



## **Assisted Living Forum “State of Assisted Living”**

**Source: The Bureau of Assisted Living**

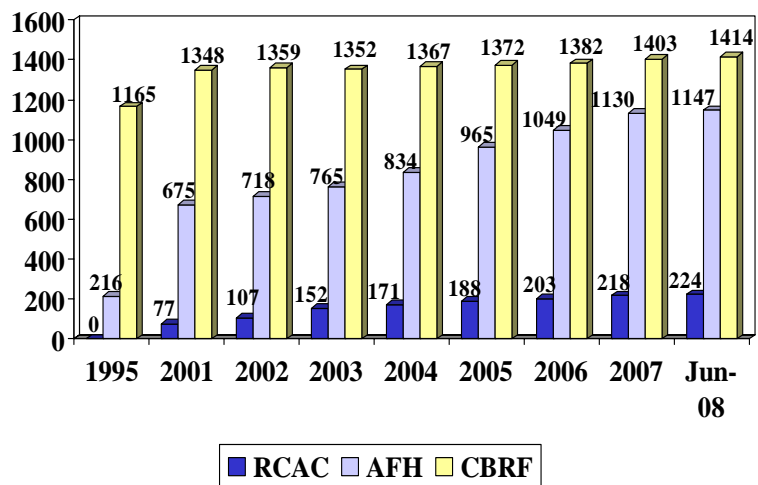
September 9, 2008

### **New DQA Assisted Living Boundaries – effective 1-1-2007**

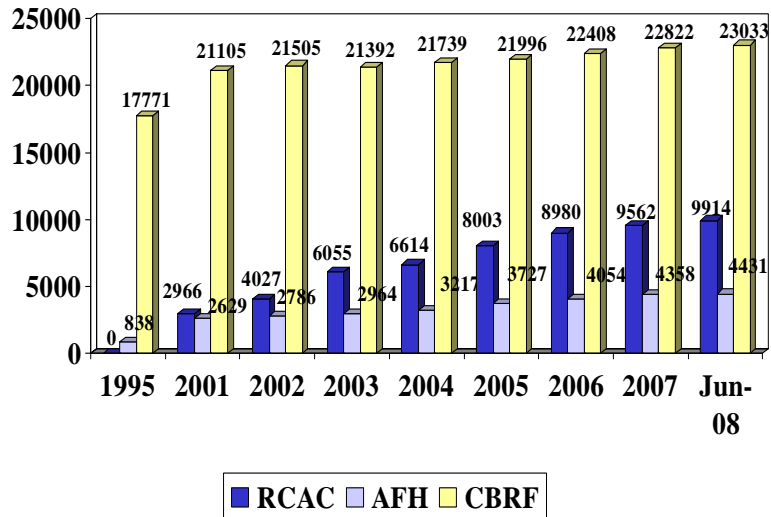


## Trends & Statistics

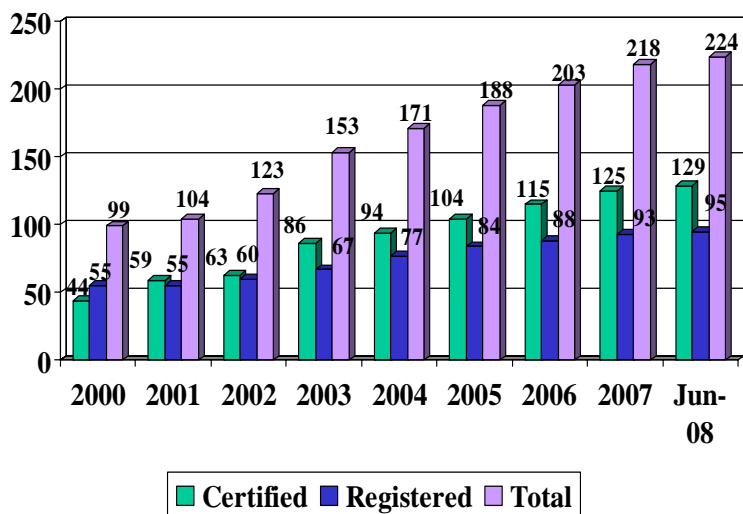
### Assisted Living Trend in # of Facilities



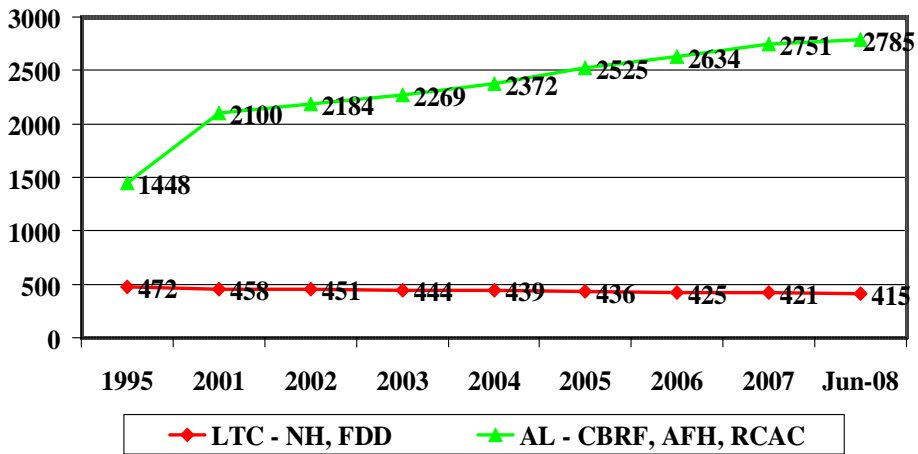
## Assisted Living Trend in capacity for residents



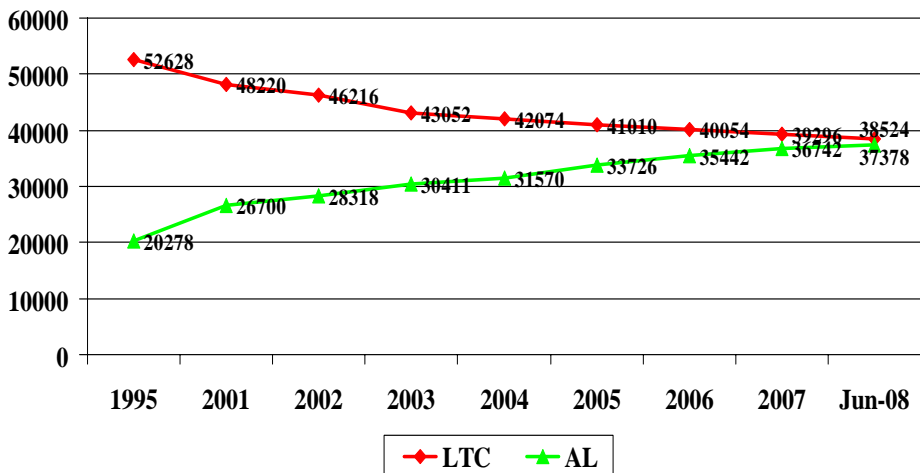
## RCACs Certified vs. Registered



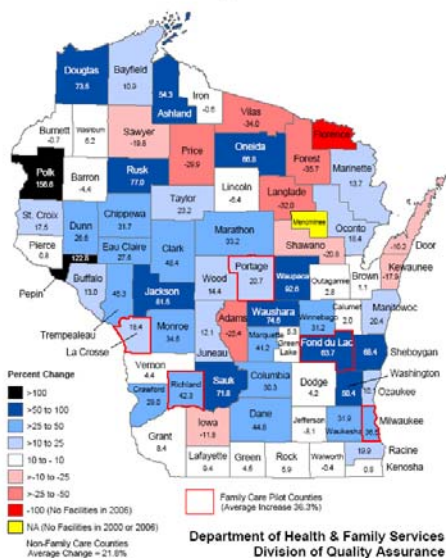
## AL vs. LTC Trend in number of facilities



## AL vs. LTC Trend in capacity for residents



Change in Assisted Living Facility Capacity  
(Licensed Beds/100 Population Age 65+)  
CY 2000 through CY 2006



## Family Care Impact on AL Industry

	Family Care counties	Rest of State
<b>2000 Capacity</b>	4.3 beds/100	3.2 beds/100
<b>2006 Capacity</b>	5.9 beds/100	3.7 beds/100
<b>Average increase</b>	36.3%	21.8%

□ Projections indicate 62% of the state will be covered by Family Care by June, 2009

## **Relocations**

- 540 of 1412 residents of ICF/MRs have been moved:
  - 449 moved into BAL regulated facilities
    - 341 into 3-4 bed AFHs
    - 108 into 5-8 bed CBRFs
  - 872 residents are left to be moved
- 1,282 nursing home relocations have been completed (majority to BAL regulated facilities)
  - 905 elderly residents
  - 379 individuals with developmental disabilities

## **Nursing Home Diversions**

- 300 slots
- Majority to BAL regulated facilities

## Population Served

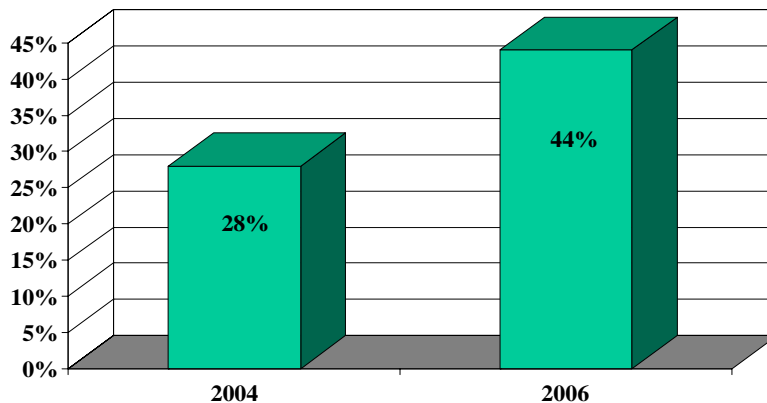
- 4215 assisted living residents with Long Term Care Functional Screen data:
  - 34% have diagnosis of Alzheimer’s disease
  - 92.6% need assistance with bathing
  - 70.5% need assistance with dressing
  - 33.4% need assistance with eating
  - 49.9% need assistance with toileting
  - 18.3% require a behavior intervention
  - 3,460 MH diagnoses (depression, anxiety, bipolar, schizophrenia)
  - 56.7% use a walker
  - 26.7% use a wheelchair or scooter
- These residents are publicly funded under MA Waivers, Family Care, or Pace/Partnership to live in AFHs, CBRFs, and RCACs

## Waiting Lists

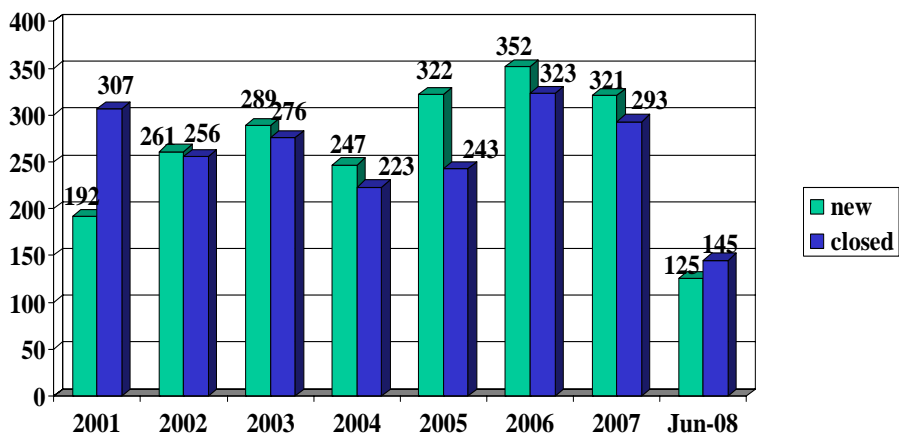
- As of May 31, 2007 – 11,625 on the COP/Waiver waiting list
- With entitlement, how many of these will be living in BAL regulated facilities....?

## Publicly Funded Clients in AL

\* Estimated publicly funded clients in occupied AL beds

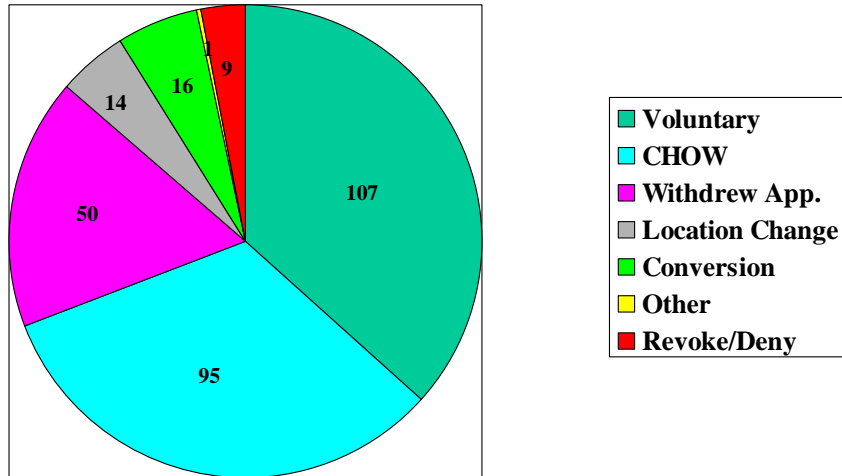


## New AL vs. Closed AL



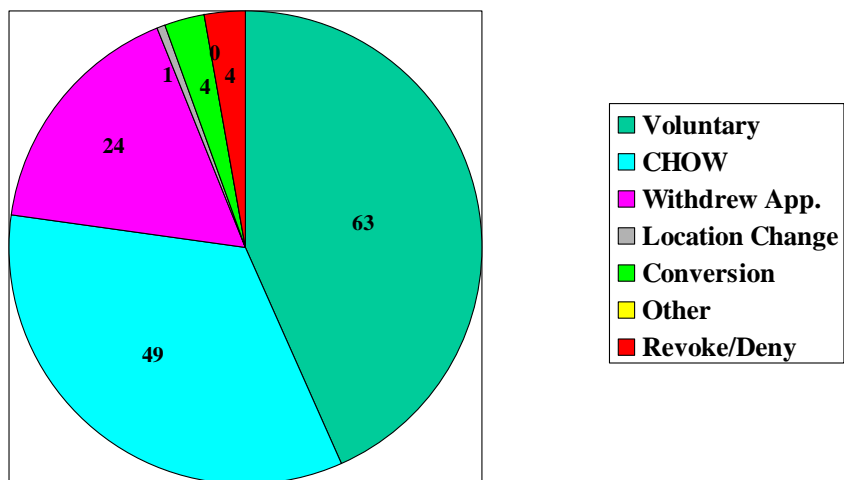
# Why Facilities Closed

CY 2007

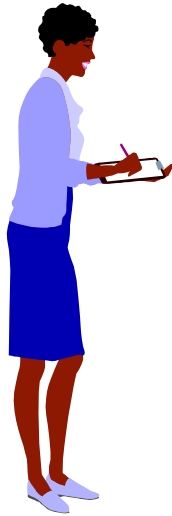


# Why Facilities Closed

6 months June 30, 2008



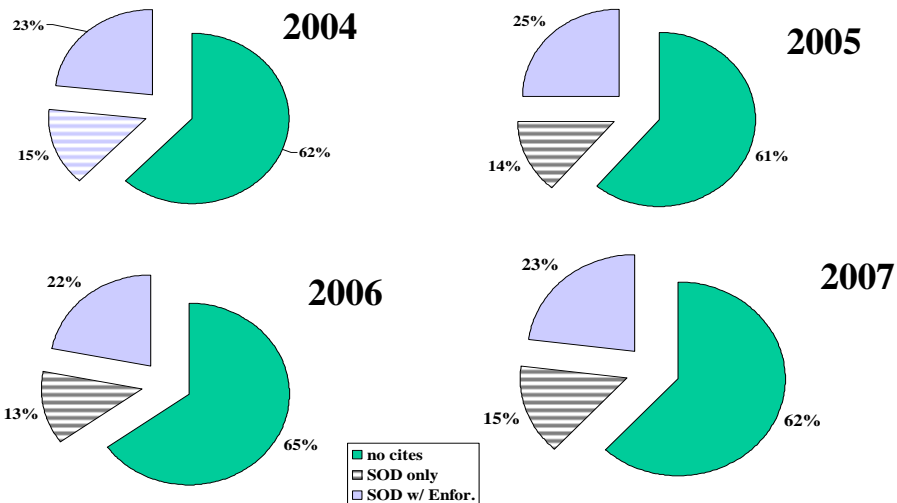
## Post Survey Questionnaire



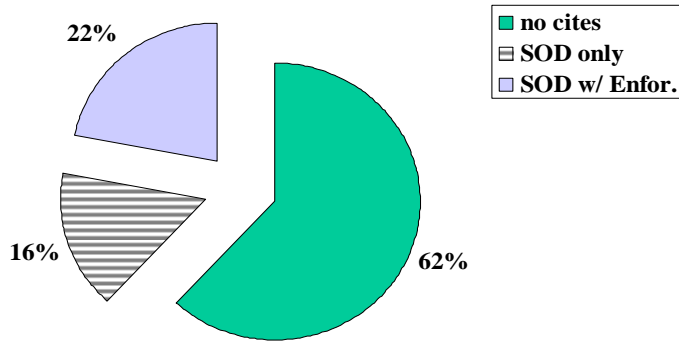
- 2007 - 161 respondents (37% of total)
- Satisfaction with survey tasks 97.3%
- On Site - 4.57
  - Knowledgeable - 4.57
  - Professional - 4.76
  - Respectful - 4.71
- SOD – 4.21

(1 = strongly disagree, 5 = strongly agree)

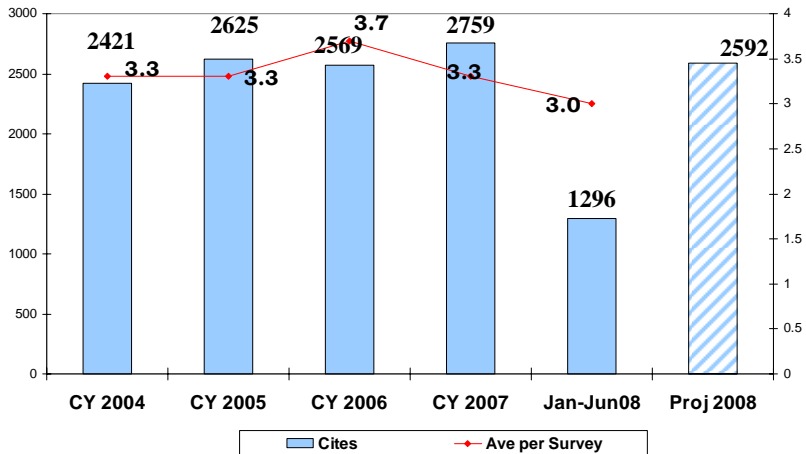
## Survey Results



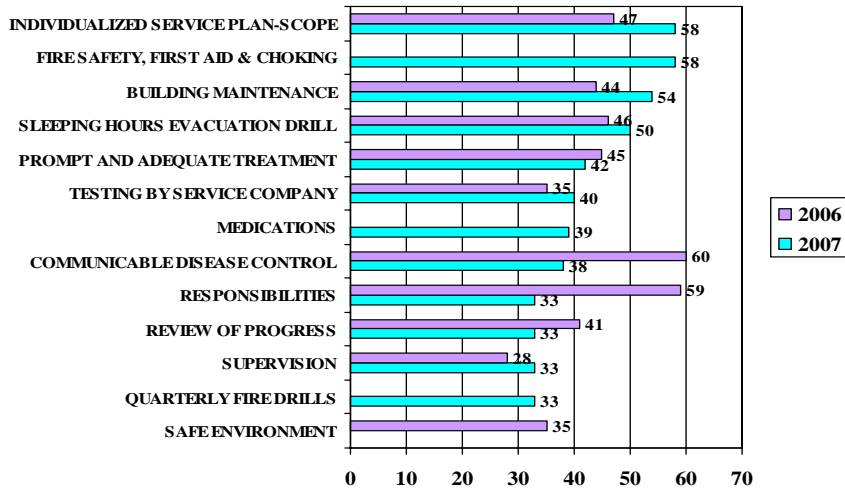
# Survey Results Jan-June 2008



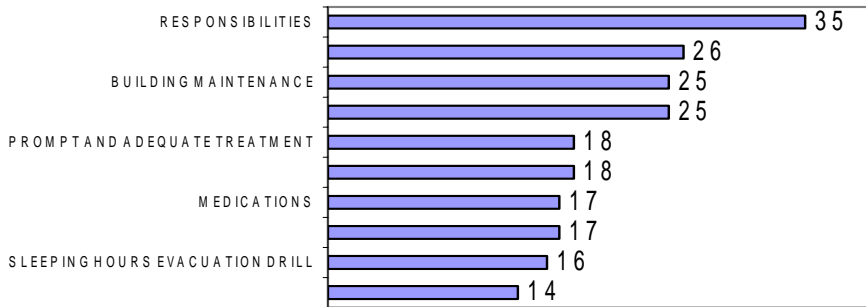
## AL Citations Issued



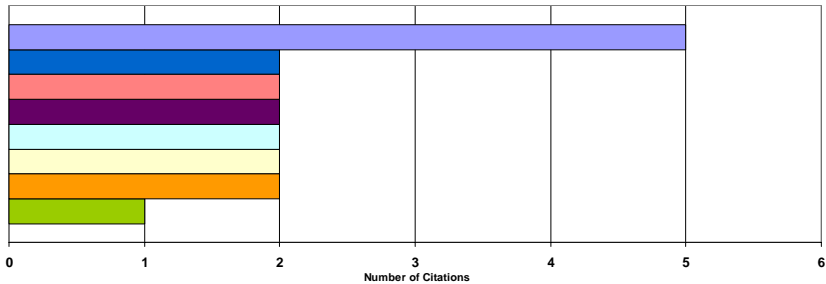
### Top CBRF cites comparison: 2006-2007



### Top Ten Citation CBRFs (Jan-Jun 2008)

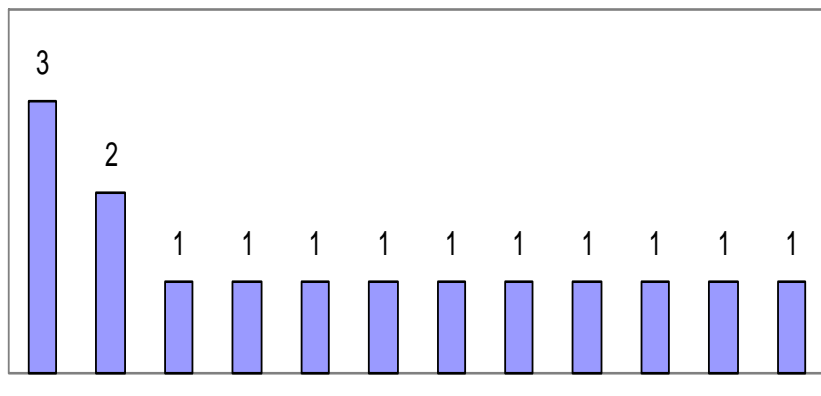


Top Citations RCACs (CY 2007)



89.34(16)	TENANT RIGHTS
89.56(2)	PLAN OF CORRECTION
89.26(4)	ANNUAL REVIEW
89.29(2)(b)1	ADMISSION & RETENTION OF TENANTS
89.34(1)	TENANT RIGHTS
89.23(4)(b)1	SERVICES
89.23(4)(a)2	SERVICES
89.28(1)	RISK AGREEMENT

Top Citations (RCAC) Jan-Jun 2008



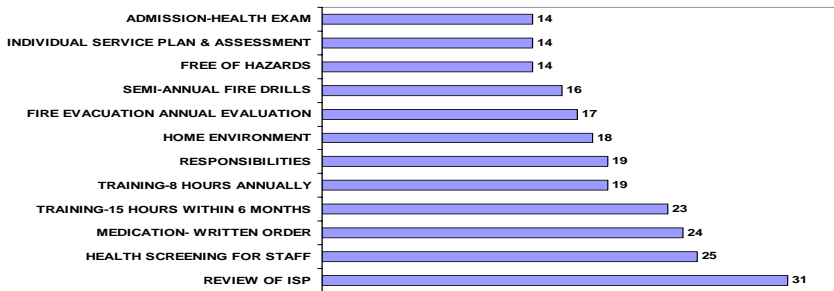
Tenant Rights  
89.34(16)

Services  
89.23(2)(c)

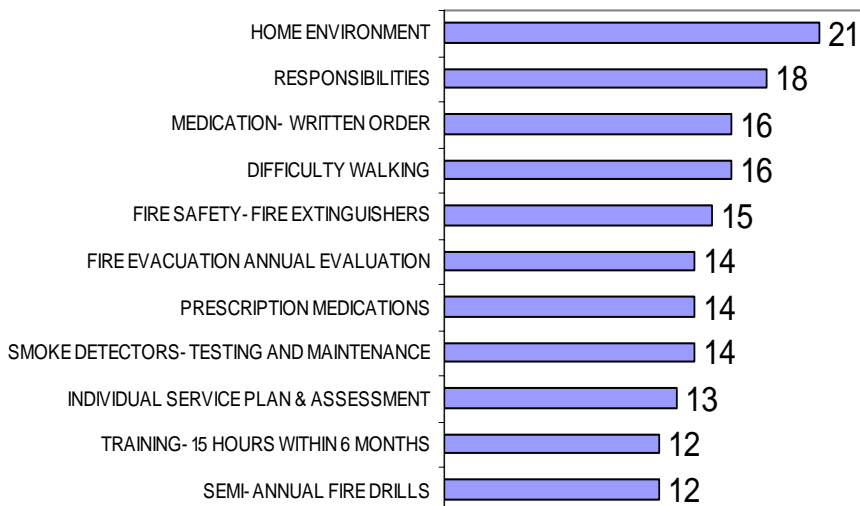
**Top Ten Citations AFH CY 2007**



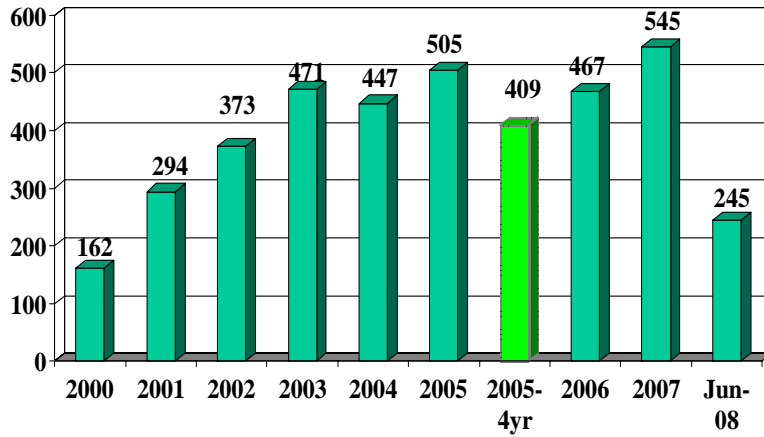
**Top Twelve Citations AFH CY 2006**



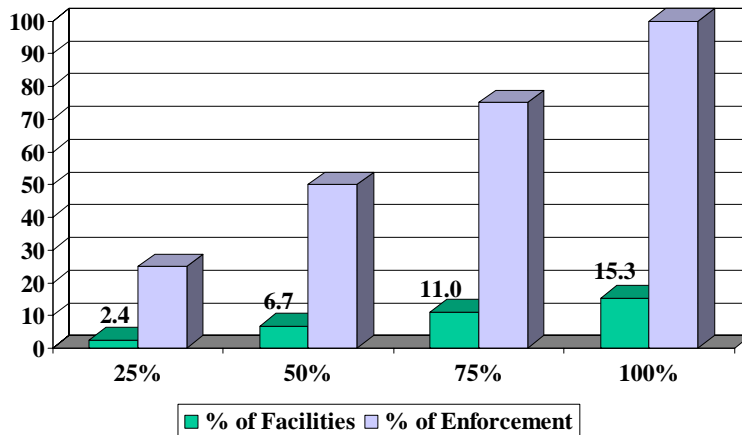
**Top 11 Citations (AFH) Jan-Jun 2008**



## Surveys with Enforcement

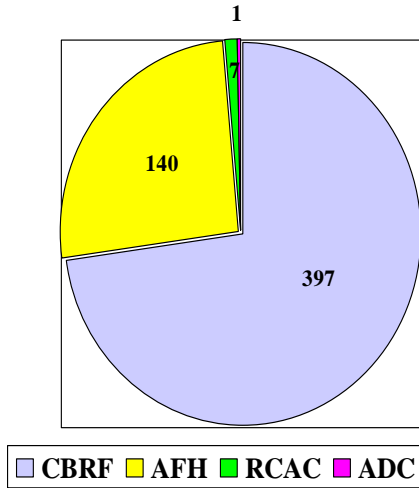


## % of Facilities making up % of Enforcement CY 2007



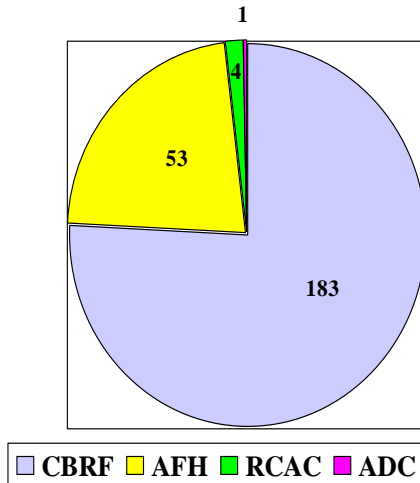
# Surveys with Enforcement (545)

CY 2007

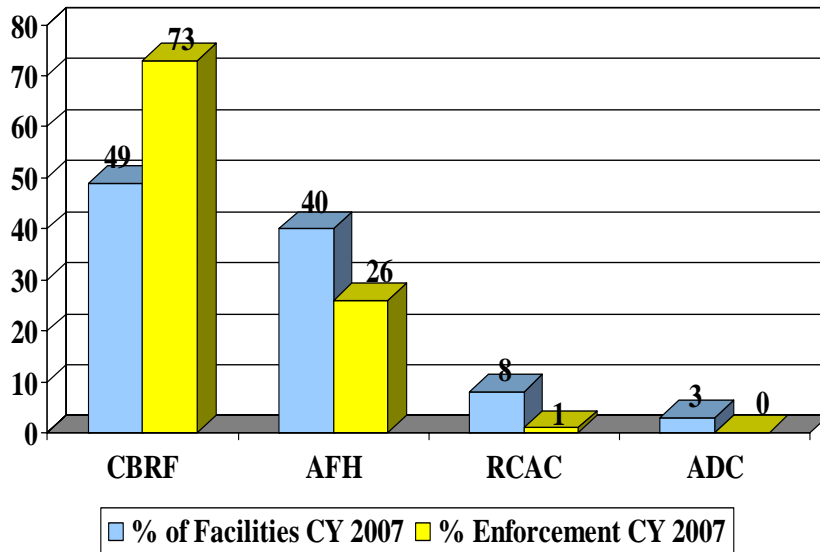


# Surveys with Enforcement (241)

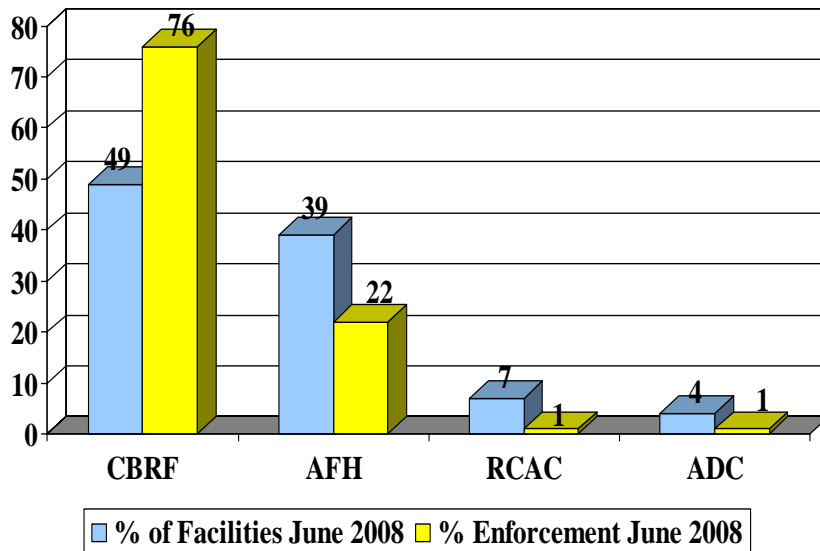
June 30, 2008



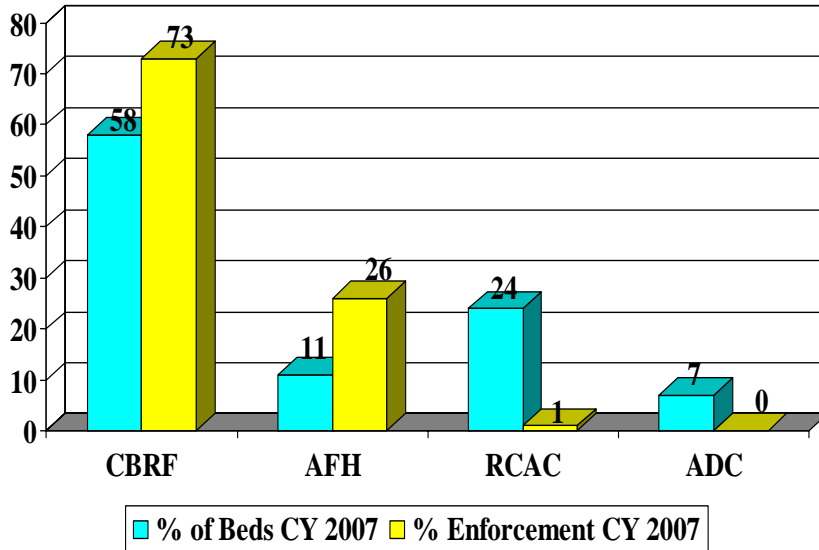
### % of Facilities vs. % Enforcement Surveys



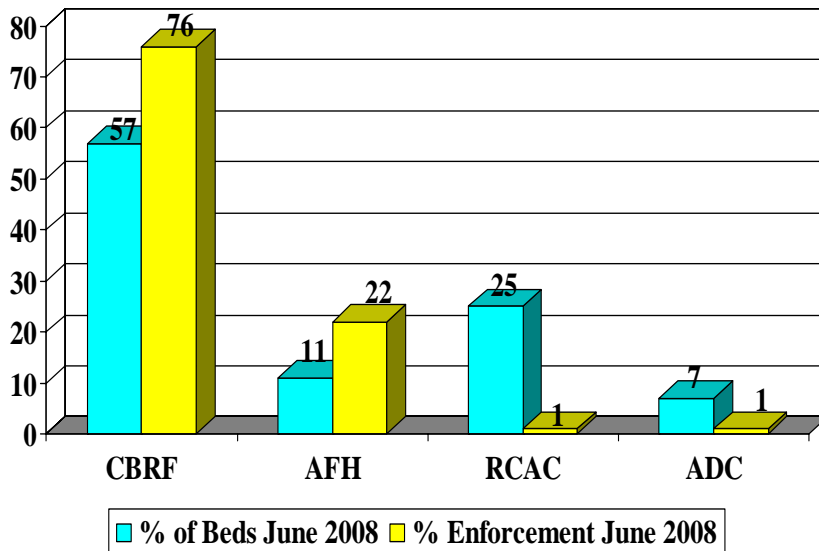
### % of Facilities vs. % Enforcement Surveys



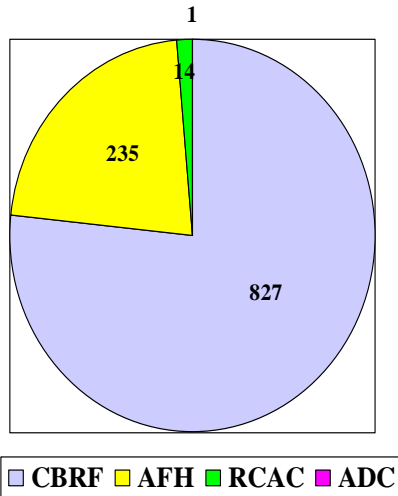
### % of Beds vs. % Enforcement Surveys



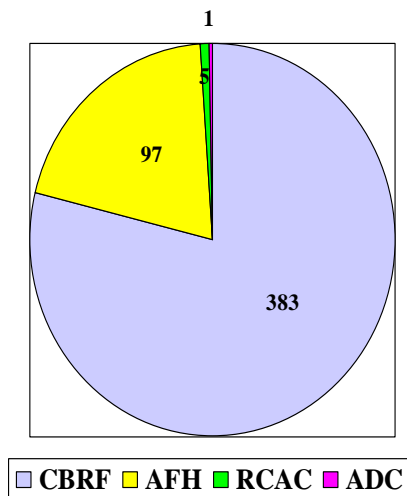
### % of Beds vs. % Enforcement Surveys



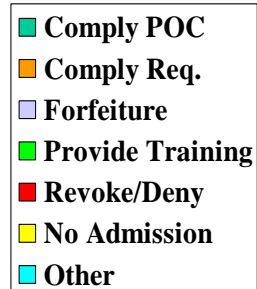
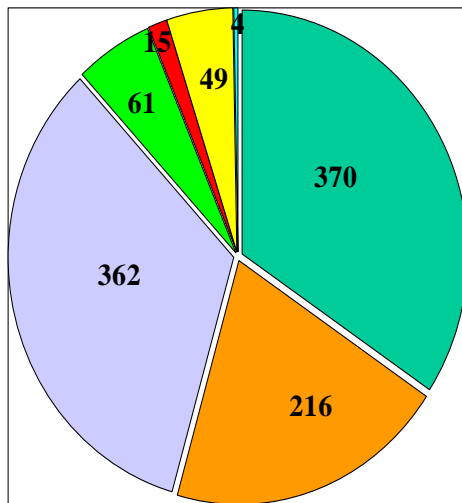
## Sanctions Imposed (1,077) CY 2007



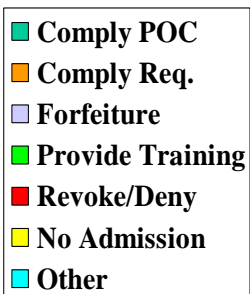
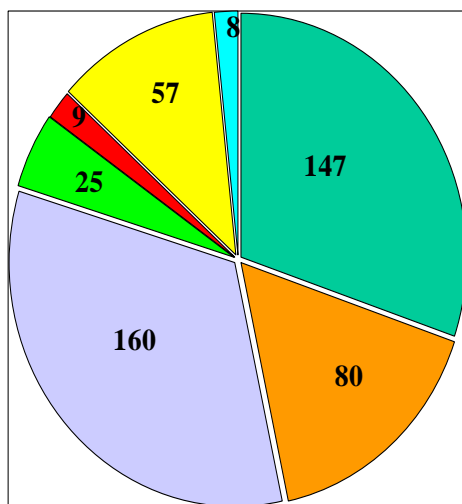
## Sanctions Imposed (486) June 30, 2008



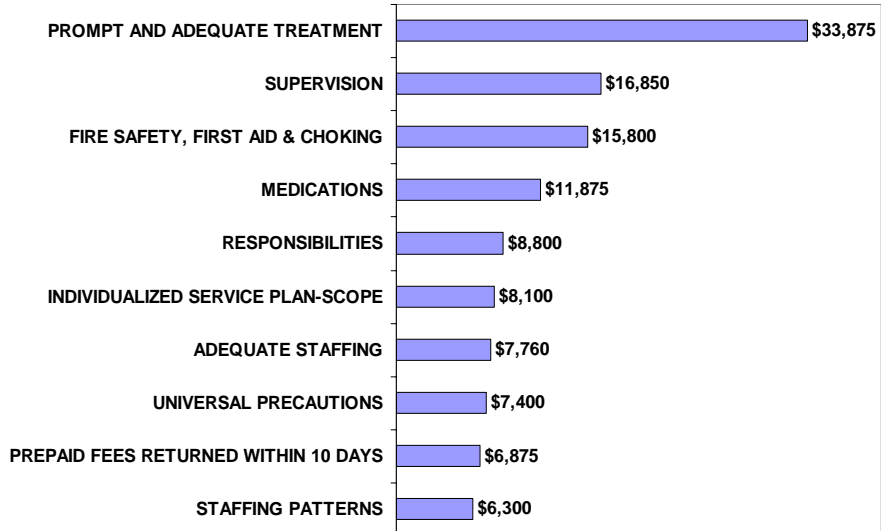
## Type of Sanctions CY 2007



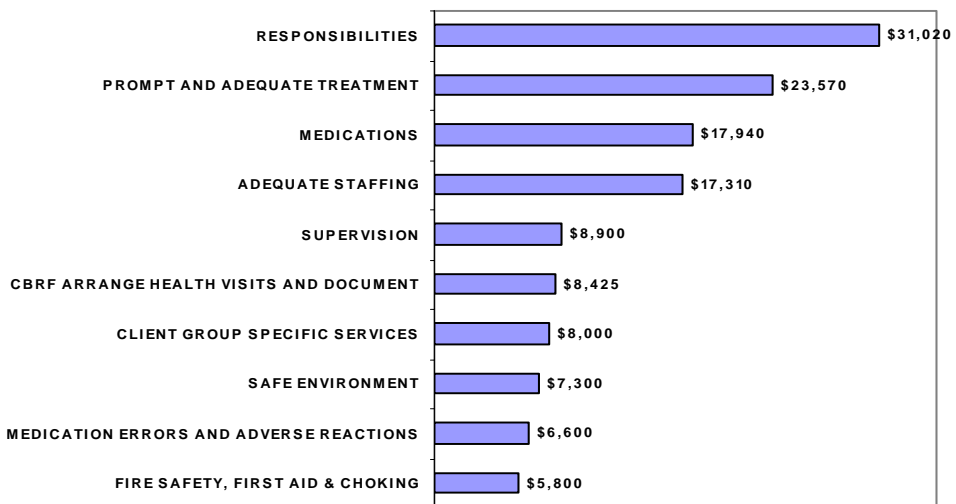
## Type of Sanctions June 30, 2008



Top Ten Citations w/Forfeitures CBRF CY 2007



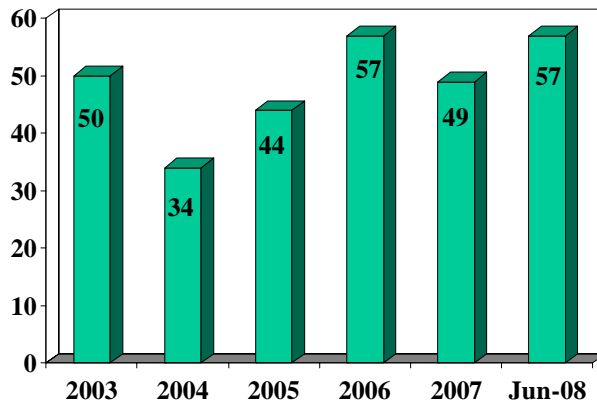
Top Ten Citations w/Forfeiture (CBRF) Jan-Jun 2008



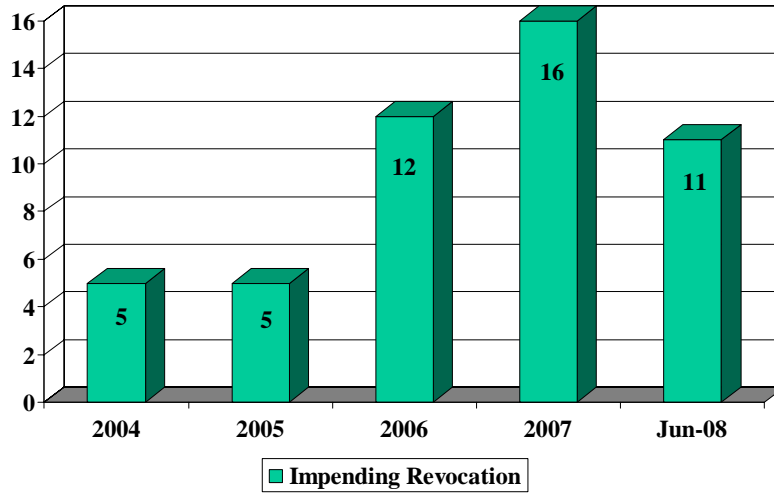
# Forfeiture Assessments



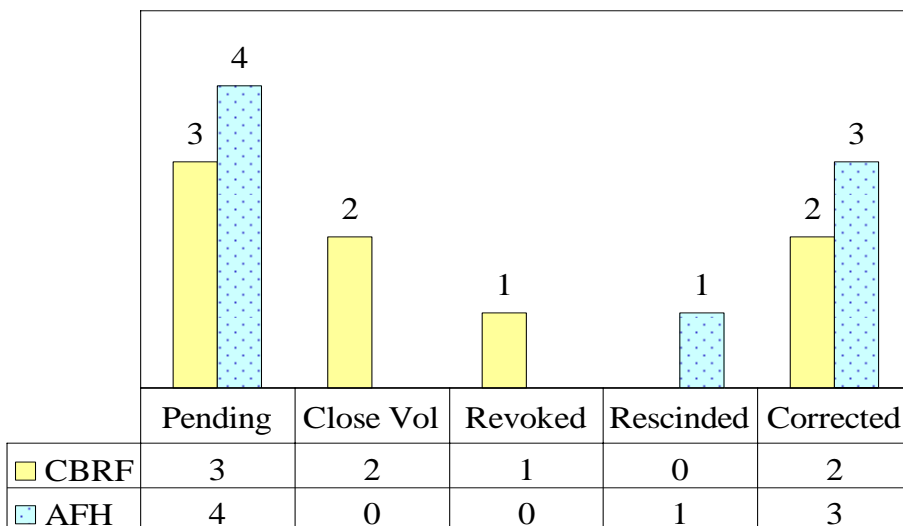
# Assisted Living No New Admission Orders



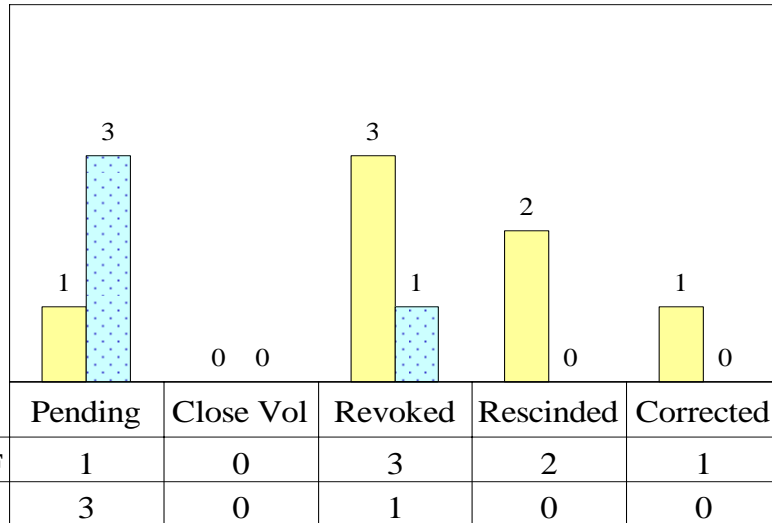
## Impending Revocations



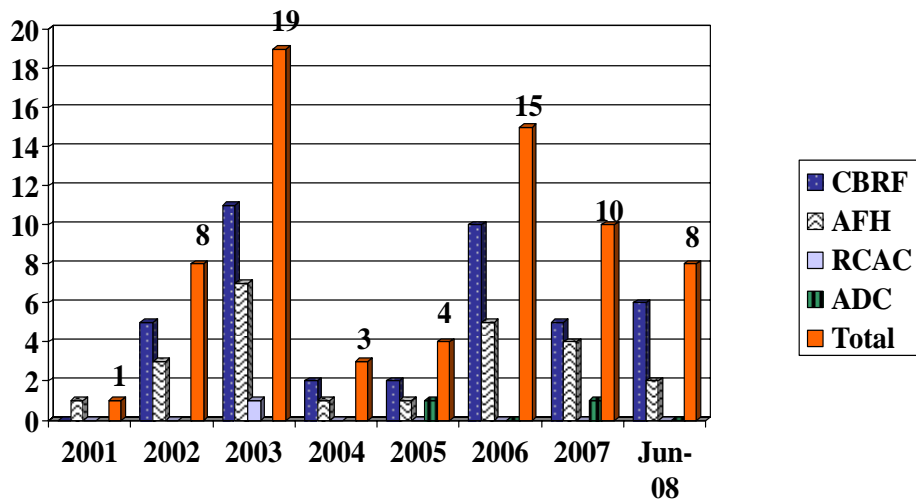
## Impending Revocations 2007

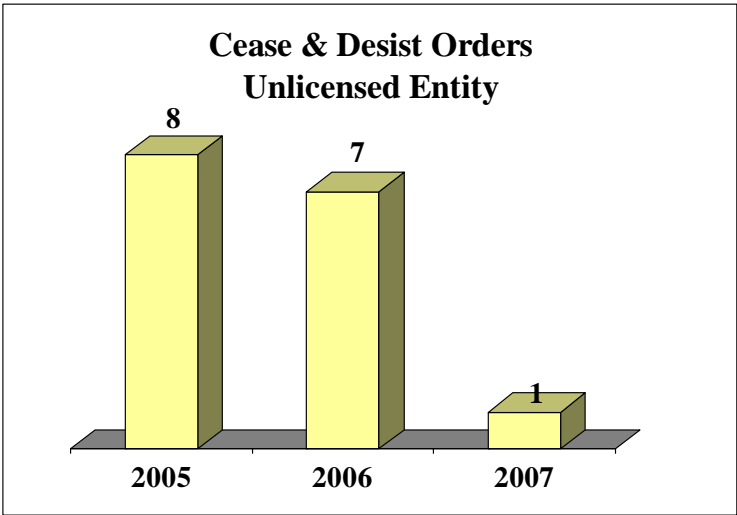


### Impending Revocations June 30, 2008

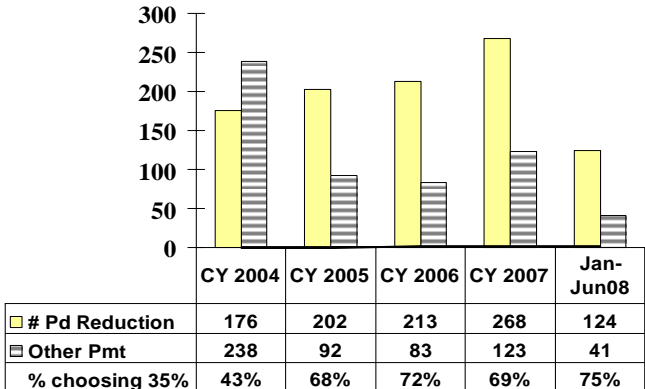


### Revocations





## 35% Forfeiture Reduction

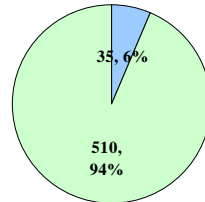
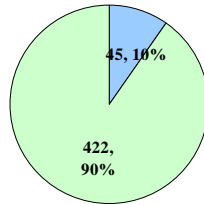
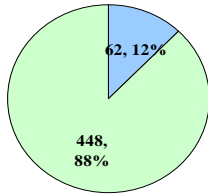


# Enforcement Action Appealed

CY 2005

CY 2006

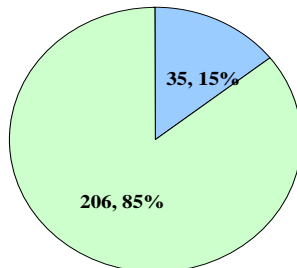
CY 2007



# appealed # not appealed

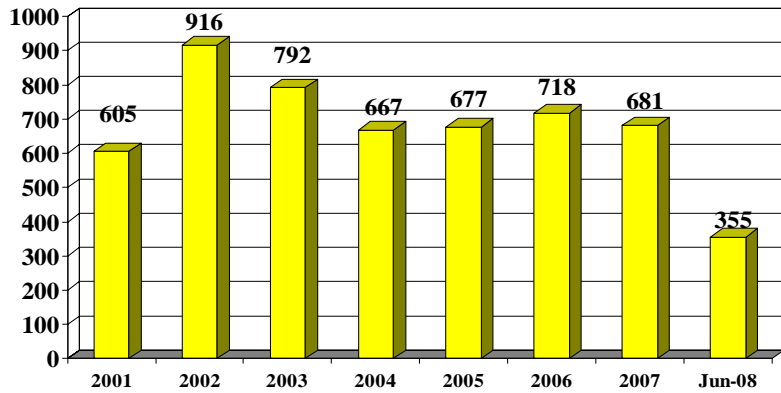
# Enforcement Action Appealed

6 months, June 30, 2008

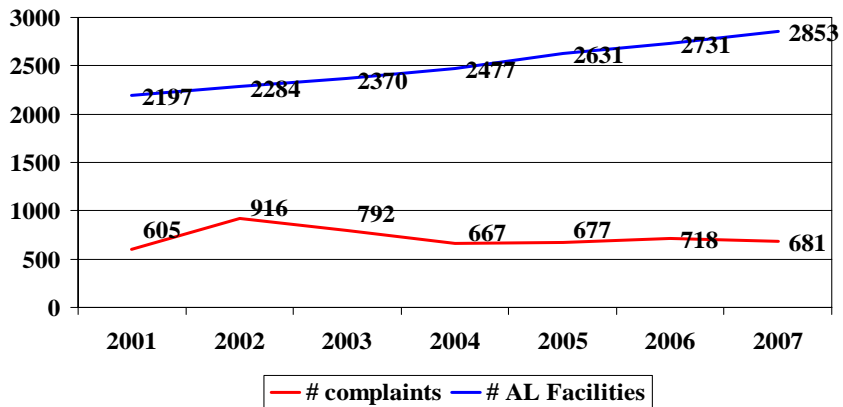


# appealed # not appealed

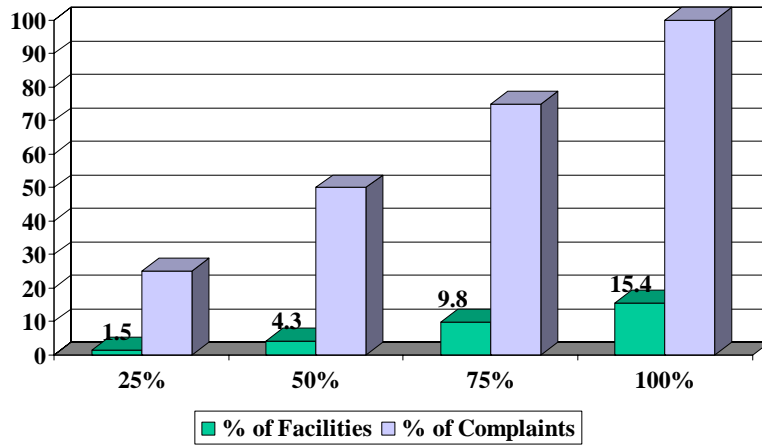
## Complaints Received



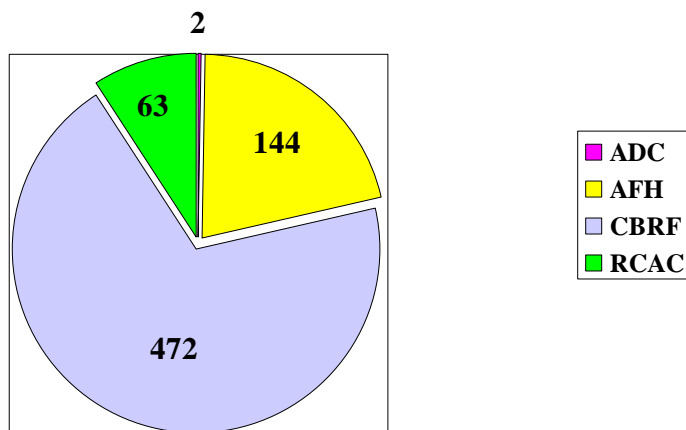
## Complaints vs. Growth



**% of Facilities making up % of Complaints  
CY 2007**

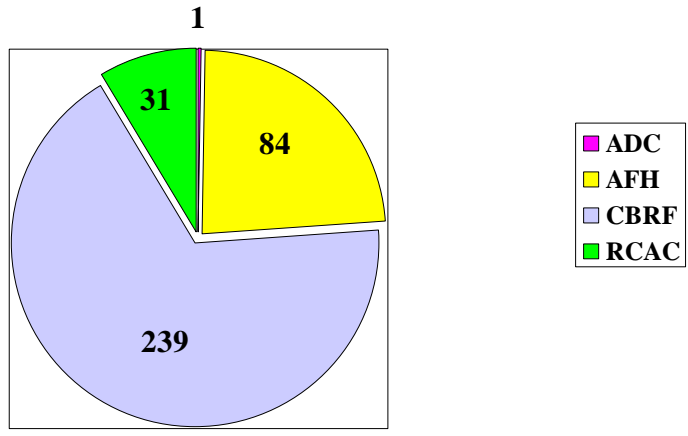


**Complaints Received  
CY 2007**

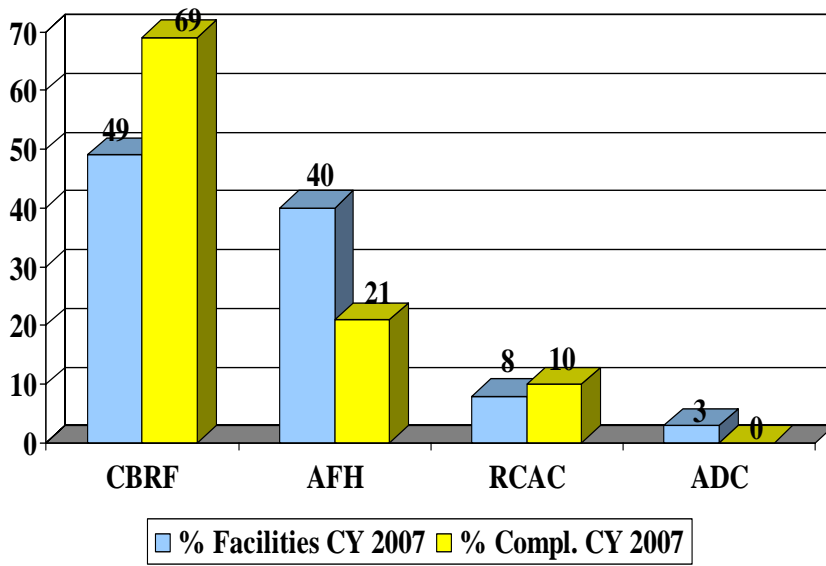


# Complaints Received

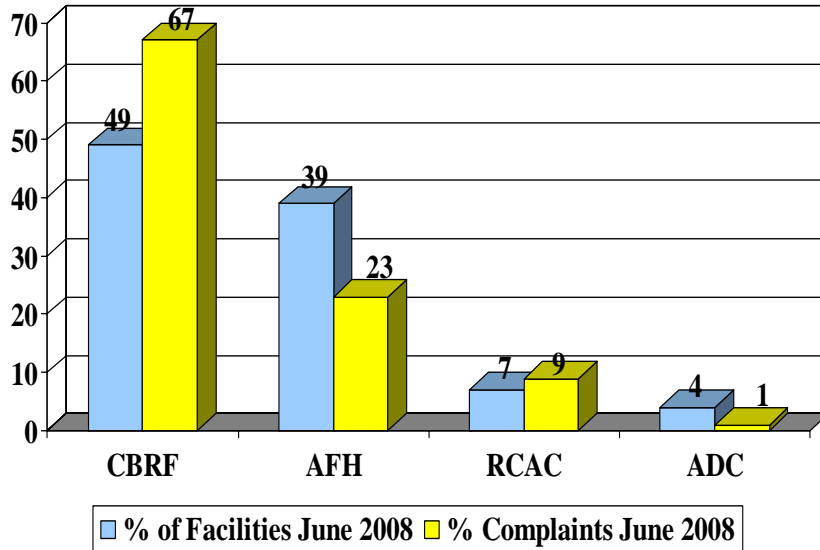
June 30, 2008



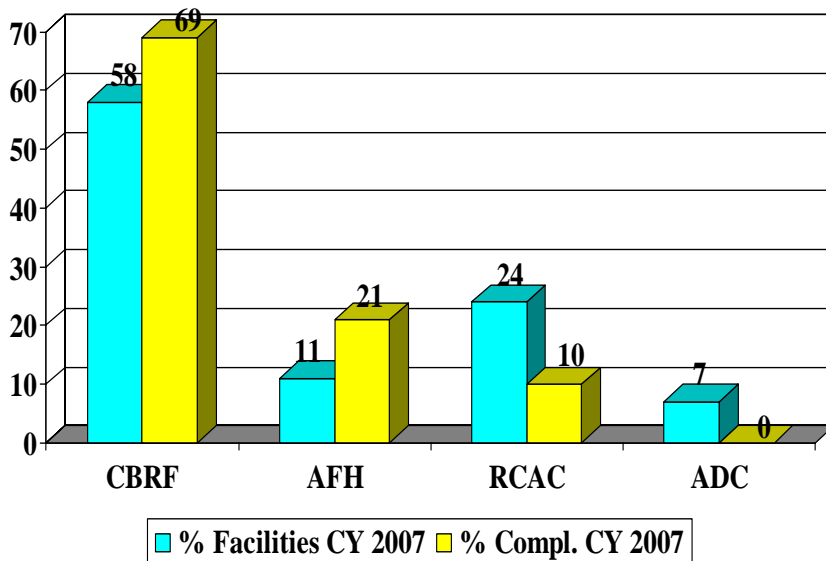
## % of Facilities vs. Complaints Received



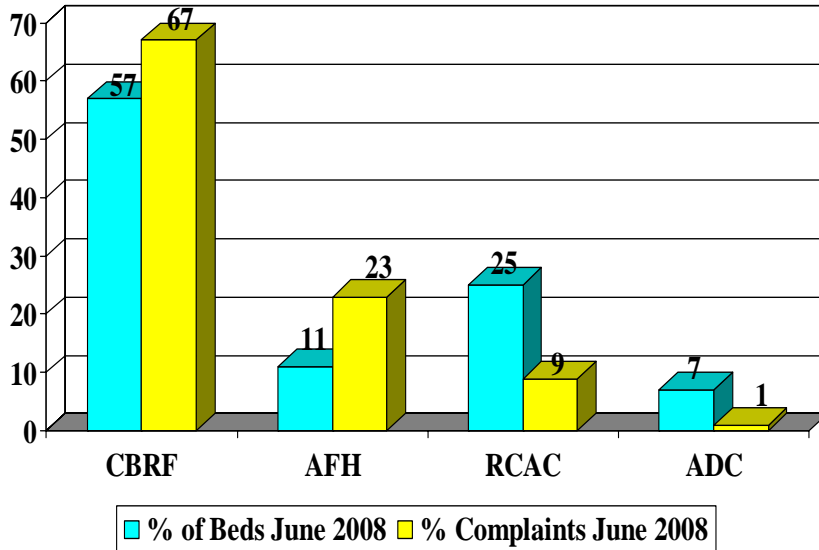
### % of Facilities vs. % Complaints received



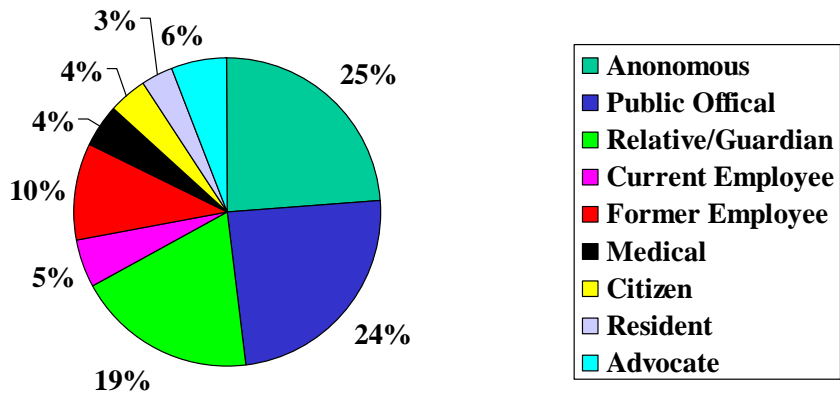
### % of Beds vs. Complaints Received



### % of Beds vs. % Complaints received



### Source of Complaint CY 2007



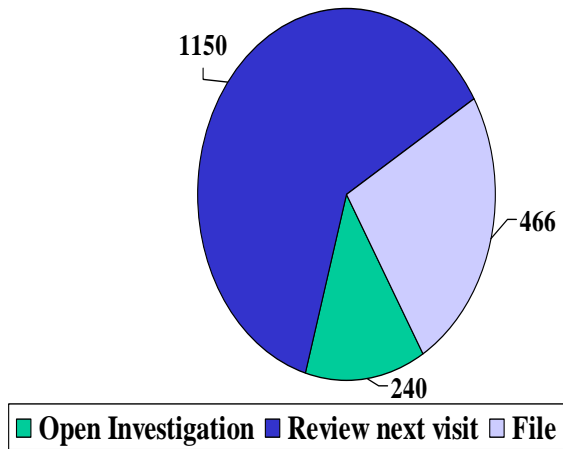
### Ranking – Subject areas complaint investigations

	2002	2003	2004	2005	2006	2007
Program Services	1	2	1	1	4	4
Medications	4	5	5	2	3	3
Resident Rights	2	4	4	3	1	1
Administration	3	1	2	4	2	2
Res. Behavior/ Facility practice	8	3	3	5	5	10
Nutrition & Food	6	6	7	6	6	8
Staff Adequacy	7	9	8	7	7	7
Abuse	12	12	11	8	9	5

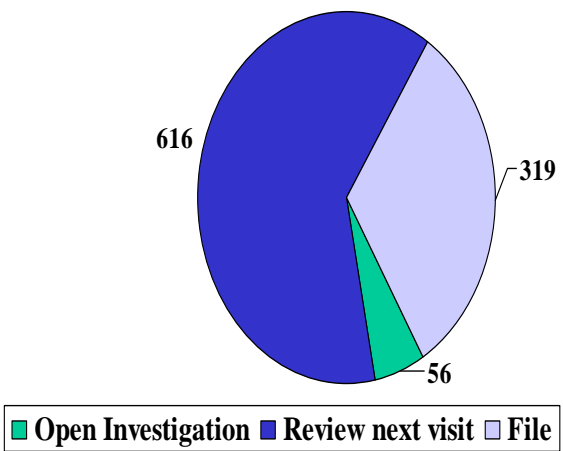
### Source of Complaint vs Substantiation CY 2007

<u>Source</u>	<u>% rec. &amp; invest.</u>	<u>% substantiated</u>
Anonymous	23	29
Public Official	24	53
Relative/Guardian	19	41
Current Employee	05	42
Former Employee	10	47
Advocate	06	51
Citizen	05	28
Medical	05	34
Resident	<u>02</u>	<u>23</u>
	<b>100%</b>	<b>41%</b>

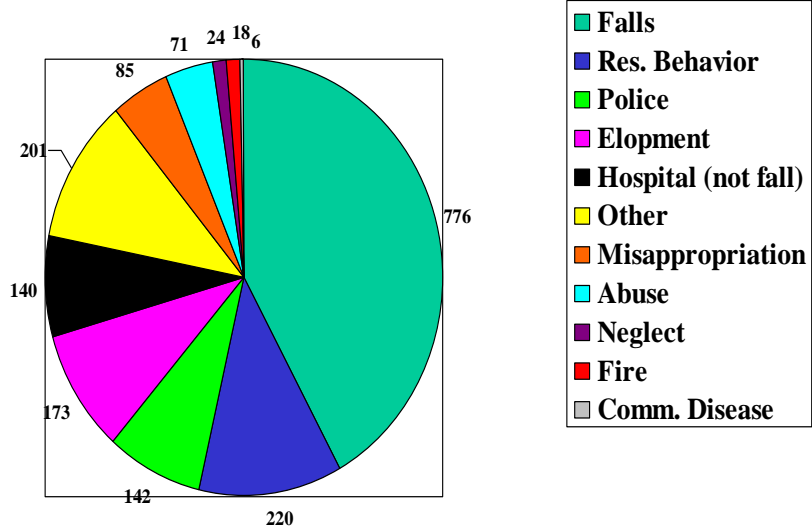
### Self Reports Received - CY 2007 (1,856)



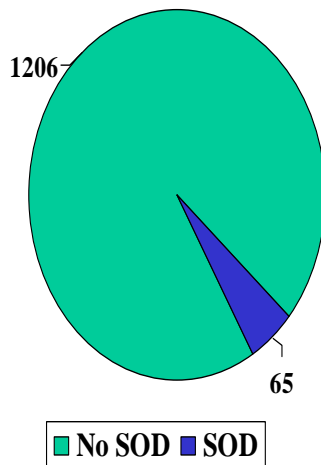
### Self Reports Received - June 2008 (991)



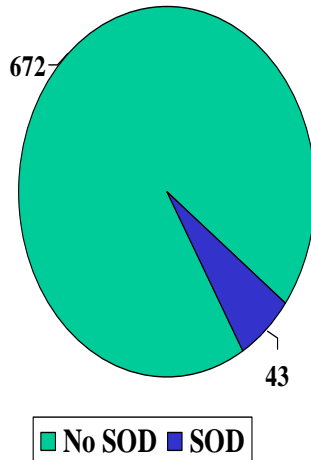
## Self Reports CY 2007



## Self Reports Investigated - CY 2007 (1,271)



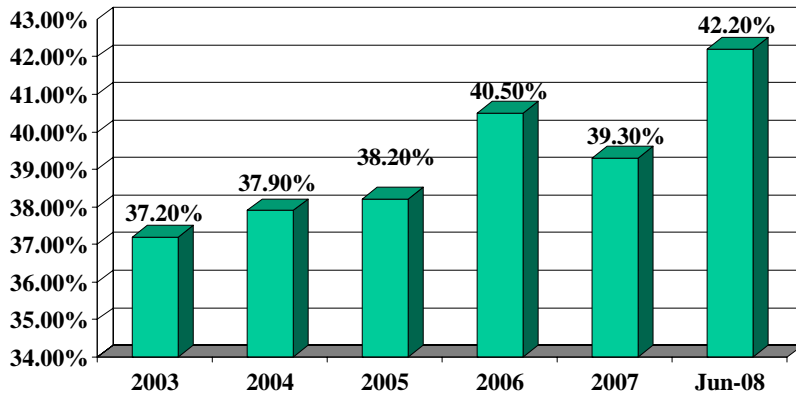
### Self Reports Investigated - June 2008 (715)



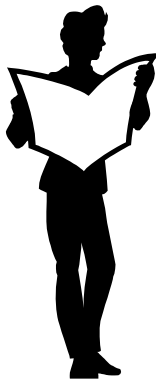
### Facilities Qualifying for Abbreviated Surveys – June 2008

- Adult Day Care 61.3%
- Adult Family Homes 42.7%
- Community Based Residential Facility 38.9%
- Residential Care Apartment Complex 50.4%
- Statewide 42.2%

## Facilities Qualifying for an Abbreviated Survey



## Stories .... (examples of enforcement actions)



## IN SUMMARY....

- Growth continues across all Assisted Living providers although new licenses issued appears to be declining somewhat. More RCAC growth with certified as the gap with registered continues to widen.
- ICF/MR rebalancing, NH relocation initiative and Family Care expansion having direct impact on AL growth. AL licensed beds projected to exceed NH & ICF/MR licensed beds by end of 2008 or early 2009
- In addition to overall growth, there is significant turnover with increases in voluntary closures, and Change of Ownership (CHOW)
- Fit and Qualified policy having a positive effect with increase of license denials and withdrawn applications

## IN SUMMARY....

- Citations per survey decreased slightly.
- Top citations and type of sanctions more reflective of deployment of resources to facilities with non-compliance concerns or allegations
- BAL continues to refine directed plans of correction to help facilities achieve and sustain compliance. When this does not work, progressive, punitive enforcement usually does
- Compared to number of facilities and beds, CBRFs make up a significantly high proportion of enforcement
- Compared to number of beds, AFHs make up a significantly high proportion of enforcement although it did decrease from CY 2007

## **IN SUMMARY....**

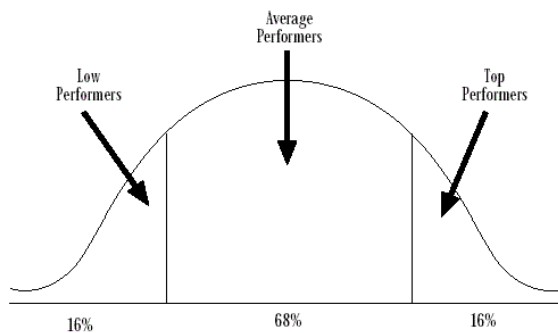
- Complaints projected to increase slightly
- Compared to number of facilities and beds, CBRFs make up a significantly high proportion of complaints
- Compared to number of beds AFHs make up a significantly high proportion of complaints and appears to be increasing

## **IN SUMMARY....**

- Self reports received is projected to increase again, but when investigated rarely result in deficiencies.
- BAL not meeting the workload with overall growth in industry, more complex investigations, increased enforcement and self reports.

## IN SUMMARY....

- The “new resident” is impacting the regulatory activity
- Majority of assisted living in Wisconsin is very good and continues to improve
- Collaboration continues to move the “bell curve to the right”
- More facilities qualifying for abbreviated surveys
- For CY 2007 only 15 % of facilities make up 100% of the complaints and enforcement action.



**Moving the Bell Curve to the Right...**



**Thank You!**