

Continuous Survey Readiness Annual Plan | Home Care

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.
- **Client Care & Rights:** Activities that support client care, safety, service delivery, documentation, and protection of client rights.
- **Survey Readiness:** Activities that confirm documentation, practices, and systems are organized, current, and demonstrably compliant for MDH review.

Monthly Oversight Descriptions:

- **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 level review (Q1)		Review current client needs and staff coverage to confirm services can be provided as scheduled and without safety concerns.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Review complaints received Incident Report Review Policy-vs-Practice Review (1–2 policies)
February			
- 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 current. Include all new staff hired since last survey.
Staff & Training	Review client service delivery issues (Q1)		Look for problems with how services were provided, such as missed or late visits, services not provided as planned, communication issues, or concerns raised by clients or staff.

Activity Category	Activity	Assigned To	Notes
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Review complaints received Incident Report Review Policy-vs-Practice Review (1–2 policies)
March			
Organizational Oversight	Quality Management: Incident & Complaint Review (Q1)		Review incidents and complaints to identify repeat concerns and determine whether changes to services, staffing, or procedures are needed.
- Client Care & Rights - Survey Readiness	Service Plan & Assessment Alignment Review (Q1)		Verify assessments are current and service plans accurately reflect assessed needs and supporting documentation.
- Client 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	Monthly Oversight Activities (Standing)		Review complaints received Incident Report Review Policy-vs-Practice Review (1–2 policies)
April			
Client 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.

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- 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 level review (Q2)		Review current client needs and staff coverage to confirm services can be provided as scheduled and without safety concerns.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
May			
- Organizational Oversight - Survey Readiness	Infection Control & Safety Review		Review infection prevention practices, supplies, and environmental controls; document observations and corrective 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 review.
Client Care & Rights	Review client service delivery issues (Q1)		Look for problems with how services were provided, such as missed or late visits, services not provided as planned, communication issues, or concerns raised by clients or staff.

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- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
June			
Organizational Oversight	Quality Management: Incident & Complaint Review (Q2)		Review incidents and complaints to identify repeat concerns and determine whether changes to services, staffing, or procedures are needed.
- Client Care & Rights - Survey Readiness	Service Plan & Assessment Alignment Review (Q2)		Confirm continued alignment between assessments, service plans, and delivered services.
- Client Care & Rights - Survey Readiness	Medication Management Review (Q2)		Review medication administration record (MAR) accuracy, medication storage, expiration dates, and error documentation; identify trends and needed corrections.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		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.

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- Staff & Training - Organizational Oversight	Staffing level review (Q3)		Review current client needs and staff coverage to confirm services can be provided as scheduled and without safety concerns.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
August			
- Client Care & Rights - Survey Readiness	Service plan review for all clients		Complete a comprehensive review of each client’s service plan to ensure accuracy, consent, and current needs are reflected.
- Client Care & Rights - Survey Readiness	Review client service delivery issues (Q1)		Look for problems with how services were provided, such as missed or late visits, services not provided as planned, communication issues, or concerns raised by clients or staff.
- 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 review.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Documentation Spot Check Incident Report Review Policy-vs-Practice Review (1–2 policies)

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September			
Survey Readiness	Mock survey / survey readiness review		Use a statute-based checklist to assess readiness across records, policies, and staff knowledge; document gaps and actions.
- Organizational Oversight - Client Care & Rights - Survey Readiness	Quality Management: Incident & Complaint Review (Q3)		Review incidents and complaints to identify repeat concerns and determine whether changes to services, staffing, or procedures are needed.
- Client Care & Rights - Survey Readiness	Medication Management Review (Q3)		Routine review of medication administration practices to confirm accurate documentation, safe storage, and timely follow-up of errors.
- Client Care & Rights - Survey Readiness	Service Plan & Assessment Alignment Review (Q3)		Confirm continued alignment between assessments, service plans, and delivered services.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
October			
Client Care & Rights	Medication Management & Controlled Substance Review (Annual or Q4)		Focused Review of controlled substances and medication governance to verify secure storage, accurate counts,

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			discrepancy resolution, and system-level controls across time.
Staff & Training	Infection control refresher education		Provide targeted education reinforcing infection prevention expectations and document attendance.
- Staff & Training - Organizational Oversight	Staffing level review (Q4)		Review current client needs and staff coverage to confirm services can be provided as scheduled and without safety concerns.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
November			
- Staff & Training - Client Care & Rights - Survey Readiness	Client Rights Training Refresh for Staff		Reinforce staff understanding of client rights, grievance handling, and retaliation protections.
Staff & Training	Review client service delivery issues (Q1)		Look for problems with how services were provided, such as missed or late visits, services not provided as planned, communication issues, or concerns raised by clients or staff.
- Organizational Oversight	Policy revisions based on trends & regulatory updates		Update policies using findings from quality reviews, surveys, and regulatory changes.

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Survey Readiness			
- Staff & Training - Survey Readiness	Employee File Review (Q4)		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 review.
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		Documentation Spot Checks Incident Report Review Policy-vs-Practice Review (1–2 policies)
December			
- Organizational Oversight - Survey Readiness	Quality Management: Incident & Complaint Review (Q4)		Review incidents and complaints to identify repeat concerns and determine whether changes to services, staffing, or procedures are needed.
Survey Readiness	Survey readiness binder year-end 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.
- Client Care & Rights - Survey Readiness	Service Plan & Assessment Alignment Review (Q4)		Confirm continued alignment between assessments, service plans, and delivered services.

Activity Category	Activity	Assigned To	Notes
- Organizational Oversight - Survey Readiness	Monthly Oversight Activities (Standing)		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.
- 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.
- 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.
- Client Care & Rights - Survey Readiness	Service plan review for all clients	Annual	Complete a comprehensive review of each client's service plan to ensure accuracy, consent, and current needs are reflected.
Survey Readiness	Mock survey / 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 refresher education	Annual	Provide targeted education reinforcing infection prevention expectations and document attendance.
- Staff & Training - Client Care & Rights - Survey Readiness	Client Rights Training Refresh for Staff	Annual	Reinforce staff understanding of client rights, grievance handling, and retaliation protections.
- Organizational Oversight - Survey Readiness	Policy revisions based on trends & regulatory updates	Annual	Update policies using findings from quality reviews, surveys, and regulatory changes.

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- 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 year-end 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			
Client Care & Rights	Medication Management Review (MARs, Delegation, Errors) (Annual or Q2)	Biannual	Validate proper medication administration practices, delegation and supervision processes, documentation accuracy, and timely follow-up of medication errors.
Client Care & Rights	Medication Management & Controlled Substance Review (Annual or Q4)	Biannual	Focused Review of controlled substances and medication governance to verify secure storage, accurate counts, discrepancy resolution, and system-level controls across time.
Quarterly			

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Staff & Training	Review client service delivery issues	Quarterly	Look for problems with how services were provided, such as missed or late visits, services not provided as planned, communication issues, or concerns raised by clients or staff.
- Staff & Training - Organizational Oversight	Staffing level review	Quarterly	Review current client needs and staff coverage to confirm services can be provided as scheduled and without safety concerns.
- Staff & Training - Survey Readiness	Employee File Review (Q1)	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 review.
Organizational Oversight	Quality Management: Incident & Complaint Review	Quarterly	Review incidents and complaints to identify repeat concerns and determine whether changes to services, staffing, or procedures are needed.
- Client Care & Rights - Survey Readiness	Service Plan & Assessment Alignment Review (Q1)	Quarterly	Verify assessments are current and service plans accurately reflect assessed needs and supporting documentation.
- Client Care & Rights - Survey Readiness	Medication Management Review (Q1)	Quarterly	Review medication administration record (MAR) accuracy, medication storage, expiration dates, and error documentation; identify trends and needed corrections.
Monthly			

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