

Assisted Living Type I Facility Survey

The following mock survey tool is to ensure residents are receiving the highest quality of care in a safe, home like environment. This is not intended to replace a state survey, but to be used internally, to ensure the facility is meeting the regulatory requirements of the state of Utah

****The Utah Assisted Living Association (UALA) will not be held liable for any damages resulting from the intended or unintended misuse of this tool, or by non-UALA providers using this document for any purpose****

Intended for use by Utah Assisted Living Association members only

Survey steps:

- 1) Entrance Interview
 - a. Identify who you are to the facility administrator and staff.
 - b. Explain the process of the survey and observation of the facility and that you will be conducting a review of the records.
 - c. Request a list of residents and employees to determine the sample of records that will be reviewed.
 - d. Explain that at the end of the survey you will discuss any deficient practice found and that they will have an opportunity to present any evidence to clarify a finding.
- 2) Observe residents
 - a. Observe all indoor and outdoor areas of the facility for safety which are used for residents.
 - b. Observe the staff interaction with the residents and their families.
 - c. Does the facility provide needed services, are all health needs being met, are residents free from
 - d. Document all pertinent concerns, observations and interviews.
- 3) Review resident medical records
 - a. Obtain a list of all current residents
 - b. Obtain a list of any discharged residents for the past year
 - c. Specify residents receiving:
 - i. Home health or hospice care
 - ii. Wavier program (New Choices, Weber Max)
 - d. Specify residents who have:
 - i. Wounds
 - ii. Insulin dependent diabetes
 - iii. Side rails on bed
 - iv. Special diet
- 4) Review of personnel records
 - a. Obtain list of all current employees
 - i. Specify job title and hire date
- 5) Exit interview
 - a. Review survey findings with facility administrator and department heads.
 - b. Allow them to present evidence to clarify any findings.
 - c. Explain each deficiency noted in the observation of the facility and review of the records.
 - d. Describe appropriate plan of correction.

R432-270-4 Licensing

- 1) A person that offers or provides care to two or more unrelated individuals in a residential facility must be minimally licensed as an assisted living facility if:
 - a. the individuals stay in the facility for more than 24 hours; and
 - b. the facility provides or arranges for the provision of assistance with one or more activity of daily living for any of the individuals.
- 4) A Type I assisted living facility shall provide social care to the individuals under care.
 Review facilities social care program. Does it met residents needs?
- 6) Type I assisted living facilities must provide each resident with a separate living unit. Two residents may share a unit upon written requests of both residents.
 Ensure written requests for double occupancy are in place
- 7) An individual may continue to remain in an assisted living facility provided:
 - a. the facility construction can meet the individual's needs;
 - b. the individual's physical and mental needs are appropriate to the assisted living criteria; and
 - c. the facility provides adequate staffing to meet the individual's needs. Staffing needs are sufficient to resident census and acuity levels
- 8) Assisted living facilities may be licensed as large, small, or limited capacity facilities.
 - a. A large assisted living facility houses 17 or more residents.
 - b. A small assisted living facility houses 6 to 16 residents
 - c. A limited capacity assisted living facility houses two to five residents.

Comments:

R432-270-5 Licensee

- 1) The licensee must:
 - 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; ensure policy and procedure manual is in place
 - d. implement a policy which ensures that the facility does not discriminate on the basis of race, color, sex, religion, ancestry, or national origin in accordance with state and federal law; Review policy on discrimination. Policy meets state and federal law.

e. secure and update contracts for required services not provided directly by the facility;

Identify any service contracts in place. Are they up to date?

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.

Facility has, in writing, who the qualified administrator is.

2) The licensee shall implement a quality assurance program to include a Quality Assurance Committee. The committee must:

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.

Review the last year of Q&A meeting notes:

Meets every 3 months

Reviews all injuries and accidents to residents and employees

3) If the licensee is a corporation or an association, it shall maintain an active and functioning governing body to fulfill licensee duties and to ensure accountability.

Is the facility a corporation or an association?

Do they remain active to ensure accountability?

Comments:

R432-270-6 Administrator Qualifications

1) The administrator shall have the following qualifications:

Be at least 21 years of age or older

Have knowledge of applicable laws and rules

Have the ability to deliver, or direct the delivery of appropriate care to residents

Successfully complete the criminal background screening process defined in R432-35

Completed a Department approved national certification program within six months of hire

2) In addition to R432-270-6(1) the administrator of a Type I assisted living shall have an associate degree or at least 2 years experience in a health care facility

Review administrators associate degree or experience

Comments:

R432-270-7 Administrator Duties

- 1) The administrator must:
 - 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
 - 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
- 2) The administrator is responsible for the following:
 - a. recruit, employ, and train the number of licensed and unlicensed staff needed to provide services.
 - b. verify all required licenses and permits of staff and consultants at the time of hire or the effective date of contract.
 - c. maintain facility staffing records for the preceding 12 months
 - Facility has personnel records for the preceding 12 months
 - d. admit and retain only those residents who meet admissions criteria and whose needs can be met by the facility
 - Current residents meet admission criteria
 - e. review at least quarterly every injury, accident, and incident to a resident or employee and document appropriate corrective action
 - Quality assurance documentation is in place
 - f. maintain a log indicating any significant change in a resident's condition and the facility's action or response
 - Review significant change log. Is the appropriate corrective action taking place?
 - g. complete an investigation whenever there is reason to believe that a resident has been subject to abuse, neglect, or exploitation
 - h. report all suspected abuse, neglect, or exploitation in accordance with Section 62A-3-, and document appropriate action if the alleged violation is verified
 - i. notify the residents responsible person with 24 hours of significant changes or deterioration of the resident's health, and ensure the resident's transfer to an appropriate health care facility if the resident requires services beyond the scope of the facility's license
 - Is facility notifying residents responsible persons with 24 hours?
 - j. conduct and document regular inspections of the facility to ensure it is safe from potential hazards

- Review documentation of facility inspections
- k. complete, submit, and file all records and reports required by the department
- Records and reports are all complete and up to date
- l. participate in a quality assurance program
- Review facility's quality assurance program
- m. secure and update contracts for required professional and other services not provided directly by the facility

Comments:

R432-270-8 Personnel

- 1) Qualified competent direct-care personal shall be on the premises 24 hours a day to met 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
 - Is facility adequately staffed throughout each department?
- 2) The services provided or arranged by the facility shall be provided by qualified persons in accordance with the residents written service plan
- 3) Personnel who provide personal care to residents in a Type I 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.
 - Review that personel meet employment qualifacations
- 5) Personnel shall be licensed, certified, or registered in accordance with applicable state laws
- 6) The administrator shall maintain written job descriptions for each position, including job title, job responsibilities, qualifications, or required skills.
 - Specific job descriptions are in place for each position
- 7) Facility policies and procedures must be available to personnel at all times.
 - Locate facility policy and procedure Manual. Does staff know where it is located?
- 8) All personnel must receive documented orientation to the facility and the job for which they are hired. Orientation shall include the following:
 - Job description
 - Ethics, confidentiality, and residents' rights
 - Fire and disaster plan
 - Policy and procedures
 - Reporting responsibility for abuse, neglect and exploitation
- 9) Each employee shall receive documented in-service training. The training shall be tailored to include all of the following subjects that are relevant to the employee's job responsibilities:

- Principles of good nutrition, menu planning, food preparation, and storage
- Principles of good housekeeping and sanitation
- Principles of providing personal and social care
- Proper procedures in assisting residents with medications
- Recognizing early signs of illness and determining when there is a need for professional help
- Accident prevention, including safe bath and shower water temperatures
- Communication skills which enhance resident dignity
- First aid
- Resident's rights and reporting requirements of Section 62A-3-201 to 312
- Special needs of the Dementia/Alzheimer's resident

10) An employee who reports suspected abuse, neglect, or exploitation shall not be subject to retaliation, disciplinary action, or termination by the facility for that reason alone.

11) The facility shall establish a personnel health program through written personnel health policies and procedures which protect the health and safety of personnel, residents, and the public.

- Review policies and procedure for the facilities personnel health program

12) The facility must 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 obtain at least the employee's history of the following:

- Conditions that may predispose the employee to acquiring or transmitting infectious diseases
- 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.

- The facility has an employee immunization schedule in place

The CDC recommends standing orders for the following:

- Influenza
- Pneumococcal
- Hepatitis B
- Diphtheria
- Tetanus

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 R388-804, Special Measures for the Control of Tuberculosis.

- i. The license shall ensure that all employees are skin-tested for tuberculosis within two weeks of:

- Initial hiring
- Suspected exposure to a person with active tuberculosis
- Development of symptoms of tuberculosis

ii. Skin testing shall be exempted for all employees with known positive reaction to skin tests.

d. All infections and communicable diseases reportable by law shall be reported to the local health department in accordance with the Communicable Disease Rule

R386-702-3.

- e. The facility shall comply with the Occupational Safety and Health Administration's Blood-borne Pathogen Standard.

Review facilities policy and procedure with blood blood-borne pathogens

Comments:

R432-270-9 Residents' Rights

- 1) Assisted living facilities shall develop a written resident's rights statement based on this section.
- 2) The administrator or designee shall give the resident a written description of the resident's legal rights upon admission, including the following:
 - A description of the manner of protecting the personal funds, in accordance with Section R432-270-20
 - 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
 - A written copy of the residents rights are given to resident/family upon admission
- 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 of all rules governing resident conduct and responsibilities during the stay in the facility.
 - Ensure facility has resident service agreement in place at time of admission
- 4) The administrator or designee must promptly notify in writing the resident or the resident's responsible person when there is a change in the resident rights under state law.
- 5) Resident rights include the following:
 - The right to be treated with respect, consideration, fairness, and full recognition of personal dignity and individuality
 - The right to be transferred, discharged, or evicted by the facility only in accordance with the terms of the signed admission agreement
 - The right to be free of mental and physical abuse, and chemical and physical restraints.
 - A physical restraint is a device that limits or restricts a residents' movement. A device will be considered a restraint if the resident cannot initiate and release it independently. Full and 3/4 side rails are not allowed
 - Locate facility's P&P for use of bed canes and side rails
 - The right to refuse to perform work for the facility

- 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
 - iv. Compensation for paid services is at or above the prevailing rate for similar work in the surrounding community
- The right to privacy during visits with family, friends, clergy, social workers, ombudsmen, resident groups, and advocacy representatives
- The right to share a unit with a spouse if both spouses consent, and if both spouses are facility residents
- The right to privacy when receiving personal care or services
- The right to keep personal possessions and clothing as space permits
- The right to participate in religious and social activities of the resident's choice
- The right to interact with members of the community both inside and outside the facility
- The right to send and receive mail unopened
- The right to have access to telephones to make and receive private calls
- The right to arrange for medical and personal care
- The right to have a family member or responsible person informed by the facility of significant changes in the resident's cognitive, medical, physical, or social condition or needs
- The right to leave the facility at any time and not be locked into any room, building, or on the facility premises during the day or night.
- The right to be informed of complain or grievance procedures and to voice grievances and recommend changes in policies and services to facility staff or outside representatives without restraint, discrimination, or reprisal
- The right to be encouraged and assisted throughout the period of a stay to exercise these rights as a resident and as a citizen
- The right to manage and control personal funds, or to be given an accounting of personal funds entrusted to the facility, as provided in R432-270-20 concerning management of resident funds
- The right, upon oral or written request, to access within 24 hours all records pertaining to the resident, including clinical records
- The right, two working days after the day of the resident's oral or written request, to purchase at a cost not to exceed the community standard photocopies of the resident's records or any portion thereof
- The right to personal privacy and confidentiality of personal and clinical records
- The right to be fully informed in advance about care and treatment and of any changes in that care or treatment that may affect the resident's well-being
- The right to be fully informed in a language and in a manner the resident understands of the resident's health status and health rights, including the following:
 - i. Medical condition
 - ii. The right to refuse treatment
 - iii. The right to formulate an advance directive in accordance with UCA Section 75-2a

- iv. the right to refuse to participate in experimental research
- 6) The following items must be posted in a public area of the facility that is easily accessible by residents:
 - The long term care ombudsmen's notification poster
 - Information on Utah protection and advocacy systems
 - A copy of the resident's rights
- 7) The facility shall have available in a public area of the facility the results of the current survey of the facility and any plans of correction.
 - Locate facility's past surveys. Are they accessible to the public?
- 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.
 - The facility shall provide private space for resident groups or family groups.
 - Facility personnel or visitors may attend resident group or family group meetings only at the group's invitation
 - The administrator shall designate an employee to provide assistance and to respond to written requests that result from group meetings

Comments:

R432-270-10 Admissions

- 1) The facility shall have written admission, retention, and transfer policies that are available to the public on request.
 - Locate and review policies. Are they available to the public on request?
- 2) Before accepting a resident, the facility must obtain sufficient information about the person's ability to function in the facility through the following:
 - An interview with the resident and the resident's responsible person
 - The completion of the resident assessment
- 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.
- 4) A Type I facility shall accept and retain residents who meet the following criteria:
 - Are ambulatory or mobile and are capable of taking life saving action in an emergency without the assistance of another person
 - Have stable health
 - Requires no assistance or limited assistance with activities of daily living and do not require total assistance from staff or others with more than two ADL's

- Are cognitively impaired or physically disabled but able to evacuate from the facility without the assistance of another person
 - require and receive intermittent care or treatment in the facility from a licensed health care professional either through contract or by the facility; if permitted by facility policy.
- 6) Type I assisted living facilities shall not admit or retain a person who:
- Manifests behavior that is suicidal, sexually or socially inappropriate, assaultive or poses a danger to self or others
 - 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
 - Requires inpatient hospital, long-term nursing care or 24-hour continual nursing care that will last longer than 15 calendar days after the day on which the nursing care begins
- 7) The prospective resident or the prospective resident's responsible person must 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:
- Room and board charges and charges for basic and optional services
 - Provision for a 30-day notice prior to any change in established charges
 - Admission, retention, transfer, discharge, and eviction policies
 - Conditions under which the agreement may be terminated
 - The name of the responsible party
 - Notice that the Department has the authority to examine resident records to determine compliance with licensing requirements
 - Refund provisions that address the following:
 - thirty-day notices for transfer or discharge given by the facility or by the resident
 - emergency transfers or discharges
 - transfers or discharges without notice
 - the death of a resident
 - Ensure that service agreements are completed and signed
- 8) A type I assisted living facility may accept and retain residents who have been admitted to a hospice program under the following conditions:
- The facility keeps a copy of the physician's diagnosis and orders for care
 - The facility makes the hospice services part of the resident's service plan which shall explain who is responsible to meet the resident's needs
- c. A facility may retain hospice patient residents who are not capable of exiting the facility without assistance with the following conditions:
- The facility must assure that a worker or an individual is assigned solely to each specific hospice patient and is on-site to assist the resident in emergency evacuation 24 hours a day, seven days a week
 - the facility must train the assigned worker or individual to specifically assist in the emergency evacuation of the assigned hospice patient resident
 - The worker or individual must be physically capable of providing emergency evacuation assistance to the particular hospice patient resident; and
 - Hospice residents who are not capable of exiting the facility without assistance comprise no more than 25 percent of the facility's resident census

Comments:

R432-270-11 Transfer or Discharge Requirements

- 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.
 - e. The facility ceases to operate.
- 2) Prior to transferring or discharging a resident, the facility shall serve a transfer or discharge notice upon the resident and the resident's responsible person.
 - The notice shall be either hand-delivered or sent by certified mail.
 - The notice shall be made at least 30 days before the day on which the facility plans to transfer or discharge the resident, except that the notice may be made as soon as practicable before the transfer or discharge if:
 - the safety or health of persons in the facility is endangered: or
 - an immediate transfer or discharge is required by the resident's urgent medical needs.
- 3) The notice of transfer or discharge shall:
 - Be in writing with a copy placed in the resident file
 - Be phrased in a manner and in a language the resident can understand
 - Detail the reasons for transfer or discharge
 - State the effective date of transfer or discharge
 - State the location to which the resident will be transferred or discharged
 - State that the resident may request a conference to discuss the transfer or discharge

If applicable; must also contain the following information:

 - For facility residents who are 60 years of age or older, the name, mailing address, and telephone number of the State Long Term Care Ombudsman
 - 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 part C of the Developmental Disabilities Assistance and Bill of Rights Act

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

- 4) The facility shall provide sufficient preparation and orientation to a resident to ensure a safe and orderly transfer or discharge from the facility.
- 5) The resident or the resident's responsible person may contest a transfer or discharge. If the transfer or discharge is contested, the facility shall provide an informal conference, except where undue delay might jeopardize the health, safety, or well-being of the resident or others.

The resident or the resident's responsible person must request the conference within five calendar days of the day of receipt of notice of discharge to determine if a satisfactory resolution can be reached.

Participants in the conference shall include the facility representatives, the resident or the resident's responsible person, and any others requested by the resident or the resident's responsible person.

Review the past year of transfer and discharge notices for compliance

Comments:

R432-270-12 Resident Assessment

- 1) A signed and dated resident assessment shall be completed on each resident prior to admission and at least every six months thereafter.
 - Resident assessments are completed prior to admission and every 6 months
 - Assessment information appears to correctly depict the residents actual health
- 2) In Type I facilities, the initial and six-month resident assessment must be completed and signed by a licensed health care professional.
 - Resident assessments are signed by RN
- 3) 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.
 - Assessment includes a statement that the resident meets admission criteria
- 4) The facility shall use a resident assessment form that is approved and reviewed by the Department to document the resident assessments.
 - Facility is using the appropriate assessment form
 - Has assessment form been approved by the Department?
- 5) 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.

- Change in condition assessments are completed when appropriate
- Service plans are also updated to reflect significant change

Comments:

R432-270-13 Service Plan

- 1) Each resident must 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.
 - Are the service plans created with 7 days of the residents admission?
 - Are the service plans updated every six months?
 - Is the staff aware of the needs of each resident?
 - Is the care documented on the service plan the same care they actually receive?
- 2) The facility shall use the resident assessment to develop, review, and revise the service plan for each resident.
 - Does the service plan reflect the same care documented on the assessment?
 - Does the staff receive adequate training and instruction on the residents plan?
- 3) The service plan must be prepared by the administrator or a designated facility service coordinator.
 - Ensure that the service plan has a documented date of review and is signed
- 4) The service plan shall include a written description of the following:
 - What services are provided
 - Who will provide the services, including the resident's significant others who may participate in the delivery of services
 - How the services are provided
 - The frequency of services
 - Changes in services and reasons for those changes
 - Includes services provided by home health, hospice, family or any other outside services or volunteers

Comments:

R432-270-14 Service Coordinator

- 1) If the administrator appoints a service coordinator, the service coordinator must have knowledge, skills, and abilities to coordinate the service plan for each resident.
 - Who is creating the service plan?
 - Does the service coordinator appear to have the knowledge, skills and abilities to coordinate the service plan?
- 2) The duties and responsibilities of the service coordinator must be defined by facility policy and included in the designee's job description.
 - Review service coordinators job description
- 3) The service coordinator is responsible to document that the resident or resident's designated responsible person is encouraged to actively participate in developing the service plan.
 - Find documentation that includes residents or designated responsible person was encouraged to participate in service planning
 - How often is the facility performing service planning reviews?
- 4) The administrator and designated service coordinator are responsible to ensure that each resident's service plan is implemented by facility staff.
 - How is staff being informed of new or changed service plans?

Comments:

R432-270-15 Nursing Services

- 1) The facility must develop written policies and procedures defining the level of nursing services provided by the facility.
 - Review facilities nursing P&P Manual
 - Insulin dependent diabetics who are medically stable
 - Foley or supra pubic catheters
 - Wound Care
 - Feeding tubes
 - B12 and other injections
- 2) A Type I assisted living facility must 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
 - Ensure registered nurse is currently on staff
- 4) A Type I assisted living facility may provide nursing care according to facility policy. If a Type

If assisted living facility chooses to provide nursing services, the nursing services must be provided in accordance with R432-270-15(3)(a) through (c).

Does facility provide nursing services? If yes, the following must be preformed:

- A nursing assessment on each resident
- General health monitoring on each resident
- Routine nursing tasks, including those that may be delegated to unlicensed assistive personnel in accordance with the Utah Nurse Practice Act R156-31B-701

5) Type I assisted living facility shall not provide skilled nursing care, but must assist the resident in obtaining required services. To determine whether a nursing service is skilled, the following criteria shall apply:

- 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.
- Care is needed to prevent, to the extent possible, deterioration of a condition or to sustain current capacities of a resident.

Comments:

R432-270-17 Arrangements for Medical or Dental Care

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.

- Verify that these services are arranged for residents as needed
 - Physician
 - Dentist
 - Pharmacist
 - Therapy
 - Podiatry
 - Hospice/Home health

2) The facility shall arrange for care through one or more of the following methods:

- Notifying the resident's responsible person
- Arranging for transportation to and from the practitioner's office
- Arrange for a home visit by a health care professional

3) The facility must notify a physician or other health care professional when the resident requires immediate medical attention.

- Locate documentation that notification takes place

Comments:

R432-270-18 Activity Program

- 1) Residents shall be encouraged to maintain and develop their fullest potential for independent living through participation in activity and recreational programs.
 - Interview with residents suggest that recreational programs are meeting their needs?
- 2) The facility shall provide opportunities for the following:
 - Socialization activities
 - Independent living activities to foster and maintain independent functioning
 - Physical activities
 - Community activities to promote resident participation in activities away from the facility
- 3) The administrator shall designate an activity coordinator to direct the facility's activity program. The activity coordinator's duties include the following:
 - Coordinate all recreational activities, including volunteer and auxiliary activities
 - Plan, organize, and conduct the residents' activity program with resident participation
 - Develop and post monthly activity calendars, including information on community activities, based on residents' needs and interests
- 4) The facility shall provide sufficient equipment, supplies, and indoor and outdoor space to meet the recreational needs and interests of residents.
 - Visualize facility's activity area. Does it appear to have required supplies?
- 5) The facility shall provide storage for recreational equipment and supplies. Locked storage must be provided for potentially dangerous items such as scissors, knives, and toxic materials.
 - Locate locked storage area for potentially dangerous supplies

Comments:

R432-270-19 Medication Administration

- 1) A licensed health care professional must 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.
 - Resident assessment identifies what level of medication assistance is needed
- 2) Each resident's medication program must be administered by means of one of the methods described in (a) through (e) in this section:
 - a. The resident is able to self-administer medications
 - Residents who have been assessed to be able to self-administer medications may keep prescription medications in their rooms
 - If more than one residents resides in a unit, the facility must 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:
 - Reminding the resident to take the medication
 - Opening medication containers
 - 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 member or designated responsible person assists with medication administration, they shall sign a waiver indicating that they agree to assume the responsibility to fill prescriptions, administer medication, and document that the medication has been administered. Facility staff may not serve as the designated responsible person.
 - Identify residents that receive assistance from family
 - Review signed waiver that they agreed to assume responsibility
 - Review documentation that medications were administered
 - d. For residents who are unable to self-administer or self-direct medications, facility staff may administer medications only after delegation by a licensed health care professional under the scope of their practice.
 - If a licensed health care professional delegates the task of medication administration to unlicensed assistive personnel, the delegation shall be in accordance with the Nurse Practice Act and R156-31B-701
 - The medication must be administered according to the prescribing order
 - The delegating authority must provide and document supervision, evaluation, and training of unlicensed assistive personnel assisting with medication administration
 - The delegating authority or another registered nurse shall be readily available either in person or by telecommunication
 - e. Home health or hospice agency staff may provide medication administration to facility residents exclusively, or in conjunction with (a) through (d) of this section.
- 3) The facility must have a licensed health care professional or licensed pharmacist review all resident medication at least every six months.
 - Locate documentation that resident medications have been reviewed

4) Medication records shall include the following:

- The resident's name
- The name of the prescribing practitioner
- Medication name including prescribed dosage
- The time, dose and dates administered
- The method of administration
- Signatures of personnel administering the medication
- The review date

5) The licensed health care professional or licensed pharmacist should 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 must co-sign within 72 hours. The licensed health care professional must notify all unlicensed assistive personnel who administer medications of the medication change.

- Medication changes are co-signed with 72 hours
- How are unlicensed assistive personnel notified of medication changes?

6) Each resident's medication record must contain a list of possible reactions and precautions for prescribed medications.

- A list of possible reactions and precautions are in place?

7) The facility must notify the licensed health care professional when medication errors occur.

- Who is notified when a medication error occurs?

8) Medication error incident reports shall be completed when a medication error occurs or is identified.

- Review medication error reports

9) Medication errors must be incorporated into the facility quality improvement process.

- Medication errors are included in the review of quality improvement process

10) Medications shall be stored in a locked central storage area to prevent unauthorized access.

- Observe area where medications are stored. Is it locked? Who has access?
- Observe area where medications are stored. Is it locked? Who has access?
 - a. If medication is stored in a central location, the resident shall have timely access to the medication
 - Interview with residents suggests they receive medication timely
 - b. Medications that require refrigeration shall be stored separately from food items and at temperatures between 36 - 46 degrees Fahrenheit.
 - Review temperature log, temp remains between 36-46 degrees
 - c. The facility must develop and implement policies for the security and disposal of narcotics. Any disposal of controlled substances by a licensee or facility staff shall be consistent with the provisions of 21 CFR 1307.21
 - Review policy for security and disposal of narcotics
 - Policy meets provisions of 21 CFR 1307.21

11) The facility shall develop and implement a policy for disposing of unused, outdated, or recalled medications.

- Review facility's policy and procedure for medication disposal
 - a. The facility shall return a resident's medication to the resident or to the resident's responsible person upon discharge
 - b. The administrator shall document the return to the resident or the resident's

responsible person of medication stored in a central storage

Review system and documentation to ensure return of medication

Administrator has signed documentation

Comments:

R432-270-20 Management of Resident Funds

Section not applicable to facility at this time. Facility doesn't offer management of fund services.

- 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.
- 2) The facility need not 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 the following:
 - a. The licensee shall establish and maintain on the residents' behalf a system that assures a full, complete, and separate accounting according to generally accepted accounting principles of each resident's personal funds entrusted to the facility.

The system shall:

 - Preclude any commingling of resident funds with facility funds or with the personnel from using residents' monies or valuables as their own
 - Separate residents' monies and valuables intact and free from any liability that the licensee incurs in the use of its own or the facility's funds and valuables
 - Maintain a separate account for resident funds for each facility and not commingle such funds with resident funds from another facility
 - For records of resident's monies which are maintained as a drawing account, include a control account for all receipts and expenditures and an account for each resident and supporting receipts in chronological order
 - Keep each account with columns for debits, credits, and balance
 - Include a copy of the receipt that it furnished to the residents for funds received and other valuables entrusted to the licensee for safekeeping
 - b. The facility shall make individual financial records available on request through quarterly statements to the resident or the resident's legal representative.
 - c. The facility shall purchase a surety bond or otherwise provide assurance satisfactorily to the Department that all resident personal funds deposited with

the facility are secure

- d. The facility shall deposit, within five days of receipt, all resident monies that are in excess of \$150 in an interest-bearing bank account, that is separate from any of the facility's operating accounts, in a local financial institution.

Interest earned on a resident's bank account shall be credited to the resident's account

In pooled accounts, there shall be a separate accounting for each resident's share, including interest

- e. The facility shall maintain a resident's personal funds that do not exceed \$150 in a non-interest-bearing account, interest-bearing account, or petty cash fund.

- f. Upon discharge of a resident with funds or valuables deposited with the facility, the facility shall that day convey the resident's funds, and a final accounting of those funds, to the resident or the resident's legal representative. Funds and valuables kept in an interest-bearing account shall be accounted for and made available within three working days.

- g. Within 30 days following the death of a resident, except in a medical examiner case, the facility shall convey the resident's valuables and funds entrusted to the facility, and a final accounting of those funds, to the individual administering the resident's estate.

Comments:

R432-270-21 Facility Records

- 1) The facility must maintain accurate and complete records. Records shall be files, stored safely, and be easily accessible to staff and the department.
- 2) Records shall be protected against access by unauthorized individuals.
 - Are records stored in an appropriate, locked area?
- 3) The facility shall maintain personnel records for each employee and shall retain records for at least three years following termination of employment.

Review of employee records:

- Employment application
- Date of employment
- Termination date
- Reason for leaving
- Documentation of current CPR and first aid training (American red cross)
- Health inventory completed on approved form and reviewed
- Current food handlers permits

- TB skin test documentation within 2 weeks of hire
- Criminal background screening

4) The facility must maintain in the facility a separate record for each resident that includes the following:

Review of residents records:

- The resident's name, date of birth, and last address
- The name, address, and telephone number of the person who administers and obtains medications, if this person is not facility staff
- The name, address, and telephone number of the individual to be notified in case of accident or death
- The name, address, and telephone number of a physician and dentist to be called in an emergency
- The admission agreement
- The resident assessment
- The resident service plan

5) Resident records must be retained for at least three years following discharge.

- Ensure records are kept for 3 years

Comments:

R432-270-22 Food Services

1) Facility must have the capability to provide three meals a day, seven days a week, to all residents, plus snacks.

- Interview with residents suggest that dining experience is meeting their needs
 - 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.
 - 7 day supply of nonperishable food is onsite.
 - 3 day supply of perishable food is onsite.
 - 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.
 - Ensure that dinner meal is no more the 14 hours from morning meal
 - If more then 14 hours, a nutritious snack is available
 - c. The facility food service must comply with the following:
 - All food shall be of good quality and shall be prepared by methods that conserve nutritive value, flavor, and appearance
 - The facility shall ensure food is palatable, attractively served, and delivered to the resident at the appropriate temperature

- Powdered milk may only be used as a beverage, upon the resident's request, but may be used in cooking and baking
- 2) The facility shall provide adaptive eating equipment and utensils for residents as needed.
 - Ensure that adaptive equipment is available if needed
- 3) A different menu shall be planned and followed for each day of the week.
 - All menus must be approved and signed by a certified dietician.
 - Cycle menus shall cover a minimum of three weeks.
 - The current week's menu shall be posted for residents' viewing.
 - Substitutions to the menu that are actually served to the residents shall be recorded and retained for three months for review by the Department.
- 4) Meals shall be served in a designated dining area suitable for that purpose or in resident rooms upon request by the resident.
 - Facility has a designated dining area
- 5) Residents shall be encouraged to eat their meals in the dining room with other residents.
 - Review with staff how this is accomplished
- 6) Inspection reports by the local health department shall be maintained at the facility for review by the Department.
 - Locate health department inspection reports
- 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.
 - Locate approved dietary manual
 - Quarterly documentation is completed by Dietitian on residents with therapeutic diets
- 8) The facility shall employ food service personnel to meet the needs of residents.
 - While on duty in food service, the cook and other kitchen staff shall not be assigned concurrent duties outside the food service area
 - All personnel who prepare or serve food shall have a current Food Handler's Permit
- 9) Food service shall comply with the Utah Department of Health and Food Service Sanitation Regulations, R392-100
- 10) If food service personnel also work in housekeeping or provide direct resident care, the facility must develop and implement employee hygiene and infection control measures to maintain a safe, sanitary food service.
 - Review with staff if any personnel work in housekeeping and direct care
 - if, so review policy and procedure for hygiene and infection control

Comments:

R432-270-23 Housekeeping Services

- 1) The facility shall employ housekeeping staff to maintain both the exterior and interior of the facility.
 - Review housekeeping staffing schedules. Do they meet facility needs?
- 2) The facility shall designate a person to direct housekeeping services. This person shall:
 - Post routine laundry, maintenance, and cleaning schedules for housekeeping staff.
 - Ensure all furniture, bedding, linens, and equipment are clean before use by another resident.
- 3) The facility shall control odors by maintaining cleanliness.
 - Does facility appear clean and well taken care of?
- 4) There shall be a trash container in every occupied room.
 - Locate trash containers in rooms
- 5) All cleaning agents, bleaches, insecticides, or poisonous, dangerous, or flammable materials shall be stored in a locked area to prevent unauthorized access.
 - Locate cleaning agent storage area. Is it locked?
- 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.
 - Review staff education documentation. Includes all of the following:
 - Preparing and using cleaning solutions
 - Cleaning procedures
 - Proper use of equipment
 - Proper handling of clean and soiled linen
 - Procedure for disposal of solid waste
- 7) Bathtubs, shower stalls, or lavatories shall not be used as storage places
 - Ensure that storage areas are appropriate
- 8) Throw or scatter rugs that present a tripping hazard to residents are not permitted.
 - Ensure that rugs are not being used

Comments:

R432-270-24 Laundry Services

- 1) The facility shall provide laundry services to meet the needs of the residents, including sufficient linen supply to permit a change in bed linens for the total number of licensed beds, plus an additional fifty percent of the licensed bed capacity.
 - Ensure facility has adequate bed linens

- 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.
 - Review laundry policy in resident's service agreement
- 3) Food may not be stored, prepared, or served in any laundry area.
 - Observe laundry area for compliance
- 4) The facility shall make available for resident use, the following:
 - Has at least one washing machine and one clothes dryer
 - Has at least one iron and ironing board

Comments:

R432-270-25 Maintenance Services

- 1) The facility shall conduct maintenance, including preventative 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 R432-6.
 - Review preventative maintenance documentation
 - Fire rated construction and assemblies must be maintained in accordance with R710-3, Assisted Living Facilities
 - Entrances, exits, steps, and outside walkways shall be maintained in a safe condition, free of ice, snow, and other hazards
 - Electrical systems, including appliances, cords, equipment, call lights, and switches shall be maintained to guarantee safe functioning
 - Air filters installed in heating, ventilation, and air conditioning systems must be inspected, cleaned or replaced in accordance with manufacturer specifications
- 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 the State, to ensure the absence of vermin and rodents. Documentation of the pest control program shall be maintained for department review.
 - Review pest control documentation
- 3) The facility shall document maintenance work performed.
 - Review maintenance work documentation
- 4) Hot water temperature controls shall automatically regulate temperature 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 F.
 - Review hot water temperature documentation

Comments:

R432-270-26 Disaster and Emergency Preparedness

- 1) The facility is responsible for the safety and well-being of residents in the event of an emergency or disaster.
- 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 the protection or evacuation of all residents, and include arrangements for staff response or provisions of additional staff to ensure the safety of any resident with physical or mental limitations.

- a. 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.

- The emergency and disaster response plan shall be in writing and distributed or made available to all facility staff and residents to assure prompt and efficient implementation.

- The licensee and the administrator must review and update the plan as necessary to conform with local emergency plans. The plan shall be available for review by the Department.

- 3) The facility's emergency and disaster response plan must address the following:

- The names of the person in charge and persons with decision-making authority

- The names of persons who shall be notified in an emergency in order of priority

- The names and telephone numbers of emergency medical personnel, fire department, paramedics, ambulance service, police, and other appropriate agencies

- Instructions on how to contain a fire and how to use the facility alarm systems

- Assignment of personnel to specific tasks during an emergency

- The procedure to evacuate and transport residents and staff to a safe place within the facility or to other prearranged locations

- Instructions on how to recruit additional help, supplies, and equipment to meet the residents' needs after an emergency or disaster

- Delivery of essential care and services to facility occupants by alternate means

- Delivery of essential care and services when additional persons are housed in the facility during an emergency

- Delivery of essential care and services to facility occupants when personnel are reduced by an emergency

- 4) The facility must maintain safe ambient air temperatures within the facility.
 - a. Emergency heating must have the approval of the local fire department
 - Review fire departments approval documentation
 - b. Ambient air temperatures of 58 degrees F. 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.
 - Ensure ambient air temperature is above 58 degrees
 - 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.
 - Review contingency plan for high ambient air temperatures
- 5) Personnel and residents shall receive instruction and training in accordance with the plans to respond appropriately in an emergency. The facility shall:
 - Annually review the procedures with existing staff and residents and carry out unannounced drills using those procedures
 - Hold simulated disaster drills semi-annually
 - Hold simulated fire drills quarterly on each shift for staff and residents in accordance with Rule R710-3
 - Document all drills, including date, participants, problems encountered, and the ability of each resident to evacuate
- 6) 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.
- 7) The facility shall provide in-house all equipment and supplies required in an emergency including emergency lighting, heating equipment, food, potable water, extra blankets, first aid kit, and radio.
 - Locate all required emergency equipment
- 8) The following information shall be posted in prominent locations throughout the facility;
 - The name of the person in charge and names and telephone numbers of emergency medical personnel, agencies, and appropriate communication and emergency transport systems
 - Evacuation routes, location of fire alarm boxes, and fire extinguishers

Comments:

R432-270-27 First Aid

1) There shall be one staff person on duty at all time who has training in basic first aid, the heimlich maneuver, certification in cardiopulmonary resuscitation and emergency procedures to ensure that each resident receives prompt first aid as needed.

One staff member on duty at all times has the following training:

- Basic first aid
- Heimlich maneuver
- Cardiopulmonary resuscitation
- Emergency procedures

2) First aid training refers to any basic first aid course approved by the American Red Cross or Utah Emergency Medical Training Council.

Ensure that staff is trained by American Red Cross or Utah Emergency Medical Training Council

3) The facility must have a first aid kit available at a specified location in the facility.

Locate first aid kit. Does staff know where it is?

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.

Locate first aid manual. Is it a current edition? Does staff know where it is?

5) The facility must have a clean up kit for blood borne pathogens.

Locate blood borne pathogen kit. Does staff know where it is?

Comments:

R432-270-28 Pets

Section not applicable to facility at this time. Facility does not allow pets.

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.

Locate facility policy for pets

2) Pets must be kept clean and disease-free.

3) The pets' environment shall be kept clean.

Observe a residents apartment with pets. Does it appear clean?

4) Small pets such as birds and hamsters shall be kept in appropriate closures.

Observe a residents apartment with a small pet. Is it in an appropriate closure?

5) Pets that display aggressive behavior are not permitted in the facility.

Ensure current pets in the facility are not aggressive

- 6) Pets that are kept at the facility or are frequent visitors must have current vaccinations.
 Review vaccination documentation for pets that are currently living in the facility
- 7) Upon approval of the administrator, family members may bring residents' pets to visit.
- 8) Each facility with birds shall have procedures which prevent the transmission of psittacosis. Procedures shall ensure the minimum handling and placing of droppings into a closed plastic bag for disposal.
 Review facility procedure to prevent transmission of psittacosis in birds
- 9) Pets are not permitted into central food preparation, storage, or dining areas or in any area where their presence would create a significant health or safety risk to others.
 Ensure that pets do not enter into central food or dining areas

Comments:

R432-270-29 Respite Services

Section not applicable to facility at this time. Facility does not offer Respite services.

- 1) Assisted Living facilities may offer respite services and are not required to obtain a respite license from the Utah Department of Health.
- 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.
- 3) Respite services may be provided at an hourly rate or daily rate, but shall not exceed 14-days for any single respite stay. Stays which exceed 14 days shall be considered a non-respite assisted living facility admission, subject to the requirements of R432-270.
 Facility respite stays do not exceed 14 days
- 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.
- 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.
 Review facility's documentation of any respite services
- 6) The facility must 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.
 Review respite service agreement. Ensure it includes all the required information
- 7) The facility shall have written policies and procedures approved by the Department prior to providing respite care. Policies and procedures must be available to staff regarding the respite care clients which include:

Ensure the facility's written policies and procedures include all of the following:

- Medication administration
- Notification of a responsible party in the case of an emergency
- Service agreement and admission criteria
- Behavior management interventions
- Philosophy of respite services
- Post-service summary
- Training and in-service requirement for employees
- Handling personal funds
- Policies and procedures have been approved by the Health Department

8) Persons receiving respite services shall be provided a copy of the Resident Rights document upon admission.

- Review documentation that person received a copy of the Residents Rights

9) The facility shall maintain a record for each person receiving respite services which includes:

- A service agreement
- Demographic information and resident identification data
- Nursing notes
- Physician treatment orders
- Records made by staff regarding daily care of the person in service
- Accident and injury reports
- A post-service summary

10) Retention and storage of respite records shall comply with R432-270-21(1), (2), and (5).

- Ensure records are kept for at least 3 years from discharge

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.

- Does facility obtain an advanced directive for a respite stay?
- How is staff informed of the directive?

Comments:

R432-270-29b Adult Day Care Services

Section not applicable to facility at this time. Facility does not offer adult day care services.

1) Assisted Living Facilities Type I 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.

- Policies and procedures have been approved by the Health Department

- 2) "Adult Day Care" means the care and support to three or more functionally impaired adults through a comprehensive program that provides a variety of social, recreational and related support services in a licensed health care setting.
- 3) A qualified Director shall be designated by the governing board to be responsible for the day to day program operation.
- 4) The Director shall have written records on-site for each consumer and staff person, to include the following:
 - Demographic information
 - An emergency contact with name, address and telephone number
 - Consumer health records, including the following:
 - Record of medication including dosage and administration
 - A current health assessment, signed by a licensed practitioner
 - Level of care assessment
 - Signed consumer agreement and service plan
 - Employment file for each staff person which includes:
 - Health history
 - Background clearance consent and release form
 - Orientation completion
 - In-service requirements
- 5) The program shall have written eligibility, admission and discharge policy to include the following:
 - Intake process
 - Notification of responsible party
 - Reasons for admission refusal which includes a written, signed statement
 - Resident rights notification
 - Reason for discharge or dismissal
- 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.
 - Has facility completed a written assessment prior to admission to program?
- 7) A written consumer agreement, developed with the consumer, the responsible party and Director or designee, shall be completed, signed by all parties include the following:
 - Rules of the program
 - Services to be provided and cost of service, including refund policy
 - Arrangements regarding absenteeism, visits, vacations, mail, gifts and telephone calls
- 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.
 - Has facility completed a service plan within three working days of admission?
 - Has the service plan been reviewed every six months?
- 9) There shall be written incident and injury reports to document consumer death, injuries, elopement, fights or physical confrontations, situations which 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 will be kept on file.

- Review documentation of any incident and injury
- 10) There shall be a daily activity schedule posted and implemented as designed.
 - Daily activity schedule is posted
- 11) Consumers shall receive direct supervision at all times and be encourage to participate in activities.
 - Facility provides direct supervision at all times
- 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.
 - Hallways, office, storage, kitchens, and bathrooms shall not be included in the computation.
 - All indoor and outdoor areas shall be maintained in a clean, secure, and safe condition.
 - 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.
- 13) Staff supervision shall be provided continually when consumers are present.
 - When eight or fewer consumers are present, one staff person shall provide direct supervision.
 - When 9-16 consumers are present, two staff shall provide direct supervision at all times. The ratio of one staff per eight consumers will continue progressively.
 - In all programs where one-half or more of the consumers are diagnosed by a physician's assessment with Alzheimer, or related dementia, the ratio shall be one staff for each six consumers.

Comments:

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