

ASSISTED LIVING INITIAL CHECKLIST

Date Contacted: _____ Date/Time Survey Scheduled: _____ Capacity Applying For: _____
 Facility Name: _____
 Facility Physical Address: _____
 Facility Mailing Address: _____
Facility Landline Phone Number (____) ____ - _____ Facility email Address _____
 Governing Authority (Owner): _____
 Manager Name/NCIA Mgr. Cert. #: _____ Manager's Designee _____
 Level of Care/Service Applying for: ____ SUPERVISORY ____ PERSONAL ____ DIRECTED
 ____ ADULT DAY HEALTH CARE ____ ADULT FOSTER CARE ____ BEHAVIORAL HEALTH

<i>Environmental</i>	<i>Yes-No-N/A- Comments</i>
<u>DOCUMENTS "CONSPICUOUSLY" POSTED</u> -- in areas easily viewed by residents--	
Location identified for posting Facility License?	
Resident Rights?	
Community Phone Numbers including: Bureau of Residential Facilities Licensing; APS, LTC Ombudsman, AZ. Center for Disability Law?	
Location where most recent Department Inspection Report & Plan of Correction may be viewed.	
Evacuation Paths/Maps posted on each hallway of each floor of Facility?	
Activity Calendar - prepared one week in advance? Are there sufficient and appropriate supplies & equipment to support planned activities? Have daily newspapers, current magazines, and reading material?	
Menu – prepared one week in advance? using the 2010 Dietary Guidelines? posted day before first meal on menu?	
Do exit doors have wheelchair ramps?	
Is facility safe & free from unsafe condition or situations that may be harmful to residents?	
Are working smoke detectors installed in: Each bedroom, laundry room, attached garage, hallway or room adjacent to the kitchen, hallways adjoining bedrooms, storage areas/rooms? Do you know how to test the smoke detectors?	
Do you have a wall mounted 2A-10-BC fire extinguisher? If disposable is the indicator in the green area? If rechargeable has it been installed & tagged or serviced & tagged within the previous 12 months by a fire protection company?	
Are all resident bedrooms on ground floor? If not, are there 2 usable exits to the outside from each floor?	
Each bedroom has a window or door to the outside that allows natural light & for direct resident egress? (Free from barriers inside/outside) (windows open/close properly)	
Do resident bathrooms have a working toilet, toilet paper, paper towels	

**NOTE: This initial survey tool is only a summary of the applicable rules and should only be used as a tool to supplement the 9 A.A.C. 10, Article 8. It is each provider's responsibility to review, understand, and be in compliance with all applicable statutes and rules that govern assisted living facilities. Last updated 04.26.2018*

or mechanical hand dryers, soap dispenser, window that opens or other ventilation, a door for privacy, grab-bars for toilet, and non-porous and non-slip shower/tub surfaces?	
Do bedrooms (if furnished by facility) have a bed with frame at least 36" x 72" with mattress, both clean & in good repair, clean linen – mattress pad, bedspread, sheets to fit bed, pillows & cases, with waterproof mattress covers & blankets, adjustable window coverings allowing privacy, sufficient light for reading, clothing storage space, storage for personal items?	
Are resident bedrooms equipped with a bell, intercom, other mechanical means or system to notify employees of a resident's needs or emergency? Or alternative means to alert caregivers?	
Are hot water temperatures in areas used by residents between 95-120°F?	
Are garbage/refuse containers covered & contain plastic bags?	
Does the facility have a pest control program in place?	
Do refrigerators have accurate thermometers? +/- 3° Are refrigerator temperatures 41°F or <? Frozen foods stored at 0°F or <?	
Is there a sufficient supply of silverware, utensils, equipment, dishes, glasses and cups? In good repair?	
Is there a locked area to store medications?	
Is there a locked area for storage of poisonous/toxic materials including cleaning/laundry supplies?	
Is there a locked storage area for combustible or flammable liquids & hazardous materials?	
Is the facility clean – walls, floors, doors, ceilings, fans, vents, furniture, windows, bathrooms, bedrooms, kitchen surfaces, & equipment?	
Is lighting sufficient in common areas for resident safety and for caregivers to monitor resident activity?	
Are electrical equipment & cords in good repair, cords not run from one room to another, over nails or under rugs?	
Is a washing machine & dryer accessible for resident use?	
Are there covered containers for facility storage of soiled linen/clothing? Is soiled linen/clothing stored separate from clean linen/clothing? Away from food storage, kitchen & dining areas?	
Is there a shaded outdoor activity area? A hard-surface section for wheelchairs?	
Directed Level: Do the residents have access to an outside area that is secure and allows the residents to get 30 feet away from the facility?	
Is there a swimming pool on the premises? Do any windows open into the pool area? Enclosed by at least a 5' high wall or fence? No vertical openings > 4" across? No horizontal openings between ground & bottom of fence >4"?" Has a Gate: self-closing, self-latching, opens out away from pool, latch is 54" or > from ground, locked?	
Is there a life preserver or shepherd's crook accessible in pool area?	
Are Pool Safety Requirements posted in the pool area?	

**NOTE: This initial survey tool is only a summary of the applicable rules and should only be used as a tool to supplement the 9 A.A.C. 10, Article 8. It is each provider's responsibility to review, understand, and be in compliance with all applicable statutes and rules that govern assisted living facilities.
Last updated 04.26.2018*

Will residents use pool? If so, is pool water quality testing material & documentation available?	
Administrative	
Policy & Procedure Manual that covers:	
Employee/volunteers job description, duties, qualifications, required skills, knowledge, education, and experience	
How a caregiver's skills and knowledge are verified	
Employee/volunteer orientation and in-services	
How an employee's submits a complaint related to resident care	
Reports of illegal& unsafe practices & Non-retaliatory policy	
Employee/volunteers CPR/first aid training (refer to R9-10-803.C.1.e and R9-10-803.M)	
How a caregiver will respond to a residents out of control behavior	
Staffing a record keeping	
Resident Acceptance, Resident Rights (refer to R9-10-810), and Termination of Residency (refer to R9-10-807)	
Provision of AL Services Coordinating the provision of AL services Flu & Pneumonia Vaccines Obtaining resident food preferences and provisions of AL services	
Provision of respite and Adult Day Health Care	
Resident/Medical Records – including electronic records	
Personal Funds Accounts (If applicable) (refer to R9-10-803.G.2)	
Complaint Process that includes specific steps for a resident to file a complaint and the facility to respond to a resident's complaint	
Healthcare Directives	
Assisting in self-administration/medication administration	
Food Services (refer to R9-10-817)	
Contracted Services (refer to R9-10-805)	
Equipment Inspection and Maintenance	
Infection Control	
Quality Management Program (refer to R9-10-804)	
Refunding fees, charges, or deposits (refer to R9-10-807.D.6)	
Resident Transport/Transfer (refer to R9-10-809)	
Individuals authorized to make medical records entries	
Individuals authorized to access medical records	
Directed Level – safety of a resident who may wander process for checking on a resident during nighttime hours to ensure health and safety (if no awake staff)	
Disaster Plan covers When, how, and where residents will be relocated How the medical record will be available A plan to ensure medications will be available A plan for obtaining food a water	
Medication Services Policy and Procedures cover:	

**NOTE: This initial survey tool is only a summary of the applicable rules and should only be used as a tool to supplement the 9 A.A.C. 10, Article 8. It is each provider's responsibility to review, understand, and be in compliance with all applicable statutes and rules that govern assisted living facilities.
Last updated 04.26.2018*

Prevent/respond/reporting medication errors	
Respond/reporting unexpected medication reactions	
Review of resident medication regime and method of administration by medical practitioner and meets needs	
Documenting medication administration/assistance in the self administration (MAR's)	
Monitoring a resident who self-administers medications	
Assisting resident in procuring medications (obtaining)	
Providing medications off site	
Process for documenting an individual authorized by a medical practitioner to administer medications	
Medication administered as ordered	
Resident medication refusal documented	
Receiving, storing, inventorying, tracking, dispensing, discarding, expired medications	
Discarding or returning prepackaged and sample medication to the manufacturer	
Medication recall and notification of residents who received recalled medication	
Storing, inventorying, and dispensing controlled substances	
Medication administration P&P's SIGNED by a DR, RN, or pharm	
Assisting in the self-administration P&P's SIGNED by a DR or nurse	
Current drug reference and toxicology reference guides are available	
First Aid Kit	
Manager/Designees/Caregiver files include:	
Name	
Date of birth	
Telephone number	
Negative TB documentation	
Fingerprint card	
First aid and CPR training	
Caregiver/manager training certificate	
Documentation showing skills verified	
Employee orientation	
Employment start date	
Documentation of manager's designee (if caregiver will be designee)	
<i>Technical Assistance may be provided on the following to assist with rule compliance:</i>	
Resident records Resident data forms Residency agreements Admitting forms (determinations/authorizations) ADL forms Service plans Doctor order forms/MAR's Doc of accidents/emergencies/injuries needing medical attention	

**NOTE: This initial survey tool is only a summary of the applicable rules and should only be used as a tool to supplement the 9 A.A.C. 10, Article 8. It is each provider's responsibility to review, understand, and be in compliance with all applicable statutes and rules that govern assisted living facilities. Last updated 04.26.2018*

Personnel schedules Disaster drill forms/Evacuation drill forms Maintenance logs	
--	--

**NOTE: This initial survey tool is only a summary of the applicable rules and should only be used as a tool to supplement the 9 A.A.C. 10, Article 8. It is each provider's responsibility to review, understand, and be in compliance with all applicable statutes and rules that govern assisted living facilities.
Last updated 04.26.2018*