National Survey of Residential Care Facilities (NSRCF)

Lauren D. Harris-Kojetin, PhD
National Center for Health Statistics

Council of Professional Associations on Federal Statistics

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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
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)

<table>
<thead>
<tr>
<th>Study and Type</th>
<th>US Facilities</th>
<th>US Beds, units, or residents</th>
</tr>
</thead>
<tbody>
<tr>
<td>2004 NNHS</td>
<td>16,100</td>
<td>1,492,000 residents</td>
</tr>
<tr>
<td>2001 Residential Care (Social and Scientific Systems)</td>
<td>55,538</td>
<td>1,310,697 beds</td>
</tr>
<tr>
<td>2005 Residential Care (Mollica &amp; Johnson-Lemarche)</td>
<td>36,451</td>
<td>937,601 beds/units</td>
</tr>
<tr>
<td>2007 Assisted Living Facilities (Stevenson &amp; Grabowski)</td>
<td>11,276 (&gt; 25 units)</td>
<td>839,746 units</td>
</tr>
</tbody>
</table>
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

<table>
<thead>
<tr>
<th>Facility Size</th>
<th># Beds</th>
<th>Facility Completes</th>
<th>Resident Completes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Very large</td>
<td>&gt; 100</td>
<td>350</td>
<td>6/2,100</td>
</tr>
<tr>
<td>Large</td>
<td>26 to 100</td>
<td>650</td>
<td>4/2,600</td>
</tr>
<tr>
<td>Medium</td>
<td>11 to 25</td>
<td>650</td>
<td>3/1,950</td>
</tr>
<tr>
<td>Small</td>
<td>4 to 10</td>
<td>600</td>
<td>3/1,800</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>2,250</strong></td>
<td><strong>6,450</strong></td>
<td></td>
</tr>
</tbody>
</table>
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

**Verification Call to Facility**

**FedEx Advance Package to Facility**

**Telephone Screener to Facility Director**

**Reminder Call**

**Appointment Confirmation Package (worksheet)**

**Set Appointment with Eligible Facility**

**NSRCF Protocol**

**Administer CAPI Instruments**
1. Facility
2. Resident Selection
3. Residents
4. Debriefing
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”

<table>
<thead>
<tr>
<th>Facility Size</th>
<th>Eligibles + Presumed Eligibles</th>
<th>Facility Q Interviews</th>
<th>Facility Q Response Rate</th>
<th>Resident Interviews</th>
<th>Resident Q Response Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td>113</td>
<td>72</td>
<td>64%</td>
<td>237</td>
<td>99%</td>
</tr>
<tr>
<td>Facility Size</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Very large</td>
<td>28</td>
<td>17</td>
<td>60%</td>
<td>96</td>
<td>100%</td>
</tr>
<tr>
<td>Large</td>
<td>26</td>
<td>16</td>
<td>62%</td>
<td>64</td>
<td>100%</td>
</tr>
<tr>
<td>Medium</td>
<td>22</td>
<td>13</td>
<td>59%</td>
<td>38</td>
<td>93%</td>
</tr>
<tr>
<td>Small</td>
<td>37</td>
<td>26</td>
<td>70%</td>
<td>39*</td>
<td>100%</td>
</tr>
</tbody>
</table>

* By design, resident questionnaires were completed in 13 of 26 small facilities.
## Reasons for Pretest Nonresponse

<table>
<thead>
<tr>
<th>Reason</th>
<th>#</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unable to contact director</td>
<td>12</td>
<td>25%</td>
</tr>
<tr>
<td>No time</td>
<td>11</td>
<td>22%</td>
</tr>
<tr>
<td>Not interested</td>
<td>6</td>
<td>12%</td>
</tr>
<tr>
<td>Corporate supervisor refusal</td>
<td>5</td>
<td>10%</td>
</tr>
<tr>
<td>No reason given/passive refusal</td>
<td>5</td>
<td>10%</td>
</tr>
<tr>
<td>Refusal after advance package/Too busy</td>
<td>3</td>
<td>6%</td>
</tr>
</tbody>
</table>
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)
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
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 recruiter s 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

<table>
<thead>
<tr>
<th>Facility Size</th>
<th>Screened Facilities (n)</th>
<th>Eligible Facilities (n)</th>
<th>Eligibility Rate (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td>109</td>
<td>84</td>
<td>77%</td>
</tr>
<tr>
<td>Facility Size</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Very large</td>
<td>21</td>
<td>20</td>
<td>95%</td>
</tr>
<tr>
<td>Large</td>
<td>19</td>
<td>17</td>
<td>90%</td>
</tr>
<tr>
<td>Medium</td>
<td>19</td>
<td>15</td>
<td>79%</td>
</tr>
<tr>
<td>Small</td>
<td>50</td>
<td>32</td>
<td>64%</td>
</tr>
</tbody>
</table>
## Primary Reason for Ineligibility

<table>
<thead>
<tr>
<th></th>
<th>&lt;4 Beds</th>
<th>Exclusively MR/DD</th>
<th>Exclusively Mental Illness</th>
<th>No 24/7 Supervision</th>
<th>No Help With ADLs</th>
<th>No Aid With Meds</th>
<th>Not 2 Meals/Day</th>
<th>Total Ineligible</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total</strong></td>
<td>2</td>
<td>10</td>
<td>7</td>
<td>5</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>25</td>
</tr>
<tr>
<td><strong>Facility Size</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Very large</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Large</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>Medium</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>Small</td>
<td>1</td>
<td>9</td>
<td>4</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
<td>18</td>
</tr>
</tbody>
</table>
Dear <<NAME OF RESPONDENT TO FACILITY QUEX>> & <<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,
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
National Survey of Residential Care Facilities (NSRCF)

Lauren Harris-Kojetin
Chief, Long-term Care Statistics Branch
Division of Health Care Statistics
National Center for Health Statistics

fti3@cdc.gov
301-458-4369