

# **Oversight of Assisted Living Facilities, Innovations and Lessons Learned October 1, 2012**

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# Florida ALF Licenses

- Standard-Assistance with or supervision of activities of daily living and self-administration medications
  - Appropriately licensed personnel may administer medications
- Limited Nursing – Allows for the provision of certain “nursing” services
- Extended Congregate Care – Allows for the provision of more complex services
- Limited Mental Health – Required if the ALF has more than two mental health residents receiving OSS or social security disability

# Florida ALF Growth

- 32% Increase in Assisted Living Facilities
  - 2,272: 2003
  - 3,009: June 1, 2012
- 80% Increase in ALFs with Limited Mental Health
- 7,824 OSS Recipients Enrolled in the State

# Florida ALF Demographics

- ALF with six or fewer beds: 52.43%
- Smallest ALF size = 2 beds
- Largest ALF size = 495 beds

-As of June 1, 2012

# Miami ALFs

- ALF with six or fewer beds 80.81%
  - 817 Facilities
- 1011 ALFs in Miami and 753 are LMH (75%)
- 69% of Florida LMH ALFs are in Miami
  - 1090 LMH ALFs in Florida

-As of June 1, 2012

# ALF Inspections & Violations

	FY 06/07	FY 07/08	FY 08/09	FY 09/10	FY 10/11	FY 11/12*
Surveys	1,726	1,897	1,725	2,114	2,105	2,354
Class I	60	41	55	25	109	107
Class II	256	242	260	215	351	746
Class III	11,151	12,025	10,262	12,506	11,696	8,846
Class IV	1,878	2,362	1,257	1,577	731	261
Total Class Violations	13,345	14,670	11,834	14,323	12,887	9,960

\*As of June 1, 2012

# Agency Actions

- July 1, 2011 through June 1, 2012
  - The Agency issued 595 Final Orders for ALFs
  - Suspensions and Moratoria on Admissions: 11
  - Denials: 9
  - Revocations: 17
  - Closed/Surrendered: 38
  - Imposed \$1,513,046.65 in sanctions by Final Order

# Agency Developments & Updates

- Weekly facility actions meetings to coordinate licensure and Medicaid issues
- Monthly press releases regarding sanctions, closures, and other actions
- Enhanced Florida Health Finder by adding the Medicaid services provided by the facility and Smartphone Apps to locate facilities faster
- ALF Enforcement Unit established
- Routine interagency meetings with Agency partners



# Agency Developments & Updates

- Statewide joint training for administrators, providers coordinated with trade associations
- ALF awareness training for waiver support coordinators and agency staff
- Working with Department of Elder Affairs in the Negotiated Rulemaking process
- Referral matrix was developed to guide surveyors and other Agency staff on how/who/when to contact other agencies

# Agency Developments & Updates

- ALF Enforcement Unit established
  - A 10-person team responsible for statewide oversight of assisted living facility inspection enforcement, serve as liaisons with local law enforcement and other partners including Ombudsman
  - Separated functionally from the field office survey staff and reports quality assurance results to facilitate oversight of the program to the State Survey Agency Director

# Revised Assisted Living Survey Process

- Resident focused
- Sample selection for interviews with residents is expanded beyond what was previously utilized

# Assisted Living Resident Centered Survey Process Overview

- While each facility must comply with all regulatory requirements, the revised survey process focus is on identified **CORE** areas
  - Quality of Life
  - Quality of Care

# Assisted Living Resident Centered Survey Process Overview

- Core Areas
  - Resident Rights
  - Resident Care & Services
  - Nutrition and Food Services
  - Physical Environment and Safety
  - Staff Training
  - Medication Management

# Assisted Living Resident Centered Survey Process Overview

- Revised Survey Activity
  - Abbreviated Survey
  - Standard Survey
  - Revised Worksheets
    - Worksheets in electronic format
  - Limited Nursing Services and Extended Congregate Care Monitoring Visits

# Assisted Living Resident Centered Survey Process Overview

- Abbreviated Survey

The abbreviated survey will be used for facilities with good compliance history that meet criteria outlined in

429.41 (5), FS and  
58A-5.033(2), FAC

- No Class 1 and,
- No Class 2 and,
- No uncorrected Class 3 and,
- No confirmed Ombudsman Council complaints and,
- No confirmed licensure complaints within two licensing periods prior to the current survey, and
- Facility must have two survey periods under the current owner that meet the criteria

# Assisted Living Resident Centered Survey Process Overview

- Abbreviated Survey
  - The abbreviated survey process **focuses** on **observations and interviews** in order to evaluate how the individual needs and preferences of the residents are met
  - Resident interviews are key to this process
  - Allows surveyors to **focus** on **residents** and less on paper compliance



# Assisted Living Resident Centered Survey Process Overview

- Abbreviated Survey
  - A **Standard survey** will be “triggered” if any of the following problems are identified
    - Fire safety violations that threaten the life of a resident and which confirmed as serious by the local fire authority having jurisdiction
    - Class 1 or Class 2 deficiencies are identified
      - Determined by severity of the deficient practice
    - Staff rendering services for which the facility is not licensed

# Assisted Living Resident Centered Survey Process Overview

- Standard Survey Process
  - **Resident observations** and **interviews** are the primary methods for gathering evidence.
  - Surveyors conduct interviews with **families** and **staff** to capture a full picture of life at the ALF and determine if the resident's dignity and safety are maintained.
  - Sample size is 25% of census (min 2 max of 10)

# Assisted Living Resident Centered Survey Process Overview

- Observations
  - If in the previous 12 months prior to the survey:
    - Substantiated allegations of abuse, neglect or exploitation;
    - Multiple elopements of one resident or an elopement resulting in death; or
    - Substantiated allegations of inappropriate residents living in the facility; or
    - Indicators of inappropriate residents

Observation of **100%** of the residents physically in the facility and use data obtained from those observations to supplement the sample for the current survey.

*GOAL: ENSURE GENERAL WELFARE OF RESIDENTS*

# Assisted Living Resident Centered Survey Process Overview

- Specialty Licenses: For both Abbreviated and Standard surveys, if the ALF holds a specialty license, at least one resident receiving those services will be included in the sample
  - Limited Mental Health-Compliance with community living support plans
  - Extended Congregate Care-Compliance with environmental standards and residency
  - Limited Nursing Services-Compliance with nursing services

# Assisted Living Resident Centered Survey Process Overview

- LNS and ECC Monitoring Visit Tasks
  - Interview and observe residents receiving special services, medications, and treatments
  - Interview families or representatives regarding their opinions of care
  - Interview staff to determine if they are qualified to perform specialized services (nursing)
  - Review ALF files for required documentation (nursing progress notes and monthly assessments)

# Assisted Living Resident Centered Survey Process Overview

- Revised ALF Survey Process and Electronic Forms can be found at the link below:

[http://ahca.myflorida.com/MCHQ/Field\\_Ops/index.shtml](http://ahca.myflorida.com/MCHQ/Field_Ops/index.shtml)

# Lessons Learned

- Adequately identify data elements on reports used internally and provided to the public
  - Clear definition of data being reported
  - Data source
  - Timeframe
- Develop a routine for reporting other than during a crisis

# Contact

[www.ahca.myflorida.com](http://www.ahca.myflorida.com)

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