

ADPH Reference # (ALF/SCALE)

ADPH Scoring System: Deficiencies

Point Deduction

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	Any deficient practice not identified below	Green (-1)*
420-5-4-.04(1) / 420-5-20-.04(1-4)	Facility does not have sufficient staff to meet resident's needs	Yellow (-11)**
420-5-4-.04(1) / 420-5-20-.04(1-4)	Facility does not have sufficient staff to evacuate residents in the event of fire or emergency	Yellow (-11)**
420-5-4-.05(3c) / 420-5-20-.05(3c)	One or more residents has no medical examination record	Yellow (-11)**
420-5-4-.05(3d) / 420-5-20-.05(3d)	One or more residents has no plan of care, or an inadequate plan of care	Yellow (-11)**
420-5-4-.05(3g) / 420-5-20-.05(3g)	Violations of resident's rights- the right to a safe & decent environment; the right to be free from physical & chemical restraints; the right to be treated with consideration, respect, & personal dignity	Yellow (-11)**
420-5-4-.05(3g) / 420-5-20-.05(3g) & 420-5-20-.06(2n)	Health care provided in the facility is not consistent with community standards	Yellow (-11)**
420-5-4-.05(3g18) / 420-5-20-.05(3g18)	Facilities most recent inspection report is not posted in a prominent location	Yellow (-11)**
420-5-4-.06(1) / 420-5-20-.06(1)	Medical care in the facility is not under the direction and supervision of a physician	Yellow (-11)**
420-5-4-.06(2) / 420-5-20-.06(2)	Facility does not provide appropriate health observation and supervision	Yellow (-11)**
420-5-4-.06(2b) / 420-5-20-.06(2g)		
420-5-4-.06(6) / 420-5-20-.06(6)	Facility has admitted or retained ineligible residents, or residents with needs beyond the capability of the facility	Yellow (-11)**
420-5-4-.06(2c) / 420-5-20-.06(2o)	Facility has used mechanical restraint or seclusion on one or more residents	Yellow (-11)**
420-5-4-.06(2d) / 420-5-20-.06(2p)	Facility failed to provide for or arrange for appropriate care of a resident during an emergency or an acute illness	Yellow (-11)**
420-5-4-.06(2f) / 420-5-20-.06(2f)	Facility does not have adequate policies and procedures to ensure that residents are free from abuse, neglect, or exploitation	Yellow (-11)**
420-5-4-.06(3a) / 420-5-20-.06(3a)	Facility does not have appropriate activity program	Yellow (-11)**
420-5-4-.06(3d) / 420-5-20-.06(3d)	Facility does not provide needed assistance with activities of daily living	Yellow (-11)**
420-5-4-.06(4a-d) / 420-5-20-.06(4b-d)	Assisted Living Facility fails to provide appropriate assistance with self-administration of medication, or uses non-licensed personnel to administer medications	Yellow (-11)**
420-5-4-.06(4j) /	Medications maintained by assisted living facility are not unit dose packaged	Yellow (-11)**
420-5-4-.06(4g) / 420-5-20-.06(4f)	Medications maintained by facility have not been prescribed by a physician	Yellow (-11)**
420-5-4-.06(4m) / 420-5-20-.06(4k)	Medications maintained by facility are improperly labeled or are expired	Yellow (-11)**
420-5-4-.06(4h) / 420-5-20-.06(4g)	Medications administered by facility are not contemporaneously recorded on appropriate records	Yellow (-11)**
420-5-4-.06(4k) / 420-5-20-.06(4i)	Medications in the facility are improperly secured, or controlled substances maintained by the facility are not double locked and appropriately accounted for	Yellow (-11)**
420-5-4-.06(5) / 420-5-20-.06(5)	Poisonous or external use substances in the facility are not properly secured	Yellow (-11)**
420-5-4-.07(2) / 420-5-20-.07(2)	Facility fails to use appropriate food handling procedures	Yellow (-11)**
420-5-4-.07(2c4) / 420-5-20-.07(2c4)	Facility refrigerator temperature exceeds 40 degrees F, or freezer temperature exceeds 0 degrees F	Yellow (-11)**
420-5-4-.10(1a2) / 420-5-20-.10(1a2)	Facility hot water temperature exceeds 110 degrees F	Yellow (-11)**
420-5-4-.10(2d4) / 420-5-20-.10(2d4)	Flammable substances in facility are improperly stored	Yellow (-11)**
420-5-4-.11(1a) / 420-5-20-.11(1a)	Facility does not have adequate evacuation plan	Yellow (-11)**
420-5-4-.12(3a) / 420-5-20-.12(3a)	Facility occupies a building that is not structurally sound or is not in good repair	Yellow (-11)**
420-5-4-.12(3m4) / 420-5-20-.12(3m4)	Assisted Living Facility restricts or delays resident egress	Yellow (-11)**
420-5-4-.12(3o,r,s,t) / 420-5-20-.12(3o,r,s,t)	Facility does not have required fire extinguishers; fire extinguishers, sprinkler systems, or alarm systems are not inspected as required	Yellow (-11)**
420-5-4-.12(3p) / 420-5-20-.12(3p)	Facility does not have properly functioning call system	Yellow (-11)**
420-5-4-.12(3v) / 420-5-20-.12(3v)	Facility does not have properly marked emergency exits	Yellow (-11)**
/ 420-5-20-.12(7c)	Specialty Care Assisted Living Facility does not have appropriate and functioning secure perimeter	Yellow (-11)**
/ 420-5-20-.04(9)	Specialty Care Assisted Living Facility does not require an RN to consult with the Administrator on all issues of resident health, safety, and welfare	Yellow (-11)**
/ 420-5-20-.06(2c)	Specialty Care Assisted Living Facility does not have appropriate RN comprehensive assessment for all residents	Yellow (-11)**

ADPH Reference # (ALF/SCALF)	ADPH Scoring System Language	Point Deduction
/ 420-5-20-.06(2d)	Specialty Care Assisted Living Facility does not have required monthly assessments, or has failed to identify resident care problem areas and develop appropriate interventions	Yellow (-11)**
/ 420-5-20-.06(2e)	Specialty Care Assisted Living Facility RN has not communicated with resident physician on significant changes in resident health status	Yellow (-11)**
/ 420-5-20-.06(2k-l)	Facility has failed to appropriately monitor, respond, and protect other residents from harm when a fellow resident has become abusive	Yellow (-11)**
/ 420-5-20-.06(6b)	Specialty Care Assisted Living Facility has not undertaken appropriate cognitive assessment of residents, or other required assessments	Yellow (-11)**
420-5-4-.05(3f) / 420-5-20-.05(3f)	Failure to report incidents as required	Yellow (-11)**
420-5-4-.06(2c) / 420-5-20-.06(2c)	Psychoactive medications inappropriately used	Yellow (-11)**
420-5-4-.03(1) / 420-5-20-.03(1)	Governing authority of the facility fails to manage it appropriately	Red (-21)***
420-5-4-.02(4a6) / 420-5-20-.02(4a6)	Material false statements to surveyors or consumers; falsified or altered records	Red (-21)***
420-5-4-.02(4a6) / 420-5-20-.02(4a6)	Refusal to cooperate with survey	Red (-21)***
420-5-4-.06(2f) / 420-5-20-.06(2f)	Abuse, neglect, or financial exploitation of a resident	Red (-21)***
420-5-4-.12(3s,t) / 420-5-20-.12(3s,t)	Sprinkler system or alarm system improperly functioning	Red (-21)***
420-5-4-.02(2d) / 420-5-20-.02(2d)	Facility exceeds licensed bed capacity	Red (-21)***
/ 420-5-20-.06(2c,e)	Elopement from a Specialty Care Assisted Living Facility	Red (-21)***
	Any deficient practice listed above that results in actual harm to a resident	Red (-21)***

Color Code

Clarification of Point Deduction

***Green Deficiencies**
Routine Deficiencies

- Present only minimal risk to residents
- Are scored only if more serious deficiencies are not present
- Each deficiency scored results in a one point deduction up to 10; An inspection with 10 or more deficiencies results in a total 10 point deduction
- Facilities with only routine deficiencies receive a score between 90 and 100; Inspection report is printed on green paper

****Yellow Deficiencies**
Substantial Risk Deficiencies

- Present substantial risk to resident welfare or safety
- Are scored only if actual harm deficiencies and deficiencies leading to mandatory enforcement actions are not present
- First deficiency results in an 11 point deduction; subsequent deficiencies result in a three point deduction up to four deficiencies.
- An inspection with four or more deficiencies results in a total 20 point deduction.
- Facilities with deficiencies in this category, but not more serious deficiencies, receive a score between 80 and 90; Inspection report is printed on yellow paper

*****Red Deficiencies**
Actual Harm Deficiencies

Deficiencies Leading to Mandatory Enforcement

- Occur when residents have been injured or neglected due to inappropriate or inadequate facility intervention, or in certain mandatory categories
- Always result in some type of enforcement action being taken by the Department
- First deficiency results in a 21 point deduction; subsequent deficiencies result in a five point deduction
- Facilities with deficiencies in this category receive report printed on red paper