

Continuous Survey Readiness Annual Plan | Assisted Living

This material was prepared by Stratis Health under contract with The Minnesota Department of Health (MDH). Use of this tool is not mandated by MDH nor does its completion ensure regulatory compliance.

This is a template annual work plan to provide structure and guidance for consistent survey readiness and compliance with required review schedules. This is not intended to document everything,

Activity Categories

- **Organizational Oversight:** Activities that support licensing, policies, systems, safety, quality management, and regulatory compliance.
- **Staff & Training:** Activities that ensure staff are qualified, trained, supervised, and properly documented.
- **Resident Care & Rights:** Activities that support resident care, safety, service delivery, documentation, and protection of resident rights.
- **Survey Readiness:** Activities that confirm documentation, practices, and systems are organized, current, and demonstrably compliant for MDH review.

Monthly Oversight Descriptions:

- **Environmental & Safety Rounds:** Walk common areas and resident spaces to identify safety hazards, missing or outdated signage, equipment issues, and maintenance needs; document findings and follow-up.
- **Documentation Spot Checks:** Look at a few records to make sure required documentation is complete, accurate, and up to date.
- **Incident Report Review:** Review incident reports to understand what happened, identify any patterns or concerns, and determine whether changes are needed to prevent similar issues.

- **Policy-vs-Practice Review (1–2 policies):** Compare what is written in selected policies with what staff are actually doing in daily practice to make sure they match.

Activity Category	Activity	Assigned To	Notes
January			
• Organizational Oversight • Survey Readiness	Policy & Procedure Annual Review		Review all required policies to ensure alignment with statute, forms, workflows, and current practice; revise as needed.
• Staff & Training	Annual Staff Training Plan Finalized		Identify required annual training topics, assign timelines, and establish documentation and tracking methods.
• Staff & Training • Organizational Oversight	Staffing Levels & Acuity Review (Q1)		Review resident acuity and staffing patterns to confirm adequate coverage and skill mix.
• Organizational Oversight • Survey Readiness	Monthly Oversight Activities (Standing)		Environmental & Safety Rounds Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
February			
• Resident Care & Rights • Survey Readiness	Resident Rights Notices Review & Postings Check		Verify required resident rights postings are visible and current; confirm resident acknowledgements are on file.
• Staff & Training • Survey Readiness	Employee File Review (Q1)		Review a selected group of employee files to confirm credentials, background studies, TB screening, training, and competency records are complete and

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			current. Include all new staff hired since the last survey.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Environmental & Safety Rounds Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
March			
Organizational Oversight	Quality Management: Incident & Complaint Review (Q1)		Review incident and complaint data for patterns, root causes, and system gaps; identify improvement actions.
- Resident Care & Rights - Survey Readiness	Service Plan & Assessment Alignment Review (Q1)		Verify assessments are current and service plans accurately reflect assessed needs and supporting documentation.
- Resident Care & Rights - Survey Readiness	Medication Management Review (Q1)		Review medication administration record (MAR) accuracy, medication storage, expiration dates, and error documentation; identify trends and needed corrections.
- Organizational Oversight - Survey Readiness	Missing Resident Plan Review (Q1)		Review the Missing Resident Plan within the Emergency Preparedness plan to ensure procedures are current, staff understand response expectations, and documentation supports timely and safe resolution.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Environmental & Safety Rounds Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)

Activity Category	Activity	Assigned To	Notes
April			
Resident Care & Rights	Medication Management Review (MARs, Delegation, Errors) (Annual or Q2)		Validate proper medication administration practices, delegation and supervision processes, documentation accuracy, and timely follow-up of medication errors.
- Staff & Training - Survey Readiness	Staff Medication Administration Competency Checks		Observe or review staff competencies related to medication administration and document validation or retraining.
- Staff & Training - Organizational Oversight	Staffing Levels & Acuity Review (Q2)		Review resident acuity and staffing patterns to confirm adequate coverage and skill mix.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Environmental & Safety Rounds Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
May			
- Organizational Oversight - Survey Readiness	Infection Control Review & Safety Walkthrough		Review infection prevention practices, supplies, and environmental controls; document observations and corrective actions.
Staff & Training	Tuberculosis Facility Risk Assessment	Annual	Assess the facility's risk level for tuberculosis transmission based on resident population, services provided, and potential exposure risks. Use the assessment to determine appropriate screening, prevention, and response protocols; document results and update practices as needed.

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- Organizational Oversight - Survey Readiness	Emergency Preparedness Drill (Fire and Evacuation)		Conduct required fire and evacuation drills at least twice per year on all shifts. Ensure staff participation and include resident participation when practical. Maintain complete documentation of each drill, including date, time, shift, participants, and any follow-up actions.
- Staff & Training - Survey Readiness	Employee File Review (Q2)		Review a selected group of employee files to confirm credentials, background studies, TB screening, training, and competency records are complete and current. Include all new staff hired since last file review.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Environmental & Safety Rounds Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
June			
Organizational Oversight	Quality Management: Incident & Complaint Review (Q2)		Review incident and complaint data for patterns, root causes, and system gaps; identify improvement actions.
- Resident Care & Rights - Survey Readiness	Service Plan & Assessment Alignment Review (Q2)		Confirm continued alignment between assessments, service plans, and delivered services.
- Resident Care & Rights - Survey Readiness	Medication Management Review (Q2)		Review medication administration record (MAR) accuracy, medication storage, expiration dates, and

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			error documentation; identify trends and needed corrections.
- Organizational Oversight - Survey Readiness	Missing Resident Plan Review (Q2)		Review the Missing Resident Plan within the Emergency Preparedness plan to ensure procedures are current, staff understand response expectations, and documentation supports timely and safe resolution.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Environmental & Safety Rounds Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
July			
- Staff & Training - Survey Readiness	Employee Annual Training Completion Review		Verify all required annual training has been completed and properly documented for each staff member.
- Staff & Training - Organizational Oversight	Staffing Levels & Acuity Review (Q3)		Review resident acuity and staffing patterns to confirm adequate coverage and skill mix.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Environmental & Safety Rounds Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
August			
- Resident Care & Rights - Survey Readiness	Service Plan Review for All Residents		Complete a comprehensive review of each resident's service plan to ensure accuracy, consent, and current needs are reflected.

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Resident Care & Rights	Dementia care program review (if applicable)		Evaluate dementia-specific services, training, and documentation for compliance and effectiveness.
- Staff & Training - Survey Readiness	Employee File Review (Q3)		Review a selected group of employee files to confirm credentials, background studies, TB screening, training, and competency records are complete and current. Include all new staff hired since last file review.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Environmental & Safety Rounds Documentation Spot Check Incident Report Review Policy-vs-Practice Review (1–2 policies)
September			
Survey Readiness	Mock Survey or Survey Readiness Review		Use a statute-based checklist to assess readiness across records, policies, and staff knowledge; document gaps and actions.
- Resident Care & Rights - Survey Readiness	Medication Management Review		Routine review of medication administration practices to confirm accurate documentation, safe storage, and timely follow-up of errors.
- Resident Care & Rights - Survey Readiness	Service Plan & Assessment Alignment Review (Q3)		Confirm continued alignment between assessments, service plans, and delivered services.
- Organizational Oversight - Survey Readiness	Missing Resident Plan Review (Q3)		Review the Missing Resident Plan within the Emergency Preparedness plan to ensure procedures are current, staff understand response expectations, and documentation supports timely and safe resolution.

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- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Environmental & Safety Rounds Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
October			
Resident Care & Rights	Medication Management & Controlled Substance Review (Annual or Q4)		Focused Review of controlled substances and medication governance to verify secure storage, accurate counts, discrepancy resolution, and system-level controls across time.
Staff & Training	Infection Control Education		Provide targeted education reinforcing infection prevention expectations and document attendance.
- Staff & Training - Organizational Oversight	Staffing Levels & Acuity Review (Q4)		Review resident acuity and staffing patterns to confirm adequate coverage and skill mix.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Environmental & Safety Rounds Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
November			
- Staff & Training - Resident Care & Rights - Survey Readiness	Resident Rights Training Refresh for Staff		Reinforce staff understanding of resident rights, grievance handling, and retaliation protections.
- Organizational Oversight - Survey Readiness	Policy Revisions		Update policies using findings from quality reviews, surveys, and regulatory changes.
Staff & Training	Employee File Review (Q4)		Review a selected group of employee files to confirm credentials, background studies, TB screening,

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Survey Readiness			training, and competency records are complete and current. Include all new staff hired since last file review.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Environmental & Safety Rounds Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
December			
- Organizational Oversight - Survey Readiness	Annual Quality Management Program Evaluation (Incl. Q4 Review)		Evaluate effectiveness of the quality management program, summarize outcomes, and set priorities for the coming year.
Survey Readiness	Survey Readiness Binder Annual Update		Confirm required documents are current, organized, and accessible for survey.
- Organizational Oversight - Survey Readiness	Emergency Preparedness Annual Review		Update hazard vulnerability analysis, communication plans, and incorporate lessons from drills or real events.
- Resident Care & Rights - Survey Readiness	Service Plan & Assessment Alignment Review (Q4)		Confirm continued alignment between assessments, service plans, and delivered services.
- Organizational Oversight - Survey Readiness	Missing Resident Plan Review (Q4)		Review the Missing Resident Plan within the Emergency Preparedness plan to ensure procedures are current, staff understand response expectations, and documentation supports timely and safe resolution.

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- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Environmental & Safety Rounds Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)

Build Your Own

Activity Category	Activity	Frequency	Notes
Annual			
- Organizational Oversight - Survey Readiness	Policy & Procedure Annual Review	Annual	Review all required policies to ensure alignment with statute, forms, workflows, and current practice; revise as needed.
Staff & Training	Annual Staff Training Plan Finalized	Annual	Identify required annual training topics, assign timelines, and establish documentation and tracking methods.
- Resident Care & Rights - Survey Readiness	Resident Rights Notices Review & Postings Check	Annual	Verify required resident rights postings are visible and current; confirm resident acknowledgements are on file.
- Staff & Training - Survey Readiness	Staff Medication Administration Competency Checks	Annual	Observe or review staff competencies related to medication administration and document validation or retraining.

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- Organizational Oversight - Survey Readiness	Infection Control Review & Safety Walkthrough	Annual	Review infection prevention practices, supplies, and environmental controls; document observations and corrective actions.
- Organizational Oversight - Survey Readiness	Emergency Preparedness Drill (Fire/Evacuation)	Annual	Conduct required fire or evacuation drill; ensure staff participation and complete drill documentation.
- Staff & Training - Survey Readiness	Employee Annual Training Completion Review	Annual	Verify all required annual training has been completed and properly documented for each staff member.
- Resident Care & Rights - Survey Readiness	Service Plan Review for All Residents	Annual	Complete a comprehensive review of each resident's service plan to ensure accuracy, consent, and current needs are reflected.
Resident Care & Rights	Dementia care program review (if applicable)	Annual	Evaluate dementia-specific services, training, and documentation for compliance and effectiveness.
Survey Readiness	Mock Survey or Survey Readiness Review	Annual	Use a statute-based checklist to assess readiness across records, policies, and staff knowledge; document gaps and actions.
Staff & Training	Infection Control Education	Annual	Provide targeted education reinforcing infection prevention expectations and document attendance.
Staff & Training	Tuberculosis Facility Risk Assessment	Annual	Assess the facility's risk level for tuberculosis transmission based on resident population, services provided, and potential exposure risks. Use the assessment to determine appropriate screening, prevention, and response protocols; document results and update practices as needed.
- Staff & Training - Resident Care & Rights	Resident Rights Training Refresh for Staff	Annual	Reinforce staff understanding of resident rights, grievance handling, and retaliation protections.

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Survey Readiness			
- Organizational Oversight - Survey Readiness	Policy Revisions	Annual	Update policies using findings from quality reviews, surveys, and regulatory changes.
- Organizational Oversight - Survey Readiness	Annual Quality Management Program Evaluation (Incl. Q4 Review)	Annual	Evaluate effectiveness of the quality management program, summarize outcomes, and set priorities for the coming year.
Survey Readiness	Survey Readiness Binder Annual Update	Annual	Confirm required documents are current, organized, and accessible for survey.
- Organizational Oversight - Survey Readiness	Emergency Preparedness Annual Review	Annual	Update hazard vulnerability analysis, communication plans, and incorporate lessons from drills or real events.
Biannual			
Resident Care & Rights	Medication Management Review (MARs, Delegation, Errors)	Biannual	Validate proper medication administration practices, delegation and supervision processes, documentation accuracy, and timely follow-up of medication errors.
Resident Care & Rights	Medication Management & Controlled Substance Review	Biannual	Focused Review of controlled substances and medication governance to verify secure storage, accurate counts, discrepancy resolution, and system-level controls across time.
Quarterly			
- Survey Readiness - Resident Care & Rights	Service Plan Review for All Residents	Quarterly	Look for problems with how services were provided, such as missed or late visits, services not provided

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			as planned, communication issues, or concerns raised by clients or staff.
- Staff & Training - Organizational Oversight	Staffing Levels and Acuity Review	Quarterly	Review resident acuity and staffing patterns to confirm adequate coverage and skill mix.
- Staff & Training - Survey Readiness	Employee File Review	Quarterly	Review a selected group of employee files to confirm credentials, background studies, TB screening, training, and competency records are complete and current. Include all new staff hired since last file review.
Organizational Oversight	Quality Management: Incident & Complaint Review	Quarterly	Review incident and complaint data for patterns, root causes, and system gaps; identify improvement actions.
- Resident Care & Rights - Survey Readiness	Service Plan & Assessment Alignment Review	Quarterly	Verify assessments are current and service plans accurately reflect assessed needs and supporting documentation.
- Resident Care & Rights - Survey Readiness	Medication Management Review	Quarterly	Review medication administration record (MAR) accuracy, medication storage, expiration dates, and error documentation; identify trends and needed corrections.
- Organizational Oversight - Survey Readiness	Missing Resident Plan Review	Quarterly	Review the Missing Resident Plan within the Emergency Preparedness plan to ensure procedures are current, staff understand response expectations, and documentation supports timely and safe resolution.
Monthly			

Activity Category	Activity	Frequency	Notes
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)	Monthly	Environmental & Safety Rounds Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)