

# National Survey of Residential Care Facilities (NSRCF)

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December 4, 2009



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# National Survey of Residential Care Facilities

National Health Care Surveys



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Centers for Disease Control and Prevention  
National Center for Health Statistics



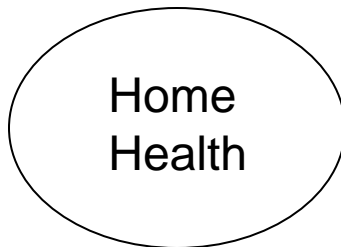
First-time  
national  
data  
collection  
effort by the  
federal  
government

# Government Partners for NSRCF

- U.S. Department of Health and Human Services
  - CDC's National Center for Health Statistics (NCHS)
  - Office of the Assistant Secretary for Planning and Evaluation (ASPE)
  - CDC's National Center for Chronic Disease Prevention and Health Promotion (NCCDPHP)
  - CDC's National Center for Immunization and Respiratory Diseases (NCIRD)
  - Agency for Healthcare Research and Quality (AHRQ)
- U.S. Department of Veterans Affairs (VA)

# Overarching NSRCF Goals

- Provide general purpose national-level database to support decision-making
- Fill significant gap in long-term care provider-based data collection



National Home and Hospice Care Survey



National Survey of Residential Care Facilities



National Nursing Home Survey



National Home and Hospice Care Survey

# NSRCF Primary Objectives

- 1. Estimate the size of the U.S. industry**  
Number of residential care places and residents
- 2. Determine the characteristics of facilities**  
Examine service level differences by facility size
- 3. Determine the characteristics of residents**

# NSRCF Definition

- are licensed, registered, listed, certified, or otherwise regulated by the state;
  - provide room and board with at least 2 meals a day;
  - serve primarily an adult population;
  - provide around-the-clock on-site supervision;
  - offer help with personal care, such as bathing and dressing OR health care-related services, such as medication management; AND
  - have at least 4 beds.
- 
- Facilities licensed to serve the mentally ill or the MR/DD populations exclusively are excluded.

# Why is NSRCF Needed?

- Aging of the population is leading to increase in need for long-term care services and supports
- Little is known about these places
- There is no single administrative source of residential care provider supply data nationally
- Current surveys are designed for other purposes

# Why is NSRCF Needed? (2)

Study and Type	US Facilities	US Beds, units, or residents
2004 NNHS	16,100	1,492,000 residents
2001 Residential Care (Social and Scientific Systems)	55,538	1,310,697 beds
2005 Residential Care (Mollica & Johnson-Lemarche)	36,451	937,601 beds/units
2007 Assisted Living Facilities (Stevenson & Grabowski)	11,276 ( $\geq$ 25 units)	839,746 units

# Licensure Categories Vary by State

Some examples include. . .

- Assisted Living Establishment, Facility, Program, Residence
- Board and Care Home
- Congregate Care
- Family Care Home
- Personal Care Home
- Residential Care Home
- Shared Housing Establishment

# NSRCF Survey Content

- Facility
  - **Director characteristics**
  - **Characteristics** (e.g., location, ownership, beds, physical structure)
  - **Staffing** (e.g., number and type of staff, work function, entry pay)
  - **Services Offered**
  - **Operating Procedures** (e.g., admission & discharge policies, fees and service charges, Medicaid waiver)
- Resident
  - **Demographics**
  - **Health Status** (e.g., medical conditions)
  - **Cognitive and Physical Functioning**
  - **Service Needs and Use**
  - **Involvement in Activities**
  - **Monthly Charge**
  - **Living Arrangements** (e.g., special care unit, private room/bath)
  - **Medicaid Coverage Status**

# Selected Potential NSRCF Policy-Relevant Analyses

- Prevalence of resident cognitive and physical impairment and variation by size
- Variation in facility services offered and charge structure by size
- Resident unmet need for services and supports
- Staffing, training, and qualifications of workers in residential care facilities
- Effect of facility discharge policies on resident case mix and aging in place in residential care places

# Selected Potential NSRCF Policy-Relevant Analyses (2)

- Differences in services and resident needs between Medicaid versus non-Medicaid participating facilities
- Medication management practices
- Cognitive and functional status of residential care elderly population relative to community-dwelling and nursing home populations
- Extent to which residential care places serve as viable substitutes for nursing homes

# NSRCF Sample Design Goals

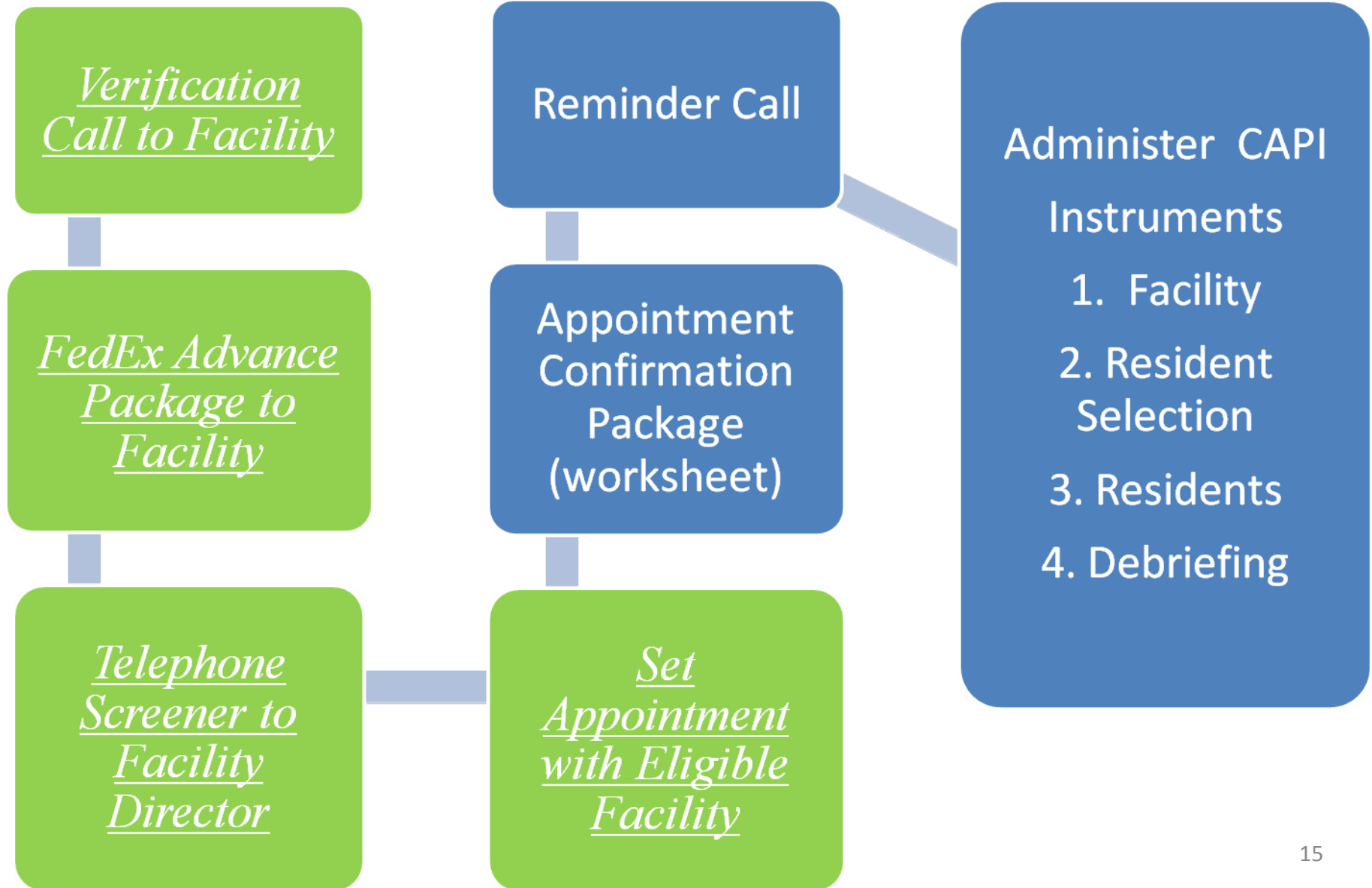
Facility Size	# Beds	Facility Completes	Resident Completes
Very large	> 100	350	6/2,100
Large	26 to 100	650	4/2,600
Medium	11 to 25	650	3/1,950
Small	4 to 10	600	3/1,800
Total		2,250	8,450

# NSRCF Survey Administration

- Telephone eligibility screening
- CAPI interviews will be conducted in-person
- Facility questionnaire will be conducted with the facility administrator
- Resident questionnaire will be conducted with a staff member knowledgeable about each selected resident (e.g., nurse aide, licensed practical nurse, floor supervisor or the administrator)
- Residents **will not** be interviewed

Recruiter  
Interviewer

# NSRCF Protocol



# Development Activities

- ASPE Design contract (2005 – 2010)
  - Define universe, develop sample design
  - Develop survey domains, draft instruments
  - Determine approach to develop frame
- NCHS Data Collection contract (2007 – 2011)
  - Develop CAPI, data collection protocol, materials
  - Pilot, Pretest in 2008
  - Refinements for national implementation
    - Cooperation, Eligibility, Data Quality

# Pretest Completions & “Response Rates”

	No refusal conversion attempted		Facility	Resident	Resident
	Eligibles + Presumed Eligibles	Facility Interviews	Q Response Rate	Interviews	Q Response Rate
<b>Total</b>	113	72	64%	237	99%
<b>Facility Size</b>					
<b>Very large</b>	28	17	60%	96	100%
<b>Large</b>	26	16	62%	64	100%
<b>Medium</b>	22	13	59%	38	93%
<b>Small</b>	37	26	70%	39*	100%

\* By design, resident questionnaires were completed in 13 of 26 small facilities.

# Reasons for Pretest Nonresponse

<b>Reason</b>	<b>#</b>	<b>%</b>
Unable to contact director	12	25%
No time	11	22%
Not interested	6	12%
Corporate supervisor refusal	5	10%
No reason given/passive refusal	5	10%
Refusal after advance package/Too busy	3	6%

# Provider Outreach Activities

- Meetings with board members of . . .



to get insights on NSRCF contact materials and gain cooperation to promote survey participation



The National Survey of Residential Care Facilities (NSRCF) is the first ever federal study of residential care/assisted living communities designed to provide national information about these communities and their residents. In-person interviews will be conducted with directors and caregivers to provide information about services, staffing, and practices, and resident health, functional status, and payment sources. This information will help policy makers, health care planners, and residential care/assisted living providers better understand, plan for, and serve the future long-term care needs of the aging population. While data from this survey will be publicly available, all data will be confidential and aggregated, so that the names of the communities, respondents, and residents are not identifiable.

The study is being conducted by the National Center for Health Statistics (NCHS), an agency of the Centers for Disease Control and Prevention (CDC), and the Office of the Assistant Secretary for Planning and Evaluation (ASPE) in the Department of Health and Human Services (DHHS).

National data collection will be conducted in early 2010 following a pretest in September and October of 2008. About 2,250 communities will be selected for the national survey and 75 communities for the pretest.

The following organizations encourage your participation in this national research initiative:

- American Association of Homes and Services for the Aging (AAHSA)
- American Seniors Housing Association (ASHA)
- Assisted Living Federation of America (ALFA)
- National Center for Assisted Living/American Health Care Association (NCAL/AHCA)
- Board and Care Quality Forum (BCQF)

# Joint Letter of Support in Advance Package

**Board & Care Quality**

**F O R U M**

A Publication of Reinacher Petro & Associates

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## National Survey of Residential Care Facilities National Health Care Surveys



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Centers for Disease Control and Prevention  
National Center for Health Statistics

# Brochure in Advance Package

## Introduction

The National Survey of Residential Care Facilities (NSRCF) is a first time national data collection effort to gather information about the characteristics of residential care facilities, including assisted living residences, board and care homes, congregate care, enriched housing programs, homes for the aged, personal care homes, and shared housing establishments.

## Importance

The number of people in the United States who need long-term care is expected to increase to 27 million in 2050. Although assisted living and residential care is an important and growing segment of the long-term care industry, there is an information gap about these communities and their residents. This study will provide for the first time a national picture of assisted living and residential care communities, the characteristics of the people who live in them, and the range of services received by residents. These data will help characterize how residential care and assisted living communities meet the needs of elders and adults with disabilities and help shape future long-term care policies.

## Residential care and assisted living

Residential care and assisted living residences are known by different names

# Provider Outreach Activities (2)

- Provider association national meetings, newsletters, web sites
- Communications with state affiliates
- On-going dialogue with CEAL board



<http://www.cdc.gov/nsrcf.htm>

CDC Home



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## National Survey of Residential Care Facilities

### National Survey of Residential Care Facilities

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### Related Sites

[Surveys and Data Collection Systems](#)

## Welcome Survey Participants!

[PDF version](#) (34 KB)

Your community was randomly selected to participate in the National Survey of Residential Care Facilities (NSRCF). Thi

# <http://www.cdc.gov/nsrcf.htm>

To learn more about participating in NSRCF, please see below:

- What is the National Survey of Residential Care Facilities?
- Why is this survey being conducted?
- Why should my residential care facility participate?
- How was my residential care community selected?
- How do I know this is a legitimate survey?
- Is information on my facility kept confidential?
- Does the HIPAA Privacy Rule allow my residential care facility to participate in this survey?
- Who will be collecting this information and how long will it take?
- What type of information is collected?
- Who can I contact if I have additional questions?

# More Ways to Help Gain Cooperation

- Use recruiters to get appointments
- Be flexible and emphasize it
  - Work with/around facility schedule
  - Breaks if needed during interview
  - Allow for interruptions
  - Can change order of facility and resident interviews
- Enable multiple respondents

# More Ways to Help Gain Cooperation (2)

- Enhance “importance of survey” talking points
- Develop tailored nonresponse letters
- Offer electronic version of advance package
- Reaching directors
  - Ask for director’s e-mail address earlier
  - Use cell phone number if available
- Corporate-affiliated facilities
  - Proactive and responsive approaches

# Eligibility Rates by Stratum

	<b>Screened Facilities (n)</b>	<b>Eligible Facilities (n)</b>	<b>Eligibility Rate (%)</b>
<b>Total</b>	109	84	77%
<b>Facility Size</b>			
<b>Very large</b>	21	20	95%
<b>Large</b>	19	17	90%
<b>Medium</b>	19	15	79%
<b>Small</b>	50	32	64%

# Primary Reason for Ineligibility

	<4 Beds	Exclusively MR/DD	Exclusively Mental Illness	No 24/7 Supervision	No Help With ADLs	No Aid With Meds	Not 2 Meals/Day	Total Ineligible
<b>Total</b>	2	10	7	5	0	0	1	25
<b>Facility Size</b>								
<b>Very large</b>							1	1
<b>Large</b>		1	1					2
<b>Medium</b>	1		2	1				4
<b>Small</b>	1	9	4	4				18



# 2010 National Survey of Residential Care Facilities

## Pre-Interview Worksheet

Dear <<NAME OF RESPONDENT TO FACILITY QUESTIONNAIRE>> & <<NAME OF FACILITY>>

Thank you for agreeing to participate in the 2010 National Survey of Residential Care Facilities. The date and time of your interview and your interviewer's name are:

<<DATE OF INTERVIEW>>

<<TIME OF INTERVIEW>>

**INTERVIEWER'S NAME:** <<NAME OF INTERVIEWER>>

Fill out this worksheet before the interview. It should take you about 15 minutes to complete. It contains some of the questions the interviewer will ask you. Completing this worksheet in advance will make the interview easier for you.

Also before the interview, prepare a complete list of current residents of your residential care facility as of midnight before this interview date. The interviewer will use this list to randomly select a few residents about whom you will be asked to provide some information.

If you have questions while completing this worksheet or preparing the current resident list, call Sara Zuckerbraun at: 1-800-334-8571 Ext. 2-5206.

Sincerely,

Data  
Quality:

Pre-  
Interview  
Worksheet

# Future Scheduled Milestones

- Jan 29, 2010 Seeking OMB approval by
- March–April, 2010 Training
- March–Oct, 2010 Facility recruitment
- April–Oct, 2010 Data collection
- Early 2012 Public use files, methods report, first findings product released

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