

**Resident Background Information**

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| Residence: | Resident name: Resident DOB: |
| Surveyor: | Resident ID#: |
| Survey date: | Admission date: |
| Incident/Complaint number (if applicable): | Resident room#: | Special Care unit: YES |  | NO |  |

**Outside Temporary Services** Review all outside services that the resident is currently receiving.

**II. Outside Services (i.e. skilled nursing therapy): NO YES If yes, then complete the following:**

**III. Limited Health Services: NO YES If yes, then complete the following:**

**I. Hospice Services: NO YES If yes, then complete the following:**

Hospice start date: \_\_\_\_\_ Reason for Hospice:\_\_

If the resident has been receiving services for more than 45 days, has a variance been requested? If no, then see ***Section 2.4.14 Residency Requirements*.**

Review the resident’s **Comprehensive Assessment, Service Plan,** and recent **Nurse Review.**

Do all of these documents indicate that the resident is receiving Hospice services?

1. Comprehensive Assessment: YES NO If No, then see ***Section 2.4.16* (*A-E)* *Resident Assessment*s.**

2. Service Plan: YES NO If No, then see ***Section 2.4.16 (G) Service Plans.***

3. Nurse Review: YES NO If No, then see ***Section 2.4.16 (F)*** ***Nurse Review*.**

Healthcare services start date:

Reason for services: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

If the resident has been receiving services for more than 45 days, has a variance been requested? If no, then see ***Section 2.4.14 Residency Requirements*.**

Review the resident’s **Comprehensive Assessment, Service Plan,** and recent **Nurse Review.**

Do all of these documents indicate that the resident is receiving healthcare services?

1. Comprehensive Assessment: YES NO If No, then see ***Section 2.4.16* (*A-E)* *Resident Assessment*s.**

2. Service Plan: YES NO If No, then see ***Section 2.4.16 (G) Service Plans.***

3. Nurse Review: YES NO If No, then see ***Section 2.4.16 (F)*** ***Nurse Review*.**

Limited health services start date:

Reason for services:

Review the resident’s **Comprehensive Assessment, Service Plan**, **Nurse Review, Physician Orders, and Notification of Rights.**

Do all of these documents indicate that the resident is receiving limited healthcare services?

1. Comprehensive Assessment: YES NO If No, then see ***Section 2.4.16* (*A-E)* *Resident Assessment*s.**

2. Service Plan: YES NO If No, then see ***Section 2.4.16 (G) Service Plans.***

3. Nurse Review: YES NO If No, then see ***Section 2.4.16 (F)*** ***Nurse Review*.**

4. Physician orders: Has the resident’s physician signed orders indicating the need for the limited health service?

 YES  NO If No, then see ***Section 2.6.2***

5. Notification of Rights: Was the resident provided, in writing, his/her right to access an outside, licensed provider for services? YES  NO  If No, then see ***Section 2.6.2***

 Residence Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Resident Name/ ID#: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**General Record Review**

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| **IV. Comprehensive Assessment** *Sections 2.4.16 (A-E)* | **YES (√)** | **NO (√)** |
| The residence uses the Department of Health (RIDOH) approved assessment form or another form that has been approved by RIDOH. |  |  |
| A nurse completed the Comprehensive Assessment as required, prior to admission. |  |  |
| Comprehensive Assessment was signed by the nurse and the Administrator. |  |  |
| All sections of the assessment are complete. |  |  |
| The assessment has been reviewed and updated on a periodic basis (annually) and eachtime the resident’s condition changed significantly. |  |  |
| **V. Service Plans:** *Sections 2.4.16 (G)* | **YES (√)** | **NO (√)** |
| A service plan has been developed within a reasonable time after move-in and it is based on theinitial assessment. The plan includes at least the following:a) Services and interventions needed;b) Description, frequency, duration relating to the service or intervention, including personal assistance, medication, special diets, recreational activities, and other similar servicesrendered;c) Party responsible for arranging the service; andd) Resident’s requested and/or therapeutically needed recreational and social activities. |  |  |
| The service plan shall be developed by a registered nurse and/or the certified assisted living residence administrator, and shall be signed, approved, and dated by both parties. |  |  |
| The service plan is reviewed by both parties annually and when there is a significant change in theresident’s condition (acknowledged in writing.) |  |  |
| The copy is in the resident’s record. |  |  |
| **Notes:** |

 Residence Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Resident Name/ ID#: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| **VI. Nurse Review: For the last six months:** *Sections 2.4.16 (F)* | **YES (√)** | **NO (√)** |
| Every 30 days or every 90 days for residences that have one or more nurses that are onsite fulltime.**An accurate review includes the following:**a. Monitor the medication regimen for all residents;b. Review any new physician orders and evaluate the health status of all residents by identifying symptoms of illness and/or changes in mental/physical health status;c. Evaluate the appropriateness of placement;d. Make any necessary recommendations to the administrator;e. Follow up on previous recommendations;**A signed, written report in the residence documenting:**a. Date and time of visit;b. Recommendations for follow-up;c. Progress on previous recommendations;d. Verification that the medication listed by the pharmacist on the mediset, blister pack, or medication container is current with physician orders (M-1 level only);e. Physical assessment identifying symptoms of illness and/or changes in mental orphysical health status and appropriateness of placement. |  |  |
| **Notes:** |
| **VI. Resident Rights and Fire Safety Orientation:** | **YES (√)** | **NO (√)** |
| The resident’s record contains written acknowledgments that the resident has signed and received copies of the resident rights as provided in RI Gen Laws 23-17.4-16. |  |  |
| The resident’s record contains a copy of the residency agreement/contract as described in ***Section 2.4.14*** |  |  |
| Residents are instructed in all alternative methods of escape since the primary exit may beunusable due to fire and/or smoke. Such instruction shall be documented in the record. ***Section******2.4.30*** |  |  |
| Each new resident shall be oriented to the fire drill procedure on admission, with documentation of the orientation placed in the resident’s record. ***Section 2.4.30*** |  |  |
| **Notes:** |

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| **VII. Appropriateness of Placement:***Section 2.4.14 Residency Requirements & Section 2.4.16 Resident Assessment and Service Plans* | **YES (√)** | **NO (√)** |
| In reviewing the resident’s record, does it appear that the resident is appropriate for the setting?**Some things to consider in making this determination:**1. Are there recommendations made by the nurse for a different level of care that have not been followed up on by the Administrator?2. Is the resident receiving outside healthcare services for an extended period of time (more than 45 days) and does not have a variance approval by RIDOH?3. Is there evidence that the resident may require dementia care? Criteria for dementia services include:* Safety concerns due to elopement risk or other behaviors;
* Inappropriate social behaviors that adversely impact the rights of others;
* Inability to self preserve due to dementia;
* A physician's recommendation that the resident needs dementia support.

4. The resident is bed-bound or requires a two-person assist (or mechanical lift) for ambulation.If the record review/observations reveal the resident may be inappropriate for ALR, then the surveyor should **interview** the resident/resident family (if possible), the Administrator, Director of Wellness, and any other appropriate staff to validate findings. |  |  |

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| **VIII. Medication Record Review and Observations** | **YES (√)** | **NO (√)** | **N/A (√)** |
| **Residences licensed as M1**May administer medications to residents including, but not limited to, removing medication containers from storage, assisting with the removal of a medication from a container for residents with disability which prevents independence in this act, and/or administering the medication directly to the resident. 1. The resident or guardian must provide written authorization for the residence to provide administration of medications.
2. Medications shall be administered in accordance with written orders of a physician. The residence must provide in writing, a description of services provided by the residence to each physician, including limitations on service.
3. All medications must be checked against a physician’s orders by a licensed nurse or pharmacist.
4. Individual medication records must be retained for each resident to whom medications are being administered and each dose administered to the resident must be properly recorded.
5. Any medication administered by the residence and refused by a resident shall be documented and reported, as appropriate.
6. Injectable medications, including, but not limited to, insulin, which cannot be self-administered by the resident, must be administered by a licensed nurse.
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**Surveyor Instructions**:*Complete this section, as appropriate, based upon the Medication Level of facility. (M1/M2)*

Residence Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Resident Name/ ID#: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Surveyor Instructions**: Complete this section for three residents. Conduct observations of medications with an appropriate staff member. Observe medications for additional residents as necessary.

Was resident selected to observe medication containers? **YES \_\_\_\_\_ NO \_\_\_\_\_ If no, skip section IX.**

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| **IX. Medication Record Review and Observations** | **YES (√)** | **NO (√)** | **N/A (√)** |
| **For M1 and M2:**All medications in the residence, regardless of whether controlled by employees or by the resident, shall be stored securely. All medications shall be stored in a manner to prevent spoilage, dosage errors, administration errors, or inappropriate access by other residents, visitors, or unauthorized employees. Provisions for safe storage may include lockable containers, secure spaces, or lockable units, as appropriate to the residence and the resident population. **Section 2.4.24 (3)(a)(8)** |  |  |  |
| **For M2:**For residents capable of self-administration of medication but who wish to ask assisted living residence employees to use a medi-set (pre-poured packaging distribution system), only registered medication aide, licensed nurse, or pharmacist shall organize the medications for up to one week. **Section 2.4.24 (3)(a)(7)** |  |  |  |
| **For M1:**The medication must be in the original pharmacy-dispensed container with proper label and directions attached and be administered in accordance with such label. **Section 2.4.24(B)(1)(e)** |  |  |  |

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| **Date/Time/****Source** | **Notes** |
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