

ASSISTED
LIVING
PROVIDER
RESOURCE

SURVEY

PREPAREDNESS

I N A S S I S T E D L I V I N G





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INTRODUCTION

Survey preparedness is an essential element for assisted living leadership. Understanding what may be included in the assisted living survey can help assisted living communities understand the critical components that surveyors may be looking at upon inspection. The information contained within this document is not all-inclusive but will identify elements to include in an effective mock survey such as environmental services, food service, personnel, medication management, and nursing.

METHODS TO PERFORM A MOCK SURVEY

- Include a variety of leadership, middle-managers, and front-line staff in performing mock survey on various shifts and days of the week.
- Perform at least quarterly.
- Unannounced or scheduled.
- Performed by various personnel from different departments surveying a different department than their own.
- Use results for performance improvement program.

AREAS TO BE REVIEWED IN MOCK SURVEY

- Administration
- Personnel
- Food service
- Environmental / Life safety code (if applicable)
- HCBS guidelines
- Grievances
- QA Meeting minutes
- Risk prevention - falls, skin, elopement, etc.
- Infection control
- Medication management compliance
- Resident records/care plans
- Entrance and exit checklists
- Emergency preparedness
- Satisfaction surveys
- Engagement calendars

SAMPLE SCHEDULE FOR MOCK SURVEY REVIEW

January, April, July, October

- Infection control review
- Environmental and life safety code review, emergency preparedness plan

February, May, August, November

- Food service review
- Medication compliance review

March, June, September, December

- Incident, complaint, and infection trends
- Resident record audits
- Personnel audits

Mock survey completed and reviewed at QAPI meeting

MOCK SURVEY REVIEW PROCESS

Medication compliance (sample items to include - not all-inclusive)

- Observe multiple medication passes
- Hygiene practices (handwashing)
- Verification of medication (7 R's in medication administration [Right drug, right route, right dose, right time, right resident, right reason, right documentation])
- Narcotic & PRN administration
- Delegation requirements and documentation as needed
- Medication refrigerator temperature log
- Check expiration dates of medications, such as eye drops, insulin, etc.
- Medication storage (individual apartments, discontinued medications, etc.)
- Narcotic counts
- Medication is ordered timely to avoid missed doses

Medical Record Review (Sample items to include - not all-inclusive)

- Check with risk management/insurance company for criteria (example: falls are not all preventable, what families can do/expect based on resident diagnoses)
- Required documents are signed and dated
- Medications are ordered timely to avoid missed doses
- Change of condition document
- Face sheets
- Timely and complete assessment and service plans
- History and physical
- Admission/move in packet
- Physician orders, home health/hospice notes, documentation
- Wound care order review
- Tuberculosis findings

Life Safety Code Review (Sample items to include - not all-inclusive)

- Fire alarms and exit signs working properly
- Generators
- Battery operated emergency items
- Life safety book and emergency contact information reviewed/updated
- Verify water temperatures
- Verify fire drill logs for compliance
- Documentation of fire drills, evacuation drills, etc.
- Call alert system review
- Emergency contingency plan review
- Ensure resident compliance with electrical outlets, extension cords, etc.
- Electrical appliance evaluations are completed timely, as required by state regulation
- Ensure oxygen tanks in resident apartments or storage areas are stored correctly

Infection Control Review (Sample items to include - not all-inclusive)

- Review infection control and exposure plan/update as needed
- Vaccine and TB (as needed) policy review/update
- Review supplies and procedures to ensure adequate supply on hand/available
- Observe staff providing care and services to ensure infection control is being followed
- Verify infection control documentation and trending processes

Dining/Nutritional Services Review (Sample items to include - not all-inclusive)

- Ensure staff wearing appropriate attire (e.g., aprons, hairnets)
- Temperature food logs
- Observation of food prep, serving, handwashing, sanitization processes
- Check diets/mealtime compliance/posted menu
- Refrigerator/freezer temperatures
- Food items dated, covered, and stored properly
- Chemicals stored properly

Environmental Review (Sample items to include - not all-inclusive)

- Safety Data Sheet (SDS) book is up to date
- Ensure housekeeping closet/cart/chemicals locked and labeled
- Inspect apartments, common areas, and grounds for cleanliness
- Observe staff handling laundry, dryer lint cleaned every shift
- Proper oxygen tank storage
- Fire extinguishers annually reviewed/checked and documented
- Pest management policies, including bed bugs
- Legionella water management
- Water mitigation related to risk management
- Sanitation processes followed (examples: bathroom services timed for wet contact sanitation and glucometer sanitation)

Personnel Chart Review (Sample items to include - not all-inclusive)

- Review new hire packet and review 10% of employee files for HR compliance
- Verify background checks completed
- Verify TB processes followed
- Verify staffing levels and required labor laws posted
- Verify required training completed and documented (at hire and annual requirements including active licenses, first aid, and CPR)
- Review of agency staff as well as paid staff
- Review for orientation completion
- Orientation includes Quality Improvement program and efforts

Administrative Review (Sample items to include - not all-inclusive)

- Required postings, including menus, activities, grievance/complaint procedure, and staffing (if necessary)
- Admission/move in packet has all required items
- Advertising and website accurately depicts community and has facility ID listed (if required)
- Policies and procedures are reviewed at least annually
- Manager/alternate designated - person in charge is noted
- Posted grievance policy
- Grievance process followed up and responded too individual grievances with documentation
- Resident and family council opportunities and follow-up documentation
- Does the residents service plan reflect their personal needs
- Does the service plan have input from multiple departments such as nursing, dietary, activities, and housekeeping.
- Entrance and exit checklist
- Know your basics such as census, resident list, staff list, schedule, menus, license types, manager on duty, etc.
- HCBS Guidelines (if applicable)
- Key access, choice of roommates, visitor restrictions, freedom of schedule and activities, access to food