

Pre-Engagement Document Checklist

Gathering these documents before our first working session lets us assess your facility's classification, approved scope, and current standing quickly – and shortens the time to a written scope of services. Bring what you have; missing items are not a barrier to starting the conversation.

LICENSING AND CORPORATE

- ☐ Current facility license and any conditions, waivers, or variances
- ☐ Business license, registration, and ownership/entity documents
- ☐ Approved service scope, bed capacity, and classification documentation
- ☐ Certificate of occupancy and zoning approvals
- ☐ Certificates of insurance (general liability, professional, workers' comp)

REGULATORY HISTORY

- ☐ Survey and inspection reports for the last 24 months
- ☐ Statements of deficiency and accepted plans of correction
- ☐ Complaint investigations, citations, and sanctions, if any
- ☐ Fire, health, and life-safety inspection records
- ☐ Pending applications, renewals, and upcoming deadlines

POLICIES AND PROCEDURES

- ☐ Administrative policy and procedure manual
- ☐ Resident rights, grievance, and abuse-prevention policies
- ☐ Emergency, disaster, evacuation, and continuity-of-operations plans
- ☐ Infection-prevention and communicable-disease control procedures
- ☐ Medication-management policies within the facility's permitted scope

STAFFING AND PERSONNEL

- ☐ Current organizational chart and job descriptions
- ☐ Staffing schedule and coverage patterns by shift
- ☐ Personnel files: credentials, background clearances, health screening
- ☐ Orientation, in-service, and competency training records
- ☐ Open positions, vacancies, and agency-staffing agreements

RESIDENT AND SERVICE RECORDS

- ☐ Current census with admission and discharge activity
- ☐ Admission agreements and service/care plan templates
- ☐ Individualized service plans and assessment schedules
- ☐ Incident, accident, elopement, and grievance logs
- ☐ Physician, pharmacy, home health, and hospice contacts

OPERATIONS AND FACILITY

- ☐ Operating budget, payer mix, and current rate schedule
- ☐ Vendor contracts, service agreements, and renewal dates
- ☐ Preventive maintenance and equipment inspection logs
- ☐ Food service, dietary, and activity program documentation
- ☐ Facility floor plan and room/bed assignments

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