



Initial Nursing Home Licensure Survey Checklist

Pre-Survey:

- Receive notice from the LTC Unit indicating the facility is ready for initial licensure survey.
- Receive notification from the facility indicating they are ready and requesting the survey.
- Schedule the announced survey with the facility. Recommended scheduling: 2 surveyors – minimum of 1 RNS and another discipline for 1-2 days, depending on size and complexity. On Initial surveys, a Life Safety Code (LSC) surveyor may be included.

On-site Survey:

For initial licensure of a nursing home, assure **all state regulations (N-tags) are reviewed for compliance**. The current regulation set can be found at: <https://ahca.myflorida.com/health-care-policy-and-oversight/bureau-of-field-operations/current-regulations-in-aspen-survey>. The activities would include a tour of all areas, reviewing policies and procedures, checking background screenings, and interviewing staff.

- **Tour**
 - All **resident rooms** to see if call lights, room lights, ventilation (cooling and heating), sinks, toilets, privacy curtains, and beds are functioning. Also check closets and furniture (over-bed tables, bedside nightstands with drawers or storage for resident belongings, and chairs). Conduct random water temperature checks in sinks and showers. Determine if linen supply is adequate. Check for a method for staff to perform hand hygiene and storage of Personal Protective Equipment (PPE).
 - **Secure unit** – if the facility has a secure unit, check to see if the area is safe and check door alarms.
 - **Designated smoking area** – if the facility has a smoking area, check this area for ashtrays, smoking aprons, etc.
 - All **common areas** for cleanliness, general environmental conditions, furniture, communal showers, therapy room, clean and soiled utility rooms, etc. Look for required posting of information.
 - **Nourishment rooms and medication rooms** – refrigerators, drug storage (locking system for controlled substances), Emergency Medication Kit (EMK), ice machines, med carts, a method for staff to perform hand hygiene, etc.
 - **Laundry** – washers, dryers, separation of clean and dirty laundry. Storage of clean linen. Adequate supply of sheets, blankets, towels, washcloths, etc. Adequate laundry carts, folding area, hanging racks, etc. A hand-washing sink installed with soap and hand drying supplies or device for staff hand hygiene.



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- **Central Supply** – inventory and process for ordering, storage, and distribution of supplies, including PPE. Supplies are stored in a sanitary manner.
- **Kitchen** – Check for equipment, depending on type of food service. Minimal necessary equipment – dish machine, refrigerated storage (walk-ins, reach-ins), 3 compartment sink, hand-washing sink, range, steam table, tray distribution system, if applicable, tray carts, can opener, cooking utensils, dishes, cleaning supplies, etc. Check dry food storage area for proper storage. Review their process for ordering food. Check for planned menus. Check for resident meal plans and food preference process.
- **AHCA Poster** – or equivalent of required information
- Check **policies and procedures** to determine if they have been approved.
- Review all policies and procedures as identified in the regulation set at tag N0041.
- Review staff education plan, incident reporting and **risk management program**, and **grievance procedure**.
- Check **Visitation policy and procedures** and use the *Visitation Worksheet*.
- Review **admission packet**, admission contract, and resident rules. Check for Florida’s “Health Care Advance Directives”, Admission and Discharge Policies, Copy of Resident Bill of Rights, Policy and Procedure to minimize risk of theft/loss of personal property of the residents.
- Check for facility **arrangement** for the following **services**: medical director, pharmacy, rehabilitative therapy, nutrition services, behavioral health services (housekeeping, laundry, maintenance, food service, if applicable), and other relevant services (medical/health specialists). Review contracts for these services.
- Check **staff qualifications for all employees** (licenses, certifications, registrations, degrees, and training) and background checks (see Core Regulations for BGS), and employee roster.
 - Check Personal Care Attendants (PCAs), Qualified Medication Aides (QMA), and Paid Feeding Assistants (PFAs), if using. Refer to N0925 to N0930 for PCAs; N0605 to N0607 for QMAs; and N0921 and N0922 for PFAs.
- Review **pharmacy permit, Clinical Laboratory Improvement Amendments (CLIA) waiver**. Also, check that **Emergency Medication Kit** is in accordance with N0099.
- Obtain a copy of **floor plan**, key **staff listing**, **staffing**, and anything else the team determines is important.

If a LSC surveyor is included in the Initial Survey, they will conduct the LSC survey per Agency protocols.

If surveyors have questions or concerns about LSC on the Initial survey, the Field Office Manager/Supervisor will contact OPC.



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Suggestion: Break down the regulations by area (e.g., N0090 to N0099 which is pharmacy). This makes it easier to assign surveyors to get everything done.

Note: This is not necessarily an all-inclusive list and is only meant to serve as a guide.

For a nursing home that admits pediatric residents, refer to 59A-4.1295 Additional Standards for Homes That Admit Children 0 Through 20 Years of Age and Core Regulations (N0270 and CZ870).



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Pre-Survey

- ☐ LTC Unit notification to Field Office of survey need
- ☐ Notice of readiness from facility
- ☐ Schedule survey with facility (*HFE & RNS, 1-2 days*)
(*Note: Usually no LSC survey, since performed by OPC*)

On-site Survey

Tour

- ☐ Resident Rooms
 - ☐ Call/Room lights ☐ Ventilation ☐ Plumbing fixtures ☐ Beds ☐ Curtains ☐ Closets
 - ☐ Furniture ☐ Water temperature ☐ Linen supply ☐ Hand hygiene supplies ☐ PPE storage
- ☐ Secure Unit Safety
- ☐ Designated Smoking Area Safety
- ☐ Common Areas
 - ☐ Overall conditions ☐ Showers ☐ Furniture ☐ Required postings ☐ Clean and Soiled Utility Rooms
- ☐ Nourishment Rooms and Medication Rooms
 - ☐ Refrigerators ☐ Storage ☐ EMK ☐ Ice machines ☐ Med Carts ☐ Hand hygiene supplies
- ☐ Laundry
 - ☐ Equipment ☐ Clean and dirty separation ☐ Adequate supply of clean linen ☐ Carts
 - ☐ Hand hygiene supplies
- ☐ Central Supply
 - ☐ Inventory ☐ Ordering, storing, and distribution process
- ☐ Kitchen
 - ☐ Equipment ☐ Food ordering process ☐ Planned Menus ☐ Process for resident meal plans and food preferences
- ☐ AHCA Poster or equivalent of required information

Notes:



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Review

- ☐ **Policies and Procedures** (Refer to the list found at N0041)
- ☐ **Visitation Worksheet**
- ☐ **Staff Education Plan**
- ☐ **Incident Reporting & Risk Management Program**
- ☐ **Grievance Procedure**
- ☐ **Admission Packet**
 - ☐ *Resident Contract* ☐ *Rules* ☐ *Florida's "Health Care Advance Directives"* ☐ *Facility's Admission and Discharge Policies* ☐ *Copy of Resident Bill of Rights* ☐ *Policy and Procedure to minimize risk of theft/loss of personal property of the residents*
- ☐ **Arrangement for healthcare, behavioral health services, and other relevant services (contracts)**
- ☐ **Staff Qualifications, for all employees, including Personal Care Attendants (PCAs), Qualified Medication Aides (QMA), and Paid Feeding Assistants (PFAs), if using**
 - ☐ *Licenses/Certifications/Registrations* ☐ *Degrees* ☐ *Staff Training* ☐ *Background Checks*
 - ☐ *BGS Employee Roster*
- ☐ **Programs/Policies and Procedures for PCAs, QMAs, and Paid Feeding Assistants, if using**
- ☐ **Pharmacy Permit**
- ☐ **CLIA Waiver**
- ☐ **EMK List of Medications** in accordance with N0099

Obtain Copies

- ☐ **Floor Plan**
- ☐ **Key Staff List**
- ☐ **Staffing**

Notes: