

135C.36 Violations classified — penalties.

Every violation by a health care facility of any provision of [this chapter](#) or of the rules adopted pursuant to it shall be classified by the department in accordance with [this section](#). The department shall adopt and may from time to time modify, in accordance with [chapter 17A](#), rules setting forth so far as feasible the specific violations included in each classification and stating criteria for the classification of any violation not so listed.

1. A class I violation is one which presents an imminent danger or a substantial probability of resultant death or physical harm to the residents of the facility in which the violation occurs. A physical condition or one or more practices in a facility may constitute a class I violation. A class I violation shall be abated or eliminated immediately unless the department determines that a stated period of time, specified in the citation issued under [section 135C.40](#), is required to correct the violation. A licensee is subject to a penalty of not less than two thousand nor more than ten thousand dollars for each class I violation for which the licensee's facility is cited.

2. A class II violation is one which has a direct or immediate relationship to the health, safety, or security of residents of a health care facility, but which presents no imminent danger nor substantial probability of death or physical harm to them. A physical condition or one or more practices within a facility, including either physical abuse of any resident or failure to treat any resident with consideration, respect, and full recognition of the resident's dignity and individuality, in violation of a specific rule adopted by the department, may constitute a class II violation. A violation of [section 135C.14](#), [subsection 8](#), or [section 135C.31](#) and rules adopted under those sections shall be at least a class II violation and may be a class I violation. A class II violation shall be corrected within a stated period of time determined by the department and specified in the citation issued under [section 135C.40](#). The stated period of time specified in the citation may subsequently be modified by the department for good cause shown. A licensee is subject to a penalty of not less than one hundred nor more than five hundred dollars for each class II violation for which the licensee's facility is cited; however the director may, upon written request of the facility, waive the penalty if the violation is corrected within the time specified in the citation. The department shall adopt rules in accordance with [chapter 17A](#) establishing criteria for the granting or denial of a waiver request.

3. A class III violation is any violation of [this chapter](#) or of the rules adopted pursuant to it which violation is not classified in the department's rules nor classifiable under the criteria stated in those rules as a class I or a class II violation. A licensee shall not be subject to a penalty for a class III violation, except as provided by [section 135C.40](#), [subsection 1](#), for failure to correct the violation within a reasonable time specified by the department in the notice of the violation.

4. Any state penalty, including a fine or citation, issued following a state licensure and federal certification survey or investigation shall be dismissed if the corresponding federal deficiency is dismissed or removed. Any state penalty, including a fine or citation, shall be retained or reinstated if the federal deficiency is retained or reinstated.

5. If a facility self-identifies a deficient practice prior to an on-site visit inspection, there has been no complaint filed with the department related to that specific deficient practice, and the facility corrects such practice prior to an inspection, no citation shall be issued or fine assessed pursuant to [subsection 2 or 3](#) except for those penalties arising pursuant to [section 135C.33](#); [481 IAC 57.11\(3\)](#) and [\(7\)](#), [481 IAC 57.16\(3\)](#), [481 IAC 57.32](#), [481 IAC 57.34\(1\)](#), [481 IAC 58.11\(3\)](#), [481 IAC 58.14\(5\)](#), [481 IAC 58.19\(2\)\(a\)](#), [481 IAC 58.19\(2\)\(h\)](#), [481 IAC 58.28\(1\)\(a\)](#), [481 IAC 58.43](#), [481 IAC 63.8\(3\)](#), [481 IAC 63.27](#), [481 IAC 63.29\(1\)](#), [481 IAC 64.4\(9\)](#), [481 IAC 64.33\(2\)](#), [481 IAC 64.34](#), [481 IAC 65.9\(5\)](#), [481 IAC 65.15](#), or [481 IAC 65.25\(3\)](#) and [\(4\)](#), or the successor to any of such rules; or [42 C.F.R. §483.420\(d\)](#), [42 C.F.R. §483.460\(c\)\(4\)](#), or [42 C.F.R. §483.470\(j\)](#), or the successor to any of such federal regulations.

[C77, 79, 81, §135C.36; 81 Acts, ch 60, §3]

86 Acts, ch 1168, §1; 2009 Acts, ch 156, §3, 4; 2015 Acts, ch 29, §25; 2015 Acts, ch 80, §2; 2022 Acts, ch 1048, §1

Referred to in §135C.40, 135C.41, 135C.44, 135C.44A, 249A.57