Kansas Department for Aging and Disability Services
Survey, Certification, and Credentialing Commission
Residential Licensed Only Adult Care Homes (Licensed under NF)

ASSISTED LIVING/RESIDENTIAL HEALTHCARE SURVEY REPORT

Date:_____ Surveyor:_____
Facility Name:_____
Purpose of Visit: _____ Type of Facility ALF/RHCF:_____
Administrator/Operator:_____ Licensed Capacity:_____ Today's Census:_____
Staffing: Day_____ Evening _____ Night _____

Gather needed information throughout the survey. Obtain Information through observations, interviews, and record review.
**Upon entrance, give the operator/administrator: Personnel hired since last survey and resident roster forms to complete. Include IDR and Daily Interaction policies.*

Yes	No	Statute/Regulation	Comments
		KSA 39-928	Is the adult care home license posted in a conspicuous place? Observation
		101(k) Ombudsman. Each administrator or operator shall ensure the posting of the names, addresses, and telephone numbers of the Kansas department on aging and the office of the long term care ombudsman with information that these agencies can be contacted to report actual or potential abuse, neglect, or exploitation of residents or to register complaints concerning the operation of the facility. The administrator or operator shall ensure that this information is posted in an area readily accessible to all residents and the public. (3050)	Is the notice including the **name, address, and phone number of KDADS and Ombudsman** regarding the **reporting of abuse, neglect and exploitation** of residents and to **register complaints** posted in a common area accessible to all residents and the public? Observation
		101(l) Survey report and plan of correction. Each administrator or operator shall ensure that a copy of the most recent survey report and plan of correction is available in a public area to residents and any other individuals wishing to examine survey results. (3055)	Is the **most recent survey** available in a public area? Observation
		101(g) Availability of policies and procedures. Each administrator or operator shall ensure that policies and procedures related to resident services are available to staff at all times and are available to each resident, legal representatives of residents, case managers, and families during normal business hours. A notice of availability shall be posted in a place readily accessible to residents. (3030)	Is the notice of the availability of the **policies and procedures related to resident services** posted? Observation
		101(j) Emergency telephone. Each administrator or operator shall ensure that the residents and employees have access to a telephone for emergency use at no cost. The administrator or operator shall ensure that the names and telephone numbers of	Is there a **phone accessible** to residents and employees for emergency use at no cost with the names and telephone numbers of persons or places commonly required in emergencies posted adjacent to the phone? Observation

		persons or places commonly required in emergencies are posted adjacent to this telephone. (3045)	
Yes	**No**	**Statute/Regulation**	**Comments**
		106 (a) The administrator or operator of each assisted living facility or residential health care facility shall ensure the facilitation of the organization of at least one resident council, each of which shall meet at least quarterly to provide residents with a forum to provide input into community governance. (3060)	Does the facility have a **community governance** system? President's name: _____ Interview
		28-39-254 (a) – The assisted living facility or residential health care facility shall be designed, constructed, equipped and maintained to protect the health and safety of residents, personnel and the public. (3320)	**Physical Environment** - Is the facility maintained to protect the health and safety of residents, personnel, and the public? Observation
		28-39-254(f) General building exterior. (2) There shall be a means of monitoring each exterior entry and exit for security purposes. (3335)	Is there a means to **monitor each entry & exit for security purposes?** Observation/Interview
		(2) The facility shall not employ any individual who has been identified on a state nurse aide registry as having abused, neglected, or exploited any resident in an adult care home. (3027)	**Personnel Record** of 5 staff (at least one CNA, one CMA, and one Licensed Nurse) reviewed. No concerns found. **(See Personnel Record Review Form)** Record Review
		207(a) The administrator or operator of each assisted living facility or residential health care facility shall ensure the provision of a safe, sanitary, and comfortable environment for residents (3305)	**Housekeeping** - Is the facility a safe, sanitary and comfortable environment for residents? Observation

Yes	No	Statute/Regulation	Comments
		104 Disaster and Emergency management *(d) Each administrator or operator shall ensure disaster and emergency preparedness by ensuring the performance of the following:* *(1) Orientation of new employees at the time of employment to the facility's emergency management plan;* *(2) education of each resident upon admission to the facility regarding emergency procedures;* *(3) quarterly review of the facility's emergency management plan with employees and residents; and* *(4) an emergency drill, which shall be conducted at least annually with staff and residents. This drill shall include evacuation of the residents to a secure location.* (3280)	**Disaster & Emergency** orientation, education, & drills: interview staff on frequency and process. **Date of annual drill/evacuation** _____ Interview/Record Review
		104(e) Each administrator or operator shall make the emergency management plan available to the staff, residents, and visitors. (3285)	Is the **emergency management plan** available to staff, residents, and visitors? Observation/Interview
		204 (f) (f) Each administrator or operator shall ensure that a licensed nurse is available to provide immediate direction to medication aides and nurse aides for residents who have unscheduled needs. (3167)	Is a **licensed nurse is available to provide immediate direction** or medication aides and nurse aides for residents who have unscheduled needs: (Surveyor can ask about some needs they have identified.) What is the process? Observation/ Interview
		102 (c) (c) A registered professional nurse shall be available to provide supervision to licensed practical nurses, pursuant to K.S.A. 65-1113 and amendments thereto. (3247)	Is licensed nurse a LPN? If yes, who is the **registered nurse available** to provide supervision of the LPN:

			Interview
Yes	**No**	**Statute/Regulation**	**Comments**
			Resident Record review completed for at least 3 residents. **(See Record Review Form)** Record Review
		201 (a) On or before each individual's admission to an assisted living facility or residential health care facility, a licensed nurse, a licensed social worker, or the administrator or operator shall conduct a screening to determine the individual's functional capacity and shall record all findings on a screening form specified by the department. The administrator or operator may integrate the department's screening form into a form developed by the facility, which shall include each element and definition specified by the department.(b) A licensed nurse shall assess any resident whose functional capacity screening indicates the need for health care services. (3080)	Who completes the **Resident Functional Capacity Screens**? Interview
		202 (c) Each administrator or operator shall ensure the development of an initial negotiated service agreement at admission. (3090) *(e) A licensed nurse shall participate in the development, review, and revision of the negotiated service agreement if the resident's functional capacity screening indicates the need for health care services.* (3091)	Who develops the **Negotiated Service Agreements?** Interview
		204 (b) If the functional capacity screening indicates that a resident is in need of health care services, a licensed nurse, in collaboration with the resident, the resident's legal representative, the case manager, and, if agreed to by the resident or resident's legal representative, the resident's family, shall develop a health care service plan to be included as part of the negotiated service agreement. (3156) *(d) The negotiated service agreement shall contain a description of the health care services to be provided and the name of the licensed nurse responsible for the implementation and supervision of the plan.* (3165)	Who develops the **Health Care Services Plan**? Interview

Medication Management – ***Interview staff for the following. Review MAR and conduct Medication Administration only if concerns identified during survey or interview.***

Yes	No	Statute/Regulation	Comments
		205 (d) (1) Only licensed nurses and medication aides shall administer & manage medications for which the facility has responsibility. (3200)	Who **administers medications**? Interview
		205 (d) (2) Medication aides shall not administer medication through the parenteral route. (3200)	Are any residents taking **insulin** or any other **injectable medication**? If yes, who **administers**? Interview
		205 (d) (3) (A) Nurse/Medication aide shall administer only the medication the nurse/CMA has personally prepared. (3201)	Are **medications set up** for others to administer? Interview
		205 (d) (3) (D) Nurse/CMA shall document the administration of each resident's medication in the MAR immediately before or following the completion of the task. If the medication administration record identifies only time intervals or events for the administration of medication, the licensed nurse/CMA shall document the actual clock time the medication is administered. (3201)	Who **documents administration** of medications on the MAR? Are **times of administration** documented on the MAR? Interview
		205 (h) Storage. Licensed nurses and medication aides shall ensure that all medications and biologicals are securely and properly stored in accordance with each manufacturer's recommendations or those of the pharmacy provider and with federal and state laws and regulations. (3215)	Are **medication rooms locked**? Are **medications stored** securely and properly? Observation/Interview
		205 (h)(1) Licensed nurses or medication aides shall store non-controlled medications and biologicals managed by the facility in a locked medication room, cabinet, or medication cart. Licensed	Are all **medications locked**?

		nurses and medication aides shall store controlled medications managed by the facility in separately locked compartments within a locked medication room, cabinet, or medication cart. Only licensed nurses and medication aides shall have access to the stored medications and biologicals. (3215)	Who has **access to keys** to medication room, cabinet, or cart? Observation/Interview
Yes	**No**	**Statute/Regulation**	**Comments**
		205 (f) (f) Standing orders. Only a licensed nurse shall make the decision for implementation of standing orders for specified medications and treatments formulated and signed by the resident's medical care provider. Standing orders of medications shall not include orders for the administration of schedule II medications or psychopharmacological medications. (3210)	Who decides when **standing orders** should be implemented? Interview

Dietary Services – *Conduct tour of dietary areas and interview staff if kitchen and dietary services independent from the NF.*

Yes	No	Statute/Regulation	Comments
`		*206 (c) Menus. A dietetic services supervisor or licensed dietitian or, in any assisted living facility or residential health care facility with fewer than 11 residents, designated facility staff shall plan menus in advance and in accordance with the dietary guidelines adopted by reference in K.A.R. 26-39-105.* (3290) *(1) Menu plans shall be available to each resident on at least a weekly basis.* (3295) *(2) A method shall be established to incorporate input by residents in the selection of food to be served and scheduling of meal service.* (3297)	Are menus planned in advance in accordance with dietary guidelines and plans available to residents on at least a weekly basis? How does the facility incorporate input by residents in selection of food to be served and scheduling of meal service? Interview/Record Review
		206 (f) Staff shall store all food under safe and sanitary conditions. Containers of poisonous compounds and cleaning supplies shall not be stored in the areas used for food storage, preparation, or serving. (3299)	**Is food stored** under safe and sanitary conditions? Observation
		***207** (b) Each administrator or operator shall ensure the development of policies and implementation of procedures to*	Does the dietary area provide for **sanitary meal preparation and service** to residents?

		prevent the spread of infections. These policies and procedures shall include the following requirements: *(4) providing sanitary conditions for food service; (3305)* *(5) prohibiting any employee with a communicable disease or any infected skin lesions from coming in direct contact with any resident, any resident's food, or resident care equipment until the condition is no longer infectious; (3310)*	Observation

Laundry

Yes	No	Statute/Regulation	Comments
		207 (b) Each administrator or operator shall ensure the development of policies and implementation of procedures to prevent the spread of infections. These policies and procedures shall include the following requirements: *(3) techniques to ensure that the laundering and handling of soiled and clean linens meet professional health care standards; (3305)*	Are each resident's **clothing washed** separately? Does the facility process **contaminated facility laundry and resident laundry (26-39-100. Definitions.**(r) "Contaminated laundry" means any clothes or linens that have been soiled with body substances including blood, stool, urine, vomitus, or other potentially infectious material) ALF/RHCF resident laundry room? What process is followed for water temperatures and chemical used? Observation/Interview

Water Temperature

Yes	No	Statute/Regulation	Comments
		28-39-256 (c) (2) (B) *Water distribution systems shall be arranged to provide hot water at outlets at all times. The temperature of hot water shall range between 98 and 120 degrees F in resident use area. (3420)*	**Water temperature** in areas accessible to residents or for resident use. Whirlpool _____ Public restroom sink_____ Observation