

# LeadBridge Survey Risk Checklist

Assisted Living & Memory Care Compliance Readiness Tool

**Taking care of the people who take care of seniors.**

Prepared by: LeadBridge

## Why This Checklist Exists

Most assisted living communities do not fail surveys because of one major issue. They fail because small, repeated breakdowns in compliance systems accumulate over time.

Use this tool to quickly identify potential exposure before a state survey. Review each section honestly, mark any area where the process is inconsistent or unclear, then total the number of risk areas at the end.

**Risk Indicator:** If you identify 3 or more risk areas, your community may benefit from a full Survey Readiness Assessment.

### 1. Documentation Risk

Check	Readiness item
<input type="checkbox"/>	Care plans are consistently updated and accurate.
<input type="checkbox"/>	Staff notes are completed in real time.
<input type="checkbox"/>	Incident reports are fully documented and followed up.
<input type="checkbox"/>	Audits are conducted regularly.

**Risk Indicator:** Inconsistent documentation between staff or shifts.

### 2. Medication Management

Check	Readiness item
<input type="checkbox"/>	MARs are accurate and up to date.
<input type="checkbox"/>	Medication tech training is current and documented.
<input type="checkbox"/>	Medication errors are tracked and reviewed.
<input type="checkbox"/>	Controlled substances are properly documented.

**Risk Indicator:** Missing documentation or inconsistent med pass audits.

### 3. Staffing & Training

Check	Readiness item
<input type="checkbox"/>	All employee files are audit-ready.
<input type="checkbox"/>	Training records are current.
<input type="checkbox"/>	Background checks are complete.
<input type="checkbox"/>	Orientation process is standardized.

**Risk Indicator:** High turnover or incomplete training files.

#### 4. Infection Control

Check	Readiness item
<input type="checkbox"/>	Infection control logs are maintained.
<input type="checkbox"/>	Staff follow hygiene protocols consistently.
<input type="checkbox"/>	Outbreaks are documented and tracked.
<input type="checkbox"/>	Cleaning procedures are followed and verified.

**Risk Indicator:** Lack of consistent monitoring or documentation.

#### 5. Resident Care & Rights

Check	Readiness item
<input type="checkbox"/>	Resident rights are consistently upheld.
<input type="checkbox"/>	Complaints are documented and resolved.
<input type="checkbox"/>	Care changes are properly communicated.
<input type="checkbox"/>	Families are informed appropriately.

**Risk Indicator:** Gaps in communication or documentation.

#### 6. Leadership Oversight

Check	Readiness item
<input type="checkbox"/>	Executive Director reviews compliance regularly.
<input type="checkbox"/>	Audits are completed and documented.
<input type="checkbox"/>	Corrective actions are tracked to completion.
<input type="checkbox"/>	Leadership meetings address compliance issues.

**Risk Indicator:** Reactive rather than proactive leadership structure.

## Scoring Guide

Risk areas checked	Interpretation	Recommended action
0-2	Low immediate risk	Continue routine monitoring.

3-5	Moderate risk	Review recommended before survey activity increases.
6+	High risk	Action required. Prioritize corrective planning.

## Next Step

If your community identified 3 or more risk areas, it may be operating with compliance exposure that could result in survey deficiencies.

LeadBridge provides a full Survey Readiness Assessment that identifies gaps in detail and delivers a 30-60-90 day corrective action plan.