



Assisted Living Report Card Advisory Group

Monday, October 23, 12:00p.m. -2:00p.m.

Organizations represented on the Advisory Group

- AARP Minnesota
- Alzheimer's Association
- Care Providers of Minnesota
- Diverse Elders Coalition (Minnesota Leadership Council on Aging)
- Elder Voice Family Advocates
- LeadingAge Minnesota
- Managed Care Organizations
- Minnesota Board on Aging
- Minnesota Department of Health
- Minnesota Elder Justice Center
- Ombudsman for Long Term Care
- Stratis Health

Review of 2023 Advisory Group meeting topics

- Topics covered in recent meetings include:
 - Planning for AL Report Card website launch
 - Building resident quality of life and family satisfaction survey measures
 - Planning for 2023-2024 round of resident quality of life and family satisfaction surveys
 - Building measures from AL licensing survey data: resident health, safety, and staffing measures
 - Exploring the use of maltreatment investigations findings for quality measures

Meeting agenda

Topic	Presenter	Time
Updates on AL Report Card launch	DHS	12:10pm-12:30pm
Recommendations for resident quality of life and family satisfaction measures	UMN & DHS	12:30pm-1:05pm
Updates on building an AL Report Card measure from MDH investigations data	MDH & UMN	1:05pm-1:55pm
Next steps and closing	DHS	1:55pm-2:00pm



Updates on Assisted Living Report Card launch

Plans for AL Report Card website launch

Timeline	Milestone
Nov. 2023	AL Report Card soft launch – 2023 resident and family survey ratings are published.
Dec. 2023	DHS announces AL Report Card launch to the public.
Jan. 2024	Vital Research begins 2024 round of rolling data collection.
Apr. 2024	1 st set of licensing and investigations ratings are published.
Jul. 2024	1 st set of 2024 resident and family survey ratings are published.

Plans for AL Report Card Advisory Group

- We plan to hold quarterly AG meetings through at least summer 2024.
- How the AG can support the AL Report Card work ongoing:
 - Attend meetings and provide feedback.
 - Assist with testing the AL Report Card website.
 - Publicize the AL Report Card to your agency members once the launch of the report card is publicly announced.

Assisted Living Report Card website demo



Follow-up recommendations for resident and family surveys

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Agenda

- Recommendation for star ratings scoring
- Recommendations for how to address missing data

Star ratings for resident and family surveys

- 5 stars: Mean plus 1 ½ standard deviations OR top 7% of facilities
- 4 stars: Mean plus ½ to 1 ½ standard deviations
- 3 stars: mean plus or minus ½ standard deviations
- 2 stars: Mean minus ½ to 1 ½ standard deviations
- 1 star: Mean minus 1 ½ standard deviations

Star Rating	1	2	3	4	5
Resident Survey	42	70	173	137	32
Family Survey	33	101	184	115	33

Recommendations for how to handle missing data



- **Individual-level:** For each individual survey, half or more questions in each domain must be answered for that survey to have a valid score for that domain.



- **Facility-level:** To arrive at a facility-level score:
 - Use the mean score for all valid surveys
 - If the number of valid surveys in a domain is <50% of the target minimum survey count (set by MOE), we do not report that domain's score for that facility
 - A facility may have scores for less than the full set of 10 (9 domains + composite)

Recommendation for domain scoring



- **Leave finances domain out of the composite score for resident QOL rating.**
 - At a 50% missingness threshold, very few facilities will be able to have this domain reported.
 - Finances domain will still be displayed on the report card as its own score for facilities to have reportable data in this domain.



DHS updates on resident and family survey measures

Decisions regarding resident and family survey measures

- Resident quality of life and family satisfaction ratings will be risk adjusted by geography (Twin Cities vs. Greater MN) only.
- Resident and family ratings will be updated quarterly throughout the data collection process.
- Decision was made not to add a gated question to the food domain on resident surveys. We have made all other changes to the resident and family surveys recommended by Vital Research.



OHFC Update

AL Report Card Workgroup

Daphne Ponds | MDH-OHFC Director

Maltreatment is defined as **abuse, neglect, and financial exploitation.**

Abuse (physical, sexual, verbal, and abusive treatment)

- Hitting, slapping, sexual contact, oral or written gestures, etc.
- Confinement, seclusion, restraints

Neglect

- Failure to provide care and services which are reasonable and necessary

Financial Exploitation

- Unauthorized spending, withholding or disposing funds, theft of personal property
- Drug diversion

Investigative Protocols

OHFC investigators follow a detailed investigative protocol to guide their investigation process.

Investigation Basics:

Tour of the facility with observations, interviews, and record reviews with any post-onsite follow-up needed, like hospital medical records, contact with law enforcement, etc.



Maltreatment Investigation Outcome Definitions

Not Substantiated” means:

An investigatory conclusion indicating the preponderance of evidence shows that an act meeting the definition of maltreatment did not occur.

Inconclusive: Minnesota Statutes, section 626.5572, Subdivision 11.

"Inconclusive" means there is less than a preponderance of evidence to show that maltreatment did or did not occur.

Substantiated: Minnesota Statutes, section 626.5572, Subdivision 19.

“Substantiated” means a preponderance of evidence shows that an act that meets the definition of maltreatment occurred.

Maltreatment investigations

Since 2019, submission of state licensed only facility complaints continue to rise with approximately 10,000 complaints received in 2022 (mostly assisted living complaints).

Historically, OHFC averages between 850-930 completed complaint investigations annually.

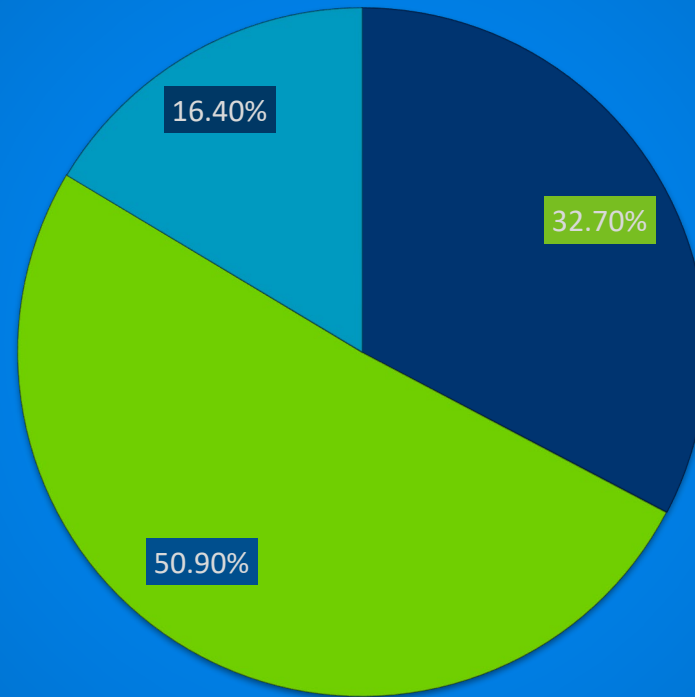
Reports vs. Complaints

In 2022, approximately 55% of state licensed only facility complaints received by OHFC were from non-providers, while approximately 45% were reports received from facilities as “self-reports.”

Regardless of whether a complaint is a provider report or a complaint, OHFC investigation protocol is the same with the exception that the provider is NOT contacted before the investigation for information or told whether the complaint will be investigated to keep the complaint visit unannounced as required by statute.

Maltreatment Investigation Outcomes

Sep-23



■ Substantiated ■ Not Substantiated ■ Inconclusive

State Reconsideration

MDH received the following reconsideration request in 2023 thus far:

- 84 state licensing orders
- 7 license denials
- 14 renewal fines
- 36 maltreatment determinations

Thank You!

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Findings and recommendations for investigations data

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Main question

- Should substantiated maltreatment findings stand alone or be combined with another domain, like safety?

Sample

- Study sample consists of **2,092 facilities** with a total of **8,440 tags**.
- Within this set, **105 facilities received a substantiated maltreatment finding**, while **1,987 did not**.
- Comparison group: facilities with documented findings vs those without investigations findings, regardless of whether they have deficiency tags.

How we calculated scores to compare facilities

- CMS calculates a health inspection score based on points assigned to deficiencies identified at each provider's most recent recertification.
- We used the smaller values listed in this points system.

Table 1
Health Inspection Score: Weights for Different Types of Deficiencies

Severity	Scope		
	Isolated	Pattern	Widespread
Immediate jeopardy to resident health or safety	J 50 points* (75 points)	K 100 points* (125 points)	L 150 points* (175 points)
Actual harm that is not immediate jeopardy	G 20 points	H 35 points (40 points)	I 45 points (50 points)
No actual harm with potential for more than minimal harm that is not immediate jeopardy	D 4 points	E 8 points	F 16 points (20 points)
No actual harm with potential for minimal harm	A 0 point	B 0 points	C 0 points

Finding 1

When compared to facilities without findings, facilities with substantiated maltreatment findings consistently have significantly higher deficiency scores per facility level.

All observed differences in deficiency scores are statistically significant except for the staffing domain.

Analysis results

- Mean facility-level deficiency score- **all categories**

Investigation Findings	Mean	SD	Min	Max	P-value
No Finding	49.96	85.59	0	764	<.001
With Finding	82.41	78.54	4	326	<.001

- Mean facility-level deficiency score- **staffing**

Investigation Findings	Mean	SD	Min	Max	P-value
No Finding	9.09	21.71	0	318	p=0.82
With Finding	8.53	14.69	0	64	p=0.82

Analysis results

- Mean facility-level deficiency score- **health outcomes**

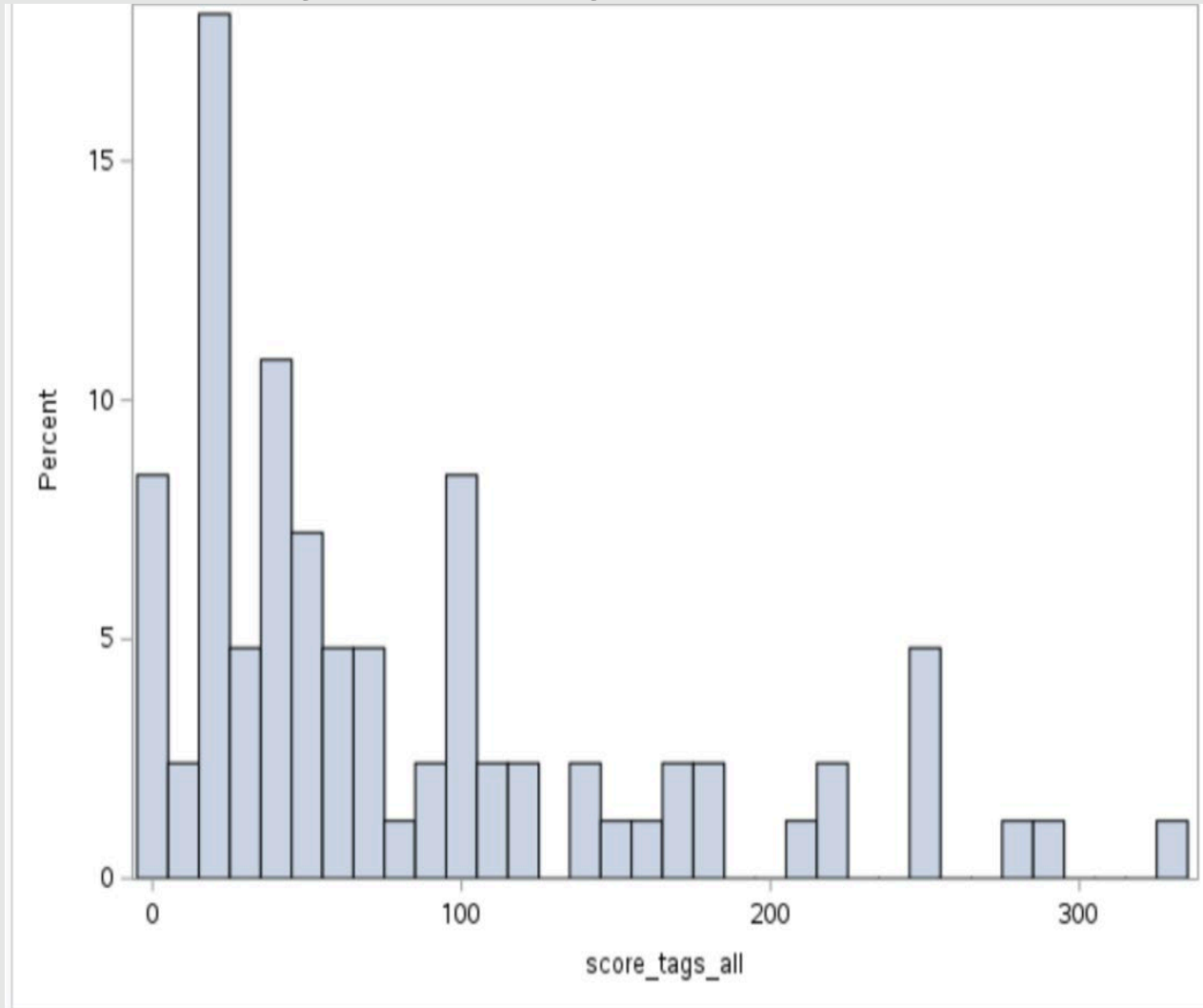
Investigation Findings	Mean	SD	Min	Max	p-value
No Finding	15.03	33.00	0	316	<.001
With Finding	32.12	37.93	0	179	<.001

- Mean facility-level deficiency score- **safety**

Investigation Findings	Mean	SD	Min	Max	P-value
No Finding	25.83	41.64	0	254	<.001
With Finding	41.76	45.78	0	222	<.001

Finding 2

With investigation finding in total overall score



- The majority of scores for facilities without findings cluster within the range of 0-10 (indicating more minor tags).
- The range of scores for facilities with findings indicates more major tags.

Recommendations

- **We recommend showing substantiated maltreatment findings as a separate measure.**
 - There is no scope & severity score assigned to a substantiated maltreatment finding
 - We propose that findings should be shown as Y or N along with a link to the investigation letter
- How to address appeals:
 - The scores will be published if there is an appeal in progress.
 - The scorecard will be updated in a timely manner if a substantiated maltreatment finding is overturned.



Questions & discussion



Next steps and Q&A

Next steps for the Advisory Group

- DHS will reach out via e-mail in the coming weeks to provide updates on the Assisted Living Report Card launch.
- Today's meeting slides and notes will be posted to the project webpage:
www.mn.gov/dhs/assisted-living-report-card
- Our next meeting is January 8, 2pm-4pm. Topics will likely include:
 - UMN updates on licensing survey measure development.
 - DHS updates on Assisted Living Report Card website launch.
 - Vital Research updates on 2024 resident and family surveys.



Questions?

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