



ANNUAL COMPLIANCE CHECKLIST

*A yearly guide to staying
inspection-ready, compliant,
and confidently operational.*

Assisted Living Expert

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A YEARLY GUIDE TO STAYING INSPECTION-READY, COMPLIANT, AND CONFIDENTLY OPERATIONAL.

RUNNING A **RESIDENTIAL CARE** FOR THE ELDERLY

Running a Residential Care Facility for the Elderly (RCFE) means juggling resident care, staffing, documentation, safety, and regulatory requirements — all while maintaining a warm, supportive home environment.

This annual checklist helps operators stay organized, reduce risk, and ensure their facility is always prepared for licensing reviews, complaint investigations, and unannounced visits.



WHAT THIS IS & WHY IT'S IMPORTANT

This checklist is a structured, easy-to-follow overview of the most critical compliance tasks RCFEs must complete each year. Staying current protects your license, reduces deficiencies, improves resident safety, and strengthens your reputation with families, referral partners, and licensing analysts. **A well-maintained compliance system also increases operational value — a major advantage when refinancing, leasing, or preparing for a future sale.**



QUICK SNAPSHOT

KEY ANNUAL TASKS

Licensing & Documentation

Update LIC forms, review policies, verify staff files

Staffing Requirements

Annual training hours, CPR/First Aid renewals

Resident Care

Reassessments, physician reports, care plans

Safety & Emergency

Fire drills, disaster plan updates, equipment checks

Facility Operations

Maintenance logs, vendor contracts, medication audits



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LICENSING & ADMINISTRATIVE DOCUMENTATION



- Update all required LIC forms (LIC 308, LIC 500, LIC 610E, etc.)
- Review and revise facility policies & procedures
- Confirm administrator certificate renewal dates
- Ensure liability insurance and workers' comp policies are current
- Verify admission agreements reflect current rates and services

STAFFING & TRAINING COMPLIANCE



- Confirm all staff have completed required annual training hours
- Renew CPR/First Aid certifications
- Update personnel files with TB tests, health screenings, and evaluations
- Review staffing patterns to ensure compliance with resident needs

RESIDENT CARE & RECORDS



- Complete annual resident appraisals and care plan updates
- Ensure physician reports (LIC 602A) are current
- Review medication records for accuracy and completeness
- Confirm resident rights postings and grievance procedures are visible

SAFETY, MAINTENANCE & EMERGENCY PREPAREDNESS



- Conduct and document fire and disaster drills
- Update Emergency Disaster Plan (LIC 610E)
- Test smoke detectors, carbon monoxide detectors, and fire extinguishers
- Inspect water temperatures, grab bars, lighting, and flooring safety
- Review food storage, labeling, and kitchen sanitation

OPERATIONS & QUALITY ASSURANCE



- Review vendor contracts (pharmacy, hospice, home health, etc.)
- Audit medication management systems
- Inspect facility vehicles (if applicable)
- Evaluate resident satisfaction and family communication systems
- Conduct internal mock inspections to identify gaps early

A strong compliance routine is the backbone of a safe, high-quality RCFE. Completing this checklist annually — and maintaining documentation throughout the year — helps prevent deficiencies, improves operational efficiency, and strengthens your facility's long-term value. Consistency is key: the more organized your systems, the smoother your inspections and the stronger your reputation.

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