

Aging and Long-Term Support Administration

050 - M2 - 5G - QUALITY OF RESIDENTIAL CARE

Agency Submittal: 21-2018 Suppl Agency Req

Budget Period: 2017-19

REQUEST

The Department of Social and Health Services (DSHS) Aging and Long-Term Support Administration (AL TSA) requests \$2,008,000 total funds (\$1,004,000 GF-State) and 8.5 FTE for investigators to conduct inspections and investigate complaints in Assisted Living Facilities (ALF), and to maintain funding for the Residential Care Services (RCS) quality assurance unit that is ending soon.

PROBLEM STATEMENT

The RCS Division of AL TSA has two problems:

1. Rebalancing funds provided through the Roads to Community Living grant ends on June 30, 2018, as the grant nears its end. RCS has used rebalancing funds to establish a Quality Assurance unit which provides consistent and measurable quality assurance reviews of internal processes and procedures in order to mitigate risk of non-compliance with regulations intended to safeguard the wellbeing of individuals in long-term care settings.
2. The inspection and investigation staff levels have not kept pace with the increase in the number of Assisted Living Facility beds.

The QA unit is an integral part of the safety net for vulnerable people in residential care facilities. This unit within AL TSA has contributed to the AARP designation as the most successful state in the nation at supporting seniors and adults with disabilities. Quality assurance functions provide important oversight and corrective actions to staff and facilities on a constant and consistent basis.

The Inspection and Investigation staff work in residential facilities to do exactly that. The staff respond to complaints and perform regular inspections of ALFs. In the last 3.5 years, the number of beds, and the number of people occupying those beds, has increased from 30,360 to 32,592 (7.3%). This rate of consistent growth, coupled with stagnant inspection and investigation staffing has resulted in 78 late inspections and 297 late complaint investigations during FY2017. While statute requires assisted living facility inspections to occur at least every 18 months, the average time between inspections has increased to 19 months.



DSHS VISION

People are healthy • People are safe • People are supported • Taxpayer resources are guarded

DSHS MISSION

To transform lives

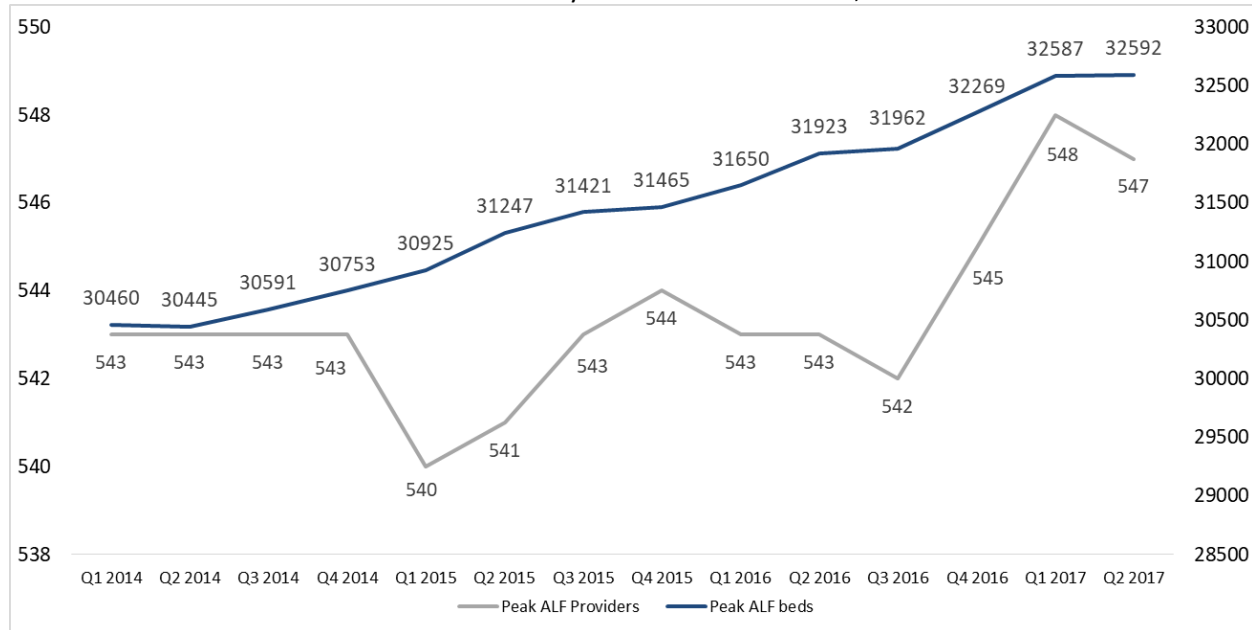
DSHS VALUES

Honesty and Integrity • Pursuit of Excellence • Open Communication • Diversity and Inclusion • Commitment to Service

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Assisted Living Facility Beds Have Increased by 7 Percent Since 2014

ALF Providers and Beds by Calendar Year Quarter, 2014-2017

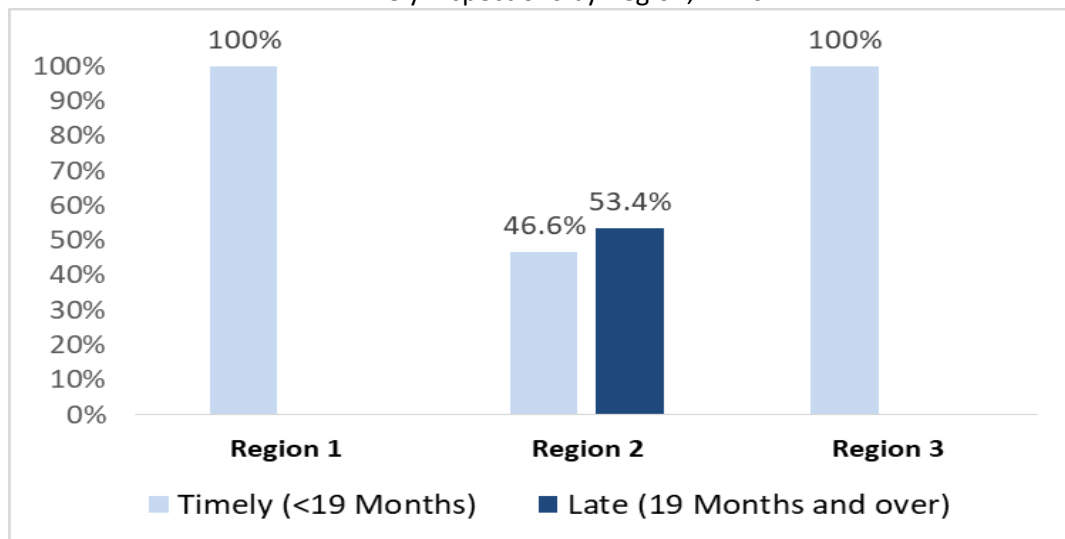


Source: DSHS ALTSA FAC1328 Count AFH Facilities by Month & FAC11466 Contracted Beds

There has not been a corresponding increase of a sufficient number of staff to conduct regular inspections in a timely manner. Subsequently, in Fiscal Year (FY) 2017, 53.4 percent of Assisted Living Facility inspections (78 in number) were late in Region 2.

In FY 2017, 53.4 percent of ALF Inspections were late in Region 2

ALF Timely Inspections by Region, FY 2017



Source: DSHS ALTSA FAC 1050 AFH BH Timely Reinspection Summary, August 2017

Region 2: King, San Juan, Skagit, Snohomish, and Whatcom Counties

In FY 2017, 78 Assisted Living Facility Inspections were late in Region 2

ALF Inspection Timeliness by Region, FY 2017

Region	Timely Inspections	Late Inspections	Total Inspections Performed
RCS Region 1	97	0	97
RCS Region 2	68	78	146
RCS Region 3	108	0	108
Total	273	78	351

Source: DSHS ALTSA FAC 1050 AFH BH Timely Reinspection Summary, August 2017

Region 2: King, San Juan, Skagit, Snohomish, and Whatcom Counties

Additionally, there has not been a corresponding increase of a sufficient number of staff to follow up on Assisted Living Facility complaint intakes in a timely manner. Subsequently, in FY 2017, 8.3 percent of Assisted Living Facility complaint investigations were delayed in Region 2. This amounts to 142 delayed Assisted Living Facility complaint investigations in FY 2017 in Region 2.

In FY 2017, 8.3 percent of ALF Complaint Investigations were late in Region 2

ALF Timely Complaint Intake Investigations by Region, FY 2017

Region	Complaint Intakes Received	Complaint Investigations Done Timely	% Timely	Complaint Investigations Not Done Timely	% Not Timely
RCS Region 1	1,297	1,297	100%	0	0%
RCS Region 2	1,707	1,565	91.7%	142	8.3%
RCS Region 3	1,791	1,636	91.3%	155	8.7%
Grand Total	4,795	4,498	93.8%	297	6.2%

Source: DSHS ALTSA 2101 Complaint Incident Tracking, FY 2017

Region 2: King, San Juan, Skagit, Snohomish, and Whatcom Counties

PROPOSED SOLUTION

The RCS Division of the Aging and Long-Term Support Administration is committed to ensuring that each resident of a licensed or certified residential facility receives quality care from their provider.

Quality Assurance Unit:

The Residential Care Services Quality Assurance unit, an integral part of the safety net for vulnerable people in residential facilities, has no source of funding at the end of the current fiscal year. The Department requests \$1,336,000 (\$668,000 GF-State) and 6 FTE for the Quality Assurance Unit.

Assisted Living Facility Inspection and Complaint Investigation Staffing:

Washington State Department of Social and Health Services

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The Department requests \$672,000 (\$336,000 GF-State) and 2.5 FTE for Assisted Living Facility inspection and complaint investigation staffing for Region 2, to address the late inspection issue and to maintain timely response to complaints. This equates to 5 FTE in FY19 and ongoing.

EXPECTED RESULTS

Quality Assurance Unit:

By funding this request, the department will be able to provide continuous quality improvement activities for RCS performance metrics; support consistent quality assurance performance improvement measures to manage risks; and independently review compliance with regulatory requirements, performance measures, and expectations from the state and CMS.

Assisted Living Facility Inspection and Complaint Investigation Staffing:

By funding this request, the department will be able to maintain appropriate staffing to ensure Assisted Living Facility inspections in Region 2 (King, San Juan, Skagit, Snohomish, and Whatcom Counties) are completed in the required period, and complaints continue to be responded to in a timely manner as the number of ALF beds and number of residents grows.

STAKEHOLDER IMPACT

There is expected to be support from a number of parties, including client advocates such as the Washington Long-Term Care Ombudsman, and Disability Rights Washington. The residential provider associations, Leading Age Washington and Washington Health Care Association, are probably neutral on the additional ALF oversight staff, but would likely welcome the continued QA work so that their members can expect consistent, high quality surveys and complaint investigation work.

The outcome of funding this request includes increased protection of residents, prevention of poor care and services, and improved health outcomes for the community through timely inspection of Assisted Living Facilities, and continued timely responses to ALF complaints.

Agency Contact: Bryan Way, (360) 902-7769

Program Contact: Bill Moss, (360) 725-2311

OTHER CONNECTIONS

Performance Outcomes/Important Connections

1. Does this DP provide essential support to one or more of the Governor's Results Washington priorities?

Goal 4: Healthy & Safe Communities - Safe People - Help keep people safe in their homes, on their jobs and in their communities.

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2. Identify other important connections or impacts below.

- a) Regional/County impacts? No
- b) Other local government impacts? No
- c) Tribal government impacts? No
- d) Other state agency impacts? No
- e) Responds to specific task force, report, mandate or executive order? No
- f) Does request contain a compensation change or require changes to a Collective Bargaining Agreement? No
- g) Facility/workplace needs or impacts? Yes, workspace would be required for these staff.
- h) Capital budget impacts? No
- i) Is change required to existing statutes, rules or contracts? No
- j) Is the request related to litigation? No
- k) Is the request related to Puget Sound recovery? No
- l) Other important connections? No

3. Please provide a detailed discussion of connections/impacts identified above.

Alternatives/Consequences/Other

4. What alternatives were explored by the agency, and why was this alternative chosen?

Currently, the demand for Assisted Living Facility survey and investigations in King County is being covered by diverting RCS staff from either other types work or other locations. Inevitably, the production in those areas is declining, so it is not a feasible solution.

The only alternative to continue the Quality Assurance unit would be to overspend the RCS budget, placing this critical unit at risk. This would be detrimental in terms of prudent use of resources.

5. How has or can the agency address the issue or need within its current appropriation level?

The agency cannot address these needs within current appropriation levels.

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6. Does this decision package include funding for any IT-related costs (hardware, software, services, cloud-based services, contracts or IT staff)?

☒ **No**

☐ **Yes (Include an IT Addendum)**

Washington State Department of Social and Health Services

Fiscal Detail

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Operating Expenditures	<u>FY 2018</u>	<u>FY 2019</u>	<u>FY 2020</u>	<u>FY 2021</u>
001-1 General Fund-State	329,000	675,000	675,000	675,000
001-C General Fund-Medicaid	329,000	675,000	675,000	675,000
Total Cost	658,000	1,350,000	1,350,000	1,350,000
Staffing	<u>FY 2018</u>	<u>FY 2019</u>	<u>FY 2020</u>	<u>FY 2021</u>
FTEs	6.0	11.0	11.0	11.0

Performance Measure Detail

Incremental Changes

Activity:	<u>FY 2018</u>	<u>FY 2019</u>	<u>FY 2020</u>	<u>FY 2021</u>
Program: 050				
E064 Nursing Home Services				
No measures submitted for package				

Object Detail	<u>FY 2018</u>	<u>FY 2019</u>	<u>FY 2020</u>	<u>FY 2021</u>
A Salaries and Wages	447,000	896,000	896,000	896,000
B Employee Benefits	164,000	321,000	321,000	321,000
E Goods and Other Services	37,000	69,000	69,000	69,000
G Travel	2,000	20,000	20,000	20,000
J Capital Outlays	0	30,000	30,000	30,000
P Debt Service	2,000	3,000	3,000	3,000
TZ Intra-agency Reimbursements	6,000	11,000	11,000	11,000
Total Objects	658,000	1,350,000	1,350,000	1,350,000

DSHS Source Detail

Overall Funding

Operating Expenditures	<u>FY 2018</u>	<u>FY 2019</u>	<u>FY 2020</u>	<u>FY 2021</u>
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Fund 001-1, General Fund-State

Sources Title

0011 General Fund State	329,000	675,000	675,000	675,000
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Total for Fund 001-1 329,000 675,000 675,000 675,000

Fund 001-C, General Fund-Medicaid

Sources Title

19UL Title XIX Admin (50%)	329,000	675,000	675,000	675,000
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Total for Fund 001-C 329,000 675,000 675,000 675,000

Total Overall Funding 658,000 1,350,000 1,350,000 1,350,000