medication records shall include the following: (a) the resident's name; (b) the name of the prescribing practitioner; (c) medication name including prescribed dosage; (d) the time, dose and dates administered; (e) the method of administration; (f) signatures of personnel administering the medication; and (g) the review date.	☒	☐	☐	☐	☐
	R432-270-18(5)	(5) The licensed health care professional or licensed pharmacist shall document any change in the dosage or schedule of medication in the medication record. When changes in the medication are documented by the facility staff the licensed health care professional shall co-sign within 72 hours. The licensed health care professional shall notify unlicensed assistive personnel who administer medications of the medication change.	☒	☐	☐	☐	☐

	R432-270-18(6)	(6) The facility shall have access to a reference for possible reactions and precautions for prescribed medications in the facility.	☒	☐	☐	☐	☐			☐	
	R432-270-18(7)	(7) The facility shall notify the licensed health care professional when medication errors occur.	☒	☐	☐	☐	☐			☐	
	R432-270-18(8)	(8) Medication error incident reports shall be completed if a medication error occurs or is identified.	☒	☐	☐	☐	☐			☐	
	R432-270-18(9)	(9) Medication errors must be incorporated into the facility quality improvement process.	☒	☐	☐	☐	☐			☐	
	R432-270-18(10)(a)-(b)	(10) Medications stored in a central storage area shall be: (a) locked to prevent unauthorized access; and (b) available for the resident to have timely access to the medication.	☒	☐	☐	☐	☐			☐	
	R432-270-18(11)	(11) Medications that require refrigeration shall be stored separately from food items and at temperatures between 36 - 46 degrees Fahrenheit.	☒	☐	☐	☐	☐			☐	
	R432-270-18(12)(a)-(b)	(12) The facility shall develop and implement policies governing the following: (a) security and disposal of controlled substances by the licensee or facility staff that are consistent with the provisions of Code of Federal Regulations, Title 21, Chapter II, Part 1307; and (b) destruction and disposal of unused, outdated, or recalled medications.	☒	☐	☐	☐	☐			☐	
	R432-270-18(13)	(13) The facility shall document the return of resident's medication to the resident or to the resident's responsible person upon discharge.	☒	☐	☐	☐	☐			☐	
	Section 19. Management of Resident Funds		C	NC	NA	Date	CDI	Notes			
	R432-270-19(1)	(1) Residents have the right to manage and control their financial affairs. The facility may not require residents to deposit their personal funds or valuables with the facility.	☐	☐	☒		☐	This facility does not manage any residents' funds.			

R432-270-19(2)(a)-(g)	(2) The facility is not required to handle residents' cash resources or valuables. However, upon written authorization by the resident or the resident's responsible person, the facility may hold, safeguard, manage, and account for the resident's personal funds or valuables deposited with the facility, in accordance with rule R432-270-19(2)(a)-g)	☐	☒		☐	This facility does not manage any residents' funds.
Section 20. Facility Records		C	NC	NA	Date	☐
R432-270-20(1)	(1) The facility shall maintain accurate and complete records. Records shall be filed, stored safely, and be easily accessible to staff and the Department.	☒	☐			☒
R432-270-20(2)	(2) Records shall be protected against access by unauthorized individuals.	☐	☒			Resident records were accessible in the unlocked clean linen closet on the first floor.
R432-270-20(3)(a)-(j)	(3) The facility shall maintain personnel records for each employee and shall retain such records for at least three years following termination of employment. Personnel records must include the following: (a) employee application; (b) date of employment; (c) termination date; (d) reason for leaving; (e) documentation of CPR and first aid training; (f) health inventory; (g) food handlers permits; (h) TB skin test documentation; (i) documentation of criminal background screening; and (j) documentation of core competency initial and annual training.	☒	☐			☐
R432-270-20(4)(a)-(g)	(4) The facility shall maintain in the facility a separate record for each resident that includes the following: (a) the resident's name, date of birth, and last address; (b) the name, address, and telephone number of the person who administers and obtains medications, if this person is not facility staff; (c) the name, address, and telephone number of the individual to be notified in case of accident or death; (d) the name, address, and telephone number of a physician and dentist to be called in an emergency; (e) the admission agreement; (f) the resident assessment; and (g) the resident service plan.	☐	☒		11/15/2023	☐ Four closed files were reviewed and did not have service plans. Two closed file were missing admission agreements and one file was missing a resident assessment and did not include the name and address of the physician and dentist to call in an emergency.

R432-270-20(5)	(5) Resident records must be retained for at least three years following discharge.	☒	☐		☐		
R432-270-20(6)	(6) There shall be written incident and injury reports to document consumer death, injuries, elopement, fights or physical confrontations, situations that require the use of passive physical restraint, suspected abuse or neglect, and other situations or circumstances affecting the health, safety or well-being of residents. The reports shall be kept on file for at least three years.	☒	☐		☐		
Section 21. Food Services		C	NC	NA	Date	CDI	Notes
R432-270-21(1)(a)-(c)	(1) Facilities shall have the capability to provide three meals a day, seven days a week, to residents, plus snacks. (a) The facility shall maintain onsite a one-week supply of nonperishable food and a three day supply of perishable food as required to prepare the planned menus. (b) There shall be no more than a 14 hour interval between the evening meal and breakfast, unless a nutritious snack is available in the evening. (c) The facility food service shall comply with the following: (i) Food shall be of good quality and shall be prepared by methods that conserve nutritive value, flavor, and appearance. (ii) The facility shall ensure food is palatable, attractively served, and delivered to the resident at the appropriate temperature. (iii) Powdered milk may only be used as a beverage, upon the resident's request, but may be used in cooking and baking.	☒	☐			☐	
R432-270-21(2)	(2) The facility shall provide adaptive eating equipment and utensils for residents as needed.	☒	☐			☐	

R432-270-21(3)(a)-(d)	(3) A different menu shall be planned and followed for each day of the week. (a) Menus must be approved and signed by a certified dietitian. (b) Cycle menus shall cover a minimum of three weeks. (c) The current week's menu shall be posted for residents' viewing. (d) Substitutions to the menu that are actually served to the residents shall be recorded and retained for three months for review by the Department.	☐	☒	☐		☒	Current menu was not posted for residents' viewing.
R432-270-21(4)	(4) Meals shall be served in a designated dining area suitable for that purpose or in resident rooms upon request by the resident.	☒	☐	☐		☐	
R432-270-21(5)	(5) Residents shall be encouraged to eat their meals in the dining room with other residents.	☒	☐	☐		☐	
R432-270-21(6)	(6) Inspection reports by the local health department shall be maintained at the facility for review by the Department.	☒	☐	☐		☐	
R432-270-21(7)	(7) If the facility admits residents requiring therapeutic or special diets, the facility shall have an approved dietary manual for reference when preparing meals. Dietitian consultation shall be provided at least quarterly and documented for residents requiring therapeutic diets.	☒	☐	☐		☐	
R432-270-21(8)(a)-(b)	(8) The facility shall employ food service personnel to meet the needs of residents. (a) While on duty in food service, the cook and other kitchen staff may not be assigned concurrent duties outside the food service area. (b) Personnel who prepare or serve food shall have a current Food Handler's Permit.	☐	☒	☐	11/15/2023	☐	One staff who prepares food did not have a current Food Handler's Permit.
R432-270-21(9)	(9) Food service shall comply with the Rule R392-100, Food Service Sanitation.	☒	☐	☐		☐	

	R432-270-21(10)	(10) If food service personnel also work in housekeeping or provide direct resident care, the facility shall develop and implement employee hygiene and infection control measures to maintain a safe, sanitary food service.	☒	☐	☐	☐	☐	☐
Section 22. Housekeeping Services			C	NC	NA	Date	CDI	Notes
	R432-270-22(1)	(1) The facility shall employ housekeeping staff to maintain both the exterior and interior of the facility.	☒	☐	☐		☐	
	R432-270-22(2)(a)-(b)	(2) The facility shall designate a person to direct housekeeping services. This person shall: (a) post routine laundry, maintenance, and cleaning schedules for housekeeping staff; and (b) ensure furniture, bedding, linens, and equipment are clean before use by another resident.	☒	☐	☐		☐	
	R432-270-22(3)	(3) The facility shall control odors by maintaining cleanliness.	☒	☐	☐		☐	
	R432-270-22(4)	(4) There shall be a trash container in every occupied room.	☒	☐	☐		☐	
	R432-270-22(5)	(5) Cleaning agents, bleaches, insecticides, or poisonous, dangerous, or flammable materials shall be stored in a locked area to prevent unauthorized access.	☐	☒	☐		☒	First floor "janitor" closet was unlocked, on the floor was a 2 liter container of bathroom cleaner.
	R432-270-22(6)	(6) Housekeeping personnel shall be trained in preparing and using cleaning solutions, cleaning procedures, proper use of equipment, proper handling of clean and soiled linen, and procedures for disposal of solid waste.	☒	☐	☐		☐	
	R432-270-22(7)	(7) Bathtubs, shower stalls, or lavatories may not be used as storage places.	☒	☐	☐		☐	
	R432-270-22(8)	(8) Throw or scatter rugs that present a tripping hazard to residents are not permitted.	☒	☐	☐		☐	
Section 23. Laundry Services			C	NC	NA		CDI	Notes

R432-270-23(1)	(1) The facility shall provide laundry services to meet the needs of the residents, including a sufficient supply of linens.	☒	☐	☐	☐	☐
R432-270-23(2)	(2) The facility shall inform the resident or the resident's responsible person in writing of the facility's laundry policy for residents' personal clothing.	☒	☐	☐	☐	☐
R432-270-23(3)	(3) Food may not be stored, prepared, or served in any laundry area.	☒	☐	☐	☐	☐
R432-270-23(4)	(4) The facility shall make available for resident use at least one washing machine and one clothes dryer.	☒	☐	☐	☐	☐
Section 24. Maintenance Services		C	NC	NA	Date	CDI
R432-270-24(1)(a)-(d)	(1) The facility shall conduct maintenance, including preventive maintenance, according to a written schedule to ensure that the facility equipment, buildings, fixtures, spaces, and grounds are safe, clean, operable, in good repair and in compliance with Rule R432-6. (a) Fire rated construction and assemblies must be maintained in accordance with Rule R710-3, Fire Marshal. (b) Entrances, exits, steps, and outside walkways shall be maintained in a safe condition, free of ice, snow, and other hazards. (c) Electrical systems, including appliances, cords, equipment call lights, and switches shall be maintained to guarantee safe functioning. (d) Air filters installed in heating, ventilation and air conditioning systems must be inspected, cleaned or replaced in accordance with manufacturer specifications.	☒	☐	☐		☐
R432-270-24(2)	(2) A pest control program shall be conducted in the facility buildings and on the grounds by a licensed pest control contractor or a qualified employee, certified by this state, to ensure the absence of vermin and rodents. Documentation of the pest control program shall be maintained for Department review.	☒	☐	☐		☐
R432-270-24(3)	(3) The facility shall document maintenance work performed.	☒	☐	☐		☐

R432-270-24(4)	(4) Hot water temperature controls shall automatically regulate temperatures of hot water delivered to plumbing fixtures used by residents. The facility shall maintain hot water delivered to public and resident care areas at temperatures between 105 - 120 degrees Fahrenheit.	☒	☐	☐	☐	☐		
Section 24. Disaster and Emergency Preparedness		C	NC	NA	Date	CDI	Notes	
R432-270-25(1)	(1) The facility is responsible for the safety and well-being of residents in the event of an emergency or disaster.	☒	☐	☐		☐		
R432-270-25(2)(a)-(c)	(2) The licensee and the administrator are responsible to develop and coordinate plans with state and local emergency disaster authorities to respond to potential emergencies and disasters. The plan shall outline: (a) the protection or evacuation of residents; (b) arrangements for staff response or provisions for additional staff to ensure the safety of any resident with physical or mental limitations; and (c) when to notify the Silver Alert program and the resident's emergency contacts.	☒	☐	☐		☐		
R432-270-25(3)	(3) Emergencies and disasters include fire, severe weather, missing residents, death of a resident, interruption of public utilities, explosion, bomb threat, earthquake, flood, windstorm, epidemic, or mass casualty.	☒	☐	☐		☐		
R432-270-25(4)	(4) The emergency and disaster response plan shall be in writing and distributed or made available to facility staff and residents to assure prompt and efficient implementation.	☒	☐	☐		☐		
R432-270-25(5)	(5) The licensee and the administrator shall review and update the plan as necessary to conform with local emergency plans. The plan shall be available for review by the Department.	☒	☐	☐		☐		

R432-270-25(6)(a)-(j)	(6) The facility's emergency and disaster response plan must address the following: (a) the names of the person in charge and persons with decision-making authority; (b) the names of persons who shall be notified in an emergency in order of priority; (c) the names and telephone numbers of emergency medical personnel, fire department, paramedics, ambulance service, police, and other appropriate agencies; (d) instructions on how to contain a fire and how to use the facility alarm systems; (e) assignment of personnel to specific tasks during an emergency; (f) the procedure to evacuate and transport residents and staff to a safe place within the facility or to other prearranged locations; (g) instructions on how to recruit additional help, supplies, and equipment to meet the residents' needs after an emergency or disaster; (h) delivery of essential care and services to facility occupants by alternate means; (i) delivery of essential care and services if additional persons are housed in the facility during an emergency; and (j) delivery of essential care and services to facility occupants if personnel are reduced by an emergency.	☒	☐	☐	☐	☐
R432-270-25(7)(a)-(c)	(7) The facility shall maintain safe ambient air temperatures within the facility. (a) Emergency heating must have the approval of the local fire department. (b) Ambient air temperatures of 58 degrees Fahrenheit or below may constitute an imminent danger to the health and safety of the residents in the facility. The person in charge shall take immediate action in the best interests of the residents. (c) The facility shall have, and be capable of implementing, contingency plans regarding excessively high ambient air temperatures within the facility that may exacerbate the medical condition of residents.	☒	☐	☐	☐	☐

R432-270-25(8)(a)-(d)	(8) Personnel and residents shall receive instruction and training in accordance with the plans to respond appropriately in an emergency. The facility shall: (a) annually review the procedures with existing staff and residents and carry out unannounced drills using those procedures; (b) hold simulated disaster drills semi-annually; (c) hold simulated fire drills quarterly on each shift for staff and residents in accordance with Rule R710-3; and (d) document drills, including date, participants, problems encountered, and the ability of each resident to evacuate.	☐	☒	☐	11/30/2023	☐	The facility was not observed to have documented fire drills quarterly on each shift during the fourth quarter of 2022, first quarter of 2023, second quarter of 2023, and the third quarter of 2023. The facility did not hold simulated disaster drills semi-annually.
R432-270-25(9)	(9) The administrator shall be in charge during an emergency. If not on the premises, the administrator shall make every effort to report to the facility, relieve subordinates and take charge.	☒	☐	☐		☐	
R432-270-25(10)	(10) The facility shall provide in-house equipment and supplies required in an emergency including emergency lighting, heating equipment, food, potable water, extra blankets, first aid kit, and radio.	☐	☒	☐	11/15/2023	☐	The provider did not have in-house sufficient heating equipment.
R432-270-25(11)(a)-(b)	(11) The following information shall be posted in prominent locations throughout the facility: (a) The name of the person in charge and names and telephone numbers of emergency medical personnel, agencies, and appropriate communication and emergency transport systems; and (b) evacuation routes, location of fire alarm boxes, and fire extinguishers.	☒	☐	☐		☐	
Section 26. First Aid		C	NC	NA	Date	CDI	Notes
R432-270-26(1)	(1) There shall be one staff person on duty at all times who has training in basic first aid, the Heimlich maneuver, certification in cardiopulmonary resuscitation and emergency procedures to ensure each resident receives prompt first aid as needed.	☒	☐	☐		☐	
R432-270-26(3)	(3) The facility shall have a first aid kit available at a specified location in the facility.	☒	☐	☐		☐	

			☒	☐					
R432-270-26(4)	(4) The facility shall have a current edition of a basic first aid manual approved by the American Red Cross, the American Medical Association, or a state or federal health agency.		☒	☐				☐	
R432-270-26(5)	(5) The facility shall have a clean-up kit for blood borne pathogens.		☒	☐				☐	
Section 27. Pets			C	NC	NA	Date	CDI	Notes	
R432-270-27(1)	(1) The facility may allow residents to keep household pets such as dogs, cats, birds, fish, and hamsters if permitted by local ordinance and by facility policy.		☒	☐				☐	
R432-270-27(2)	(2) The facility shall ensure pets are kept clean and disease-free.		☒	☐				☐	
R432-270-27(3)	(3) The pets' environment shall be kept clean.		☒	☐				☐	
R432-270-27(4)	(4) Small pets such as birds and hamsters shall be kept in appropriate enclosures.		☒	☐				☐	
R432-270-27(5)	(5) Pets that display aggressive behavior are not permitted in the facility.		☒	☐				☐	
R432-270-27(6)	(6) Pets that are kept at the facility or are frequent visitors must have current vaccinations.		☒	☐				☐	
R432-270-27(7)	(7) Upon approval of the administrator, family members may bring residents' pets to visit.		☒	☐				☐	

		(8) Each facility with birds shall have procedures that prevent the transmission of psittacosis. Procedures shall ensure the minimum handling and placing of droppings into a closed plastic bag for disposal.	☐	☐	☒		☐	This facility does not have any birds.
		(9) Pets are not permitted in central food preparation, storage, or dining areas or in any area where their presence would create a significant health or safety risk to others.	☒	☐	☐		☐	
		Section 28. Respite Services	C	NC	NA	Date	CDI	Notes
R432-270-27(8)		(1) Assisted Living facilities may offer respite services and are not required to obtain a respite license from the Utah Department of Health.	☐	☐	☒		☐	This facility does not provide respite services.
R432-270-28(2)		(2) The purpose of respite is to provide intermittent, time limited care to give primary caretakers relief from the demands of caring for a person. Respite services may also be provided for emergency shelter placement of vulnerable adults requiring protection by Adult Protective Services.	☐	☐	☒		☐	This facility does not provide respite services.
R432-270-28(3)		(3) Respite services may be provided at an hourly rate or daily rate, but may not exceed 14-days for any single respite stay. Stays that exceed 14 days shall be considered a non-respite assisted living facility admission, subject to the requirements of Rule R432-270.	☐	☐	☒		☐	This facility does not provide respite services.
R432-270-28(4)		(4) The facility shall coordinate the delivery of respite services with the recipient of services, case manager, if one exists, and the family member or primary caretaker.	☐	☐	☒		☐	This facility does not provide respite services.
R432-270-28(5)		(5) The facility shall document the person's response to the respite placement and coordinate with all provider agencies to ensure an uninterrupted service delivery program.	☐	☐	☒		☐	This facility does not provide respite services.

R432-270-28(6)	(6) The facility shall complete a service agreement to serve as the plan of care. The service agreement shall identify the prescribed medications, physician treatment orders, need for assistance for activities of daily living and diet orders.	☐	☐	☒		☐	This facility does not provide respite services.
R432-270-28(7)(a)-(h)	(7) The facility shall have written policies and procedures approved by the Department prior to providing respite care. Policies and procedures shall be available to staff regarding the respite care clients that include: (a) medication administration; (b) notification of a responsible party in the case of an emergency; (c) service agreement and admission criteria; (d) behavior management interventions; (e) philosophy of respite services; (f) post-service summary; (g) training and in-service requirement for employees; and (h) handling personal funds.	☐	☐	☒		☐	This facility does not provide respite services.
R432-270-28(8)	(8) Persons receiving respite services shall be provided a copy of the Resident Rights documents upon admission.	☐	☐	☒		☐	This facility does not provide respite services.
R432-270-28(9)(a)-(g)	(9) The facility shall maintain a record for each person receiving respite services that includes: (a) a service agreement; (b) demographic information and resident identification data; (c) nursing notes; (d) physician treatment orders; (e) records made by staff regarding daily care of the person in service; (f) accident and injury reports; and (g) a post-service summary.	☐	☐	☒		☐	This facility does not provide respite services.
R432-270-28(10)	(10) Retention and storage of respite records shall comply with Subsections R432-270-20(1), (2), and (5).	☐	☐	☒		☐	This facility does not provide respite services.
R432-270-28(11)	(11) If a person has an advanced directive, a copy shall be filed in the respite record and staff shall be informed of the advanced directive.	☐	☐	☒		☐	This facility does not provide respite services.

Section 29. Adult Day Care Services			C	NC	NA	Date	CDI	Notes
R432-270-29(1)	(1) Assisted Living Facilities Type I and II may offer adult day care services and are not required to obtain a license from Utah Department of Human Services. If facilities provide adult day care services, they shall submit policies and procedures for Department approval.	☐	☐	☐	☒		☐	This facility does not provide adult day care services.
R432-270-29(3)	(3) A qualified Director shall be designated by the governing board to be responsible for the day to day program operation.	☐	☐	☐	☒		☐	This facility does not provide adult day care services.
R432-270-29(4)(a)-(e)	(4) The Director shall have written records on-site for each consumer and staff person, to include the following: (a) demographic information; (b) an emergency contact with name, address and telephone number; (c) consumer health records, including the following: (i) record of medication including dosage and administration; (ii) a current health assessment, signed by a licensed practitioner; and (iii) level of care assessment; (d) signed consumer agreement and service plan; (e) Employment file for each staff person that includes: (i) health history; (ii) background clearance consent and release form; (iii) orientation completion, and (iv) in-service requirements.	☐	☐	☐	☒		☐	This facility does not provide adult day care services.
R432-270-29(5)(a)-(e)	(5) The program shall have a written eligibility, admission and discharge policy to include the following: (a) intake process; (b) notification of responsible party; (c) reasons for admission refusal that includes a written, signed statement; (d) resident rights notification; and (e) reason for discharge or dismissal.	☐	☐	☐	☒		☐	This facility does not provide adult day care services.
R432-270-29(6)	(6) Before a program admits a consumer, a written assessment shall be completed to evaluate current health and medical history, immunizations, legal status, and social psychological factors.	☐	☐	☐	☒		☐	This facility does not provide adult day care services.

R432-270-29(7)(a)-(c)	(7) A written consumer agreement, developed with the consumer, the responsible party and the Director or designee, shall be completed, signed by all parties and include the following: (a) rules of the program; (b) services to be provided and cost of service, including refund policy; and (c) arrangements regarding absenteeism, visits, vacations, mail, gifts and telephone calls.	☐	☐	☒		☐	This facility does not provide adult day care services.
R432-270-29(8)	(8) The Director, or designee, shall develop, implement and review the individual consumer service plan. The plan shall include the specification of daily activities and services. The service plan shall be developed within three working days of admission and evaluated semi-annually.	☐	☐	☒		☐	This facility does not provide adult day care services.
R432-270-29(9)	(9) There shall be written incident and injury reports to document consumer death, injuries, elopement, fights or physical confrontations; situations that require the use of passive physical restraint, suspected abuse or neglect, and other situations or circumstances affecting the health, safety or well-being of a consumer while in care. Each report will be reviewed by the Director and responsible party. The reports shall be kept on file.	☐	☐	☒		☐	This facility does not provide adult day care services.
R432-270-29(10)	(10) There shall be a daily activity schedule posted and implemented as designed.	☐	☐	☒		☐	This facility does not provide adult day care services.
R432-270-29(11)	(11) Consumers shall receive direct supervision at all times and be encouraged to participate in activities.	☐	☐	☒		☐	This facility does not provide adult day care services.

	R432-270-29(12)(a)-(c)	(12) There shall be a minimum of 50 square feet of indoor floor space per consumer designated for adult day care during program operational hours. (a) Hallways, office, storage, kitchens, and bathrooms may not be included in the calculation. (b) Indoor and outdoor areas shall be maintained in a clean, secure and safe condition. (c) There shall be at least one bathroom designated for consumers use during business hours. For facilities serving more than 10 consumers, there shall be separate male and female bathrooms designated for consumer use.	☐	☒			☐	This facility does not provide adult day care services.	
	R432-270-29(13)(a)-(c)	(13) Staff supervision shall be provided continually when consumers are present. (a) Staff ratios shall be maintained at one staff for every eight consumers. (c) In programs where one-half or more of the consumers are diagnosed by a physician's assessment with Alzheimer's, or related dementia, the ratio shall be	☐	☒			☐	This facility does not provide adult day care services.	
	Section 30. Penalties		C	NC	NA	Date	CDI	Notes	
	R432-270-30	Any person who violates any provision of this rule may be subject to the penalties enumerated in Section 26-21-11 and Section R432-3-6 and be punished for violation of a class A misdemeanor as provided in Section 26-21-16.	☒	☐			☐		
	R432-35-4. Covered Provider - DACS Process		C	NC	NA	Date		Notes	
	R432-35-4(1)	(1) The covered provider shall enter required information into DACS to initiate a certification for direct patient access of each covered individual before issuance of a provisional license, license renewal, or engagement as a covered individual.	☐	☒	☐	11/2/2023	☐	One employee was not entered into DACS prior to hire.	
	R432-35-4(2)(a)-(b)	(2) The covered provider shall ensure the engaged covered individual: (a) signs a criminal background screening authorization form that is available for review by the department; and (b) submits fingerprints within 15 working days of engagement.	☐	☒	☐	11/15/2023	☐	Two Employees did not sign criminal background screening authorization forms.	

R432-35-4(3)	(3) The covered provider shall ensure DACS reflects the current status of the covered individual within five working days of the engagement or termination.	☒	☐	☐	☐	☐	☐
R432-35-4(4)	(4) The covered provider may provisionally engage a covered individual while certification for direct patient access is pending as permitted in Section 26B-2-239.	☒	☐	☐	☐	☐	☐
R432-35-4(5)	(5) If the department determines an individual is not eligible for direct patient access, based on information obtained through DACS and the sources listed in Section R432-35-8, the department shall send a notice of agency action, as outlined in Rule R432-30, to the covered provider and the individual explaining the action and the individual's right of appeal.	☐	☒	☐	☐	☐	All reviewed employees were eligible for direct patient access.
R432-35-4(6)	(6) The covered provider may not arrange for a covered individual who has been determined not eligible for direct patient access to engage in a position with direct patient access.	☒	☐	☐	☐	☐	
R432-35-4(7)	(7) The department may allow a covered individual to have direct patient access with conditions, during an appeal process, if the covered individual demonstrates to the department, the work arrangement does not pose a threat to the safety and health of patients or residents.	☐	☒	☐	☐	☐	None of the reviewed employees were working with conditions during an appeal.
R432-35-4(8)	(8) The covered provider that provides services in a residential setting shall enter required information into DACS to initiate and obtain certification for direct patient access for each individual 12 years of age and older, who is not a resident, and resides in the residential setting. If the individual is not eligible for direct patient access and continues to reside in the setting, the department may revoke an existing license or deny licensure for healthcare services in the residential setting.	☐	☒	☐	☐	☐	Services are not being provided in a residential setting.

R432-35-4(9)(a)-(d)	(9) The covered provider seeking to renew a license as a health care facility shall utilize DACS to run a verification report and verify each covered individual's information is correct, including: (a) employment status; (b) address; (c) email address; and (d) name.	☒	☐	☐	☐	☐	
R432-35-4(10)	(10) An individual or covered individual seeking licensure as a covered provider shall submit required information to the department to initiate and obtain certification for direct patient access before the issuance of the provisional license. If the individual is not eligible for direct patient access, the department may revoke an existing license or deny licensure as a health care facility.	☒	☐	☐	☐	☐	

ASSISTED LIVING - RESIDENT RECORD REVIEW									
Provider:		Provider #:		Date:		Licensor(s):			
Meds-Medications, Mem-Memory, Dec-Decisions, Com-Communication, Groom-Grooming, OH-Oral Hygiene, Drsg-Dressing, Tol-Toileting, Cont-Continenence, Bath-Bathing, E-Eating, Amb-Ambulation, Trnsf-Transferring									
RESIDENT	DOB	DOA	ASSESSMENTS	SERVICE PLAN		MEDICATIONS	DIETARY	COMMENTS	
				Date	Level				
Name: 1			PRE-ADMIT/6 MONTH DATE: Meds Mem Dec Com Groom OH Drsg Tol Cont Bath Eat Amb Trnsf	Meds Mem Dec Com Groom OH Drsg Tol Cont Bath Eat Amb Trns	6 Month MAR	Qrtly RC	Observations / Interviews		
DX:									
HH / Hospice:									
ER Plan:									
Hospitalizations / Sig Change:			6 MONTH/SIG CHANGE DATE: Meds Mem Dec Com Groom OH Drsg Tol Cont Bath Eat Amb Trnsf	Meds Mem Dec Com Groom OH Drsg Tol Cont Bath Eat Amb Trnsf					

2	Name:				PRE-ADMIT/6 MONTH DATE:	Meds Mem Dec Com Groom OH Drsg Tol Cont Bath Eat Amb Trnsf	Meds Mem Dec Com Groom OH Drsg Tol Cont Bath Eat Amb Trns					
DX:												
HH / Hospice:												
ER Plan:												
Hospitalizations / Sig Change:					6 MONTH/SIG CHANGE DATE:	Meds Mem Dec Com Groom OH Drsg Tol Cont Bath Eat Amb Trnsf	Meds Mem Dec Com Groom OH Drsg Tol Cont Bath Eat Amb Trnsf					

[illegible]

Assisted Living Survey		
Check	ITEMS	NOTES
	Current Census:	
☒	List of all current residents and discharged residents for past 6 months	
☒	Specify resident's receiving: - Home Health - Hospice - Waiver	
☒	And/or who have: - Wounds - Side Rails on Bed - Insulin Dependent Diabetes - Special Diets	
☒	List of all current employees (including job title and hire date)	
☒	Location of resident records and service plans	
☒	Significant Change Log	
☐	Inservice records or log	
☐	Incident reports and medication error reports for previous 6 months	
☒	Abuse Investigations for previous 12 months	

☒	Quality Assurance Committee minutes for previous 12 months	
☒	Fire and Disaster drills for previous 12 months	
☒	Current Fire Sprinkler Inspection (if applicable)	
☒	Current Fire Alarm System tests (if applicable)	
☐	Maintenance Log/Schedules and Equipment Test Logs	
☒	Pest Control	
☒	Boiler Certificates (if applicable)	
☒	Local Health Department Food Service Inspection Reports	
☒	Current Menus and Substitution Log	
☒	Diet Manual	
☒	Policies for medication storage and disposal	
☒	Policies for infection control	
☒	Facility disaster plan	

	Blood Borne spill kit, First aid kit and manual	
	Specified Closed Records:	