

**SENIORS AND PEOPLE WITH DISABILITIES DIVISION
OREGON ADMINISTRATIVE RULES**

**CHAPTER 411
DIVISION 54**

RESIDENTIAL CARE AND ASSISTED LIVING FACILITIES

Table of Contents

411-054-0000 Purpose	1
411-054-0005 Definitions.....	1
411-054-0008 Licensing Moratorium.....	9
411-054-0010 Licensing Standard	12
411-054-0012 Requirements for New Construction / Initial Licensure	14
411-054-0013 Application for Initial Licensure and License Renewal.....	16
411-054-0016 New Applicant Qualifications.....	19
411-054-0019 Change of Ownership or Management	21
411-054-0025 Facility Administration	22
411-054-0027 Resident Rights and Protections	26
411-054-0028 Abuse Reporting and Investigation	28
411-054-0030 Resident Services	30
411-054-0034 Resident Move-In and Evaluation	32
411-054-0036 Service Plan - General.....	37
411-054-0040 Change of Condition and Monitoring.....	40
411-054-0045 Resident Health Services.....	42
411-054-0055 Medications and Treatments.....	45
411-054-0060 Restraints and Supportive Devices	50
411-054-0065 Administrator Qualifications and Requirements	51
411-054-0070 Staffing Requirements and Training.....	54
411-054-0080 Involuntary Move-out Criteria.....	58
411-054-0085 Refunds and Financial Management.....	62
411-054-0090 Fire and Life Safety.....	65
411-054-0093 Emergency and Disaster Planning	67
411-054-0100 Exceptions and Waivers	68
411-054-0105 Inspections and Investigations	69
411-054-0110 Conditions.....	70
411-054-0120 Civil Penalties	74
411-054-0125 Inactive and Provisional Licenses	78

411-054-0130 Non-Renewal, Denial, Suspension or Revocation of License	82
.....	82
411-054-0135 Criminal Penalties.....	83
411-054-0140 Additional Authority.....	83
411-054-0200 Residential Care Facility Building Requirements.....	84
411-054-0300 Assisted Living Facility Building Requirements	96

**DEPARTMENT OF HUMAN SERVICES
SENIORS AND PEOPLE WITH DISABILITIES DIVISION
OREGON ADMINISTRATIVE RULES**

**CHAPTER 411
DIVISION 54**

RESIDENTIAL CARE AND ASSISTED LIVING FACILITIES

411-054-0000 Purpose

(Adopted 11/1/2007)

The purpose of these rules is to establish standards for assisted living and residential care facilities that promote the availability of a wide range of individualized services for elderly and persons with disabilities, in a homelike environment. The standards are designed to enhance the dignity, independence, individuality and decision making ability of the resident in a safe and secure environment while addressing the needs of the resident in a manner that supports and enables the individual to maximize abilities to function at the highest level possible.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0005 Definitions

(Adopted 11/1/2007)

For the purpose of these rules, the following definitions apply:

(1) "Area Agency on Aging (AAA)" as defined in ORS 410.040 means the Department of Human Services (DHS) designated agency charged with the responsibility to provide a comprehensive and coordinated system of services to seniors or individuals with disabilities in a planning and service area. For the purpose of these rules, the term Area Agency on Aging (AAA) is inclusive of both Type A and B Area Agencies on Aging that contract with DHS to perform specific activities in relation to residential care and assisted living facilities including: conducting inspections and investigations regarding protective service, abuse and neglect; monitoring; and making

recommendations to the Seniors and People with Disabilities Division regarding facility license approval, denial, revocation, suspension, non-renewal and civil penalties.

(2) "Abuse" means:

(a) Any physical injury to a resident that has been caused by other than accidental means. This includes injuries that a reasonable and prudent person would be able to prevent, such as those resulting from hitting, pinching, striking, rough handling or corporal punishment. These instances of abuse are presumed to cause physical injury, including pain, to all residents, including those in a coma or those who are otherwise incapable of expressing injury or pain.

(b) Failure to provide basic care or services to a resident that results in physical harm, unreasonable discomfort or serious loss of human dignity. Abuse under this definition includes abandonment.

(c) Sexual contact with a resident, including fondling, by an employee or agent of a facility by: physical force; physical or verbal threat of harm or deprivation to the resident or others; use of position, authority or misinformation to compel a resident to do what the resident would not otherwise do; or where the resident has no reasonable ability to consent. For the purpose of this rule, consent means a voluntary agreement or concurrence of wills. Mere failure of the resident to object does not, in and of itself, constitute an expression of consent.

(d) Theft or diversion of a resident's property, including money, personal property and medications; illegal or improper use of a resident's resources for the personal benefit, profit or gain of another person; borrowing resident funds; spending resident funds without the resident's consent; if the resident is not capable of consenting, spending resident funds for items or services that the resident cannot benefit from or appreciate; or spending resident funds to acquire items for use in common areas when such purchase is not initiated by the resident.

(e) Verbal or mental abuse that includes, in extreme forms: the use of oral, written or gestured communication that willfully includes

disparaging and derogatory terms to the resident, or within their hearing distance, regardless of their age, ability to comprehend or disability; humiliation; intimidation; harassment; threats of punishment or deprivation directed toward the resident; and unwanted or inappropriate crude or sexual language, questions, comments, or other communication. Examples of verbal and mental abuse include, but are not limited to: threats of harm; saying things to frighten a resident, such as telling a resident that the resident will never be able to see the resident's family again; and making unwanted sexual comments. Verbal and mental abuse are distinguished from resident rights violations by the extreme or offensive nature of the communication.

(f) Involuntary seclusion for convenience or discipline. Involuntary seclusion is defined as the separation of a resident from other residents or from their room or confinement to their room (with or without roommates) against the resident's will or the will of the resident's legal representative. Emergency or short-term, monitored separation from other residents will not be considered involuntary seclusion and may be permitted if used for a limited period of time as a therapeutic intervention until professional staff can develop a plan of care to meet the resident's needs, or as part of an inter-disciplinary care plan after other interventions have been attempted.

(3) "Activities of Daily Living (ADL)" means those personal functional activities required by an individual for continued well being, health and safety. ADLs consist of eating, dressing/grooming, bathing/personal hygiene, mobility (ambulation and transfer), elimination (toileting, bowel and bladder management), and cognition/behavior.

(4) "Administrator" means the person who is designated by the licensee that is responsible for the daily operation and maintenance of the facility.

(5) "Assisted Living Facility" means a building, complex or distinct part thereof, consisting of fully, self-contained, individual living units where six or more seniors and adult persons with disabilities may reside in homelike surroundings. The facility offers and coordinates a range of supportive services available on a 24-hour basis to meet the activities of daily living, health, and social needs of the residents as described in these rules. A program approach is used to promote resident self-direction and

participation in decisions that emphasize choice, dignity, privacy, individuality, and independence.

(6) "Applicant" means the person, persons, or entity, required to complete a facility application for license. Applicant includes a sole proprietor, each partner in a partnership, and each member in a limited liability company, corporation, or entity that owns the residential care or assisted living facility business. Applicant also includes the sole proprietor, each partner in a partnership, and each member in a limited liability company, corporation, or entity that operates the assisted living or residential care facility on behalf of the facility business owner.

(7) "Caregiver" means a facility employee who is trained in accordance with OAR 411-054-0070(1) and (2) (Staffing Requirements and Training) to provide personal care services to residents. The employee may be either a Direct Care Staff or Universal Worker as defined in this rule.

(8) "Change of Condition – Short Term" means a change in the resident's health or functioning that is expected to resolve or be reversed with minimal intervention or is an established, predictable, cyclical pattern associated with a previously diagnosed condition.

(9) "Change of Condition - Significant" means a major deviation from the most recent evaluation that may affect multiple areas of functioning or health that is not expected to be short term and imposes significant risk to the resident. Examples of significant change of condition include but are not limited to: broken bones; stroke, heart attack or other acute illness/condition onset; unmanaged high blood sugar levels; uncontrolled pain; fast decline in activities of daily living; significant unplanned weight loss; pattern of refusing to eat; level of consciousness change; and pressure ulcers (stage 2 or greater).

(10) "Choice" means a resident has viable options that enable the resident to exercise greater control over their life. Choice is supported by the provision of sufficient private and common space within the facility that allows residents to select where and how to spend time and receive personal assistance.

(11) "Condition" means a provision attached to a new or existing license that limits or restricts the scope of the license or imposes additional requirements on the licensee.

(12) "DHS" or "Department" means the Department of Human Services.

(13) "Dignity" means providing support in such a way as to validate the self-worth of the individual. Creating an environment that allows personal assistance to be provided in privacy supports dignity, as does delivering services in a manner that shows courtesy and respect.

(14) "Direct Care Staff" means a facility employee whose primary responsibility is to provide personal care services to residents. These services may include: medication administration; resident-focused activities; assistance with activities of daily living; supervision and support of residents; and serving meals, but not meal preparation.

(15) "Directly Supervised" means that a qualified staff member maintains visual contact with the supervised person.

(16) "Disclosure" means the written information the facility is required to provide to consumers to enhance the understanding of facility costs, services and operations.

(17) "Entity" means an individual, a trust, an estate, a partnership, a corporation or a state or governmental unit, including associations, joint stock, companies and insurance companies, a state, or a political subdivision or instrumentality including a municipal corporation.

(18) "Exception" means a written variance granted by SPD from a regulation or provision of these rules.

(19) "Facility" means the residential care or assisted living licensee, operations, policies, procedures and employees of the facility.

(20) "FPS" means the Facilities Planning and Safety Program within the Department of Human Services, Public Health Division.

(21) “Homelike Environment” means a living environment that creates an atmosphere supportive of the resident's preferred lifestyle. It is also supported by the use of residential building materials and furnishings.

(22) “Incident of Ownership” means an ownership interest, an indirect ownership interest, or a combination of direct and indirect ownership interest.

(23) "Independence" means supporting resident capabilities and facilitating the use of those abilities. Creating barrier free structures and careful use of assistive devices supports independence.

(24) “Indirect Ownership Interest” means an ownership interest in an entity that has an ownership interest in another entity. This term includes an ownership interest in an entity that has an indirect ownership interest in another entity.

(25) "Individuality" means recognizing variability in residents' needs and preferences and having flexibility to organize services in response to different needs and preferences.

(26) “Licensed Nurse” means an Oregon licensed practical or registered nurse.

(27) “Licensee” means the entity that owns the residential care or assisted living facility business, and to whom an assisted living or residential care facility license has been issued.

(28) “Managed Risk” means a process by which a resident’s high-risk behavior or choices are reviewed with the resident. Alternatives to and consequences of the behavior or choices are explained to the resident and the resident’s decision to modify behavior or accept the consequences is documented.

(29) “Management” or “Operator” means possessing the right to exercise operational or management control over, or directly or indirectly conduct the day-to-day operation of a facility.

(30) “Modified Special Diet” means a diet ordered by a physician or other licensed health care professional that may be required to treat a medical

condition (e.g., heart disease or diabetes). These diets include, but are not limited to: small frequent meals; no added salt; reduced or no added sugar; and simple textural modifications. Medically complex diets are not included.

(31) "New Construction" means a new building; an existing building or part of a building that is not currently licensed; a major alteration to an existing building; or additions, conversions, renovations or remodeling of existing buildings.

(32) "Nursing Care" means the practice of nursing as governed by ORS chapter 678 and Oregon Administrative Rules adopted by the Oregon State Board of Nursing in OAR chapter 851, division 047.

(33) "Owner" means a person with an ownership interest.

(34) "Ownership Interest" means the possession of equity in the capital, the stock, or the profits of an entity.

(35) "Personal Incidental Funds (PIF)" means the monthly amount allowed each Medicaid resident for personal incidental needs. For purposes of this definition, personal incidental funds include monthly payments, as allowed, and previously accumulated resident savings.

(36) "Privacy" means a specific area or time over which the resident maintains a large degree of control. Privacy is supported with services that are delivered with respect for the resident's civil rights.

(37) "P.R.N." means those medications and treatments that have been ordered by a qualified practitioner to be administered as needed.

(38) "Psychoactive Medications" means medications used to alter mood, level of anxiety, behavior or cognitive processes. This term includes antidepressants, antipsychotics, sedatives, hypnotics, and antianxiety medications.

(39) "Resident" means any person who is receiving room, board, care, and services on a 24-hour basis in a residential care or assisted living facility for compensation.

(40) "Residential Care Facility" means a building, complex or distinct part thereof, consisting of shared or individual living units in a homelike surrounding where six or more seniors and adult persons with disabilities may reside. The facility offers and coordinates a range of supportive services available on a 24-hour basis to meet the activities of daily living, health, and social needs of the residents as described in these rules. A program approach is used to promote resident self-direction and participation in decisions that emphasize choice, dignity, individuality, and independence.

(41) "Restraint" means any physical device that the resident cannot manipulate that is used to restrict movement or normal access to the resident's body.

(42) "Retaliation" means to threaten or intimidate, or take an action that is detrimental to a person (e.g., harassment, abuse, coercion, etc.)

(43) "SPD" or "Division" means the Seniors and People with Disabilities Division, within the Department of Human Services.

(44) "Service Area" means a geographic area within a 15-mile radius of the proposed site.

(45) "Service Plan" means a written, individualized plan for services developed by a service planning team and the resident, or the resident's legal representative that reflects the resident's capabilities, choices and if applicable, measurable goals and managed risk issues. The plan defines the division of responsibility in the implementation of the services.

(46) "Service Planning Team" means two or more individuals, as set forth in OAR 411-054-0036(4) (Service Plan – General), who assist the resident in determining what services and care are needed, preferred, and will be provided to the resident.

(47) "Services" means supervision or assistance provided in support of a resident's needs, preferences and comfort, including health care and activities of daily living, that help develop, increase, maintain, or maximize the resident's level of independent, psychosocial and physical functioning.

(48) “Supportive Device” means a device that may have restraining qualities that supports and improves a resident’s physical functioning.

(49) “These Rules” means the rules in chapter 411, division 054.

(50) “Underserved” means services are significantly unavailable within the service area in a comparable setting for the general public, a specific population, (e.g., residents with dementia or traumatic brain injury), or recipients of Medicaid.

(51) “Unit” means an individual living space constructed as a completely private apartment, including living and sleeping space, kitchen area, bathroom and adequate storage areas.

(52) “Universal Worker” means a facility employee whose assignments include other tasks (e.g., housekeeping, laundry, food service, etc.) in addition to providing direct resident services. Universal worker does not include administrators, clerical or administrative staff, building maintenance staff or licensed nurses who provide services as specified in OAR 411-054-0034 (Resident Move-In and Evaluation).

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0008 Licensing Moratorium

(Adopted 11/1/2007)

(1) Effective August 16, 2001, and for any applications received after August 16, 2001, a moratorium exists on all new licenses until June 30, 2009. The Department of Human Services, Seniors and People with Disabilities Division may issue a license to an applicant for operation of a residential care or assisted living facility that complies with these rules under the following conditions:

(a) The facility is applying for a license renewal according to OAR 411-054-0013 (Application for Initial Licensure and License Renewal) and is not seeking an increase in licensed units or capacity;

(b) There is a change of ownership or management of the facility and the applicant is not seeking an increase in license capacity;

(c) The facility is relocating within the service area of the currently licensed facility and the applicant is not seeking an increase in the capacity of the license;

(d) The schematic plans or construction drawings for a proposed facility were submitted prior to August 16, 2001;

(e) The applicant can demonstrate to the satisfaction of SPD that the proposed facility will serve a targeted population for whom insufficient services exist in the service area; or

(f) A Continuing Care Retirement Community that provides care exclusively to residents within its closed system.

(2) Effective August 3, 2005, a non-refundable fee of \$5,000 must be paid to DHS by the applicant who submitted schematic plans or drawings before August 16, 2001, that has not yet begun construction on the project by December 31, 2005. This \$5,000 fee does not apply to any applicant who has begun construction by December 31, 2005.

(a) If, on or before December 31, 2005, the original applicant has sold or transferred the business rights on a project submitted before August 16, 2001 to another entity, notification of this transaction must be submitted to SPD as soon as possible but no later than January 30, 2006.

(b) The Department must receive the \$5,000 fee no later than January 31, 2006. If payment is not received, the project will be considered to be withdrawn.

(3) In addition to the fee required by section (2) of this rule that must be paid by January 31, 2006, a non-refundable fee of \$5,000 must be paid to DHS by the applicant who submitted schematic plans or drawings before August 16, 2001, that has not yet begun construction on the project by December 31, 2006. This \$5,000 fee does not apply to any applicant who has begun construction by December 31, 2006.

(a) If, on or before December 31, 2006, the original applicant has sold or transferred the business rights on a project submitted before August 16, 2001 to another entity, notification of this transaction must be submitted to SPD as soon as possible but no later than January 30, 2007.

(b) The Department must receive the \$5,000 fee no later than January 31, 2007. If payment is not received, the project will be considered to be withdrawn.

(4) A construction permit, building permit, or other permit necessary to begin construction must be secured by the applicant or the entity to whom the business rights on the project has been sold or transferred, no later than August 3, 2007, and must be submitted to SPD no later than September 4, 2007, or the project will be considered withdrawn.

(5) In the event of two competing applicants within a service area that meet the condition in section (1)(e) of this rule, priority consideration will be given to:

(a) Applicants who serve low income residents in an area where there are insufficient Medicaid resources and make a commitment to participate in the Medicaid program, and there are insufficient Medicaid resources in the area; and

(b) Applicants who can demonstrate a past history, if any, of substantial compliance with all applicable state and local laws, rules, codes, ordinances and permit requirements and have the present ability to deliver quality care to citizens of this state.

(6) Applicants seeking to demonstrate that a service area is underserved must comply with all licensing requirements set forth in this rule. Applicants must submit a current market analysis, completed by a third party professional that validates that an area is underserved and must include:

(a) A current demographic overview of the service area;

(b) A description of the area and regional economy and the effect on the market for the project;

(c) Identification of the number of persons in the service area who are potential residents;

(d) Information on similar proposed facilities in the service area that have received plans approval from the DHS, Public Health Division, Facilities Planning and Safety Program;

(e) Description of available amenities, (e.g., transportation, hospital, shopping center, traffic conditions, etc.);

(f) A description of the extent, types and availability of residential care and assisted living facilities located in the service area, as defined in ORS 443.400 to 443.455; and

(g) The rate of occupancy, including waiting lists, for existing and recently completed developments competing for the same market segment.

(7) Licensees of a facility with 100 or more units may request an increase of up to ten percent of the capacity shown on the facility license every two years. Licensees having a licensed capacity of less than 100 may request an increase in capacity of up to ten in a two year period. Where increasing capacity requires remodeling or modification of the existing facility, all building requirements and standards set forth in these rules must be met.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0010 Licensing Standard

(Adopted 11/1/2007)

(1) No person, entity, or governmental unit acting individually or jointly with any other person, entity, or governmental unit may establish, maintain, conduct, or operate a residential care or assisted living facility, use the term residential care or assisted living facility, or hold itself out as being a residential care or assisted living facility or as providing residential care or assisted living services, without being duly licensed as such.

(2) Each license to operate a residential care or assisted living facility will expire two years following the date of issuance unless revoked, suspended, terminated earlier, or issued for a shorter specified period.

(3) Each residential care and assisted living facility must be licensed, maintained and operated as a separate and distinct facility.

(4) A license will not be required:

(a) For a building, complex, or distinct part thereof, where six or more individuals reside where activities of daily living assistance and health services are not offered or provided by the facility; and

(b) Facility representatives and written materials do not purport that such care and services are offered or provided by the facility; and

(c) Prospective and actual tenants have no expectations that such care and services are offered or will be provided by the facility.

(5) The Assistant Director of SPD, or their designee, will determine whether a residential care or assisted living facility license is required in cases where the definition of a facility's operations is in dispute.

(6) NOT TRANSFERABLE. No residential care or assisted living facility license is transferable or applicable to any location, facility, management agent or ownership other than that indicated on the application and license.

(7) SEPARATE BUILDINGS. Separate licenses are not required for separate buildings of the same license type located contiguously and operated as an integrated unit by the same licensee. Distinct staffing plans are required for each building.

(8) IDENTIFICATION. Every facility must have distinct identification or name and must notify SPD of any intention to change such identification.

(9) DESCRIPTIVE TITLE. A residential care or assisted living facility licensed by SPD will neither assume a descriptive title nor be held under any descriptive title other than what is permitted within the scope of its license.

(10) VOLUNTARY CLOSURE. The licensee must notify SPD 60 days prior to a voluntary closure of a facility.

(11) The license must be returned to SPD immediately upon suspension or revocation of the license or when operation is discontinued.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0012 Requirements for New Construction or Initial Licensure
(Adopted 11/1/2007)

For purposes of this rule “New Construction” means a new building, an existing building or part of a building that is not currently licensed, a major alteration to an existing building, additions, conversions or renovation or remodeling of existing buildings. The following information applies to applicants who have met the requirements of OAR 411-054-0008 (Licensing Moratorium).

(1) LETTER OF INTENT. Prior to application for a building permit, a prospective applicant, with intent to build or operate a facility, must submit to SPD a letter of intent that includes the following:

- (a) Identification of potential applicant(s);
- (b) Identification of the city and street address, the intended number of units, maximum resident capacity, and intended payer sources;
- (c) An independent market analysis conducted within the twelve months prior to the submission of the letter of intent to SPD; and
- (d) Description of the intended population to be served, including special needs population as applicable.

(2) BUILDING PLANS. After the letter of intent has been submitted to SPD, one set of building plans and specifications must be submitted to FPS and must comply with OAR chapter 333, division 675 (Submission of Project Plans and Specifications for Review).

- (a) Building plans must be submitted to FPS:
 - (A) Prior to beginning construction of any new building;
 - (B) Prior to beginning construction of any addition to an existing building;
 - (C) Prior to beginning any remodeling, modification, or conversion of an existing building that requires a building permit; or
 - (D) Subsequent to application for an initial license of a facility not previously licensed under this rule.

 - (b) Plans must comply with the Oregon Structural Specialty Code and Oregon Fire Code as required for the occupancy classification and construction type.

 - (c) Plans must be drawn to a scale of one-fourth inch or one-eighth inch to the foot, and must specify the date when construction, modification or conversion is expected to be completed.

 - (d) Construction containing 4,000 square feet or more must be prepared by, and bear the stamp of an Oregon licensed architect or engineer.
- (3) SIXTY-DAYS PRIOR. At least 60 days prior to anticipated licensure the applicant must submit to SPD:
- (a) A completed application form with the required fee;
 - (b) A copy of the facility's written rental agreements;
 - (c) Disclosure information; and
 - (d) Facility policies and procedures, ensuring that the facility's administrative, personnel and resident care operations are conducted in compliance with these rules.

(4) THIRTY-DAYS PRIOR. Thirty days prior to anticipated licensure the applicant must submit:

(a) To SPD, a completed and signed Administrator Reference Sheet that reflects the qualifications and training of the individual designated as facility administrator and a Criminal History Request; and

(b) To FPS, a completed and signed Project Substantial Completion Notice that attests substantial completion of the building project and requests that an onsite licensing inspection be scheduled.

(5) TWO-DAYS PRIOR. At least two working days prior to the scheduled onsite licensing inspection of the facility the applicant must submit to SPD and FPS, a completed and signed Project Completion/Inspection Checklist that confirms that the building project is complete and fully in compliance with these rules.

(a) The scheduled, onsite licensing inspection will not be conducted until this document has been received by both FPS and SPD.

(b) Should the scheduled, onsite licensing inspection reveal that the building is not in compliance with these rules as attested to on the Project Completion/Inspection Checklist, the onsite licensing inspection may be rescheduled at SPD's convenience.

(6) CERTIFICATE OF OCCUPANCY. The applicant must submit to SPD and FPS, a copy of the Certificate of Occupancy issued by the Building Codes Agency having jurisdiction that indicates the intended occupancy classification and construction type.

(7) CONFIRMATION OF LICENSURE. The applicant, prior to admitting any resident into the facility, must receive a written confirmation of licensure issued by SPD.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0013 Application for Initial Licensure and License Renewal
(Adopted 11/1/2007)

(1) APPLICATION. Applicants for initial licensure and license renewal must complete an application on a form provided by SPD. The form must be signed by the applicant's legally authorized representative, dated, contain all information requested by SPD and be accompanied by the required licensing fee.

(a) Applicants must provide all information and documentation as required by SPD including, but not limited to, identity and financial interest of any person, including stockholders who have an incident of ownership in the applicant representing an interest of ten percent or more, or ten percent of a lease agreement for the facility.

(b) If the owner of the assisted living or residential care facility is a different entity from the operator or management company of the facility, an application for licensure is required from both the operator and the owner. Only one license fee is required.

(c) The application will require the identification of any individual with ten percent incident of ownership that has ever been convicted of a crime associated with the operation of a long-term, community-based, or health care facility or agency under federal law or the laws of any state.

(d) The application will require the identification of all states where the applicant, or person(s) having a ten percent or more incident of ownership in the facility, currently, or previously, has been licensed as owner(s) or operator(s) of a long-term, community-based, or health care facility or agency under the laws of any state; and any facility, currently or previously owned or operated, that had its license denied or revoked or received notice of the same under the laws of any state.

(e) If the applicant fails to provide complete and accurate information on the application, and SPD concludes that the missing or corrected information is needed to determine if a license should be granted, SPD may deny, revoke or refuse to renew the license.

(f) Each application for a new license (excludes license renewal) must include a completed and signed credit and criminal history request

form for the applicant(s) and for each person with ten percent incident of ownership in the applicant.

(g) SPD may require financial information as stated in OAR 411-054-0016(3) (New Applicant Qualifications), when considering an applicant's request for renewal of a license.

(h) Applicants must provide other information and documentation as SPD may reasonably require for proper administration of these rules, including, but not limited to, information about ownership interest in other business enterprises, if relevant.

(2) LICENSE RENEWAL. Application for a license renewal must be made at least 45 days prior to the expiration date of the existing license. Filing of an application for renewal and payment of the required non-refundable fee before the date of expiration extends the effective date of expiration until SPD takes action upon such application.

(a) SPD will refuse to renew a license if the facility is not substantially in compliance with all applicable laws and rules, or if the State Fire Marshal or authorized representative has given notice of noncompliance.

(b) Applicants for license renewal must provide SPD with a completed and signed credit and criminal history request form for the applicant(s), and for each person with incident of ownership in the applicant when required by SPD.

(c) A building inspection may be requested at SPD's discretion. SPD may require physical improvements if the health or safety of residents is negatively impacted.

(3) DEMONSTRATED CAPABILITY.

(a) Prior to issuance of a license or a license renewal, the applicant must demonstrate to the satisfaction of SPD that the applicant is capable of providing care in a manner consistent with the requirements of these rules.

(b) SPD may consider the background and qualifications of any person owning ten percent or more interest in the facility operation when determining whether an applicant may be licensed.

(c) SPD may consider the applicant's history of compliance with SPD's rules and orders, including the history of compliance of each person with a ten percent or more incident of ownership in the applicant.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0016 New Applicant Qualifications

(Adopted 11/1/2007)

For the purpose of this rule, "applicant" means each person, as defined in ORS 442.015, who holds ten percent or greater incident of ownership in the facility. Applicants for licensure (excluding license renewal, but including all changes of ownership, and management or operator) must meet the following criteria:

(1) **CRIMINAL HISTORY.** Each applicant must complete a Criminal History Check conducted by DHS in accordance with OAR chapter 407, division 007.

(2) **PERFORMANCE HISTORY.** SPD will consider an applicant's performance history, including repeat sanctions or rule violations, before issuing a license.

(a) Each applicant must be free of incident of ownership history in any facility in Oregon that provides or provided (at the time of ownership) care to children, elderly, ill, or persons with disabilities that had its license or certification involuntarily suspended or voluntarily terminated during any state or federal sanction process during the past five years;

(b) Applicants must be free of incident of ownership history in any facility in any state that had its license or certification involuntarily

suspended or voluntarily terminated during any state or federal sanction process during the past five years;

(c) Failure to provide accurate information or demonstrate required performance history could result in SPD's denial of a license.

(3) FINANCIAL HISTORY. Each applicant must:

(a) Be free of incident of ownership history in any facility or business that failed to reimburse any state for Medicaid overpayments or civil penalties during the past five years;

(b) Be free of incident of ownership history in any facility or business that failed to compensate employees or pay worker's compensation, food supplies, utilities or other costs necessary for facility operation during the past five years;

(c) Have a record of good credit as evidenced by a credit check done by SPD;

(d) Submit proof of fiscal responsibility, including an auditor's certified financial statement, and other verifiable documentary evidence of fiscal solvency documenting that the prospective licensee has sufficient resources to operate the facility for 60 days. Proof of fiscal responsibility must include liquid assets sufficient to operate the facility for 45 days. Anticipated Medicaid income is not considered "liquid assets," but may be considered "financial resources." Liquid assets may be demonstrated by:

(A) An unencumbered line of credit;

(B) A performance bond; or

(C) Any other method satisfactory to SPD.

(e) Provide a pro forma (revenues, expenditures and resident days) by month for the first 12 months of operation of the facility and demonstrate the ability to cover any cash flow problems identified by the pro forma.

(4) EXPERIENCE. If an applicant does not have experience in the management of nursing facilities, assisted living or residential care, the applicant must employ the services of a consultant or management company with experience in the provision of assisted living or residential care for a period of at least six months. The consultant and the terms and length of employment are subject to the approval of SPD.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0019 Change of Ownership or Management

(Adopted 11/1/2007)

(1) The licensee and the prospective licensee must each notify SPD in writing of a contemplated change in ownership or management entity. The written notification must be received at least 60 days prior to the proposed date of change.

(a) The prospective licensee or management entity must submit a completed application form, with the required application fee and copy of policies, procedures, rental agreements, service plans, and required disclosure information, to SPD for review at least 60 days in advance of the proposed date of change.

(b) The prospective licensee or operator must not assume possession or control of the facility until SPD has notified the prospective licensee or operator that its license application has been approved.

(c) The licensee is responsible for the operation of the facility and resident care until a new license is issued to a new owner.

(2) A building inspection may be requested at SPD's discretion. SPD may require physical improvements if the health or safety of residents is negatively impacted.

(3) Resident records maintained by the licensee must be turned over to the new owner when the license application is approved and the new licensee assumes possession or control of the facility.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0025 Facility Administration

(Adopted 11/1/2007)

(1) FACILITY OPERATION. The licensee is responsible for the operation of the facility and the quality of care rendered in the facility. Reasonable precautions must be exercised against any condition that could threaten the health, safety or welfare of residents.

(a) The licensee is responsible for the supervision, training and overall conduct of staff when acting within the scope of their employment duties.

(b) The licensee must obtain a Criminal History Request Form from any person 16 years of age or older, who operates, receives training, or works in a facility. Such completed forms must be submitted to an Authorized Division Representative for a criminal fitness determination in accordance with OAR chapter 407, division 007 (Criminal History Check Rules).

(c) The licensee is responsible for ensuring that the facility complies with OAR 333-019-0041 (Tuberculosis).

(2) REQUIRED POSTINGS. Required postings must be posted in a routinely accessible and conspicuous location to residents and visitors and be available for inspection at all times. The licensee is responsible for posting the following:

(a) Facility license;

(b) The name of the administrator or designee in charge. The designee in charge must be posted by shift or whenever the administrator is out of the facility;

(c) The current facility-staffing plan; and

(d) Other notices relevant to residents or visitors required by state or federal law.

(3) NOTIFICATION. The facility must notify program staff in Salem Central Office immediately by telephone, fax or email, (if telephone communication is used the facility must follow-up within 72 hours by written or electronic confirmation) of the following:

(a) Any change of the administrator of record.

(b) Severe interruption of physical plant services in which the health or safety of residents is endangered, such as the provision of heat, light, power, water, or food;

(c) Occurrence of epidemic disease in the facility. The facility must also notify the Local Public Health Authority as applicable;

(d) Facility fire or any catastrophic event that requires residents to be evacuated from the facility;

(e) Unusual resident death or suicide; or

(f) A resident who has eloped from the facility and has not been found within 24 hours.

(4) POLICIES AND PROCEDURES. The facility must develop and implement written policies and procedures that promote high quality services, health and safety for residents and incorporate the community-based care principles of individuality, independence, dignity, privacy, choice, and a homelike environment.

(a) The facility must develop and implement a policy on the possession of firearms and ammunition within the facility. The policy must be disclosed in writing and by one other means of communication commonly used by the resident or potential resident in their daily living.

(b) The facility must develop and implement a written policy that prohibits sexual relations between any facility employee and a resident who did not have a pre-existing relationship.

(c) The facility must develop and implement effective methods of responding to and resolving resident complaints.

(d) The facility must develop all additional requirements for written policies and procedures as established in OAR 411-054-0012 (Requirements for New Construction or Initial Licensure), OAR 411-054-0040 (Change of Condition Monitoring), OAR 411-054-0045 (Resident Health Services) and OAR 411-054-0085 (Refunds and Financial Management) of these rules.

(5) RECORDS. The facility must ensure the preparation, completeness, accuracy and preservation of resident records.

(a) The facility must develop and implement a written policy that prohibits the falsification of records.

(b) Resident records must be kept for a minimum of three years after the resident is no longer in the facility.

(c) Upon closure of a facility the licensee must provide SPD with written notification of the location of all records.

(6) QUALITY IMPROVEMENT PROGRAM. The facility must develop and conduct an ongoing quality improvement program that evaluates services, resident outcomes and resident satisfaction.

(7) DISCLOSURE - RESIDENCY AGREEMENT. The facility must provide a SPD designated Uniform Disclosure Statement (form SDS 9098A) to each person who requests information about the facility. The residency agreement and the following disclosure information are required to be provided to all potential residents prior to move-in. All disclosure information and residency agreements must be written in compliance with these rules.

(a) The residency agreement and the following disclosure information must be reviewed by SPD prior to distribution and must include the following:

- (A) Terms of occupancy, including policy on the possession of firearms and ammunition;
- (B) Payment provisions, including the basic rental rate, and what it includes, cost of additional services, billing method, payment system and due dates, deposits and non-refundable fees, if applicable;
- (C) The method for evaluating a resident's service needs and assessing the costs for the services provided;
- (D) Policy for increases, additions or changes to the rate structure. Disclosure must address the minimum requirement of 30 days prior written notice of any facility-wide increases or changes and the requirement for immediate written notice for individual resident rate changes that occur as a result of changes in the service plan;
- (E) Refund and proration conditions;
- (F) A description of the scope of services available according to OAR 411-054-0030 (Resident Services);
- (G) A description of the service planning process;
- (H) Additional available services;
- (I) The philosophy of how health care and ADL services are provided to the resident;
- (J) Resident rights and responsibilities;
- (K) The facility system for packaging medications and that residents may choose a pharmacy that meets the requirements of ORS 443.437;
- (L) Criteria, actions, circumstances or conditions that may result in a move-out notification or intra-facility move;

(M) Resident's rights pertaining to notification of involuntary move-out;

(N) Notice that DHS has the authority to examine resident's records as part of the evaluation of the facility; and

(O) Staffing plan.

(b) The facility must not include any provision in the residency agreement or disclosure information that is in conflict with these rules and must not ask or require a resident to waive any of the resident's rights or the facility's liability for negligence;

(c) The facility must retain a copy of the original and any subsequent signed and dated residency agreement(s) and must provide copies to the resident or to their designated representative; and

(d) The facility must give residents 30 days prior written notice of any additions or changes to the residency agreement. Changes to the residency agreement must be faxed or mailed to SPD before distribution.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0027 Resident Rights and Protections

(Adopted 11/1/2007)

(1) The facility must implement a residents' Bill of Rights. Each resident or the resident's designated representative must be given a copy of their rights and responsibilities prior to moving into the facility. The Bill of Rights must state that residents have the right:

(a) To be treated with dignity and respect;

(b) To be given informed choice and opportunity to select or refuse service and to accept responsibility for the consequences;

- (c) To participate in the development of their initial service plan and any revisions or updates at the time those changes are made;
- (d) To receive information about the method for evaluating their service needs and assessing costs for the services provided;
- (e) To exercise individual rights that do not infringe upon the rights or safety of others;
- (f) To be free from neglect, financial exploitation, verbal, mental, physical or sexual abuse;
- (g) To receive services in a manner that protects privacy and dignity;
- (h) To have prompt access to review all of their records and to purchase photocopies. Photocopied records must be promptly provided, but in no case require more than two business days (excluding Saturday, Sunday and Holidays);
- (i) To have medical and other records kept confidential except as otherwise provided by law;
- (j) To associate and communicate privately with any person of choice, to send and receive personal mail unopened and to have reasonable access to the private use of a telephone;
- (k) To be free from physical restraints and inappropriate use of psychoactive medications;
- (l) To manage personal financial affairs unless legally restricted;
- (m) To have access to and participate in social activities;
- (n) To be encouraged and assisted to exercise rights as a citizen;
- (o) To be free of any written contract or agreement language with the facility that purports to waive their rights or the facility's liability for negligence;

(p) To voice grievances and suggest changes in policies and services to either staff or outside representatives without fear of retaliation;

(q) To be free of retaliation after they have exercised their rights provided by law or rule;

(r) To have a safe and homelike environment;

(s) To be free of discrimination in regard to race, color, national origin, gender, sexual orientation or religion; and

(t) To have proper notification if requested to move out of the facility, and to be required to move out only for reasons stated in OAR 411-054-0080 (Involuntary Move-out Criteria) and have the opportunity for an administrative hearing, if applicable.

(2) Facility personnel must not act as a resident's guardian, conservator, trustee, or attorney in fact unless related by birth, marriage or adoption to the resident as follows: parent, child, brother, sister, grandparent, grandchild, aunt/uncle or niece/nephew. An owner, administrator or employee may act as a representative payee for the resident or serve in other roles as provided by law.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0028 Abuse Reporting and Investigation

(Adopted 11/1/2007)

(1) The facility must have policies and procedures in place to assure the prevention and appropriate response to any incident. In the case of incidents of abuse, suspected abuse, or injury of unknown cause, policies and procedures must follow the requirements outlined below. In the case of incidents that are not abuse or injuries of unknown cause where abuse has been ruled out, the facility must have policies and procedures in place to respond appropriately, which may include such things as re-assessment, monitoring, or medication review.

(2) ABUSE REPORTING. Abuse is prohibited. The facility employees, agents and licensee must not permit, aid, or engage in abuse of residents who are under their care.

(a) STAFF REPORTING. All facility employees are required to immediately report abuse and suspected abuse to the local SPD office, or the local AAA, the facility administrator, or to the facility administrator's designee.

(b) FACILITY REPORTING. The facility administrator, or designee, must immediately notify the local SPD office, or the local AAA, of any incident of abuse or suspected abuse, including events overheard or witnessed by observation.

(c) LAW ENFORCEMENT AGENCY. The local law enforcement agency must be called first when the suspected abuse is believed to be a crime (e.g., rape, murder, assault, burglary, kidnapping, theft of controlled substances, etc.).

(d) INJURY OF UNKNOWN CAUSE. Physical injury of unknown cause must be reported to the local SPD office, or the local AAA, as suspected abuse, unless an immediate facility investigation reasonably concludes and documents that the physical injury is not the result of abuse.

(3) FACILITY INVESTIGATION. In addition to immediately reporting abuse or suspected abuse to SPD, AAA, or the law enforcement agency, the facility must promptly investigate all reports of abuse and suspected abuse and take measures necessary to protect residents and prevent the reoccurrence of abuse. Investigation of suspected abuse must document:

(a) Time, date, place and individuals present;

(b) Description of the event as reported;

(c) Response of staff at the time of the event;

(d) Follow-up action; and

(e) Administrator's review.

(4) IMMUNITY AND PROHIBITION OF RETALIATION.

(a) The facility licensee, employees and agents must not retaliate in any way against anyone who participates in the making of an abuse complaint, including but not limited to restricting otherwise lawful access to the facility or to any resident, or if an employee, dismissal or harassment.

(b) Anyone who, in good faith, reports abuse or suspected abuse shall have immunity from any liability that might otherwise be incurred or imposed with respect to the making or content of an abuse complaint.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0030 Resident Services

(Adopted 11/1/2007)

(1) The residential care or assisted living facility must provide a minimum scope of services as follows:

(a) Three daily nutritious, palatable meals with snacks available seven days a week, in accordance with the recommended dietary allowances found in the United States Department of Agriculture (USDA) guidelines, including seasonal fresh fruit and fresh vegetables;

(A) Modified special diets that are appropriate to residents' needs and choices. The facility must encourage residents' involvement in developing menus.

(B) Menus must be prepared at least one week in advance, and must be made available to all residents. Meal substitutions must be of similar nutritional value if a resident refuses a food that is served. Residents must be informed in advance of menu changes.

(C) Food must be prepared and served in accordance with OAR 333-150-0000 (Food Sanitation Rules).

(b) Personal and other laundry services;

(c) A daily program of social and recreational activities that are based upon individual and group interests, physical, mental, and psychosocial needs, and creates opportunities for active participation in the community at large;

(d) Equipment, supplies and space to meet individual and group activity needs;

(e) Services to assist the resident in performing all activities of daily living, on a 24-hour basis, including:

(A) Assistance with mobility, including one-person transfers;

(B) Assistance with bathing and washing hair;

(C) Assistance with personal hygiene (e.g., shaving and caring for the mouth);

(D) Assistance with dressing and undressing;

(E) Assistance with grooming (e.g., nail care and brushing/combing hair);

(F) Assistance with eating (e.g., supervision of eating, cueing, or the use of special utensils);

(G) Assistance with toileting and bowel and bladder management;

(H) Intermittent cuing, redirecting and environmental cues for cognitively impaired residents; and

(I) Intermittent intervention, supervision and staff support for residents who exhibit behavioral symptoms.

(f) Medication administration; and

(g) Household services essential for the health and comfort of the resident that are based upon the resident's needs and preferences (e.g., floor cleaning, dusting, bed making, etc.)

(2) The facility must provide or arrange for the following:

(a) Transportation for medical and social purposes; and

(b) Ancillary services for medically related care (e.g., physician, pharmacist, therapy, podiatry, barber or beauty services, social or recreational opportunities, hospice, and home health) and other services necessary to support the resident.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0034 Resident Move-In and Evaluation

(Adopted 11/1/2007)

(1) INITIAL SCREENING AND MOVE-IN.

(a) The facility must determine whether a potential resident meets the facility's admission requirements.

(b) Prior to the resident moving in, the facility must conduct an initial screening to determine the prospective resident's service needs and preferences. The screening must determine the ability of the facility to meet the potential resident's needs and preferences while considering the needs of the other residents and the facility's overall service capability.

(c) Prior to move-in and updated as needed, each resident record must include the following information:

(A) Prior living arrangements;

(B) Emergency contacts;

(C) Service plan involvement - resident, family, and social supports;

(D) Legal or financial relationships;

(E) Primary language;

(F) Community connections; and

(G) Health and social service providers.

(2) RESIDENT EVALUATION – GENERAL. The resident evaluation is the foundation that a facility uses to develop the service plan and reflects the resident’s current health and mental status. The evaluation information may be collected using tools and protocols established by the facility, but must contain the elements stated in this rule.

(a) Resident evaluations must be performed:

(A) Before the resident moves into the facility, with updates and changes as appropriate within the first 30-days; and

(B) At least quarterly, to correspond with the quarterly service plan updates.

(b) Resident evaluations must be reviewed and updates documented each time a resident has a significant change in condition.

(c) The resident evaluation must be done in person and the facility must gather data that is relevant to the needs and current condition of the resident.

(d) Resident evaluations must be documented, dated and indicate who was involved in the evaluation process.

(e) Twenty-four months of past evaluations must be kept in the resident’s files in an accessible, on-site location.

(f) The facility administrator is responsible for assuring that only trained and experienced staff perform resident evaluations.

(3) EVALUATION REQUIREMENTS AT MOVE-IN.

(a) The resident evaluation must be completed before the resident moves into the facility. This evaluation provides baseline information of the resident's physical and mental condition at move-in.

(b) If there is an urgent need and the evaluation is not completed prior to move-in, the facility must document the reasons and complete the evaluation within eight hours of move-in.

(c) The initial evaluation must contain the elements specified in section (5) of this rule, and address sufficient information to develop an initial service plan to meet the resident's needs.

(d) The initial evaluation must be updated and modified as needed during the 30-days following the resident's move into the facility.

(e) After the initial 30-day move-in period, the initial evaluation must be retained in the resident's file for 24 months. Future evaluations must be separate and distinct from the initial evaluation.

(4) QUARTERLY EVALUATION REQUIREMENTS.

(a) Resident evaluations must be performed quarterly after the resident moves into the facility.

(b) The quarterly evaluation is the basis of the resident's quarterly service plan.

(c) The most recent quarterly evaluation, with documented change of condition updates, must be in the resident's current record and available to staff.

(d) If the evaluation is revised and updated at the quarterly review, changes must be dated and initialed and prior historical information must be maintained.

(5) The resident evaluation must address the following elements:

(a) Resident routines and preferences including:

(A) Customary routines - sleep, dietary, social, and leisure; and

(B) Spiritual, cultural preferences.

(b) Physical health status including:

(A) List of current diagnoses;

(B) List of medications and PRN use;

(C) Visits to health practitioner(s), emergency room, hospital or nursing facility in the past year;

(D) Vital signs if indicated by diagnoses, health problems, or medications.

(c) Mental health issues including:

(A) Presence of depression, thought disorders or behavioral or mood problems;

(B) History of treatment; and

(C) Effective non-drug interventions.

(d) Cognition, including:

(A) Memory;

(B) Orientation;

(C) Confusion; and

(D) Decision making abilities.

(e) Communication and sensory including:

- (A) Hearing;
- (B) Vision;
- (C) Speech;
- (D) Assistive devices; and
- (E) Ability to understand and be understood.

(f) Activities of daily living including:

- (A) Toileting, bowel and bladder management;
- (B) Dressing, grooming, bathing and personal hygiene;
- (C) Mobility - ambulation, transfers, assistive devices; and
- (D) Eating, dental status, assistive devices.

(g) Independent activities of daily living including:

- (A) Ability to manage medications;
- (B) Ability to use call system;
- (C) Housework and laundry; and
- (D) Transportation.

(h) Pain - pharmaceutical and non-pharmaceutical interventions.

(i) Skin Condition.

(j) Nutrition habits, fluid preferences and weight if indicated.

(k) List of treatments - type, frequency and level of assistance needed.

(l) Indicators of nursing needs, including potential for delegated nursing tasks.

(m) Review of risk indicators including:

(A) Fall risk or history;

(B) Emergency evacuation ability;

(C) Complex medication regimen;

(D) History of dehydration or unexplained weight loss or gain;

(E) Recent losses;

(F) Unsuccessful prior placements;

(G) Elopement risk or history; and

(H) Smoking, (Resident's ability to smoke safely must be evaluated and addressed in the service plan.) alcohol use or drug abuse.

(n) If the information has not changed from the previous evaluation period, the information does not need to be repeated. A dated and initialed notation of no changes is sufficient. The prior evaluation must then be kept in the current resident record for reference.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0036 Service Plan - General

(Adopted 11/1/2007)

(1) SERVICE PLAN. The service plan must reflect the resident's needs as identified in the evaluation and include resident preferences that support the principles of dignity, privacy, choice, individuality and independence.

(a) The service plan must be completed:

(A) Prior to resident move-in, with updates and changes as appropriate within the first 30-days; and

(B) Following quarterly evaluations.

(b) The service plan must be readily available to staff and provide clear direction regarding the delivery of services.

(c) The service plan must include a written description of who will provide the services and what, when, how and how often the services will be provided.

(d) Changes and entries made to the service plan must be dated and initialed.

(e) When the resident experiences a significant change of condition the service plan must be reviewed and updated as needed.

(f) A copy of the service plan, including each update, must be offered to the resident or to the resident's legal representative.

(g) The facility administrator is responsible for ensuring the implementation of services.

(2) SERVICE PLAN REQUIREMENTS PRIOR TO MOVE-IN.

(a) Based on the resident evaluation performed prior to move-in, an initial service plan must be developed prior to move-in that reflects the identified needs and preferences of the resident.

(b) The initial service plan must be reviewed within 30-days of move-in to ensure that any changes made to the plan during the initial 30-days, accurately reflect the resident's needs and preferences.

(c) Staff must document and date adjustments or changes as applicable.

(3) QUARTERLY SERVICE PLAN REQUIREMENTS.

(a) Service plans must be completed quarterly after the resident moves into the facility.

(b) The quarterly evaluation is the basis of the resident's quarterly service plan.

(c) If the resident's service plan is revised and updated at the quarterly review, changes must be dated and initialed and prior historical information must be maintained.

(4) SERVICE PLANNING TEAM. The service plan must be developed by a Service Planning Team that consists of the resident, the resident's legal representative if applicable, any person of the resident's choice, the facility administrator or designee and at least one other staff person who is familiar with, or who will provide services to the resident. Involved family members and case managers must be notified in advance of the service-planning meeting.

(a) As applicable, the Service Planning Team must also include:

(A) Local SPD or AAA case managers and family members, as available. ;

(B) A licensed nurse if the resident will be, or is, receiving nursing services or experiences a significant change of condition as required in 411-054-0045(1)(f)(D) (Resident Health Services); and

(C) The resident's physician or other health practitioner.

(b) Each resident must actively participate in the development of the service plan to the extent of the resident's ability and willingness to do so. If resident participation is not possible, documentation must reflect the facility's attempts to determine the resident's preferences.

(5) MANAGED RISK. When a resident's actions or choices pose a potential risk to that resident's health or well-being, the facility may utilize a managed risk agreement to explore alternatives and potential consequences with the resident.

(a) The facility must identify the need for and develop a written managed risk plan following the facility's established guidelines and procedures. A managed risk plan must include:

(A) An explanation of the cause(s) of concern;

(B) The possible negative consequences to the resident or others;

(C) A description of the resident's preference(s);

(D) Possible alternatives or interventions to minimize the potential risks associated with the resident's current preferences and actions;

(E) A description of the services the facility will provide to accommodate the resident's choice or minimize the potential risk; and

(F) The final agreement, if any, reached by all involved parties, must be included in the service plan.

(b) The facility will involve the resident, the resident's designated representative and others as indicated, to develop, implement and review the managed risk plan. The resident's preferences will take precedence over those of a family member(s).

(c) A managed risk plan will not be entered into or continued with or on behalf of a resident who is unable to recognize the consequences of their behavior or choices.

(d) The managed risk plan must be reviewed at least quarterly.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0040 Change of Condition and Monitoring

(Adopted 11/1/2007)

(1) CHANGE OF CONDITION. These rules define a resident's change of condition as either short term or significant with the following meanings:

(a) Short term change of condition means a change in the resident's health or functioning that is expected to resolve or be reversed with minimal intervention or is an established, predictable, cyclical pattern associated with a previously diagnosed condition.

(b) Significant change of condition means a major deviation from the most recent evaluation that may affect multiple areas of functioning or health that is not expected to be short term and imposes significant risk to the resident.

(c) If a resident experiences a significant change of condition that is a major deviation in the resident's health or functional abilities, the facility must evaluate the resident, refer to the facility nurse, document the change, and update the service plan as needed.

(d) If a resident experiences a short-term change of condition that is expected to resolve or reverse with minimal intervention, the facility must determine and document what action or intervention is needed for the resident.

(A) The determined action or intervention must be communicated to staff on each shift.

(B) The documentation of staff instructions or interventions must be resident specific and made part of the resident record with weekly progress noted until the condition resolves.

(2) MONITORING. The facility must have written policies to ensure a resident monitoring and reporting system is implemented 24-hours a day. The policies must specify staff responsibilities and identify criteria for notifying the administrator, registered nurse, or healthcare provider. The facility must:

(a) Monitor each resident consistent with his or her evaluated needs and service plan;

(b) Train staff to identify changes in the resident's physical, emotional and mental functioning and document and report on the resident's changes of condition;

(c) Have a reporting protocol with access to a designated staff person, 24-hours a day, seven days a week, who can determine if a change in the resident's condition requires further action; and

(d) Provide written communication of a resident's change of condition, and any required interventions, for caregivers on each shift.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0045 Resident Health Services

(Adopted 11/1/2007)

(1) RESIDENT HEALTH SERVICES. The facility must provide health services and have systems in place to respond to the 24-hour care needs of residents. The system must:

(a) Include written policies and procedures on medical emergency response for all shifts.

(b) Include an Oregon licensed nurse(s) who is regularly scheduled for onsite duties at the facility and who is available for phone consultation.

(c) Assure an adequate number of nursing hours relevant to the census and acuity of the resident population.

(d) Ensure that the facility's licensed nurse is notified of nursing needs as identified in OAR 411-054-0034 (Resident Move-In and Evaluation) or OAR 411-054-0036 (Service Plan – General).

(e) Define the duties, responsibilities and limitations of the facility nurse in policy and procedures, admission, and disclosure material.

(f) Licensed nurses must deliver the following nursing services:

(A) Registered nurse (RN) assessment in accordance with facility policy and resident condition. At minimum the RN must assess all residents with a significant change of condition. The assessment may be a full or problem focused assessment as determined by the RN. A chart review or phone consultation may be performed as part of this assessment. The RN must document findings, resident status, and interventions made as a result of this assessment. The assessment must be timely, but is not required prior to emergency response in acute situations.

(B) Delegation and Teaching. Delegation and teaching must be provided and documented by a RN in accordance with the Oregon Administrative Rules adopted by the Oregon State Board of Nursing in chapter 851, division 047.

(C) Monitoring of Resident Condition. The facility must specify the role of the licensed nurse in the facility's monitoring and reporting system.

(D) Participation on Service Planning Team. If the resident experiences a significant change of condition and the service plan is updated, the licensed nurse must participate on the Service Planning Team, or must review the service plan with date and signature within 48 hours.

(E) Health Care Teaching and Counseling. A licensed nurse must provide individual and group education activities as required by individual service plans and facility policies.

(F) Intermittent Direct Nursing Services. If a resident requires nursing services that are not available through hospice, home health, a third party referral, or the task cannot be delegated to facility staff, the facility must arrange to have such services provided on an intermittent or temporary basis. Such services may be of a temporary nature as defined in facility policy, admission agreements and disclosure information.

(2) ON-SITE AND OFF-SITE HEALTH SERVICES. The facility must assist residents in accessing health care services and benefits to which they are entitled from outside providers. When benefits are no longer available, or if the resident is not eligible for benefits, the facility must provide or coordinate the required services, as defined in facility disclosure information, for residents whose health status is stable and predictable.

(a) On-site Health Services. The facility must coordinate on-site health services with outside service providers such as hospice, home health, or other privately paid supplemental health care providers, etc.

(A) The facility management or licensed nurse must be notified of the services provided by the outside provider to ensure that staff are informed of new interventions, and that the service plan is adjusted if necessary, and reporting protocols are in place.

(B) The facility nurse must review the resident's health related service plan changes made as a result of the provision of on-site health services noted in section (2)(a)(A) of this rule.

(C) The facility must have policies to ensure that outside service providers leave written information in the facility that addresses the on-site services being provided to the resident and any clinical information necessary for facility staff to provide supplemental care.

(b) Off-site Health Services. The facility must coordinate off-site health services for residents who cannot or choose not to self-manage their health services.

(A) The facility must assist the resident by coordinating appointments, with outside providers, that are necessary to support the resident's health needs.

(B) Transportation for medical purposes must be arranged or provided for by the facility.

(C) Following a resident's visit to an outside medical provider, if information is obtained from said provider, it must be included in the resident's record. Adjustments to the resident's services and service plan must be made as applicable.

(D) The facility must provide relevant information to the off-site provider and must have a protocol to facilitate the receipt of information from the provider.

(c) The facility is exempt from the coordination of outside health services for residents who are capable and choose to independently arrange and manage their health care needs.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0055 Medications and Treatments

(Adopted 11/1/2007)

(1) MEDICATION AND TREATMENT ADMINISTRATION SYSTEMS. The facility must have safe medication and treatment administration systems in place that are approved by a pharmacist consultant, registered nurse, or physician.

(a) The administrator is responsible for ensuring adequate professional oversight of the medication and treatment administration system.

(b) Medications administered by the facility must be set-up or poured and documented by the same person who administers the medications.

(c) The staff person who administers the medication must visually observe the resident take (e.g., ingest, inhale, apply, etc.) the medication unless the prescriber's order for that specific medication states otherwise.

(d) Medications must be kept secure between set-up and administration of medications.

(e) The facility must have a system approved by a pharmacist consultant or registered nurse for tracking controlled substances and for disposal of all unused, outdated or discontinued medications administered by the facility.

(f) Medication and treatment orders must be carried out as prescribed.

(g) Written, signed physician or other legally recognized practitioner orders must be documented in the resident's facility record for all medications and treatments that the facility is responsible to administer.

(h) Only a physician or other legally recognized prescribing practitioner is authorized to make changes in a medication or treatment order.

(i) A registered pharmacist or registered nurse must review all medications and treatments administered by the facility to a resident at least every ninety days. The facility must provide documentation related to the recommendations made by the reviewer.

(j) The resident or the person legally authorized to make health care decisions for the resident has the right to consent to, or refuse, medications and treatments.

(k) The physician/practitioner must be notified if a resident refuses consent to an order. Subsequent refusals to consent to an order will be reported as requested by the prescriber.

(2) MEDICATION ADMINISTRATION. An accurate Medication Administration Record (MAR) must be kept of all medications, including over-the-counter medications that are ordered by a legally recognized prescriber and are administered by the facility.

(a) Documentation of the MAR must be completed using one of the following processes. An alternative process may be used only with a written exception from SPD.

(A) The MAR may be signed as the medications are set-up or poured. Medications must not be set-up in advance for more than one administration time. If a medicine cup or other individual container is used to set-up the medications, it must be placed in a closed compartment labeled with the resident's name. Changes to the MAR that occur after the medication is delivered, must be documented by the same staff person who administered the medication; or

(B) The facility may choose to sign the MAR after the medication is administered to a specific resident and prior to the next resident-specific medication or treatment.

(b) MEDICATION RECORD. At minimum, the medication record for each resident that the facility administers medications to, must include:

(A) Current month, day and year;

(B) Name of medication(s), reason for use, dosage, route and date/time given;

(C) Any medication specific instructions, if applicable (e.g., significant side effects, time sensitive dosage, when to call the prescriber or nurse);

(D) Resident allergies and sensitivities, if any;

(E) Resident specific parameters and instructions for p.r.n. medications; and

(F) Initials of the person administering the medication.

(3) TREATMENT ADMINISTRATION.

(a) An accurate treatment record for each resident must be kept of all treatments ordered by a legally recognized practitioner and administered by the facility to that resident.

(b) The treatment record must include:

- (A) Current month, day and year;
- (B) Type of treatment (e.g., dressing change, ointment application etc.), treatment instructions and if applicable, significant side effects or when to call the prescriber or nurse;
- (C) Date and time administered;
- (D) Resident allergies and sensitivities, applicable to treatments;
- (E) Instructions for p.r.n. treatments, including resident specific parameters;
- (F) Initials of person administering the treatments; and
- (G) Any deviation from instructions or refusal of treatment must be documented.

(4) **MEDICATION AND TREATMENT – GENERAL.** The facility must maintain legible signatures of staff that administer medications and treatments, either on the MAR or on a separate signature page, filed with the MAR.

(a) If the facility administers or assists a resident with medication, all medication obtained through a pharmacy must be clearly labeled with the pharmacist's label, in the original container, in accordance with the facility's established medication delivery system.

(b) Over-the-counter medication or samples of medications must have the original manufacturer's label(s) if the facility administers or assists a resident with medication.

(c) All medications administered by the facility must be stored in a locked container(s) in a secured environment such as a medication room or medication cart.

(d) Medications that have to be refrigerated must be stored at the appropriate temperature in a locked, secure location.

(e) Order changes obtained by telephone must be documented in the resident's record and the MAR must be updated prior to administering the new medication stated on the order. Telephone orders must be followed-up with written, signed orders.

(f) The facility must not require residents to purchase prescriptions from a pharmacy that contracts with the facility.

(5) SELF ADMINISTRATION OF MEDICATION.

(a) Residents who choose to self-administer their medications must be evaluated upon move-in and at least quarterly thereafter, to assure ability to safely self-administer medications.

(b) Residents must have a physician's or other legally recognized practitioner's written order of approval for self-administration of prescription medications.

(c) Residents able to administer their own medication regimen may keep prescription medications in their unit.

(d) If more than one resident resides in the unit, an evaluation must be made of each person and the resident's ability to safely have medications in the unit. If safety is a factor, the medications must be kept in a locked container in the unit.

(e) Unless contraindicated by a physician or resident evaluation, residents may keep and use over-the-counter medications in their unit without a written order.

(6) PSYCHOACTIVE MEDICATION. Psychoactive medications may be used only pursuant to a prescription that specifies the circumstances, dosage and duration of use.

(a) Facility administered psychoactive medication(s) will be used only when required to treat a resident's medical symptoms or to maximize a resident's functioning.

(b) The facility must not request psychoactive medication to treat a resident's behavioral symptoms without a consultation from a physician, nurse practitioner, registered nurse or mental health professional.

(c) Prior to administering any psychoactive medication(s) to treat a resident's behavior, all caregivers administering medications for the resident must know:

(A) The specific reasons for the use of the psychoactive medication for that resident;

(B) The common side effects of the medication(s); and

(C) When to contact a health professional regarding side effects.

(d) Medications that are administered p.r.n. that are given to treat a resident's behavior must have written, resident-specific parameters.

(A) These p.r.n. medication(s) may be used only after documented; non-pharmacological interventions have been tried with ineffective results.

(B) All caregivers must have knowledge of non-pharmacological interventions.

(e) Psychoactive medications must not be given to discipline a resident, or for the convenience of the facility.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0060 Restraints and Supportive Devices

(Adopted 11/1/2007)

Residential care and assisted living facilities are intended to be restraint free environments.

(1) Restraints are not permitted except when a resident's actions present an imminent danger to self or others and only until immediate action is taken by medical, emergency, or police personnel.

(2) Supportive devices with restraining qualities are permitted under the following documented circumstances:

(a) The resident specifically requests or approves of the device and the facility has informed the individual of the risks and benefits associated with the device; and

(b) The facility registered nurse, a physical therapist or occupational therapist has conducted a thorough assessment; and

(c) The facility has documented other less restrictive alternatives evaluated prior to the use of the device; and

(d) The facility has instructed caregivers on the correct use and precautions related to use of the device.

(3) Supportive devices with restraining qualities may be utilized for residents who are unable to evaluate the risks and benefits of the device when sections (2)(b), (2)(c) and (2)(d) have been met.

(4) Documentation of the use of supportive devices with restraining qualities must be included in the resident service plan and evaluated on a quarterly basis.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0065 Administrator Qualifications and Requirements

(Adopted 11/1/2007)

(1) FULL-TIME ADMINISTRATOR. Each licensed residential care and assisted living facility must employ a full-time administrator. The administrator must be scheduled to be on-site in the facility at least 40 hours per week.

(2) ADMINISTRATOR QUALIFICATIONS:

- (a) Be at least 21 years of age, and possess a high school diploma or equivalent; and have at least two years professional or management experience that has occurred within the last five years, in a health or social service related field or program, or have a combination of experience and education; or
- (b) Possess an accredited Bachelors Degree in a health or social service related field.

(3) ADMINISTRATOR REQUIREMENTS:

- (a) Facility administrators must meet the following training requirements prior to employment:
 - (A) Complete a SPD approved classroom administrator-training program of at least 40 hours; or
 - (B) Complete a SPD approved administrator-training program that includes both a classroom training of less than 40 hours and a SPD approved 40-hour internship program with a SPD approved administrator; or
 - (C) Complete another SPD approved administrator-training program.
- (b) CONTINUING EDUCATION. Administrators must have 20 hours of documented SPD approved continuing education credits each year. The approved administrator-training program fulfills the 20-hour continuing education requirement for the first year.
- (c) Individuals who have met SPD approved training program requirements but have been absent from an administrator position for five years or less, do not have to re-take the administrator training, but must provide evidence of 20 hours of continuing education annually.
- (d) Prior to employment as administrator of a facility, individuals must complete the requirements of OAR chapter 407, division 007

(Criminal History Check Rules) and comply with OAR 333-019-0041 (Tuberculosis).

(e) ADMINISTRATOR REFERENCE SUMMARY. Newly hired administrators are responsible for the completion of form SDS 0566, Administrator Reference Summary, and are required to fax the completed form to SPD upon hire. SPD may reject a form that has been falsified or is incomplete.

(f) DESIGNEE. The administrator must appoint a staff member as designee to oversee the operation of the facility in the administrator's absence. The administrator or a designee must be in charge on site at all times and ensure there are sufficient, qualified staff and that the care, health, and safety needs of the residents are met at all times.

(4) ADMINISTRATOR TRAINING COURSE STANDARDS.

(a) The training curriculum for the administrator training must be approved by SPD and will be re-evaluated by SPD at periodic intervals.

(b) Individuals, companies or organizations providing the administrator training course must be approved by SPD. SPD may withdraw approval under the following conditions:

(A) Failure to follow SPD approved curriculum;

(B) The trainer demonstrates lack of competency in training;

(C) There is insufficient frequency of training to meet the need;
or

(D) Facilities owned or operated by the training entity have a pattern of substantial non-compliance with these rules.

(c) Approved training must be open and available to all applicants and must not be used to orient trainees to a specific company's management or operating procedures.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0070 Staffing Requirements and Training

(Adopted 11/1/2007)

(1) STAFFING REQUIREMENTS. Facilities must have qualified awake caregivers, sufficient in number, to meet the 24-hour scheduled and unscheduled needs of each resident. Caregivers provide services for residents that include assistance with activities of daily living, medication administration, resident-focused activities, supervision, and support.

(a) If a facility employs universal workers whose duties include other tasks (e.g., housekeeping, laundry, food service, etc.), in addition to direct resident care, staffing must be increased to maintain adequate resident care and services.

(b) Prior to providing care and services to residents, caregivers must be trained as required in sections (2) and (3) of this rule.

(c) The following facility employees are ancillary to the caregiver requirements in this section:

(A) Individuals whose duties are exclusively housekeeping, building maintenance, clerical/administrative or food preparation;

(B) Licensed nurses who provide services as specified in OAR 411-054-0045 (Resident Health Services); and

(C) Administrators.

(d) SPD retains the right to require minimum staffing standards based on acuity, complaint investigation or survey inspection.

(e) Based on resident acuity and facility structural design there must be adequate caregivers present at all times, to meet the fire safety evacuation standards as required by the fire authority or SPD.

(f) The licensee is responsible for assuring that staffing is increased to compensate for the evaluated care and service needs of residents at move-in and for the changing physical or mental needs of the residents.

(g) A minimum of two caregivers must be scheduled and available at all times whenever a resident requires the assistance of two caregivers for scheduled and unscheduled needs.

(h) In facilities where residents are housed in two or more detached buildings, or if a building has distinct and segregated areas, a designated caregiver must be awake and available in each building and each segregated area at all times.

(i) Facilities must have a written, defined system to determine appropriate numbers of caregivers and general staffing based on resident acuity and service needs. Such systems may be either manual or electronic.

(A) Guidelines for systems must also consider physical elements of a building, use of technology if applicable and staff experience.

(B) Facilities must be able to demonstrate how their staffing system works.

(2) TRAINING REQUIREMENTS.

(a) EMPLOYEE PRE-SERVICE ORIENTATION. Prior to beginning their job responsibilities all employees must complete an orientation that includes:

(A) Residents' rights and the values of community-based care;

(B) Abuse and reporting requirements;

(C) Standard precautions for infection control; and

(D) Fire safety and emergency procedures.

(b) If the staff member's duties include preparing food, they must have a food handler's certificate.

(c) All staff must receive a written description of their job responsibilities.

(3) CAREGIVER REQUIREMENTS AND TRAINING.

(a) The facility must have a training program that has a method to determine performance capability through a demonstration and evaluation process.

(b) The facility is responsible to assure that caregivers have demonstrated satisfactory performance in any duty they are assigned. Knowledge and performance must be demonstrated in all areas within the first 30 days of hire, including, but not limited to:

(A) The role of service plans in providing individualized resident care;

(B) Providing assistance with the activities of daily living;

(C) Changes associated with normal aging;

(D) Identification of changes in the resident's physical, emotional and mental functioning and documentation and reporting on the resident's changes of condition;

(E) Conditions that require assessment, treatment, observation and reporting;

(F) Understanding resident actions and behavior as a form of communication;

(G) Understanding and providing support for a person with dementia or related condition;

(H) General food safety, serving and sanitation; and

(l) If the caregiver's duties include the administration of medication or treatments, appropriate facility staff, in accordance with OAR 411-054-0055 (Medications and Treatments) must document that they have observed and evaluated the individual's ability to perform safe medication and treatment administration unsupervised.

(c) Prior to providing personal care services for resident, caregivers must receive an orientation to the resident, including the resident's service plan. Staff members must be directly supervised by a qualified person until they have successfully demonstrated satisfactory performance in any task assigned and the provision of individualized resident services, as applicable.

(d) Documentation must be maintained regarding training and demonstrated ability.

(e) All direct caregivers must complete and document a minimum of 12 hours of in-service training annually on topics related to the provision of care for persons in a community-based care setting, including training on chronic diseases in the facility population.

(f) Staff under 18 years of age must not perform medication administration or delegated nursing tasks. Staff under the age of 18 must be directly supervised when providing bathing, toileting, incontinence care or transferring services.

(g) Staff must be trained in the use of the abdominal thrust and First Aid. Cardiopulmonary resuscitation (CPR) training is recommended, but not required.

(h) Staff must have sufficient communication and language skills to enable them to perform their duties and communicate with residents, other staff, family members, health care professionals, etc., as needed.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0080 Involuntary Move-out Criteria

(Adopted 11/1/2007)

The Department of Human Services, Seniors and People with Disabilities Division encourages facilities to support a resident's choice to remain in his or her living environment while recognizing that some residents may no longer be appropriate for the community-based care setting due to safety and medical limitations.

(1) Information must be specified in the facility's disclosure information that describes the types of health, nursing, behavior and care services the facility is unable to provide. The minimum required services identified in OAR 411-054-0030 (Resident Services) must be provided before a resident can be asked to move-out. In addition, facilities that are indorsed under OAR chapter 411, division 057 (Indorsement of Alzheimer's Care Units) must provide services to support residents with the progressive symptoms of the disease.

(2) The facility must give written notification on form number SDS 0567 to the resident, the resident's legal representative and case manager, if applicable, when the facility requests a resident to move from the facility. The resident must be given 30 days advance written notice to move from the facility unless criteria in section (6) of this rule are met.

(3) The facility must demonstrate through service plan modification and documentation, attempts to resolve the reason for the move out.

(4) A resident may be asked to move from a facility if one or more of the following circumstances exists:

(a) The resident's needs exceed the level of ADL services the facility provides as specified in the facility's disclosure information;

(b) The resident engages in behavior or actions that repeatedly and substantially interferes with the rights, health, or safety of residents or others;

(c) The resident has a medical or nursing condition that is complex, unstable or unpredictable and exceeds the level of health services the facility provides as specified in the facility's disclosure information;

- (d) The facility is unable to accomplish resident evacuation in accordance with OAR 411-054-0090 (Fire and Life Safety);
- (e) The resident exhibits behavior that poses a danger to self or others;
- (f) The resident engages in illegal drug use, or commits a criminal act that causes potential harm to the resident or others; or
- (g) Non-payment of charges.

(5) The facility must fax a copy of the move-out notice to SPD's central office in Salem. Where a resident lacks capacity and there is no legal representative, a copy of the notice to move-out must be faxed to the State Long-Term Care Ombudsman who may request an informal conference and administrative hearing for the resident.

(6) LESS THAN 30-DAY NOTICE. The resident must be given 30 days advance written notice before being moved from the facility, except in the following unusual circumstances:

(a) A resident who leaves the facility to receive urgent medical or psychiatric care may return to the facility unless, at the time the resident is to return, facility staff have re-evaluated the resident's needs and have determined that the resident's needs cannot be met at the facility.

(A) An appropriate facility staff person must re-evaluate the resident's condition prior to determining that the facility cannot meet the resident's needs.

(B) A written notice on form number SDS 0568 must be given to the resident or the resident's legal representative on the date the facility makes its determination. The written notice will contain the specific reasons the facility is unable to meet the resident's needs, as determined by the facility's evaluation.

(C) If the resident or resident's designee requests an administrative hearing, the facility must hold the resident's room

or unit and may charge room and board payment pending resolution of the administrative hearing.

(b) If the health or safety of the resident or others is in jeopardy and undue delay in moving the resident increases the risk of harm, the facility may give less than 30 days advance written notice on form number SDS 0568.

(A) SPD's central office in Salem must be consulted and alternatives reviewed prior to the resident receiving this notice.

(B) The resident is entitled to request an administrative hearing, as stated in section (7) of this rule.

(C) If the resident is moved out of the facility and requests an administrative hearing; the facility must hold the resident's room, without charge for room and board or services, pending resolution of the administrative hearing.

(c) The facility must fax a copy of the move-out notice to SPD's central office in Salem and the State Long-Term Care Ombudsman Office on the same day the notice is delivered to the resident or the resident's legal representative.

(7) ADMINISTRATIVE HEARING. Except when a facility has had its license revoked, not renewed, voluntarily surrendered, or terminates its Medicaid contract, a resident who receives an involuntary move-out notice is entitled to an administrative hearing, provided the resident or resident's designee requests a hearing in a timely manner.

(a) A resident who receives a 30-day notice to move has ten working days to request an administrative hearing after receipt of the notice. SPD's central office in Salem must be notified of all hearing requests.

(b) SPD's central office in Salem will notify the Office of Administrative Hearings of the resident's request for a formal administrative hearing.

(c) SPD may hold an informal conference to resolve the matter without a formal hearing. If a resolution is reached at the informal conference, no formal hearing will be held.

(d) A resident who is not allowed to return to the facility after receiving medical or psychiatric care, or who is immediately moved out of the facility to protect the health or safety of the resident or others, as specified in section (6) of this rule, has five working days to request an administrative hearing after receiving the move-out notice.

(A) SPD's central office in Salem must be notified by telephone or fax of a resident's request for hearing.

(B) When the resident is not allowed to remain in the facility, SPD's central office in Salem will request an expedited administrative hearing.

(e) The facility may not rent the resident's unit pending resolution of the administrative hearing.

(8) A resident who was admitted January 1, 2006 or later may be moved without advance notice if all of the following are met:

(a) The facility was not notified prior to admission that the resident is on probation, parole or post-prison supervision after being convicted of a sex crime; and

(b) The facility learns that the resident is on probation, parole or post-prison supervision after being convicted of a sex crime; and

(c) The resident presents a current risk of harm to another resident, staff or visitor in the facility, as evidenced by:

(A) Current or recent sexual inappropriateness, aggressive behavior of a sexual nature or verbal threats of a sexual nature; or

(B) Current communication from the State Board of Parole and Post-Prison Supervision, Department of Corrections or community corrections agency parole or probation officer that

the individual's Static 99 score or other assessment indicates a probable sexual re-offense risk to others in the facility.

(d) Prior to the move, the facility must contact SPD's central office in Salem by telephone and review the criteria in sections (8)(c)(A) and (B) of this rule. SPD will respond within one working day of contact by the facility. The Department of Corrections parole or probation officer must be included in the review, if available. SPD will advise the facility if rule criteria for immediate move out are not met. DHS will assist in locating placement options.

(e) A written move-out notice must be completed on form number SDS 0568A. The form must be filled out in its entirety and a copy of the notice delivered in person, to the resident, or the resident's legal representative, if applicable. Where a person lacks capacity and there is no legal representative, a copy of the notice to move-out must be immediately faxed to the State Long Term Care Ombudsman.

(f) Prior to the move, the facility must orally review the notice and right to object with the resident or legal representative and determine if a hearing is requested. A request for hearing does not delay the involuntary move-out. The facility will immediately telephone SPD's central office in Salem when a hearing is requested. The hearing will be held within five business days of the resident's move. No informal conference will be held prior to the hearing.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0085 Refunds and Financial Management

(Adopted 11/1/2007)

(1) RESIDENT DEATH. If a resident dies, the licensee must not require payment for more than 15 days, or the time specified in the admission agreement, whichever is less, after the date of the resident's death.

(2) RESIDENT UNABLE TO RETURN. If a resident must leave the facility for medical reasons and the resident or their representative indicates the intent not to return, the facility must not charge the resident for more than

15 days after the date notification is received from the resident or their representative, or the time specified in the admission agreement, whichever is less.

(a) If the resident's personal belongings are not removed from the facility within the 15-day timeframe, the facility may charge the resident as specified in the admission agreement. However, the facility must not charge for more than 30 days after receiving notification that the resident is unable to return.

(b) A reasonable storage fee may be charged for storage of the resident's belongings beyond 30 days if the admission agreement includes fees for storage.

(3) **SUBSTANTIATED ABUSE.** If a resident dies or leaves a facility due to substantiated neglect, substantiated abuse, or due to conditions of imminent danger of life, health or safety, as substantiated by DHS, the facility must not charge the resident beyond the resident's last day in the facility.

(4) **INVOLUNTARY MOVE-OUT.** If the facility gives written notice for the resident to leave, the facility waives the right to charge for services or room and board beyond the date of the resident's departure. If applicable, the facility may pursue past due charges that the resident incurred prior to move-out.

(5) **REFUNDS.** The provider will refund any advance payments within 30 days after the resident leaves the facility.

(6) **RATE INCREASES.** The facility must provide 30 days prior written notice of any facility-wide increases, additions or changes.

(7) **SERVICE RATE INCREASES.** The facility must provide immediate written notice at the time the facility determines a resident's service rates will increase due to increased service provision, as negotiated in a service plan.

(8) **PERSONAL INCIDENTAL FUNDS.** The facility must have written policies, procedures and accounting records for handling residents'

personal incidental funds that are managed in the resident's own best interest.

(a) The resident may manage their personal financial resources, or may authorize another person or the facility to manage personal incidental funds.

(b) The facility must hold, manage and account for the personal funds of the resident when requested in writing by the resident.

(c) Records must include the Resident Account Record (SDS 713) or other comparable expenditure form if the facility manages or handles a resident's money.

(A) The resident account record will show in detail, with supporting documentation, all monies received on behalf of the resident and the disposition of all funds received.

(B) Persons shopping for residents will provide a list showing description and price of items purchased, along with payment receipts for these items.

(C) The facility must provide a copy of the individual financial record to the resident on a quarterly basis.

(d) Resident funds must not be co-mingled with facility funds. Funds containing more than \$150.00 must be maintained in the resident's own interest-bearing account or in an interest bearing account with a system that credits the appropriate interest specifically to each resident.

(e) Residents must have reasonable access to their funds. At minimum, requests to access personal incidental funds must be acted upon by the facility within one day of the request, excluding weekends and holidays.

(f) Upon the death of a Medicaid resident with no known surviving spouse, personal incidental funds held by the facility for the resident must be forwarded within ten business days of the death of the

resident to the Department of Human Services, Estate Administration Unit, P.O. Box 14021, Salem OR 97309.

(g) The facility must maintain documentation of the action taken and the amount of funds conveyed.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0090 Fire and Life Safety

(Adopted 11/1/2007)

(1) FIRE DRILLS. Unannounced fire drills must be conducted and recorded every other month at different times of the day, evening, and night shifts. Fire and life safety instruction to staff must be provided on alternate months. The Fire Authority may develop an alternative fire drill plan for the facility. Any such plan must be submitted to SPD.

(a) A written fire drill record must be kept to document fire drills that include:

(A) Date and time of day;

(B) Location of simulated fire origin;

(C) The escape route used;

(D) Comments relating to residents who resisted or failed to participate in the drills;

(E) Evacuation time period needed; and

(F) Whether the alarm system was operative at the time of the drill.

(b) Alternate exit routes must be used during fire drills to react to varying potential fire origin points.

(c) The evacuation capability of the residents and staff is a function of both the ability of the residents to evacuate and the assistance provided by the staff.

(d) Staff must provide fire evacuation assistance to residents from the building to a designated point of safety as determined by the Fire Authority having jurisdiction. Points of safety may include, outside the building, through a horizontal exit, or other areas as determined by the Fire Authority having jurisdiction.

(e) Fire alarms, smoke detectors, or other approved signal devices must be set off during each fire drill, unless otherwise directed by the Fire Authority having jurisdiction.

(2) If the facility is unable to meet the applicable evacuation level, the facility must make an immediate effort to make changes to ensure the evacuation standard is met. Changes must include, but not be limited to, increasing staff levels, changing staff assignments, requesting change in resident rooms and arranging for special equipment. If the facility fails to meet the applicable evacuation level, the facility must issue an involuntary move-out notice to the resident(s) in accordance with OAR 411-054-0080 (Involuntary Move-Out Criteria).

(3) Fire detection and protection equipment, including visual signals with alarms for hearing-impaired residents, must be maintained in accordance with the Oregon Fire Code and the manufacturer's instructions.

(a) The facility must provide and maintain one or more 2A:10B:C fire extinguishers on each floor in accordance with the Oregon Fire Code.

(b) Flammable and combustible liquids and hazardous materials must be safely and properly stored in original containers in accordance with the fire authority having jurisdiction.

(4) SAFETY PROGRAM. A safety program must be developed and implemented to avoid hazards to residents, such as dangerous substances, sharp objects, unprotected electrical outlets, slippery floors or stairs, exposed heating devices, broken glass, water temperatures and fire prevention.

(5) TRAINING FOR RESIDENTS. Residents must be instructed about the facility's fire and life safety procedures.

(a) Each resident must be instructed within 24 hours of admission and re-instructed at least annually in general safety procedures, evacuation methods, responsibilities during fire drills, designated meeting places outside the building or within the fire safe area in the event of an actual fire. This requirement does not apply to residents whose mental capability does not allow for following such instruction; and

(b) A written record of fire safety training, including content of the training sessions and the residents attending, must be kept.

(6) UNOBSTRUCTED EGRESS. Stairways, halls, doorways, passageways, and exits from rooms and from the building must be unobstructed.

(7) SMOKING. A facility can designate itself as non-smoking.

(a) Outdoor designated smoking areas must be located in a safe, covered area.

(b) If there is a designated area within the building common areas or shared space it must be designed to keep other areas smoke free.

(8) FIRST-AID SUPPLIES. First-aid supplies must be provided, properly labeled, and readily accessible.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0093 Emergency and Disaster Planning

(Adopted 11/1/2007)

(1) Evacuation of a facility may become necessary in the event of a disaster (e.g., fire, smoke, bomb threat or explosion, prolonged power failure, structural damage, water or sewer loss, hurricane, tornado, tsunami, volcanic eruption, flood, earthquake or chemical spill or leak). If an

evacuation must occur, an evacuation site or housing site will be needed until such time residents may be returned to the facility or are placed in an alternate facility.

(2) In the event of an emergency that requires evacuation, facilities must have a written plan for transporting, housing residents and notifying SPD and the local AAA office, or designee. The local emergency authority, fire marshal designee, or agency with local emergency jurisdiction, must review the plan.

(3) Facilities must have a plan and supplies sufficient to shelter in place for a minimum of three days without electricity, running water, or replacement staff.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0100 Exceptions and Waivers

(Adopted 11/1/2007)

(1) SPD may grant exceptions to these rules as provided herein. Exceptions will not be granted that are determined, in the discretion of SPD, to be detrimental to the residents. The facility seeking an exception must submit to SPD, in writing, reasons for the exception request.

(2) No exception will be granted from a regulation or provision of these rules pertaining to the monitoring of the facility, resident rights, and inspection of the public files.

(3) Exceptions granted by SPD must be in writing and be reviewed periodically. Exceptions and waivers may be rescinded at any time if SPD determines that continuance of the waiver has a potential adverse impact on resident well-being, privacy, or dignity. SPD will send written notice to the provider with reason(s) why a waiver is denied or rescinded.

(4) If applicable, exceptions will not be granted by SPD without prior consultation with other agencies involved.

(5) For assisted living facilities: an individual exception is required for each resident who chooses to share a unit with someone other than his/her spouse or partner.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0105 Inspections and Investigations

(Adopted 11/1/2007)

(1) The facility must cooperate with SPD personnel in inspections, complaint investigations, planning for resident care, application procedures and other necessary activities.

(a) Records must be made available to SPD upon request. SPD personnel must have access to all resident and facility records and may conduct private interviews with residents. Failure to comply with this requirement will result in regulatory action.

(b) The State Long Term Care Ombudsman must have access to all resident and facility records that relate to an investigation. Certified Ombudsman volunteers may have access to facility records that relate to an investigation and access to resident records with written permission from the resident or guardian.

(c) The State Fire Marshal or authorized representative(s) must be permitted access to the facility and records pertinent to resident evacuation and fire safety.

(2) Staff of SPD will visit and inspect every facility at least, but not limited to, once every two years to determine whether it is maintained and operated in accordance with these rules.

(a) Facilities not in compliance with these rules must submit a plan of correction that satisfies SPD, within ten days of receipt of the inspection report.

(b) In addition, SPD may impose sanctions for failure to comply with these rules.

(3) SPD staff may consult with and advise the facility administrator concerning methods of care, records, housing, equipment and other areas of operation.

(4) A copy of the most current inspection 88 and any conditions placed upon the license must be posted with the facility's license in public view near the main entrance to the facility.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0110 Conditions

(Adopted 11/1/2007)

(1) Conditions may be attached to a license upon a finding that:

- (a) Information on the application or inspection requires a condition to protect the health and safety of residents;
- (b) There exists a threat to the health, safety, and welfare of a resident;
- (c) There is reliable evidence of abuse, neglect, or exploitation; or
- (d) The facility is not being operated in compliance with these rules.

(2) Conditions that may be imposed on a licensee include, but are not limited to:

- (a) Restricting the total number of residents;
- (b) Restricting the number and impairment level of residents based upon the capacity of the licensee and staff to meet the health and safety needs of all residents;
- (c) Requiring additional staff or staff qualifications;
- (d) Requiring additional training for staff;

(e) Requiring additional documentation; or

(f) Restriction of admissions.

(3) **IMPENDING IMPOSITION OF LICENSE CONDITION.** Except where the threat to residents is so imminent that SPD determines that it is not safe or practical to give the facility advance notice, SPD will provide the licensee with a Notice of Impending Imposition of License Condition (Notice) at least 48 hours prior to issuing an Order Imposing License Condition (Order). The Notice may be provided in writing, sent by certified or registered mail to the licensee, or provided orally in person or by telephone to the licensee or to the person represented by facility staff to be in charge at the facility. When the Notice is delivered orally, SPD must subsequently provide written notice to the licensee by registered or certified mail. The Notice must:

(a) Generally describe the acts or omissions of the licensee and the circumstances that led to the finding that the imposition of a license condition is warranted;

(b) Generally describe why the acts or omissions and the circumstances create a situation for which the imposition of a condition is warranted;

(c) Provide a brief statement identifying the nature of the impending condition;

(d) Identify a person at SPD whom the licensee may contact and who is authorized to enter the Order or to make recommendations regarding issuance of the Order;

(e) Specify the date and time an informal conference will be held, if requested by the licensee; and

(f) Specify the date and time the Order will take effect.

(4) **INFORMAL CONFERENCE.** If an informal conference is requested, the conference will be held at a location designated by SPD. If determined to be appropriate by SPD, the conference may be held by telephone.

(a) With Notice. If a Notice is issued, the licensee must be provided with an opportunity for an informal conference to object to SPD's proposed action before the condition is scheduled to take effect. The Order Imposing License Condition may be issued at any time after the informal conference.

(b) Without Notice. If an Order is issued without a prior Notice, the licensee may request an immediate informal conference to object to SPD's action.

(c) Licensees may also request a contested case hearing as set forth in section (5) of this rule.

(5) ORDER IMPOSING LICENSE CONDITION. When an Order is issued, SPD must serve the Order to the licensee either personally or by registered or certified mail. The Order must include the following statements:

(a) The authority and jurisdiction under which the condition is being issued;

(b) A reference to the particular sections of the statute and administrative rules involved;

(c) The effective date of the condition;

(d) A short and plain statement of the nature of the matters asserted or charged;

(e) The specific terms of the license condition;

(f) Statement of the licensee's right to request a hearing;

(g) That the licensee may elect to be represented by counsel and to respond and present evidence and argument on all issues involved. If the licensee is to be represented by counsel, the licensee must notify SPD;

(h) That, if a request for hearing is not received by SPD within 21 days of the date of the Order, the licensee will have waived the right to a hearing under ORS chapter 183;

(i) Findings of specific acts or omissions of the licensee that are grounds for the condition, and the reasons these acts or omissions create a situation for which the imposition of a license condition is warranted; and

(j) That SPD may combine the hearing on the Order with any other SPD proceeding affecting the licensee. The procedures for the combined proceeding must be those applicable to the other proceedings affecting the license.

(6) A licensee who has been ordered to restrict admissions to a facility must immediately post a "Restriction of Admissions Notice" that is provided by SPD, on both the inside and outside faces of each door of the facility through which any person enters or exits a facility. The notices must not be removed, altered or obscured until SPD has lifted the restriction.

(7) HEARING.

(a) Right to Hearing. If SPD imposes an Order, the licensee is entitled to a contested case hearing pursuant to ORS chapter 183.

(b) Hearing Request. SPD must receive the licensee's request for a hearing within 21 days of the date of Order. If a request for hearing is not received by SPD within 21 days of the date of the Order, the licensee will have waived the right to a hearing under ORS chapter 183.

(c) Date of Hearing. When a timely request for hearing is received, the hearing will be held as soon as practical.

(8) REQUEST FOR REINSPECTION. When the licensee determines the circumstances leading to imposition of the condition no longer exist, and that effective systems are in place to help ensure similar deficiencies do not recur, the licensee may make written request to SPD for a reinspection. SPD must conduct the reinspection within fifteen working days following receipt of the written request.

(9) REINSPECTION.

(a) If SPD finds that the situation for which the condition was imposed has been corrected, and finds that systems are in place to ensure similar deficiencies do not recur, the condition will be withdrawn. SPD will notify the facility by telephone, within five working days from the completion of the reinspection, of the decision to withdraw the condition. Telephone notification will be followed by written notification.

(b) If SPD determines, after a reinspection, that the situation for which the condition was imposed continues to exist, the license condition will not be withdrawn and SPD is not obligated to reinspect again for at least 45 days. A decision not to withdraw the Order must be given to the licensee in writing and the licensee must be informed of the right to a contested case hearing pursuant to ORS chapter 183. Nothing in this rule is intended to limit SPD's authority to visit or inspect the facility at any time.

(10) **EXCEPTIONS TO ORDER IMPOSING LICENSE CONDITION.** When a restriction of admissions is in effect pursuant to an Order, SPD, in its sole discretion, may authorize the facility to admit new residents for whom SPD determines that alternate placement is not feasible.

(11) Conditions may be imposed for the duration of the licensure period (two years) or limited to some other shorter period of time. If the condition corresponds to the licensing period, the reasons for the condition will be considered at the time of renewal to determine if the conditions are still appropriate. The effective date and expiration date of the condition will be indicated on the attachment to the license.

Stat. Auth.: ORS 183, 410.070 & 443.450

Stats. Implemented: ORS 183, 443.400 to 443.455 & 443.991

411-054-0120 Civil Penalties

(Adopted 11/1/2007)

(1) For purposes of imposing civil penalties, facilities licensed under ORS 443.400 to 443.455 and subsection (2) of ORS 443.991 are considered to be long-term care facilities subject to ORS 441.705 to 441.745.

(2) For purposes of this rule, "person" means a licensee under ORS 443.420 or a person who the Assistant Director of the Seniors and People with Disabilities Division finds should be so licensed but is not; but does not include any employee of such licensee or person.

(3) For purposes of this rule, "resident rights" means that each resident must be assured the same civil and human rights accorded to other citizens as described in OAR 411-054-0027 (Resident Rights and Protections).

(4) SPD will exercise the powers under ORS 441.705 to 441.745 and thereby issues the following schedule of penalties applicable to residential care and assisted living facilities:

(a) A Class I violation exists when there is non-compliance involving direct resident care or feeding, adequate staff, sanitation involving direct resident care or resident rights. A Class I violation may result in imposition of a fine for first and subsequent violations of no less than \$5 and no more than \$500 per occurrence, per day, not to exceed \$6,000 in any calendar quarter;

(b) A Class II violation exists when there is non-compliance with the license requirements relating to a license required, the license requirements relating to administrative management, personal services (care) and activities. Class II violations may result in imposition of a fine for violations found on two consecutive monitorings of the facility. The fine may be no less than \$5 and no more than \$300 per occurrence, per day, not to exceed \$6,000 in any calendar quarter; and

(c) A Class III violation exists when there is non-compliance with the license requirements relating to building requirements and resident furnishings. Class III violations may result in imposition of a fine for violations found on two consecutive monitorings of the residential care facility. The fine may be no less than \$5 and no more than \$150 per occurrence, per day, not to exceed \$6,000 in any calendar quarter.

(5) For purposes of this rule, a monitoring occurs when a residential care or assisted living facility is surveyed, inspected or investigated by an

employee or designee of SPD or an employee or designee of the State Fire Marshal.

(6) In imposing a penalty pursuant to the schedule published in section (4) of this rule, the Department's Assistant Director of the Seniors and People with Disabilities Division, or a designee, must consider the following factors:

- (a) The past history of the person incurring a penalty in taking all feasible steps or procedures necessary or appropriate to correct any violation;
- (b) Any prior violations of statutes or rules pertaining to residential care or assisted living facilities;
- (c) The economic and financial conditions of the person incurring the penalty; and
- (d) The immediacy and extent that the violation threatens the health, safety, and well-being of residents.

(7) Any civil penalty imposed under ORS 443.455 and 441.710 will become due and payable when the person incurring the penalty receives a notice in writing from the Department's Assistant Director of Seniors and People with Disabilities Division or a designee. The notice referred to in this rule will be sent by registered or certified mail and will include:

- (a) A reference to the particular sections of the statute, rule, standard, or order involved;
- (b) A short and plain statement of the matters asserted or charged;
- (c) A statement of the amount of the penalty or penalties imposed; and
- (d) A statement of the party's right to request a hearing.

(8) The person to whom the notice is addressed will have ten days from the date of mailing the notice to make written application for a hearing before SPD.

(9) All hearings will be conducted pursuant to the applicable provisions of ORS chapter 183.

(10) If the person notified fails to request a hearing within ten days, an order may be entered by SPD assessing a civil penalty.

(11) If, after a hearing, the person is found to be in violation of a license, rule, or order listed in ORS 441.710(1), an order may be entered by the SPD assessing a civil penalty.

(12) A civil penalty imposed under ORS 443.455 or 441.710 may be remitted or reduced upon such terms and conditions as the Department's Assistant Director of Seniors and People with Disabilities Division considers proper and consistent with the public health and safety.

(13) If the order is not appealed, the amount of the penalty is payable within ten days after the order is entered. If the order is appealed and is sustained, the amount of the penalty is payable within ten days after the court decision. The order, if not appealed or sustained on appeal, will constitute a judgment and may be filed in accordance with the provisions of ORS 18.005 to 18.428. Execution may be issued upon the order in the same manner as execution upon a judgment of a court of record.

(14) A violation of any general order or final order pertaining to a residential care or assisted living facility issued by the Department's Assistant Director of Seniors and People with Disabilities Division is subject to a civil penalty in the amount of not less than \$5 and not more than \$500 for each and every violation.

(15) Judicial review of civil penalties imposed under ORS 441.710 will be as provided under ORS 183.480, except that the court may, in its discretion, reduce the amount of the penalty.

(16) All penalties recovered under ORS 443.455 and 441.710 to 441.740 will be paid into the State Treasury and credited to the General Fund.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 441.705 to 441.745, 443.400 to 443.455 & 443.991

411-054-0125 Inactive and Provisional Licenses

(Temporarily Adopted 9/18/2008)

(1) Notwithstanding any other rule regarding the licensure of residential care or assisted living facilities, SPD may inactivate a license in accordance with this rule and under any of the following circumstances or where the occurrence of any such circumstance is imminent:

- (a) Abandonment of facility operation;
- (b) The licensee is no longer in physical possession of the premises;
- (c) The licensee no longer has operational control of the facility;
- (d) Appointment of a receiver, trustee or other fiduciary by court order; or
- (e) Mutual consent and agreement of the licensee and SPD to inactivate.

(2) SPD shall notify the licensee of the change in license status through personal communication with the licensee or representative of the licensee when possible, and by written notice sent by registered or certified mail to the registered agent, if any, or to the last known address of the licensee on file with SPD.

(3) The inactive license shall be effective immediately upon issuance, or at a later date, or upon the occurrence of any subsequent event as set forth in the order.

(4) The inactive licensee may appeal SPD's decision to change the license to inactive status for any of the reasons set forth in sections (1)(a) through (1)(d) of this rule by requesting an administrative review. The request for an administrative review must be made in writing to the Assistant Director of SPD, or the Assistant Director's designee, and must be made within 14 calendar days from the date of the inactivation of the license. The inactive licensee must include along with the request for an administrative review any information the inactive licensee wants to have considered in the administrative review.

(5) Within 10 working days from the date of SPD's receipt of a timely request, the Assistant Director of SPD, or the Assistant Director's designee shall review the file and issue a decision. The timeline to issue a decision may be extended with the consent of the inactive licensee. If a provisional license for the operation of the facility has been issued by SPD pursuant to this rule, the provisional licensee, as defined in section (10) of this rule, shall be a party to the administrative review and any contested case hearing.

(6) If the inactive licensee is dissatisfied with the decision following an administrative review, the inactive licensee may request a contested case hearing. A request for a contested case hearing must be made in writing within 14 calendar days from the date of the decision. The inactive licensee may request a contested case hearing without first seeking administrative review. The request for a contested case hearing must be made in writing within 14 calendar days from the date the license was inactivated. The inactive licensee must state in the request for a contested case hearing that the inactive licensee is waiving the right to an administrative review. A contested case hearing shall be scheduled as soon as practicable. The contested case hearing shall be in accordance with ORS chapter 183. The license remains inactivated pending the decision of the contested case hearing.

(7) The inactive status of the license shall continue for the duration of the original license. However, if the circumstances for which SPD inactivated the license are abated prior to the expiration of the license, the inactive licensee may request that SPD reactivate the license. The inactive licensee must provide any provisional licensee a copy of the request to reactivate the license. The inactive licensee must include with the request sufficient supporting documents or other proof of the abatement of the circumstances and justify the request to reactivate the license by demonstrating the licensee's present ability to operate the facility in compliance with the rules in OAR chapter 411, division 054.

(8) If the term of the inactive license expires before the circumstances requiring inactivation have been abated, the inactive licensee may submit an application for renewal of the license pursuant to OAR 411-054-0013. A decision to renew the license shall be in accordance with OAR 411-054-

0130. The licensee is entitled to a contested case hearing under ORS chapter 183 if SPD denies renewal.

(9) For purposes of any Medicaid provider contract for the provision of residential care or assisted living facility services, an inactive license shall not be considered a valid license or certificate that is required for the contractor to perform work under the contract and as such, is a basis for termination of the Medicaid contract pursuant to the terms of the contract. SPD's written notice to the licensee of inactive license status shall constitute SPD's notice of termination of the Medicaid contract effective as of the date of the inactive license.

(10) Notwithstanding any other rule regarding the licensure of residential care or assisted living facilities, if SPD takes action to inactivate or suspend a facility license, SPD may issue a provisional license to a "provisional licensee", for the protection of the health, safety or welfare of the residents. For purposes of this rule, a "provisional licensee" means any person or entity:

- (a) Having good character or reputation;
- (b) Meeting the criminal history check requirements in OAR chapter 407, division 007;
- (c) Eligible for receipt of federal Medicaid payments;
- (d) Authorized to conduct business in the state of Oregon;
- (e) Familiar with, that agrees to abide by, Oregon laws and administrative rules governing the operation of residential care or assisted living facilities, as applicable;
- (f) Demonstrating prior experience acceptable to SPD evidencing the necessary skills and ability to manage and safely operate a licensed residential care or assisted living facility for the welfare and protection of the residents. SPD shall consider evidence including, but not limited to, prior licensing of the applicant, in good standing, in Oregon or any other state for the operation of comparable residential care or assisted living facilities; and

(g) Demonstrating financial ability to operate a facility.

(11) Applicants for a provisional license must submit the information required in OAR 411-054-0013 and a licensing fee of \$60.

(12) SPD may grant a provisional license for a period of time up to the remaining term of the original license for the subject facility. However, if there are less than 60 calendar days remaining on the term of the original license, SPD may grant a provisional license for up to 60 calendar days beyond the date of expiration of the original license.

(a) At least 60 calendar days prior to the expiration of the provisional license, the provisional licensee must notify SPD of the facility's plan for continued operation, sale or closure. If the provisional licensee intends to continue its operation of the facility, or the facility is to be sold, the provisional licensee or the proposed buyer must submit an application for initial licensure pursuant to OAR 411-054-0013.

(b) If the provisional licensee intends to surrender the provisional license prior to its expiration, the provisional licensee must notify SPD at least 60 calendar days prior to the date of surrender.

(c) If at any time during the period of an inactive license or provisional license for the facility, the inactive license holder of the facility requests reactivation of the license or submits an application for renewal of a license for the facility, SPD shall hold in abeyance any other application for licensure of the subject facility until final action is taken on the inactive licensee's application. Both the inactive and provisional license shall continue until SPD takes final action on the inactive licensee's application.

(d) If the inactive license is reactivated, any provisional license for the facility shall terminate upon reactivation.

(13) The issuance of a provisional license shall be at the sole discretion of SPD. If the application for a provisional license is denied, the applicant may request an administrative review. The request for an administrative review must be made in writing to the Assistant Director of SPD, or the Assistant Director's designee, within 14 calendar days from the date of the notice denying a provisional license. The applicant must include along with the

request, any information the applicant wants to have considered in the administrative review. Within 10 working days from the date of SPD's receipt of a timely request, the Assistant Director of SPD, or the Assistant Director's designee shall review the file and issue a decision. The timeline to issue a decision may be extended with the consent of the applicant.

(14) If the applicant is dissatisfied with the decision following an administrative review, the applicant may request a contested case hearing. A request for a contested case hearing must be made in writing within 14 calendar days from the date of the decision. The applicant may request a contested case hearing without first seeking an administrative review. The request must be made in writing within 14 calendar days from the date of the order denying the provisional license. The applicant must state in the request for a contested case hearing that the applicant is waiving the right to an administrative review. A contested case hearing shall be scheduled as soon as practicable. The contested case hearing shall be in accordance with ORS chapter 183.

(15) At the request of either an inactive license holder of the subject facility during the period of an inactive license, or a suspended licensee, a copy of the provisional license application or any other license application, subject to any applicable laws of confidentiality, affecting the subject facility, shall be provided to the inactive or suspended licensee.

(16) Nothing in this rule is intended to preclude SPD from taking other regulatory action on either an inactive licensee or provisional licensee for a violation of the licensing regulations in OAR chapter 411, division 054.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0130 Non-Renewal, Denial, Suspension or Revocation of License

(Adopted 11/1/2007)

(1) SPD will deny, suspend, revoke or refuse to renew a license where it finds there has been substantial failure to comply with these rules; or where the State Fire Marshal or authorized representative certifies there is failure

to comply with all applicable ordinances and rules relating to safety from fire.

(2) SPD will deny, suspend, revoke or refuse to renew a license if the licensee fails to implement a plan of correction or comply with a final order of SPD imposing an administrative sanction, including the imposition of a Civil Penalty.

(3) SPD will immediately suspend a license in cases where imminent danger to the health or safety of residents exists.

(4) Such revocation, suspension or denial will be done in accordance with the rules of SPD and ORS chapter 183.

(5) Failure to disclose requested information on the application or provision of incomplete or incorrect information on the application will constitute grounds for denial or revocation of the license.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0135 Criminal Penalties

(Adopted 11/1/2007)

(1) Violation of any provision of ORS 443.400 to 443.455 is a Class B misdemeanor.

(2) Violation of any provision of ORS 443.881 is a Class C misdemeanor.

Stat. Auth.: ORS 443.455

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

411-054-0140 Additional Authority

(Adopted 11/1/2007)

SPD may commence a suit in equity to enjoin operation of a facility when:

(1) A facility is operated without a valid license; or

(2) Notice of revocation has been given and a reasonable time has been allowed for placement of individuals in other facilities.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

Residential Care Facility Building Requirements

411-054-0200 Residential Care Facility Building Requirements

(Adopted 11/1/2007)

A residential care facility may have individual or shared living units, where six or more people reside and must be built to the following specifications.

(1) **BUILDING CODES.** Each residential care facility must meet the requirements of the facility standards set forth in these rules, the Oregon Structural Specialty Code (OSSC), and the Oregon Fire Code (OFC) in effect at the time of original licensure.

(a) Facilities must comply with Title III of the Americans with Disabilities Act (ADA), Fair Housing Act, and Fair Housing Design Guidelines (FHA) where applicable.

(b) Subsequent modifications made to a facility including, but not limited to, demolition, remodeling, construction, maintenance, repair or replacement must comply with all applicable state and local building, electrical, plumbing and zoning codes in place at the time of the modification.

(c) If a change in use and building code occupancy classification occurs, license approval will be contingent on meeting the OSSC and minimum standards of ADA in effect at the time of such change.

(d) All two or more story residential care facilities with a capacity of more than 16, must be constructed to include a minimum of one 2-hour area separation wall constructed to standards as defined in the OSSC (SR 104.3.1 Fire Barrier).

(e) Facilities must comply with the Public Health Division's, Facilities Planning and Safety Program requirements for submission of building plans and specifications, per OAR 333-675-0000 (Submission of Project Plans and Specifications for Review).

(f) All interior and exterior materials and surfaces (e.g., floors, walls, roofs, ceilings, windows, and furniture) and all equipment necessary for the health, safety and comfort of the resident will be kept clean and in good repair.

(2) GENERAL BUILDING EXTERIOR.

(a) All exterior pathways and accesses to the facility's common use areas, entrance and exit ways must be of hard, smooth material, accessible and maintained in good repair.

(b) Measures must be taken to prevent the entry of rodents, flies, mosquitoes, and other insects. There must be locked storage for all poisons, chemicals, rodenticides, and other toxic materials. All materials must be properly labeled.

(c) The facility grounds must be kept orderly and free of litter and refuse. Garbage must be stored in covered refuse containers.

(d) At least one primary grade level entrance to the building must be arranged to be fully accessible to disabled persons. Alzheimer's Indorsed Facilities must be located on the ground floor.

(e) Storage must be provided for all maintenance equipment, including yard maintenance tools.

(f) OUTDOOR RECREATION AREA. An accessible outdoor recreation area is required and must be made available to all residents. Lighting must be equal to a minimum of five foot-candles. Alzheimer's Indorsed Facilities must provide residents with direct access to a secure outdoor recreation area.

(g) Outdoor perimeter fencing must not be secured to prevent exit unless the facility has written approval of SPD or is in compliance

with OAR chapter 411, division 057 (Indorsement of Alzheimer's Care Units) or OAR 309-032-0720 through OAR 309-032-0830 (Standards for Enhanced Care Services).

(h) Facilities must have an entry and exit drive to and from the main building entrance that will allow for picking up and dropping off residents and for mail deliveries without the need for vehicles to back up.

(3) GENERAL BUILDING INTERIOR. Designers must emphasize a residential appearance while retaining the features required to support special resident needs as outlined in this rule.

(a) RECEPTION AREA. A reception area must be visible and accessible to residents and visitors when entering the doors of the main entrance to the facility.

(b) CORRIDORS. Resident-use areas and units must be accessible through temperature controlled common corridors with a minimum width of 48 inches.

(A) Resident-use corridors exceeding 20 feet in length to an exit or common area, must have a minimum width of 72 inches.

(B) Corridors must not exceed 150 feet in length from any resident unit to seating or other common area.

(C) Handrails must be installed at one or both sides of resident use corridors.

(c) FLOORS. Hard surface floors and base must be free from cracks and breaks.

(A) Carpeting and other floor materials must be constructed and installed to minimize resistance for passage of wheelchairs and other ambulation aids.

(B) Thresholds and floor junctures must be designed and installed for passage of wheelchairs and to prevent a tripping hazard.

(d) INTERIOR DOORS. Bathrooms and other common use areas must provide a minimum clear opening of 32 inches (36-inch doors recommended). Lever-type or other OSSC/ADA approved hardware must be provided on all doors used by residents.

(e) EXIT DOORS. Exit doors must not include locks that delay evacuation except as approved by the Fire Authority and Oregon Building Codes Agencies having jurisdiction. Such locks will not be installed except with written approval of SPD.

(A) Exit doors must not include locks that prevent evacuation.

(B) If an electronic code must be entered to use an exit door, that code must be clearly posted for residents, visitors and staff use.

(f) WALLS AND CEILINGS. Walls and ceilings must be washable in kitchen, laundry and bathing areas. Kitchen walls must be finished smooth per OAR 333-150-0000 (Food Sanitation Rules).

(g) ELEVATORS. Facilities with residents on more than one floor must provide at least one elevator that meets Oregon Elevator Specialty Code (OESC) requirements.

(h) The interior of the facility must be free from unpleasant odors.

(4) RESIDENT UNITS. Resident units may be limited to a bedroom only, with bathroom facilities centrally located off common corridors. Each resident unit will be limited to not more than two residents.

(a) For bedroom units, the door must open to an indoor, temperature controlled common area or common corridor and residents must not enter a room through another resident's bedroom.

(b) Resident units must include a minimum of 80 square feet per resident exclusive of closets, vestibules, and bathroom facilities and allow for a minimum of three feet between beds;

(c) All resident bedrooms must be accessible for persons with disabilities, meeting requirements of the OSSC, FHA, and the ADA.

(d) A lockable storage space (e.g., drawer, cabinet, or closet) must be provided for the safekeeping of a resident's small valuable items and funds. Both the administrator and resident may have keys.

(e) **WARDROBE CLOSET.** A separate wardrobe closet must be provided for each resident's clothing and personal belongings. Resident wardrobe and storage space must total a minimum volume of 64 cubic feet for each resident. The rod must be adjustable for height or fixed at no higher than 48 inches and no lower than 36 inches for accessibility. Closet height must not exceed eight feet and a depth of two feet.

(f) **WINDOWS.** All units must have an escape window that opens directly onto a public street, public alley, yard, or exit court, except for Alzheimer's Care Units constructed to an SR-2 or I-2 occupancy classification. This window section must be operable from the inside to provide a full clear opening without the use of separate tools and must comply with the specifications of an escape window when required by the OSSC. Windows must not be below grade.

(A) Each resident's unit must have an exterior window that has an area at least one-tenth of the floor area of the room. Windows must also have a nominal maximum windowsill height of 38 inches. Operable units must be designed to prevent accidental falls when sill heights are lower than 36 inches and above the first floor.

(B) Unit windows must be equipped with curtains or blinds for privacy and control of sunlight.

(g) **RESIDENT UNIT BATHROOMS.** If resident bathrooms are provided within a resident unit, they must include a toilet, hand wash sink, mirror, and towel bar (36" in height). The bathrooms must be accessible for persons who use wheelchairs.

(h) **UNIT KITCHENS.** If cooking facilities are provided in resident units, cooking appliances must be readily removable or disconnect-

able and the facility must have and carry out a written safety policy regarding resident use and nonuse.

(5) COMMON USE AREAS.

(a) BATHING FACILITIES. Centralized bathing fixtures must be provided at a minimum ratio of one tub or shower for each ten residents not served by fixtures within their own unit. At least one centralized shower or tub must be designed for disabled access without substantial lifting by staff. Curbless showers or tubs equipped for horizontal transfer or hydraulic lift are acceptable. All bathing facilities must meet ADA and OSSC requirements.

(A) Grab bars must be provided in all resident showers.

(B) Showers must be equipped with a hand-held showerhead and a cleanable shower curtain.

(C) Bathing facilities must be located or screened to allow for resident privacy while bathing and provide adequate space for an attendant.

(D) A non-slip floor surface in bathing areas is required.

(b) TOILET FACILITIES. Toilets and hand wash sinks with an accessible mirror must be located for resident use at a minimum ratio of one to six residents for all residents not served by these fixtures in their own unit.

(A) Toilet facilities for all of the licensed resident capacity must be accessible to persons with disabilities in accordance with the ADA and the OSSC as enforced by the Oregon Building Codes Division or local jurisdictions having authority.

(B) At least one separate toilet and hand wash lavatory must be provided for staff and visitor use in facilities licensed for more than 16.

(c) DINING AREA. Dining space must be provided to seat all residents with a minimum area of 22 square feet per resident,

exclusive of serving carts and other equipment or items that take up space in the dining room. The facility must have policies and equipment to assure that food is served fresh and at proper temperature.

(d) LOUNGE AND ACTIVITY AREAS. The facility must include lounge and activity area(s) for social and recreational use totaling a minimum of 15 square feet per resident.

(e) SMOKING AREA. If there is an indoor designated smoking area, it must be separate from other common areas and provided with a mechanical exhaust.

(6) SUPPORT SERVICE AREAS.

(a) MEDICATION STORAGE. Facilities must have a locked and separate closed storage for medications, supportive of the distribution system utilized including:

(A) A method for refrigeration of perishable medications that provides for locked separation from stored food items;

(B) In residential care facilities of 17 or greater capacity, a medication sink must be provided; and

(C) Medications must be stored in an area that is separate from any poisons, hazardous material or toxic substance.

(b) HOUSEKEEPING AND SANITATION. The facility must have a secured janitor closet for storing supplies and equipment, with a floor or service sink.

(c) LAUNDRY FACILITIES. Laundry facilities may be located to allow for both resident and staff use when a time schedule for resident use is provided and equipment is of residential type. When the primary laundry is not in the building or suitable for resident use, separate resident-use laundry facilities must be provided.

(A) Laundry facilities must be operable at no additional cost to the resident.

(B) There must be adequate space and equipment to handle laundry-processing needs. Laundry facilities must be separate from food preparation and other resident use areas.

(C) On-site laundry facilities, used by staff for facility and resident laundry, must have capacity for locked storage of chemicals and equipment.

(d) SOILED LINEN PROCESSING. For the purpose of this rule “soiled linens or soiled clothing,” means linens or clothing contaminated by a person’s bodily fluids (e.g., urine, feces, blood, etc.)

(A) There must be a separate area or room and closed containers that ensure the separate storage and handling of soiled linens.

(B) Arrangement must provide a one-way flow of linens from the soiled area to the clean area and preclude potential for contamination of clean linens and clothing.

(C) Soiled linen and clothing must be stored and processed separately from other linen and clothing.

(D) The soiled linen room, or area, must include a flushing rim clinical sink with a handheld rinsing device and a hand wash sink or lavatory.

(E) When washing soiled linens, washers must have a minimum rinse temperature of 140 degrees Fahrenheit unless a chemical disinfectant is used.

(e) KITCHEN AND FOOD STORAGE. Kitchen facilities and equipment in residential care facilities of 16 or less capacity may be of residential type except as required by the OSSC and OFC. Residential care facilities licensed for a capacity of more than 16 must comply with OAR 333-150-0000 (Food Sanitation Rules).

- (A) Dry storage space, not subject to freezing, must store a minimum one-week supply of staple foods.
- (B) There must be refrigeration and freezer space at proper temperature to store a minimum two days' supply of perishable foods.
- (C) Storage for all dishware, utensils and cooking utensils must meet OAR 333-150-0000 (Food Sanitation Rules).
- (D) In facilities licensed to serve 16 or fewer residents, a dishwasher must be provided (may be residential type) with a minimum final rinse temperature of 140 degrees Fahrenheit (160 degrees recommended), unless a chemical disinfectant is used in lieu of the otherwise required water temperature. In facilities of 17 or more capacity, a commercial dishwasher is required meeting OAR 333-150-0000 (Food Sanitation Rules).
- (E) In residential care facilities of 16 or less capacity, a two compartment sink or separate food preparation sink and hand wash lavatory must be provided. In residential care facilities of 17 or more capacity, a triple pot wash sink (unless all pots are sanitized in the dishwasher), a food prep sink and separate hand wash lavatory must be provided.
- (F) Food preparation and serving areas must have smooth and cleanable counters.
- (G) Stove and oven equipment for cooking and baking needs.
- (H) Storage in the food preparation area for garbage must be enclosed and separate from food storage.
- (I) Storage for a mop and other cleaning tools and supplies used for dietary areas. Such tools must be separate from those used in toilet rooms, resident and other support areas. In residential care facilities of 17 or more capacity, a separate janitor closet or alcove must be provided with a floor or service sink and storage for cleaning tools and supplies.

(J) Storage must be available for cookbooks, diet planning information and records.

(7) HEATING AND VENTILATION SYSTEMS. Systems must comply with the Oregon Mechanical Specialty Code in effect at the time of construction.

(a) TEMPERATURE. For all areas occupied by residents, design temperature for construction must be 75 degrees Fahrenheit.

(A) Facilities must provide heating systems capable of maintaining 70 degrees Fahrenheit in resident areas. Required minimum temperatures are no less than 70 degrees Fahrenheit during the day and 60 degrees Fahrenheit during sleeping hours.

(B) During times of extreme summer heat, fans must be made available when air conditioning is not provided.

(b) EXHAUST SYSTEMS. All toilet, shower and smoking rooms (when provided) must be equipped with a mechanical exhaust fan or central exhaust system that discharges to the outside.

(c) FIREPLACES, FURNACES, WOODSTOVES AND BOILERS. Where used, installation must meet standards of the Oregon Mechanical Specialty Code.

(d) WALL HEATERS. Covers, grates, or screens of wall heaters and associated heating elements must not exceed 120 degrees Fahrenheit when they are installed in locations that are subject to incidental contact by people or with combustible material.

(8) PLUMBING SYSTEMS. Plumbing systems must conform to the Oregon Plumbing Specialty Code in effect at the time of facility construction.

(a) Hot water temperature in residents' units must be maintained within a range of 110 - 120 degrees Fahrenheit.

(b) Hot water temperatures serving dietary areas must meet OAR 333-150-0000 (Food Sanitation Rules).

(c) **SPRINKLER SYSTEM.** Facilities must have a sprinkler system installed in accordance with the OSSC.

(d) An outside area drain and hot and cold water hose bibs must be provided for sanitizing laundry carts, food carts and garbage cans.

(9) ELECTRICAL REQUIREMENTS.

(a) **WIRING SYSTEMS.** All wiring systems must meet the Oregon Electrical Specialty Code (OESPC) in effect at the date of installation and devices must be properly wired and in good repair.

(b) All electrical circuits must be protected by circuit breakers or limitrons in fuse boxes of proper capacity. Electrical loads on circuits must be limited in accordance with proper circuit capacity.

(c) Sufficient electrical outlets must be provided to meet resident and staff needs without the use of extension cords or other special taps.

(d) **LIGHTING.** Lighting fixtures must be provided in each resident bedroom and bathroom, switchable near the entry door.

(A) Lighting for evacuation must be operable during a failure of the normal power supply.

(B) Each resident bedroom must have illumination for way finding from the room entrance, to each bed, and to the adjoining toilet room, if one exists, with at least 20-foot candles of illumination measured at the floor.

(C) Lighting in resident toilet rooms and bathing areas must be at least 50-foot candles, measured at the hand wash basin and three feet above the shower floor with the curtain open.

(D) Corridor lighting must equal a minimum of 20-foot candles measured from the floor.

(E) Task lighting in dining rooms must equal a minimum of 25-foot candles, without light from windows, measured from table height.

(10) CALL SYSTEM. A call system must be provided connecting resident units to the care staff center or staff pagers.

(a) A manually operated emergency call system must be provided in each toilet and bathing room.

(b) EXIT DOOR ALARMS. An exit door alarm or other acceptable system must be provided for security purposes and to alert staff when residents exit the facility. The door alarm system may be integrated with the call system.

(c) Security devices intended to alert staff of an individual resident's potential elopement may include electronic pendants, bracelets, pins, etc.

(11) TELEPHONES. Adequate telephones must be available for resident, staff and visitor use, including those who have physical disabilities. If the only telephone is located in a staff area, it must be posted that the phone is available for normal resident use at any time and that staff will ensure the resident's uninterrupted privacy. Staff may provide assistance when necessary or requested.

(12) TELEVISION ANTENNA OR CABLE SYSTEM. A television antenna or cable system with an outlet in each resident unit must be provided.

(13) FIRE ALARM SYSTEM. An approved fire alarm system that includes interconnected smoke detectors, annunciator and control panels, and manual pull stations is required in residential care facilities. The fire alarm system must meet the requirements of the OSSC, the OFC, the OESPC and the applicable standards of the National Fire Protection Association.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991

Assisted Living Facility Building Requirements

411-054-0300 Assisted Living Facility Building Requirements

(Adopted 11/1/2007)

An assisted living facility must have individual living units that have a lockable door, private bathroom, and kitchenette, and must be built to the following requirements.

(1) **BUILDING CODES.** Each assisted living facility must meet the requirements of the facility standards set forth in these rules, the Oregon Structural Specialty Code (OSSC), and the Oregon Fire Code (OFC) in effect at the time of original licensure.

(a) Facilities must comply with Title III of the Americans with Disabilities Act (ADA), Fair Housing Act, and Fair Housing Design Guidelines (FHA) where applicable.

(b) Subsequent modifications made to a facility including, but not limited to, demolition, remodeling, construction, maintenance, repair or replacement must comply with all applicable state and local building, electrical, plumbing and zoning codes in place at the time of the modification.

(c) If a change in use and building code occupancy classification occurs, license approval will be contingent on meeting the OSSC and minimum standards of ADA in effect at the time of such change.

(d) All two or more story facilities must be constructed to include a minimum of one 2-hour area separation wall constructed to standards as defined in the OSSC (SR 104.3.1 Fire Barrier).

(e) Facilities must comply with the Public Health Division, Facilities Planning and Safety Program requirements for submission of building plans and specifications, per OAR 333-675-0000 (Project Plans and Construction Review).

(2) **GENERAL BUILDING EXTERIOR.**

(a) All exterior pathways and accesses to the facility's common use areas and entrance and exit ways must be of hard, smooth material, accessible and maintained in good repair.

(b) Measures must be taken to prevent the entry of rodents, flies, mosquitoes, and other insects. There must be locked storage for all poisons, chemicals, rodenticides, and other toxic materials. All materials must be properly labeled.

(c) The facility grounds must be kept orderly and free of litter and refuse. Garbage must be stored in covered refuse containers.

(d) At least one primary grade level entrance to the building must be arranged to be fully accessible to disabled persons. Alzheimer's Indorsed Facilities must be located on the ground floor.

(e) Storage must be provided for all maintenance equipment, including yard maintenance tools.

(f) OUTDOOR RECREATION AREA. An accessible outdoor recreation area is required that must be available to all residents and have lighting equal to a minimum of five foot candles. Alzheimer's Indorsed Facilities must provide residents with direct access to a secure outdoor recreation area.

(g) Outdoor perimeter fencing must not be secured to prevent exit unless the facility has received written approval of SPD or is in compliance with OAR chapter 411, division 057 (Indorsement of Alzheimer's Care Units) or OAR 309-032-0720 through 309-032-0830 (Standards for Enhanced Care Services).

(h) Facilities must have an entry and exit drive to and from the main building entrance which will allow for picking up and dropping off residents and for mail deliveries without the need for vehicles to back up.

(3) GENERAL BUILDING INTERIOR. Designers must emphasize a residential appearance while retaining the features required to support special resident needs as outlined in this rule.

(a) RECEPTION AREA. A reception area must be visible and accessible to residents and visitors when entering the doors of the main entrance to the facility.

(b) CORRIDORS. Resident-use areas and units must be accessible through temperature controlled common corridors with a minimum width of 48 inches.

(A) Resident-use corridors exceeding 20 feet in length to an exit or common area, must have a minimum width of 72 inches.

(B) Corridors must not exceed 150 feet in length from any resident unit to seating or other common area.

(C) Handrails must be installed at one or both sides of resident use corridors.

(c) FLOORS. Hard surface floors and base must be free from cracks and breaks.

(A) Carpeting and other floor materials must be constructed and installed to minimize resistance for passage of wheelchairs and other ambulation aids.

(B) Thresholds and floor junctures must be designed and installed for passage of wheelchairs and to prevent a tripping hazard.

(d) INTERIOR DOORS. Bathrooms and other common use areas must provide a minimum clear opening of 32 inches (36-inch doors recommended). Lever-type or other OSSC/ADA approved hardware must be provided on all doors used by residents.

(e) EXIT DOORS. Exit doors must not include locks that delay evacuation except as approved by the Fire Authority and Oregon Building Codes Agencies having jurisdiction. Such locks will not be installed except with written approval of SPD.

(A) Exit doors must not include locks that prevent evacuation.

(B) If an electronic code must be entered to use an exit door, that code must be clearly posted for residents, visitors and staff use.

(f) WALLS AND CEILINGS. Walls and ceilings must be washable in kitchen, laundry and bathing areas. Kitchen walls must be finished smooth per OAR 333-150-0000 (Food Sanitation Rules).

(g) ELEVATORS. Facilities with residents on more than one floor must provide at least one elevator that meets Oregon Elevator Specialty Code (OESC) requirements.

(h) The interior of the facility must be free from unpleasant odors.

(4) RESIDENT UNITS. All resident units must be comprised of individual adaptable and accessible apartments with a lockable door, private bathroom and kitchenette facilities conforming to the requirement of the OSSC, FHA and the facility standards set forth in these rules.

(a) UNIT DIMENSIONS. New construction units must have a minimum of 220 net square feet not including the bathroom. Units in pre-existing structures being remodeled must have a minimum of 160 square feet not including the bathroom.

(b) WINDOWS. All units must have an escape window that opens directly onto a public street, public alley, yard or exit court. This window section must be operable from the inside to provide a full clear opening without the use of separate tools and must have a minimum net clear open area of 5.7 square feet, a minimum net clear opening height of 24 inches, a minimum net clear open width dimension of 20 inches and must not be below grade.

(A) Each resident's living room and bedroom must have exterior windows that have an area at least one-tenth of the floor area of the room. One window must be at least 3'-6" x 5'-0" in size and have a maximum sill height of 36 inches. Operable units must be designed to prevent accidental fall when sill heights are lower than 36 inches.

(B) Unit windows must be equipped with curtains or blinds for privacy and control of sunlight.

(c) DOORS. Each unit must have an entry door that is self-closing, does not swing into the exit corridor and is equipped with lever handles.

(A) A locking device must be included that is released with action of the inside lever. Locks for the entry door must be individually keyed, master keyed, and a key supplied to the resident.

(B) The unit exit door must open to an indoor, temperature controlled, common area or common corridor.

(d) BATHROOM. The unit bathroom must be a separate room with a toilet, sink, a roll-in, curbless shower, have at least one towel bar (36 inch height), one toilet paper holder, one accessible mirror and storage for toiletry items. The door to the bathroom must open outward or slide into the wall.

(A) The unit bathroom must have unobstructed floor space of sufficient size to inscribe a circle with a diameter of not less than 60 inches or a "T" turn conforming to the requirements of the OSSC and ADA, for maneuverability by residents using wheelchairs or other mobility aids. The "circle" or "T" may infringe in the space of the roll-in shower stall by a maximum of 12 inches.

(B) Wall construction must have proper and appropriately placed blocking near toilets and in showers to allow installation of grab bars.

(C) Roll-in shower stalls must meet OSSC and ADA requirements except as noted in this subsection. The minimum number of resident unit bathroom showers required by OSSC must have a clear inside dimension of 36 inches deep by 60 inches long. All other resident unit showers must have a minimum nominal dimension of 36 inches deep by 48 inches long. A folding seat is not required.

(D) Showers must have non-slip floor surfaces in front of roll-in showers, a hand-held showerhead, cleanable shower curtains, and appropriate grab bar.

(E) Shower curb must not exceed one-quarter inch in height at front of shower. Ramps are not allowed in front of roll-in showers.

(F) Water closets and lavatories must meet OSSC and ADA requirements to be fully accessible unless otherwise noted in this subsection. The lavatory must have readily removable cabinets underneath or be readily adaptable to meet the OSSC and ADA requirements for a forward approach by a wheelchair.

(e) KITCHENS. Each unit must have a kitchen area equipped with a sink, refrigerator, a cooking appliance that can be removed or disconnected, adequate space for food preparation, and storage space for utensils and supplies.

(A) Counter heights must be 34 inches. The sink, refrigerator and cooking appliance must meet OSSC and the ADA reach and clear floor space requirements for wheelchairs.

(B) The sink must have readily removable cabinets underneath or be readily adaptable to meet the OSSC and ADA requirements for a forward approach by a wheelchair.

(C) Fifty percent of the shelving must be within the reach ranges per the OSSC and ADA.

(f) RESIDENT STORAGE SPACE. Each unit must provide usable space totaling at least 100 cubic feet for resident clothing and belongings and include one clothes closet with a minimum of four linear feet of hanging space. The rod must be adjustable for height or fixed at no higher than 48 inches and no lower than 36 inches for accessibility. In calculating usable space, closet height must not exceed eight feet and a depth of two feet. Kitchen cabinets must not be included when measuring storage space.

(g) A lockable storage space (e.g., drawer, cabinet, or closet) must be provided for the safekeeping of a resident's small valuable items and funds. Both the administrator and resident may have keys.

(5) COMMON USE AREAS.

(a) BATHING ROOM. There must be a special bathing room with a tub with whirlpool action, accessible by side transfer, without the use of mechanical aids and designed for staff assistance.

(A) The room must have individual heat control and be equipped with an exhaust to the outside.

(B) There must be direct access to a toilet and sink in the same room or in an adjacent room.

(C) There must be a non-slip floor surface and a manually operated emergency call system.

(b) PUBLIC RESTROOMS. There must be accessible public restrooms for visitor, staff and resident use, convenient to dining and recreation areas.

(A) The room must contain a toilet, sink, waste container and a hand drying means that cannot be reused.

(B) There must be a manually operated emergency call system in the public restrooms.

(c) DINING ROOM. The building must have a dining area with the capacity to seat 100% of the residents. The dining room must provide 22 sq. ft. per resident for seating, exclusive of service carts and other equipment or items that take up space in the dining room. This rule is exclusive of any separate private dining room(s).

(d) SOCIAL AND RECREATION AREAS. The building must have common areas for social-recreational use totaling at least 15 sq. ft. per resident.

(e) STOVE. If a stove is provided in the activities/common area available for resident use, a keyed or remote switch or other safety device must be provided to insure staff supervision.

(f) RESIDENT LAUNDRY FACILITIES. Laundry facilities must be operable at no additional cost with at least one washer and dryer accessible by residents using wheelchairs.

(g) SMOKING AREA. If there is an indoor designated smoking area, it must be separate from other common areas and provided with mechanical exhaust.

(h) MAILBOX. Each resident/unit must be provided a mailbox that meets OSSC and ADA reach and clear floor space requirements for wheelchairs. It must also meet US Postal Service requirements.

(6) SUPPORT SERVICE AREAS.

(a) MEDICATION STORAGE. The facility must provide a secured space for medication storage with access to a sink and cold storage in the same area. Space for necessary medical supplies and equipment must be provided.

(b) HOUSEKEEPING AND SANITATION. The facility must have a secured janitor closet for storing supplies and equipment, with a floor or service sink.

(c) LAUNDRY FACILITIES. Laundry facilities may be located to allow for both resident and staff use when a time schedule for resident use is provided and equipment is of residential type.

(A) If the primary laundry is not suitable for resident use, separate resident laundry facilities must be provided.

(B) Laundry facilities must be separate from food preparation and other resident use areas.

(C) On-site laundry facilities, used by staff for facility and resident laundry, must have capacity for locked storage of chemicals and equipment.

(d) SOILED LINEN PROCESSING. For the purpose of this rule “soiled linens or soiled clothing,” means linens or clothing contaminated with a person’s bodily fluids (e.g., urine, feces, blood etc.)

(A) Soiled linen and clothing must be stored and processed separately from other linen and clothing.

(B) There must be a separate area or room with closed containers that ensure the separate storage and handling of soiled linens.

(C) Arrangement must provide a one-way flow of linens from the soiled area to the clean area and preclude potential for contamination of clean linens and clothing.

(D) The soiled linen room, or area, must include a flushing rim clinical sink with a handheld rinsing device and a hand wash sink or lavatory.

(E) There must be adequate space and equipment to handle laundry-processing needs. Personnel handling soiled laundry must be provided with waterproof gloves.

(F) When washing soiled linens, washers must have a minimum rinse temperature of 140 degrees Fahrenheit unless a chemical disinfectant is used.

(G) Covered or enclosed clean linen storage must be provided that may be on shelves or carts. Clean linens may be stored in closets outside the laundry area.

(e) KITCHEN AND FOOD STORAGE. Assisted living facilities must comply with OAR 333-150-0000 (Food Sanitation Rules), for food handling and primary meal preparation areas.

(A) Dry storage space, not subject to freezing, must store a minimum one-week supply of staple foods.

(B) There must be refrigeration and freezer space at proper temperature to store a minimum two days supply of perishable foods.

(C) Storage for all dishware and utensils used by residents must meet OAR 333-150-0000 (Food Sanitation Rules).

(D) Storage for a mop and other cleaning tools and supplies used for dietary areas. Such tools must be separate from those used in toilet rooms, resident and other support areas. There must be a separate janitor closet or alcove with a floor or service sink and storage for cleaning tools and supplies.

(E) Storage in the food preparation area for garbage must be enclosed and separate from food storage.

(F) Storage must be available for cookbooks, diet planning information and records.

(7) HEATING AND VENTILATION SYSTEMS. Heating and ventilation systems must conform to the Oregon Mechanical Specialty Code in effect at the time of facility construction.

(a) TEMPERATURE. For all areas occupied by residents, design temperature for construction must be 75 degrees Fahrenheit.

(b) Facilities must provide heating systems capable of maintaining 70 degrees Fahrenheit in resident areas. Required minimum temperatures are no less than 70 degrees Fahrenheit during the day and 60 degrees Fahrenheit during sleeping hours.

(c) TEMPERATURE CONTROLS. Each unit must have individual thermostatic heating controls.

(d) WALL HEATERS. Covers, grates, or screens of wall heaters and associated heating elements must not exceed 120 degrees Fahrenheit when they are installed in locations that are subject to incidental contact by people or with combustible material.

(e) FANS. During times of extreme summer heat, fans must be made available when air conditioning is not provided.

(f) EXHAUST SYSTEMS. All toilet, shower and smoking rooms must be equipped with a mechanical exhaust fan or central exhaust system that discharges to the outside.

(g) VENTILATION. Ventilation in each unit must occur via an open window to the outside, or with a mechanical venting system capable of providing two air changes per hour with one-fifth of the air supply taken from the outside.

(8) PLUMBING SYSTEMS. Plumbing systems must conform to the Oregon Plumbing Specialty Code in effect at the time of facility construction.

(a) Hot water temperature in residents' units must be maintained within a range of 110 - 120 degrees Fahrenheit.

(b) Hot water temperatures serving dietary areas must meet OAR 333-150-0000 (Food Sanitation Rules).

(c) SPRINKLER SYSTEM. Facilities must have a sprinkler system installed in accordance with the OSSC.

(d) An outside area drain and hot and cold water hose bibs must be provided for sanitizing laundry carts, food carts and garbage cans.

(9) ELECTRICAL SYSTEMS.

(a) WIRING SYSTEMS. All wiring systems must meet the Oregon Electrical Specialty Code (OESPC) in effect at the date of installation and devices must be properly wired and in good repair.

(b) All electrical circuits must be protected by circuit breakers or type 'S' fuses and fuse holders of proper capacity. Electrical loads on circuits must be limited in accordance with proper circuit capacity.

(c) Sufficient electrical outlets must be provided to meet resident and staff needs without the use of extension cords or other special taps.

(d) LIGHTING. Each unit must have general illumination in the bath, kitchen, living space and sleeping area. The general lighting intensity in the unit for way finding must be at least 20-foot candles measured from the floor.

(A) Lighting in the unit bathroom must be at least 50-foot candles measured from the height of the basin.

(B) Task lighting at the unit food preparation or cooking area must be at least 50-foot candles measured from counter height.

(C) Corridor lighting must equal a minimum of 20-foot candles measured from the floor.

(D) Task lighting in the dining room must equal a minimum of 25-foot candles without light from windows measured from table height.

(10) CALL SYSTEM. A call system must be provided, connecting resident units to the care staff center or staff pagers.

(a) A manually operated emergency call system must be provided at each resident bathroom, central bathing rooms and public-use restrooms.

(b) EXIT DOOR ALARMS. Exit door alarms must be provided for security purposes and to alert staff when resident(s) exit the facility. The door alarm system may be integrated with the call system.

(c) Security devices intended to alert staff of an individual resident's potential elopement may include electronic pendants, bracelets, pins, etc.

(11) TELEPHONES.

(a) RESIDENT PHONES. Each unit must have at least one telephone jack to allow for individual phone service.

(b) PUBLIC TELEPHONE. There must be an accessible local access public telephone in a private area that allows a resident or another individual to conduct a private conversation.

(12) TELEVISION ANTENNA OR CABLE SYSTEM. A television antenna or cable system with an outlet in each resident unit must be provided.

(13) FIRE ALARM SYSTEM. An approved fire alarm system that includes interconnected smoke detectors, annunciator and control panels, and manual pull stations is required in assisted living facilities. The fire alarm system must meet the requirements of the OSSC, the OFC, the OESPC and the applicable standards of the National Fire Protection Association.

Stat. Auth.: ORS 410.070 & 443.450

Stats. Implemented: ORS 443.400 to 443.455 & 443.991