

Preparing for a Survey In the Residential Care Assisted Living Facility (RALF) Program

Participating in a survey can be a stressful event for administrators, staff, and residents. Being prepared, by having required documentation organized and ready can help to reduce this stress.

All surveys, except initial surveys, are un-announced. When surveyors arrive at a facility, the team leader will conduct an entrance conference to let you know what type of survey they are there to conduct and give you an initial list of documentation they will need. If Licensing and Certification has received a complaint against your facility, the surveyors will let you know they are conducting a complaint investigation, but are not allowed to tell you the exact nature of the complaint until after they have completed their investigation.

Surveys in the RALF program are resident-focused and outcome based. This means surveyors will spend time observing and talking with the residents, interviewing facility staff, outside services staff and families, and watching actual cares being provided to determine if residents' needs are being met and the facility is providing a safe, comfortable, homelike environment, protecting the rights of the residents, and providing timely, quality care.

Observations and interviews begin when surveyors walk into the building and continue throughout the entire survey process. Spending an hour or two each week sitting back and observing cares and then interviewing staff, outside agency personnel, residents and families yourself will help you identify the same type of problems the surveyors might find, and enable you to correct them long before you are surveyed.

Some records are reviewed as a standard part of the survey process, and others are reviewed to verify or expand upon information obtained during interviews and observations. Facility documentation shows the actions your staff take to care for a resident, respond to illnesses, accidents, complaints and allegations, and take actions to prevent negative events or failures in care from recurring. If you fail to maintain documentation of what steps you took, it may be difficult to remember or prove that you and your staff were responsive and took action when necessary. Remember that all documentation should include the date, the time, and the signature of the person who actually provided the care. Refer to the "Mock Survey" for a tool you can use, or adapt, for your own observations.

The following is a list of information and documentation you will need to provide to surveyors when they come to your building to survey. Keeping this information up to date, organized, and in a single location where the “manager on duty” can quickly find it and hand it to the surveyors will make the process much smoother and enable you to focus on managing the facility not only through the survey but also on a daily basis, rather than looking for paperwork. The sample templates in this module are included for your convenience. Feel free to use them, alter them so they work for your facility, or just continue using your own forms, so long as they include the minimum data required in rule.

I. Admission/Discharge Register

Each facility must maintain an admission and discharge register listing the name of each resident, date admitted and date discharged. The admissions and discharge register must be produced as a separate document, apart from the individual resident records, and must be kept current. Refer to the “ADMISSION-DISCHARGE REGISTER TEMPLATE” in the Forms Template section.

II. Resident Roster

Surveyors will hand you the resident roster form to fill out upon entrance. Here is a copy of the official form that you can download and complete electronically. Refer to the “RESIDENT ROSTER” in the Forms Template section. This is a *Microsoft Excel®* file

III. Incident/Accident Reports and Written Investigations

Refer to the “INCIDENT/ACCIDENT and INVESTIGATION TRACKING TEMPLATE” in the Forms Template section.

IV. Complaint Documentation and Copies of Written Responses

Refer to the “COMPLAINT LOG” in the Forms Template section.

V. Fire Drill Reports (1 year)

Refer to the “FIRE DRILL REPORT TEMPLATE” in the Forms Template section.

VI. Copies of previous survey(s) plans of correction and Evidence of Resolution

Keep these handy so you can refer back to plans and corrections you made and periodically ensure your system fixes are still working

VII. Variances

Keep copies of all variances issued by the Department. Refer to the “VARIANCE REQUEST LETTER” in the Forms Template section.

VIII. Administrator’s License

IX. Daycare log and policies (if applicable)

X. Facility Map

XI. Meal Times

XII. Medication Assistance Times

XIII. Staff schedule (for current week)

XIV. All Personnel/staff List (with Names, titles and phone numbers)

XV. As Worked Schedules

Work records must be maintained in writing for the previous three (3) years which reflect: **a.** Personnel on duty, at any given time; and **b.** The first and last names of each employee and their position.

XVI. Contracts – Outside Services. Copies of contracts with outside service providers and contract staff.

XVII. Private Well-Water Sample Reports (if facility uses well water)

In addition to the above information, make sure to have on hand a full set of your facility’s Policies and Procedures. If the facility uses electronic records, make sure you are able to quickly print the resident care records requested, including closed records.