

ASSOCIATION FOR SENIOR COMMUNITIES
SELF ASSESSMENT CHECKLIST FOR RETIREMENT FACILITIES

PURPOSE

To provide for a practical way to evaluate new or existing retirement facilities against the industry standards that are provided by the Association for Senior Communities (ASC). The ACS's Information and Knowledge base gives users a full scope of what is required to operate a facility in an satisfactory way. In the checklist a reference is given to the I&K base to obtain more information on the subject.

GENERAL INFORMATION

NAME OF FACILITY	
PERSON/S WHO COMPLETED THE ASSESSMENT	

ASSESSMENT QUESTIONNAIRE

AREA AND REQUIREMENT

	REFERENCE	YES	NO	COMMENTS
GENERAL AND LEGAL	1 & 2			
Have you considered the right or different vehicle to house your facilities	1.6 & 2.2			
Are your founding documents updated regularly and are the appropriate authorities notified	2.3			
Are the facility's resident conduct rules in place and have they been updated lately	2.4.1			
Are the management rules in place and have they been updated lately	2.4.2			
Are the aesthetic rules in place and have they been updated lately	2.4.3			
Are both the general admission rules and the rules for admission to frail care in place and have these been reviewed lately	2.4.4			
Are the facility's induction, orientation and welcoming procedures in place and have these been reviewed lately	2.5			
Are the facility's members' rights and responsibilities set out in writing and published	2.6			
Are the conflict procedures in writing, in place and have these been updated lately	2.7			
Have the rental, sales and life-right and frail care contracts been reviewed and updated by a professional lately. Do the contracts cover the points listed in 2.8	2.8			
LEGAL SPECIFIC	3			
Has management and members of the governing body read the 41 acts that apply to the retirement industry and are they au fait with the contents thereof.	3			
GOVERNORS' RESPONSIBILITIES AND THE MANAGEMENT OF THE CONTROLLING BODY	4			
Does management and members of the controlling body understand the basic management concept of a business	4.1			
Does every member of the controlling body understand their duty and responsibility serving as a member of the controlling body	4.2.1 - 4.2.5			
Would you give yourself a high score when it comes to the effective running of all members' meetings	4.2.6			
Have you checked that the controlling body performs their duties effectively	4.3.1			
Is the chairperson effective	4.3.2			
Are members of the governing body performing their duties effectively	4.3.3/4/5			
Has the governing body checked and answered and implemented the 16 King IV principle questions as per section 4.4	4.4.1-4.4.16			
Is the vision and mission of the governing body in place	4.5.2/3			
Are the values and rights and responsibility statements in place	4.5.4/5			
Have the goals and objectives been set	4.5.6/7			
Has the governing body performed a strategic planning session in the last 3 years	4.6			
Is the delegation of authority document in place and has it been updated this year	4.7			
Is the risk policy and risk plan in place and is it being monitored and reviewed regularly	4.8.1			
Has a proper insurance review been performed and are all possible insurance covers considered and are the insured values updated	4.8.2			
Are the occupational health and safety files updated, are meetings being held and are all the checklists completed to ensure compliance to the Act	4.8.3			
Is the dolomite management plan in place and are the checks performed where a dolomite risk exists	4.8.4			
MANAGEMENT	5			
Has the executive vs non-executive way of operating been cleared and defined	5.1			
Is the manager's job clear with his/her responsibilities and powers unambiguously identified	5.2			
Is a policy document in place covering all aspects of the business and has it been reviewed lately	5.5			
Are standard operating procedures (SOP) in place to cover all operational tasks in the business	5.6			
Where services are provided between departments within the business, are the SLAs in place	5.7			
Is a year planner in place to ensure that all important parts of the business are reviewed regularly	5.8			
Does the controlling body look at continuous improvements to reduce cost, increase revenue and improve the effectiveness and efficiency of the business	5.9			
Where projects are undertaken, is proper project management applied to such projects	5.10			
FINANCES	6			
Does at least one governor have a financial degree and experience	6.1			
Does the financial planning and control process include:				
A zero base budget preparation process	6.2			
A cash flow	6.2			
A three year forecast	6.2			
Is the accounting system simple and uncomplicated	6.3			
Are the accounting policies and guidelines in place	6.4			
Are the SOPs for the accounting department in place and have they been reviewed lately	6.5			
Is the credit policy in place and is it being applied by management	6.6			
Is the year-end a smooth process and a 'non-event'	6.7			
Is there a maintenance reserve in place in line with the set policy and plan	6.8			
Has the Income tax and VAT been reviewed lately to ensure that unnecessary tax is not paid and that all expenses and exempt income has been claimed	6.9			
Are documents retained in line with the requirements of the various acts	6.10			
Have excess funds been invested to maximise return within an acceptable risk appetite	6.11			
Is too much paid on outsourcing accounting services and should it be done in-house	6.12			
Has the controlling body got an integrated data base	6.13			
Is an annual audit performed and the auditors review letter discussed with the governors	6.14			
Have all the information security measures been addressed and implemented as set out in paragraph 6.15.	6.15			
HUMAN RESOURCES MANAGEMENT	7			
Is a full organigram showing all personnel and their reporting structures in place.	7.2			
Has the recruitment policy and the standard employment contract been revised lately	7.3			
Are the job specifications, including KPA for all employees up to date and reviewed	7.4			
Does performance evaluation take place at least once a year for all employees	7.5			
Are the employee conduct rules in place and have they been reviewed lately	7.6			
Are the grievances and disciplinary procedures in place and updated regularly	7.7			
Is an employment manual kept	7.8			
Is there a whistle blowing facility in place	7.9			
Have you considered an employee incentive scheme and is it operative	7.10			
Are the leave records up to date	7.11			

Do you consider your payroll system simple, accurate and cost effective	7.12			
Are your company contributions correctly calculated and paid over on time	7.13			
Is there a learning and development plan available for every employee and are costs occurred recovered from the appropriate SETA	7.14			
Are compulsory registrations of personnel followed up as well as the annual renewals	7.15			
Is an audit of the personnel department performed every 3 years	7.16			
Are the personnel files in good shape	7.18			
Is the Employment Equity Act implemented followed	7.19			
Does your business comply with BBBEE or is it exempt	7.20			
Do you have volunteers in your business and have you got all documents and processed	7.21			
Is there a need for a proper HR information data basis	7.22			
Has the business got a HIV/AIDS policy in place and is this policy adhered to	7.23			
Is the Occupational Health and Safety Act fully adhered to	7.24			
Is the compensation of the Occupational Injuries and Diseases Act procedures followed and payments made on time	7.25			
Are UIF registrations complete and payments made monthly	7.26			
Are you satisfied with the way union relations panned out	7.27			
Is the business complying with minimum wages of the industry bodies being represented.	7.28			
PROPERTY OWNERSHIP AND MANAGEMENT	8			
Are the resident conduct rules in place to ensure orderly, peaceful and uniform living	8.3			
Are the aesthetic rules in place and have they been updated lately	8.3			
Is there a maintenance plan in place and are the items on the plan prioritised and attended to	8.4.1			
Is a garden master plan in place and is it followed	8.4.2			
Does the organisation have construction control and procedures in place	8.5			
Are you completely satisfied with the way building plans and files are managed	8.6			
Are the set procedures for the transfer of properties and the keeping of records followed	8.7			
Is the information regarding all properties on the premises available at a click of a button	8.8			
Are all the policies, procedures and contracts in place with property practioners (agents) to ensure smooth being and selling of properties	8.9			
Are all the municipal charges (water, electricity, rates and taxes and refuse removal) checked against municipal tariffs and are all exemptions and refunds received	8.10			
Do you and your governing body know the basic rights of tenants and landlords	8.11			
Should you have an incorporation of more stands to the existing development, check the requirements	8.12			
SECURITY	9			
Are members of the controlling body focussed on security and do they spend enough time in meetings on the subject	9.4			
Are the issues that the controlling body must give attention to as set out in para 9.4 - all attended to	9.4			
For the perimeter control, are all the procedures including SOP as set out in paragraph 9.5 in place	9.4			
For access control, are all the procedures including SOP as set out in paragraph 9.6 in place	9.6			
Are the SOP for guards and personnel in place and have they been updated lately	9.7.2			
Is the lighting around and inside the premises satisfactory	9.8.1			
Is the resident safety policy in place	9.8.2			
Has the SLA for outsourced security services been updated, is the contract valid and does it cover all the aspects necessary	9.8.3			
Are all the indemnities in place	9.8.4			
Is the security function audited once every 3 years	9.8.5			
Has the organisation joined a local security forum	9.8.6			
Is the communication with residents regarding security issues of a high standard. Are residents reminded of the procedures and what they need to do to protect themselves	9.8.7			
Is all the security information securely stored and backed-up	9.8.8			
Is continuous improvement in the security measures and procedures looked at	9.8.9			
UTILITY MANAGEMENT	10			
Are the basic utility control processes as listed in 10.2 in place	10.2			
Is water purchases and consumption management adequate	10.3.1			
Is electricity purchases and consumption management adequate	10.3.2			
Have you considered improving the way recovery of costs is done and are you recovering the cost in line with the approved local authority schedules	10.4 - 10.5			
If the utility recovery service are outsourced, has the agreement been reviewed lately and is performance measured.	10.6			
Has the organisation looked at all possible alternative energy and water sources	10.7			
CATERING	11			
Is the facility adhering to the prescriptions of the 5 applicable Acts	11.2			
Are all the relevant issues and regulations as per 11.3 been considered	11.3			
Are the SOPs in place and have they been reviewed and updated lately	11.4			
MAINTENANCE				
Is the concept of preventative maintenance understood and applied	12.2			
Is a good maintenance plan in place	12.3			
Is a maintenance reserve in place, has the policy been set and is it run accordingly	12.4			
Are the most effective and efficient procedures in place to maintain and improve the gardens	12.5			
Are the basic checks in place to ensure reliable and safe transportation of residents	12.6			
HEALTH CARE				
Have you considered expanding your services to include other types of care	13.2			
Are you <i>au fait</i> with all the requirements of the Older Persons Act	13.3.1 & 13.2			
Are you <i>au fait</i> with the basic principles of Housing Development Scheme for Retired Persons	13.3.3			
Is there a care policy in place along the lines set out in 13.4	13.4			
Is the DQ98 used in your organization	13.5			
Do you follow the registration guidelines set by law	13.6			
FRAIL CARE				
Has your facility been registered with Department of Social Development(DSD).	14.2			
Are annual returns and reports submitted to the DSD as prescribed by the Act	14.2			
Has the facility considered obtaining subsidy assistance	14.3.1			
Is your facility operating in accordance with 14.3.2:	14.3.2			
Is it registered				
Are all caregivers registered				
Is the admission application complete and reviewed lately				
Are proper medical records kept of all residents				
Is the registration certificate displayed in the facility				
Is a Residential Committee in place and operating effectively				
Is a Residential Committee in place for the frail care unit as specified by the act				
If the services have been outsourced is a proper and recently checked SLA in place				
Do you accept full responsibility for the elderly and are your systems in place that reflect this	14.3.3			
Have you checked your facility against the <i>National Norms and Standards</i>	14.4			
Is your mission and vision and value statement in place	14.5.1			
Is your care policy in place	14.5.1			
Is your strategic plan and budget process in place	14.5.1			
Is your SOP complete and reviewed yearly.	14.5.2			
Do you continuously look at ways to improve your facility	14.5.3			
Have you looked at ways to increase your revenue	14.5.4			
Have you lately done a cost review and cost reduction exercise	14.5.5			
Are your volunteers properly managed	14.5.6			

Do you manage residents or do they manage you	14.5.7			
Have you considered an outsider to have a look the way you run your unit and get some advice	14.5.8			
Complete the self-audit checklist as per section 14.6.	14.6			
PUBLIC RELATIONS AND MARKETING				
Are you doing anything to build your brand	15.1			
Do you have a marketing plan and do you work the plan	15.2			
Do you have a public relationship plan and is anything done about it	15.3			
Are your residents a good marketing tool and are they used in the marketing process	15.4			
Is your staff possitive and do they promote your facility	15.6			
PUBLIC RELATIONS AND MARKETING				
Is a marketing plan in place	15.2			
Is a PR plan in place	15.3			
COMMUNICATION				
Have you considered ways to improve the communication and relationships with your residents	16.2			
Have you considered using all the mediums possible to drive your communications	16.3			
Do you use a check-list to ensure that all topics are covered regularly in your communications	16.4			
ENVIRONMENT AND GREEN PRACTICES				
Is your policy/statement in place	17.2			
Have you considered addressing all possible areas to be addressed	17.3			
FUND RAISING AND EVENTS MANAGEMENT				
Are you actively raising funds and organising event to raise money	18.1			
Are you properly registered to perform the activity	18.2			
Have you considered registering a PBO with SARS	18.2.2			
Have you got proper management and control procedures in place for this activity	18.3			