

Assisted Living Facility (ALF) Quality Measures Work Group

Foundational Information About Assisted Living Facilities



PO Box 45050, Olympia, WA 98504 | www.dshs.wa.gov

Washington State Department of Social and Health Services

Webinar aired on December 27, 2018 and January 15, 2019

- Presented by
 - Cathy McAvoy, MPA
 - Aging and Long-Term Support Administration (ALTSA)
 - ALF Outcome Improvement Program Manager
 - Cathy.Mcavoy@dshs.wa.gov



Technical Assistance to Develop This Presentation Provided By

- Jeanette Childress
 - ALF Policy Program Manager
 - Jeanette.Childress@dshs.wa.gov



Washington State Department of Social and Health Services

Work Group Technical Assistance Staff

- DSHS Staff ALTSA Residential Care Services (RCS)
 - Cathy McAvoy, MPA
 - ALF Outcome Improvement Program Manager
 - Tracey Rollins, MA
 - Quality Assurance Unit Manager
 - Jeanette Childress, MBA
 - ALF Policy Program Manager



Work Group Technical Assistance Staff [cont.]

- DSHS Staff Facilities, Finance, and Analytics Administration, Research & Data Analysis (RDA)
 - Roger Gantz
 - Senior Research Manager
 - Beverly Court, PhD
 - Senior Research Manager



5

Washington State Department of Social and Health Services

Training Objectives

- Assisted Living Facilities (ALF) in Washington state
- Overview of the regulatory system
 - RCW and WAC
 - and legislative process
 - Residential Care Services (RCS) processes
 - Licensing and inspections
 - Complaint Resolution Unit (CRU)

Training Objectives [cont.]

- Types of Medicaid contracts
- Partners in quality
 - Ombuds: Long-term care, Developmental Disabilities, and Behavioral Health
 - Associations
 - Argentum
 - LeadingAge of Washington
 - Washington Health Care Association

Washington State Department of Social and Health Services

ALFS IN WASHINGTON STATE

Capacity of Various Settings

Peak Facility & Bed Count by Provider Type					
Provider Type	Providers	Beds			
Assisted Living Facilities	538	33,532			
Adult Family Homes	2,905	16,377			
Nursing Homes	218	20,663			

Data for Q3 2018, Facilities Management System DSHS-RCS

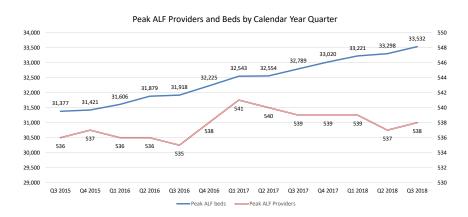
9

Washington State Department of Social and Health Services

Assisted Living By Size



Number of Licensed ALFs and Beds



1

Washington State Department of Social and Health Services

ALFs By County

ALTSA Contracted ALFs		Non-Contracted ALFS			Total				
County	Providers	Beds	Average Beds per Provider	Providers	Beds	Average Beds per Provider	Providers	Beds	Auerage Beds per Provider
Adams	2	81	40.5				2	81	40.1
Asotin	2	58	25				2	58	21
Senton	17	1,100	64.7	4	265	66.1	21	1,165	61
Chelan	9	551	61.2	1	55	55	10	606	60.6
Clallem	4	154	38.5	7	362	51.7	11	516	46.5
Clark	16	1,228	76.8	13	1,145	88.1	29	2,373	81.8
Columbia	1	30	30				1	30	30
Cowlitz	7	460	65.7	4	198	49.5	11	658	59.8
Douglas	3	116	38.7	1	149	149	4	265	66.3
Ferry	1			1	16	26	1	16	16
Franklin	1	95	95				1	95	99
Grant	5	309	61.8	1	41	41	6	350	58.3
Garfield									
Grays Harbor	6	280	46.7				6	280	46.3
Island	6	321	53.5	1	81	81	7	402	57.4
lefferson	2	122	61	1	39	39	3	161	53.7
Grg	46	3,294	68.6	106	6,137	57.9	154	9,431	61.3
Otrap	11	840	76.4	13	454	34.9	24	1,294	\$3.5
Ottkas	2	132	66	1	36	34	3	168	54
Ciditet									
Lewis	5	332	66.4				5	332	66.4
Lincoln	2	26	14				2	28	14
Mason	1	64	64	2	119	59.5	3	183	63
Okanogan	1	60	60				1	60	60
Pacific	2	80	40				2	80	40
Pend Oreille	1 35	45	45		1.224		1	45	49
Pierce	35	2,393	68.4	16	1,224	76.5	51	3,617	70.5
San Juan				1		36	1	36	36
Skagit	10	596 36	59.6	5	249	49.8	15	945 36	56.3
Skamania Snohomish	1		64.8		1.582	68.8	44	2 942	66.9
	21	1,360		23					
Spokane	43	2,583	60.1	7	496	70.9	50	3,079	61.6
Stevens Thurston		118	29.5 76.3	,	235	78.1	14	118	29.1
	11	839	76.5	, ,	2.65	78.5	14	4,074	76.3
Wahkiskum Walla Walla		362	90.5	,	157	78.5		519	86.1
Whateom	12	562 695	90.5 57.9	1 2	401	78.5 66.1	18	1,096	60.1
Whitenan	6	832	55.3	٠,	401	66.1		332	
Whitman	12	532 679	55.3	١,	277	55.4	6 17	552 954	55.3 56.3
Grand Total	313	19,773	63.2	224	13.754	61.4	537	33.527	62.4
*Data Source: FAC I Both reports take in *Counts do not incl	IDSB Currently Lice formation from Fi	nsed AFH BH		urrently License					

 $Document\ posted\ at: \underline{https://www.dshs.wa.gov/altsa/residential-care-services/alf-quality-measures-resources}$

TYPES OF CONTRACTS

13

Washington State Department of Social and Health Services

Medicaid Contracts

- Medicaid contracts may include additional requirements for ALFs
- DSHS ALTSA contracts with providers and provides technical assistance and contract monitoring by its Home and Community Services staff

Assisted Living Facility

Includes a private apartment. Some type of nursing care must be provided occasionally and help is available for medication administration and personal care.

15

Washington State Department of Social and Health Services

Adult Residential Care (ARC)

Includes helping a resident who is able to take his/her own medication but needs some help (e.g. a reminder to take it or the medication handed to him/her) and personal care (e.g. bathing, dressing, personal hygiene). Residents need to be monitored for their safety may get limited supervision.

Enhanced Adult Residential Care (EARC)

- Includes all of the services as listed in the Adult Residential Care (ARC) package and may include:
 - Help for a resident who can't take his/her own medication (medication administration)
 - Some type of nursing care must be provided occasionally
 - No more than two people will share a room

17

Washington State Department of Social and Health Services

EARC Specialized Dementia Care (SDC)

Includes all services as outlined in the Enhanced Adult Residential Care package and additional services for a resident with dementia.

EARC and Expanded Community Services (ECS)

Includes all services as outlined in the Enhanced Adult Residential Care package and additional services for a resident with behavioral health needs.

19

Washington State Department of Social and Health Services

Medicaid Contracted ALFs

Assisted Living Facility (ALF) Providers and Beds by Contract Status					
Contract Status	Facilities	% of Facilities	Beds	% of Beds	Average Beds per Provider
Contracted ALFs	315	59%	19,748	59%	62.7
Non-Contracted ALFs	223	41%	13,840	41%	62.1
Total	538	100%	33,588	100%	62.4

*Data Source: FAC 2018 currently licensed AFH BH

ALF by Contract Type

Contract Type	Facilities	% of Contracted Facilities
Assisted Living Facility (ALF)	140	44%
Assisted Living Statement Of Work	60	19%
Adult Residential Care	121	38%
Enhanced Adult Residential Care	131	42%
Enhanced Adult Res Care & Expanded Comm Svcs	61	19%
Specialized Dementia Care	68	22%
Total Contracted Facilities	315	100%

^{*}Data Source: FAC 2018 currently licensed AFH BH

2:

Washington State Department of Social and Health Services

Medicaid Clients – August 2018

Service Name	Clients	% of Total
AL	3,890	62%
ARC	395	6%
EARC	1,213	19%
SDC	812	13%
Total	6,310	100%

Source: CARE authorizations as of 8/1/2018, pulled 10/9/2018. Created by DSHS/ALTSA/Office of Rates Management 10/24/2018

RESIDENTIAL CARE SERVICES: REGULATORY FRAMEWORK

23

Washington State Department of Social and Health Services

RCW AND WAC

Definition of Terms

Revised Code of Washington (RCW): A codification of current statutes as enacted and amended.

25

Washington State Department of Social and Health Services

Definition of Terms

Washington Administrative Code (WAC) — Regulations of executive branch agencies are issued by authority of statutes. Like legislation and the Constitution, regulations are a source of primary law in Washington State. The WAC codifies the regulations and arranges them by subject or agency. The online version of the WAC is updated twice a month.

Regulatory Structure

- RCW
 - Statutes
 - Laws
- WAC
 - Regulations
 - Rules
- DSHS response
 - Reporting requirements
- Regulatory inspections:
 - DSHS completes to verify that rules are being followed

27

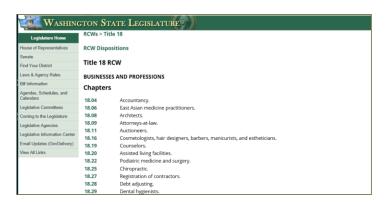
Washington State Department of Social and Health Services

ALF RCW Chapters:

- Chapter 18.20 contains the licensing statute
- Chapter 70.129 contains the LTC resident rights statute
- Chapter 74.34 contains abuse of vulnerable adults statute

Where to Locate RCW

Website for RCW: http://app.leg.wa.gov/rcw/default.aspx



29

Washington State Department of Social and Health Services

ALF Washington Administrative Code (WAC)

- Chapter 388-78A contains the licensing rules
- Chapter 388-110 contains contracted residential care services
- Chapter 388-112 contains residential longterm care services

ALF Washington Administrative Code (WAC) [cont.]

- Chapter 388-112A contains Residential LTC Services Training
- Chapter 388-113 contains disqualifying crimes and negative actions
- Chapter 388-246-215 contains retail food code

31

Washington State Department of Social and Health Services

Where to Locate WAC

Website for WAC: http://app.leg.wa.gov/wac/



Legislative Process

- Work group submits report to Legislature
- Legislature develops statute (RCW) during session
- · Agency completes rule making
- Agency responds with Standard Operating Procedures (SOPs) and Reporting Requirements to ensure compliance

33

Washington State Department of Social and Health Services

DSHS Services and Enterprise Support Administration (SESA) Website



Office of Policy and External Relations (OPER) will submit our reports to the legislature

OPER Webpage: https://www.dshs.wa.gov/sesa

DSHS Reports Website



Office of Policy and External Relations (OPER) must have our report 45 days before it is due to the Legislature

Washington State Department of Social and Health Services

Another Location of Reports



Services and Enterprise Support Administration (SESA) Also Contains the DSHS Rules Website



Web address: https://www.dshs.wa.gov/sesa/rules-and-policies-assistance-unit

3

Washington State Department of Social and Health Services

Rules and Policies Assistance Unit (RPAU)

- RPAU offers the following information and services:
 - How to participate in DSHS rule making;
 - Information about the <u>DSHS rule-making process</u>.
 - Rules under development (CR-101);
 - Where and when to comment on a proposed rule using our public hearing schedule (<u>CR-102</u>);
 - Expedited rule making (<u>CR-105</u>);
 - Final and emergency rules (CR-103); and
 - Electronic notification of DSHS rule making.
 - Sign up at this webpage to receive notifications of DSHS rule making

ALF LICENSING AND OVERSIGHT

39

Washington State Department of Social and Health Services

ALF Licensing Process

- Initial application:
 - owner submits to RCS Headquarters (HQ) in Lacey
 - Chapter 13 of the RCS SOP Manual is located at: https://www.dshs.wa.gov/altsa/residential-care-services/rcs-standard-operating-procedures-manual
- Construction plans:
 - owner submits to Department of Health (DOH)
 Construction Review Services
- DOH completes an approval packet and sends to RCS licensing unit at RCS HQ

ALF Licensing Process [cont.]

- Owner submits a license application to RCS Headquarters Office
 - RCS Business Analysis and Applications Unit checks financials, criminal backgrounds, enforcement history, and complaint history
 - RCS initial licensing unit receives the paperwork and completes the first inspection of the physical plant

41

Washington State Department of Social and Health Services

ALF Licensing Process [cont.]

- Once approved, application goes back to the RCS Licensing Application Unit to issue an initial license
- Application sent to local RCS field office
- Within six months the field licenser completes the first annual inspection

Oversight

- Re-inspections
 - At least every 18 months
 - Averages about every 15 months
 - Are completed by two or more licensers

43

Washington State Department of Social and Health Services

Oversight [cont.]

- RCS licensers:
 - Inspect the building, the staff, the care, the resident rights, and everything in the requirements
 - Complete an exit conference with the staff
 - Provide a consult or a formal Statement of Deficiencies (SOD)
- Facility must submit a Plan of Correction (POC) in response to the SOD

Oversight [cont.]

- Summary of visit types:
 - Initial at time of application for license
 - Full re-inspections
 - Complaint investigations
 - Monitoring inspections
 - Follow-up inspections

45

Washington State Department of Social and Health Services

Compliance Activities

- Enforcement actions:
 - Statement of Deficiencies
 Plan of Correction submitted by the owner
 - Impose conditions on a license
 - Impose a civil penalty
 - Stop placement or limited stop placement
 - Summarily suspend a license

Compliance Activities Appeals

- Informal Dispute Resolution (IDR):
 - Owner requests a review of findings to resolve issues before proceeding to a formal administrative hearing request
- Administrative Hearings:
 - Formal hearing requested by owner heard by an administrative law judge

47

Washington State Department of Social and Health Services

Our Focus

 Again, the work group will limit our scope to ALFs as defined by RCW and WAC as a result of <u>Engrossed House Bill 2750</u>

Other types of residential care that will **not** be considered in our deliberations:

- Retirement Communities/Independent Living Communities
- Continuous Care Retirement Communities (CCRC)
- Developmental Disabilities Administration (DDA) facilities (e.g. Residential Habilitation Centers)
- DDA group training homes
- Adult Family Homes (AFH)
- Enhanced Services Facilities (ESF)

49

Washington State Department of Social and Health Services

OUR PARTNERS

Ombuds Programs

- Long-Term Care Ombuds
 - State and county offices
- Developmental Disabilities Ombuds
 - State and county offices
- Behavioral Health Organization (BHO)
 Behavioral Health Ombuds

51

Washington State Department of Social and Health Services

Associations

- Argentum
- LeadingAge Washington
 - Leading Age National Chapter
- Washington Health Care Association (WHCA)
 - National Center for Assisted Living
 - American Health Care Association

Argentum

 Represents 21 corporate members which operate 132 communities in Washington State

53

Washington State Department of Social and Health Services

LeadingAge of Washington

- Represents 57 assisted living members, some of those are part of a Life Plan Community
- Share membership with 5 to 10 facilities also represented by WHCA.

Washington Health Care Association (WHCA)

- Represents 350 individual communities with over 22,000 units.
 - Again, share 5 to 10 facilities represented by LeadingAge

55

Transforming Data Sources **Proceedings** **Proceedings** **Proceedings** **Procedings** **Procedings**

PO Box 45050, Olympia, WA 98504 | www.dshs.wa.gov 56

Facility Management System (FMS)

- Provides a secure method for tracking ALF data:
 - Three states of license application: license application, initial inspection, and final re-inspection
 - Contains extensive information about facility ownership
 - Manages and records staff visits by type
 - Tracks enforcement, hearings, and Informal Dispute Resolution (IDRs)
 - Tracks documents: SODs, cover letters, follow-up letters, and other correspondence

57

Washington State Department of Social and Health Services

FMS Data Fields

- Address
- Ownership
- Management
- Site/contact information
- Landlord information
- · Facility features
- Financial data
- · Capacity: beds and units
- Contract types

FMS Data Fields [cont.]

- · Application Tracking
- Visit details
- Complaint log
- Enforcement
- Informal Dispute Resolution Hearing
- History
- Does not contain any client specific information

59

Washington State Department of Social and Health Services

TIVA System

- TIVA is the acronym for Tracking Incidents for Vulnerable Adults
- Serves two purposes
 - 1. Complaint Resolution Unit (RCS)
 - 2. Adult Protective Services (HCS)

Contains demographic information about the alleged victim and alleged perpetrator

Complaint Resolution Unit (CRU)

- The CRU hotline receives and prioritizes complaints regarding provider practice, including suspected abuse or neglect in long-term care settings including ALFs.
- The hotline is available 24 hours a day, seven days a week.
 - Public callers may choose to speak to a live representative during standard business hours and may remain anonymous
 - Public callers may also choose to leave a detailed voice message
- Complaints may also be submitted online

6:

Washington State Department of Social and Health Services

Complaint Resolution Unit (CRU) [cont.]

- Reports are documented in the CRU intake system, triaged, and may be assigned to the regional field office for investigation.
- Depending on the nature and severity of the reported issue, reports may be referred to law enforcement, state professional licensing boards, Medicaid Fraud, Adult Protective Services, or other state agencies.

Research and Data Analysis (RDA) Resources

- Can access information for Medicaid residents:
 - PRISM:
 - · Medicare and Medicaid paid claims
 - ProviderOne:
 - · Medicaid claims only
 - Managed by the Health Care Authority and can be accessed by authorized DSHS staff

63

Washington State Department of Social and Health Services

CARE Assessment

- Home and Community Services and Developmental Disabilities staff complete the*CARE assessment for all Medicaid clients requesting placement in an ALF
 - Reports can be created from CARE
 - *Client Assessment Reporting Evaluation

CARE Assessment Details

- CARE sections:
 - Client details
 - Environment
 - Medical
 - Indicators
 - Personal elements
 - Communication
 - Psychological/Social
 - Activities of Daily Living (ADLs)
 - Independent Activities of Daily Living (IADLs)

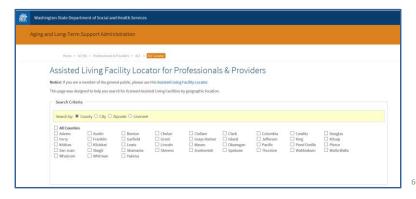
65

Washington State Department of Social and Health Services

Information on Licensed ALFs is Available to the Public

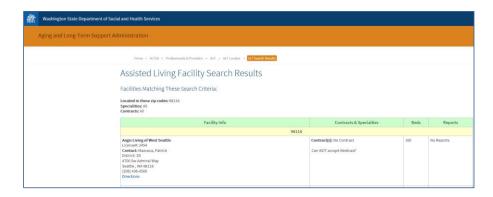
ALF Locator:

https://fortress.wa.gov/dshs/adsaapps/lookup/BHAdvLookup.aspx



U

ALF Locator Searches By County, Zip, Contract Type, and Bed Count



67

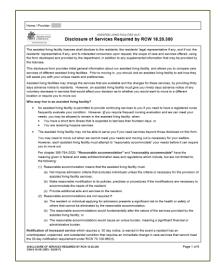
Washington State Department of Social and Health Services

Sample of ALF Reports



Disclosure of Services Form

- ALFs are required to provide this information to residents
- RCS requests a copy but does not post on the ALF Locator website



69

Washington State Department of Social and Health Services

Cost of Care

According to AARP in 2017 the cost for assisted living vary but can average over \$40,000 a year.

Picking Up the Pace of Change: A State Scorecard on Long-Term Services and Supports for Older Adults, People with Physical Disabilities, and Family Caregivers, AARP Public Policy Institute, Long-Term Services and Supports State Scorecard 2017 Edition, p. 25, 2017.

Washington Ranks #1 Overall

- Long Term Services and Supports System performance was rated across five dimensions which included:
 - Affordability and Access
 - Choice of Setting and Provider
 - Quality of Life and Quality of Care: Washington ranks #15
 - Consumers are treated with respect and preferences are honored when possible, with services maximizing positive outcomes
 - Support for Family Caregivers
 - Effective Transitions

Picking Up the Pace of Change: A State Scorecard on Long-Term Services and Supports for Older Adults, People with Physical Disabilities, and Family Caregivers, AARP Public Policy Institute, Long-Term Services and Supports State Scorecard 2017 Edition, p. 6 & 8, 2017.

71

Washington State Department of Social and Health Services

Work Group Website



Website: https://www.dshs.wa.gov/altsa/stakeholders/assisted-living-quality-measures-project

Contact Information

- · Cathy McAvoy, ALF Quality Measures Program Manager
 - Cathy.McAvoy@DSHS.WA.Gov
 - -360725-3439
- Tracey Rollins, Quality Assurance Unit Manager
 - Tracey.Rollins@DSHS.WA.Gov
 - 360 725-3226
- Amy Abbott, Policy, Training, and Quality Assurance Office Chief
 - Amy.Abbott@DSHS.WA.Gov
 - -360725-2489

73

Washington State Department of Social and Health Services

We Appreciate Your Commitment

Thank you for serving on the ALF Quality Measures Work Group!

