

Assisted living survey readiness checklist

50 items · 7 groups · page 1 of 2

Home / building _____ Audit date _____ Checked by _____ ● Not met / no proof ● Partly met ● Met, proof filed

#	Item · rule example (check your state)	Owner	Checked on	Evidence at	R A G
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1. LICENSE AND POSTINGS

Suggested owner: Administrator

☐	1 Current license posted in a public area, with capacity and class matching your actual census and services · Wis. DHS 83.14(2)(h), 83.13(3)(a)				○○○
☐	2 Latest statement of deficiency (SOD) and any enforcement notice posted · Wisconsin: an SOD stays posted for 90 days (DHS 83.14(2)(h))				○○○
☐	3 Most recent inspection report and plan of correction displayed where residents and visitors see notices · Georgia personal care homes (Ga. 111-8-62-.11(4))				○○○
☐	4 Resident rights, house rules and grievance procedure posted · Wis. DHS 83.13(3)(b)				○○○
☐	5 Long-term care ombudsman poster posted, with the office's name, address and phone number · Wis. DHS 83.13(3)(c), 83.33(4)				○○○
☐	6 Activity schedule posted · Wis. DHS 83.13(3)(d)				○○○
☐	7 Copy of your state's assisted living rule kept on site · Wisconsin requires a copy of DHS 83 in the CBRF (DHS 83.14(2)(f))				○○○

2. STAFF FILES

Suggested owner: Office or HR lead

☐	8 Written job description in every employee file · Wis. DHS 83.18(1)(a)				○○○
☐	9 Caregiver background check at hire, and repeated on your state's cycle · Wisconsin: at hire and every 4 years (DHS 83.17(1))				○○○
☐	10 Tuberculosis (TB) screening documented before hire · Wisconsin: within 90 days before the start of employment (DHS 83.17(2)(a))				○○○
☐	11 Standard precautions training completed before any task with exposure to body fluids · Wis. DHS 83.20(2)(a)				○○○
☐	12 Fire safety training completed · Wisconsin: within 90 days of starting (DHS 83.20(2)(b))				○○○
☐	13 First aid and choking training completed · Wisconsin: within 90 days of starting (DHS 83.20(2)(c))				○○○
☐	14 Medication administration training completed before the employee passes medications, with trainer approval number recorded where required · Wis. DHS 83.20(2)(d), 83.20(1)(b)				○○○
☐	15 Registered nurse (RN) delegation records on file for delegated tasks, where your state uses delegation · Check your state rule				○○○
☐	16 Certified nursing assistant (CNA) or certified medication aide (CMA) registry status checked and expiry dates logged · Check your state rule				○○○

3. RESIDENT FILES

Suggested owner: Resident care lead

☐	17 Pre-admission assessment, updated at least annually and after any change in condition · Wis. DHS 83.35(1)(a)				○○○
☐	18 Physician report or physical exam on file · Georgia personal care homes: dated within 30 days before admission (Ga. 111-8-62-.15)				○○○
☐	19 Temporary service plan written on admission · Wis. DHS 83.35(2)				○○○
☐	20 Individual service plan completed, signed by the resident or representative · Wisconsin: within 30 days after admission (DHS 83.35(3))				○○○
☐	21 Service plan reviewed annually or at a change in condition, with the review documented · Wis. DHS 83.35(3)(d)				○○○
☐	22 Evacuation capability assessment · Wisconsin: within 3 days of admission, updated at least annually (DHS 83.35(5))				○○○
☐	23 Current medication list with dose, directions and changes in condition · Wis. DHS 83.37(1)(d)				○○○
☐	24 Advance directives, guardianship or power of attorney papers on file where applicable · Check your state rule				○○○
☐	25 Annual resident satisfaction evaluation offered · Wisconsin CBRFs (DHS 83.35(4))				○○○

How to use it: pull 5 staff files and 5 resident files, score each item against them, then walk the building. Anything you cannot find in 5 minutes counts as not met; an item that fails in 2 or more of 5 files is a process gap. Give every red item an owner and a fix date.

expirymed.com/templates/assisted-living-survey-readiness-checklist/

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4. MEDICATION

Suggested owner: Medication lead

☐	26 Medication cart and room audit: locked, clean, labeled and organized by resident · Your written policy				○○○
☐	27 Expired, discontinued and recalled medications pulled and destroyed under your written disposal policy · Wis. DHS 83.37(1)(g)3				○○○
☐	28 Discontinued medications not held past your state's limit · Wisconsin: no more than 30 days without a new order or pharmacist request (DHS 83.37(1)(g)2)				○○○
☐	29 Controlled substances stored in a separate locked compartment · Wis. DHS 83.37(3)(g)				○○○
☐	30 Controlled-substance count sheets complete, signed and reconciled, with every discrepancy investigated · Your written policy				○○○
☐	31 Medication administration records (MARs) match current orders, with no blank doses · Your written policy				○○○
☐	32 Pharmacist or physician medication regimen review on file · Wisconsin: around admission, after significant changes and at least every 12 months (DHS 83.37(1)(e))				○○○

5. FIRE AND LIFE SAFETY

Suggested owner: Maintenance lead

☐	33 Fire drill log with date, time and total evacuation time · Wisconsin: at least quarterly (DHS 83.47(2)(d))				○○○
☐	34 At least one drill a year that simulates sleeping-hours conditions with overnight staff · Wisconsin (DHS 83.47(2)(d))				○○○
☐	35 Tornado, flood or other disaster drills logged · Wisconsin: at least semi-annually (DHS 83.47(2)(e))				○○○
☐	36 Annual fire inspection report by the local fire authority, kept for 2 years · Wisconsin (DHS 83.47(3))				○○○
☐	37 Fire extinguishers inspected annually by a qualified professional, with a dated tag on each · Wisconsin (DHS 83.47(4)(a))				○○○
☐	38 Smoke detector tests logged and sprinkler inspection reports filed · Wisconsin: smoke detectors not less than once every other month (DHS 83.48(1)(b))				○○○
☐	39 Kitchen hood suppression inspection report current under your fire code · Your fire code				○○○
☐	40 Exits and corridors clear, exit diagram posted and emergency numbers posted near staff phones · Wis. DHS 83.13(3)(e)-(f), 83.47(2)(h)				○○○

6. ENVIRONMENT AND FOOD

Suggested owner: Kitchen lead

☐	41 Hot water temperatures checked and logged at resident taps · Georgia personal care homes: not over 120°F (Ga. 111-8-62-.13)				○○○
☐	42 Food temperature logs complete for cooking, holding and refrigeration · Your written policy				○○○
☐	43 Food stored off the floor, covered, labeled and dated, with nothing past its use-by date · Your written policy				○○○
☐	44 Weekly menus written and available to residents, and dated menus kept · Wisconsin: dated menus kept 60 days (DHS 83.41(2)(c), 83.13(2)(d))				○○○
☐	45 Chemicals and hazardous materials stored securely, with no trip, burn or entrapment hazards on the tour route · Your written policy				○○○

7. POLICIES AND INCIDENTS

Suggested owner: Administrator

☐	46 Policies and procedures reviewed and dated, matching the current version of your state rule · Check your state rule				○○○
☐	47 Incident reports complete, each with an investigation and follow-up action · Your written policy				○○○
☐	48 Self-reports to the state agency filed, with copies accessible on survey day · Check your state rule				○○○
☐	49 Grievance log with a written summary of findings and action for each grievance · Wisconsin (DHS 83.33(1)(d))				○○○
☐	50 Records kept for your state's retention period · Wisconsin: 2 years general, 7 years resident, 3 years employee (DHS 83.13(2))				○○○

About the numbers: assisted living is licensed by each state. Rule examples come from Wisconsin's CBRF rule (Wis. Admin. Code ch. DHS 83) and Georgia's personal care home rules (Ga. Comp. R. & Regs. 111-8-62); replace them with your own state's. Medicare skilled nursing and Medicaid nursing facilities meet federal requirements (42 CFR Part 483) and need a different checklist. Free template, not legal advice. Spreadsheet version with owners, dates and a red/amber/green dashboard: see the link.

expirys.com/templates/assisted-living-survey-readiness-checklist/