

OMB # 0935-0099  
EXPIRES: 09/30/97

PSF ID #: \_\_\_\_\_

INTERVIEWER NAME: \_\_\_\_\_

INTERVIEWER ID: \_\_\_\_\_

DATE OF INTERVIEW: \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
MONTH DAY YEAR

TIME INTERVIEW BEGAN: \_\_\_\_\_ am/pm

Department of Health and Human Services  
Public Health Service  
Agency for Health Care Policy and Research  
and  
National Center for Health Statistics

MEDICAL EXPENDITURE PANEL SURVEY

NATIONAL NURSING HOME EXPENDITURE SURVEY

NATIONAL

NEW FACILITY AND CONTINUING NEW FACILITY QUESTIONNAIRE

ROUND 3

Version 1.2

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**ROUND 3 NEW FACILITY AND CONTINUING NEW FACILITY-LEVEL INSTRUMENT,  
Version 1.2, December 19, 1996**

**FACILITY-LEVEL INSTRUMENT**

The Round 3 continuing new facility-level instrument for new facilities fielded in Round 2 is divided into three sections:

- FB** Facility Structure and Characteristics. This section updates certification status of continuing NFs and collects information about physicians and groups in NFs.
- FG** is the Facility Records Organization Grid. It includes prompts for identifying the various records the facility maintains with resident data, and for obtaining access to the records and to facility staff members in charge of the records.
- MD** Missing Data. If end-of-year staffing information is not immediately available, it is flagged by CAPI for data retrieval and will appear in this section.

Preceding the instrument itself are 3 documents:

- **Face Sheet.** This includes selected data items from Round 2 for Continuing New Facilities: SPs, respondents, and facility parts.
- **Place Roster.** This is a list of all the places identified in the course of work in the facility. It is used as a tool initially in the structure section for complex facilities, to enumerate all their parts, classify them, and determine their eligibility and relationship to the sampled facility. It grows through additions in the sample person residence history sections.
- **Respondent Roster.** A facility-level directory, it lists all potential respondents, beginning with the facility administrator and her/his title, if collected.

**FB -- FACILITY DEFINITION**

The first subsection updates the Medicaid/Medicare certification status of the continuing new facility and its eligible parts. The next subsection collects data about physicians and groups whose services are billed through the facility's basic care or ancillary rates. This subsection is asked only of new facilities. It is also in the FB section that the interviewer collects end-of-year staffing information.

**FG -- FACILITY RECORDS ORGANIZATION GRID**

The FG section prompts for collecting the names of facility records and contact persons, designed to aid the interviewer in negotiating through the facility's structure and in planning the remainder of the data collection session. The names are recorded on a paper form (the Facility Records Organization Grid or FROG).

## GENERAL SPECIFICATIONS FOR FACILITY-LEVEL INSTRUMENT

In the Facility-level Questionnaire, the concept of "facility" has several levels.

- The NEW FACILITY is the facility that has been spawned from a transfer of an SP from the sample facility to another place.
- A LARGER FACILITY may be identified in the facility-level structure section; it may include the new facility, or the new facility may itself turn out to be a larger facility.
- The structure section identifies those parts that are tentatively eligible for the study; aside from the new facility itself, these are called TENTATIVE ADDITIONS.
- All tentatively eligible "entities" (including the new facility, if it is not classified as ineligible in the structure questions) are subjected to a set of eligibility questions. Those parts that are determined to in fact be eligible, in combination, are called the ELIGIBLE FACILITY.
- If the ELIGIBLE FACILITY (or NURSING UNIT) has any beds or parts that are not certified or licensed as nursing beds, those noneligible beds are excluded from consideration in all questions about the ELIGIBLE FACILITY.

**Facility Fills.** At the outset of the Facility-level Questionnaire, where {FACILITY} appears as a fill, the current name of the new facility is displayed. However, there are a number of places in the facility and SP-level questionnaires where more precision in the fill for {FACILITY} is required. They are outlined below:

- **Eligible Facility.** This was the result of applying the Facility-level questionnaire's Structure and Eligibility sections to all potentially eligible parts associated in some way with the new facility, and determining that at least some part meets the NNHES definition of eligibility. For all intents and purposes, after the New Facility (if tentatively eligible at BOX FA12) and any tentative additions have passed through the Eligibility Block (FA19-23), the {FACILITY} fill can be safely interpreted to mean "Eligible Facility."

The actual text used to fill {FACILITY}, however, may be different than the new facility name. If the new facility turns out to be ineligible, but some part is eligible, a better fill after eligibility is determined is the name of the eligible part. (See last statement in BOX FA12, Item 7.) Instructions above FA24 direct the program to display in a header the name of each part that is determined to be eligible.

- **Eligible Unit(s).** Sometimes, particularly in complex situations or where context is especially important, the concept of "eligible facility" may be insufficient to guide the interviewer and respondent. More detail is required. For example, the SP-level Health Status question on where fractures occurred needs to refer to something more specific than the facility, if the facility includes eligible and ineligible parts. The fill for "Eligible Units" should encompass the eligible parts of the eligible facility, including any special care units. For Health Status, the most useful way to convey this display is {FACILITY/ELIGIBLE UNITS}.
- **Ineligible Units of an Eligible Facility.** Early in the Facility-level Questionnaire, an attempt is made to identify whether the facility includes any beds that are not certified or licensed for nursing care (FA25). These parts are enumerated in FA26-29. In subsequent fills for {FACILITY}, unless otherwise specified, the facility name should be followed by the phrase (excluding the {SUM OF BEDS AND UNITS IN FA28} non-nursing beds/units).
- **Larger Facility.** Some questions in the Facility-level Questionnaire require a fill for {LARGER FACILITY}. This is identified by BOXES FA5 and FA8, and flagged on the Place Roster. The Eligible Facility may be a larger facility, or may be part of a larger facility, but no more than one larger facility can be created or identified for a given new facility.
- **Ineligible Parts of Larger Facility.** Almost by definition, a larger facility has some parts that are eligible (i.e., contain certified or licensed nursing beds) and some that are not. All these parts were identified in FA11-15 in Round 1.

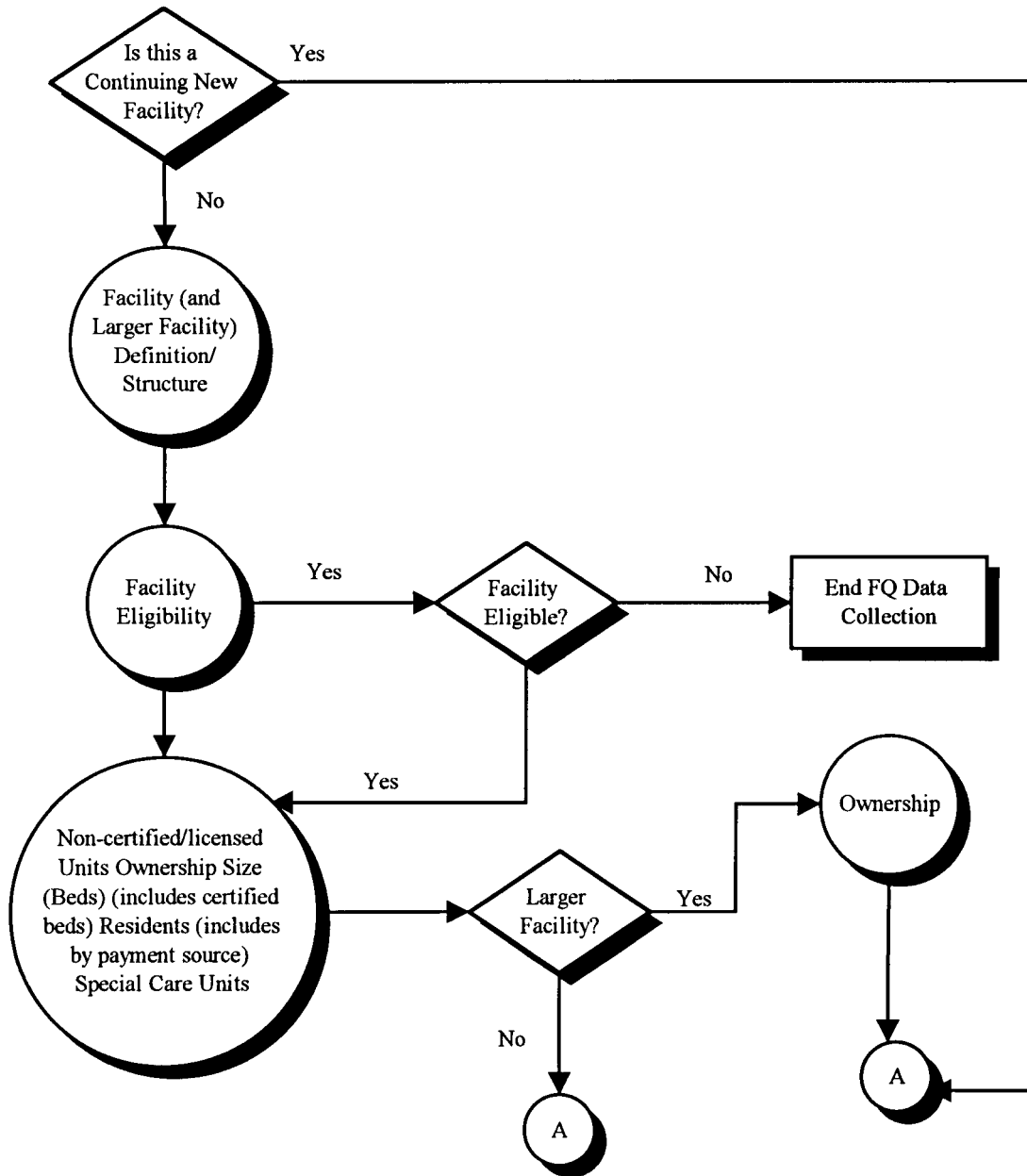
**Format.** There are three potential elements to any question: instructions before the question, the question itself (including answer categories), and instructions following the question. The first two are identified by the question number, and the last one is specified by "PROGRAMMER SPEC." or "MANAGEMENT SYSTEM SPEC." In addition to questions, there are also boxes (labelled BOX FA1, BOX FA2, etc.) that contain programmer instructions but do not include a question.

**Flow.** If no flow instructions are specified, default to the next question or box. Flow may be specified in one of two ways. Simple flow -- which depends only on the question currently being asked -- may be expressed in parentheses after the question categories. Anything more than simple flow (including flow instructions that involve missing data such as DK or REF, or that involve answers to previous questions) are expressed in a box below the question.

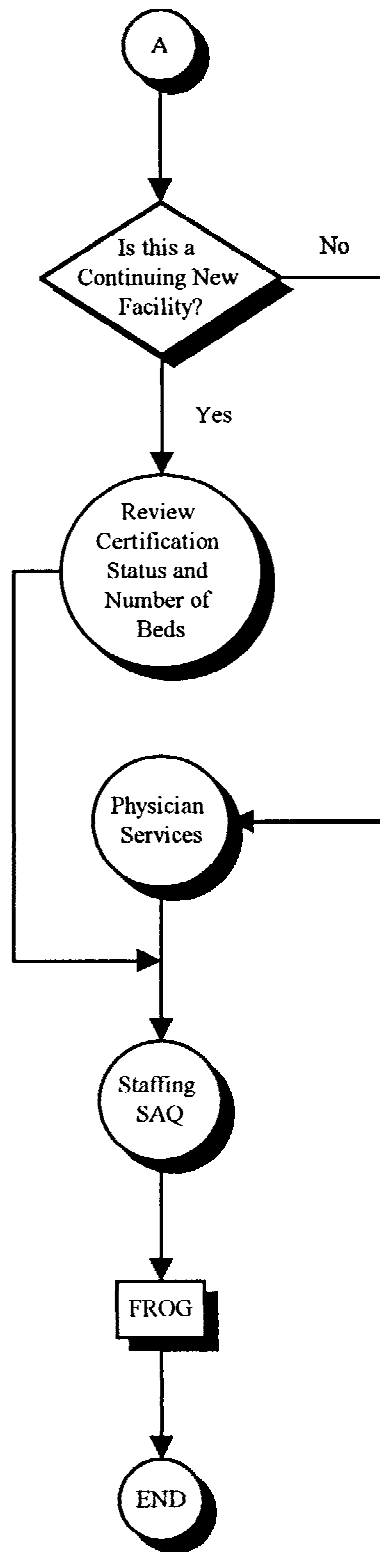
**Headers.** In a complex facility, a special header lists all eligible nursing units associated with the case, or lists the particular unit referenced in the question.

**Management System Spec. for all of the Facility-level Questionnaires:** Unless otherwise specified, allow DK and RF. Unless otherwise specified, disallow "Shift/5".

Round 3  
 New Facility and Continuous New Facility-Level Overview Flow Chart



Round 3  
New Facility and Continuous New Facility-Level Overview Flow Chart (continued)



## PLACE ROSTER

The Place Roster is a list (at the facility level) of all places that are mentioned in the Facility Questionnaire and the SP-level questionnaires in all rounds. At the beginning of Round 1, it is initialized with the FACILITY name. The Locator Code is set as NEW FACILITY, Status is set to ELIGIBLE, and Place Type is set to ELIGIBLE LTC. Locator code and status are flags. (For Place Roster displays, only the name and place type are shown in text.)

- The NNHES status categories are ELIGIBLE, INELIGIBLE, and ON NHPI. (See BOX FA12, p. 38.) When a place's NNHES status has been determined as ELIGIBLE, an asterisk should be placed immediately to the left of that place, designating that .NNHESSTAT is ELIGIBLE.
- The NNHES locator codes for sampled facilities are:
  1. NEW FACILITY
  2. NEW FACILITY, PART OF LARGER FACILITY
  3. NEW FACILITY AND LARGER FACILITY
  4. LARGER FACILITY
  5. PART OF LARGER FACILITY
  6. PART OF NEW FACILITY
  7. OTHER

For place type categories, see BOX FA11 (p. 36).

Three levels of potential interest are pinpointed in the Facility-level Questionnaire: the eligible long-term care place, the larger place it is part of, and the parts within the long-term care place.

The Place Roster arrays these three levels in a hierarchy. First is the LARGER FACILITY (if any), followed by all the parts whose NNHES statuses are ineligible. Next is the NEW FACILITY, followed by the parts within it -- first those that are eligible, followed by any that are ineligible. (The NEW FACILITY may itself be a larger facility, with nursing units contained within; each nursing unit may have special units within it. But we don't expect or allow more than one LARGER FACILITY per case.)

The nesting units within a larger facility are indented under the largest entity. For example, if the larger facility is a CCRC, then the Place Roster will display:

PLACE NAME	PLACE TYPE
CCRC	INELIG LTC
Nursing Unit	ELIG LTC
Assisted Living Unit	INELIG LTC
Residential Units	COMMUNITY
Riverside Hospital	HOSPITAL

If there are special care units within an eligible long-term care unit, they will be nested within the nursing unit on the Place Roster. An example below:

PLACE NAME	PLACE TYPE
CCRC	INELIG LTC
Nursing Unit	ELIG LTC
General Population Unit	ELIG LTC
Alzheimer Unit	ELIG LTC
Assisted Living Unit	INELIG LTC
Residential Units	COMMUNITY
Riverside Hospital	HOSPITAL

Additions to the Place Roster from the SP-level questionnaires are placed after the parts of the NEW FACILITY. HOSPITALS precede other PLACE TYPES. Order by ascending code (following the code structure of FA6, p. 22). For other place types, order by ascending code (following the code structure of FA12, p. 26).

In the SP-level questionnaires, any unit can be selected. However, if the interviewer selects the CCRC in the first example, or the CCRC or the nursing unit in the second example, we will display a soft range error message that asks the interviewer to verify the selection. If the selection passes the soft range message, we will use the place type for the selection in the instrument section. We want to give interviewers flexibility if their respondent cannot give the detailed unit we have mapped out. We are thinking about using color to indicate which units could be selected.

**Display Instructions**

- Do not display a facility or unit header on screens that use Place Roster. Allow 3 lines for other header information.
- Allow 5 lines for question text on screens that use Place Roster, plus a following blank line.
- Display 8 lines within the roster window plus a line for headings above, a line drawn to form the bottom of the box, and a blank following line.
- Display "\*CONSIDER THIS PLACE..." on the 21st line when there are two or more places on the Roster and at least one of them has NNHES STATUS = ELIGIBLE.
- Display interviewer instructions in screen tail (line 24).
- Allow two spaces for a checkmark to be displayed at the far left, when a place is selected from the Place Roster.
- Allow one space for an asterisk to the left of NAME, to denote places with NNHES STATUS=ELIGIBLE.
- Allow 30 spaces for NAME field.
- Allow 4 spaces to separate NAME and ALSO KNOWN AS... fields.
- Allow 20 spaces for ALSO KNOWN AS... field.
- Allow 4 spaces to separate ALSO KNOWN AS... and PLACE TYPE fields.
- Allow 10 spaces for PLACE TYPE.

**SAMPLE LAYOUT**

PLACE NAME	ALSO KNOWN AS . . .	PLACE TYPE
JORDAN HOME		INEL LTC
HORIZON HOUSE		COMMUNITY
* Samson House		ELIG LTC
√ * ALZHEIMER'S UNIT	FIFTH FLOOR	ELIG LTC
* HEALTH CARE UNIT		ELIG LTC
THOMAS WING	ASSISTED LIVING	INEL LTC
NAOMI HOUSE		INEL LTC
MERCURY HOUSE		ELIG LTC

{ \*CONSIDER THIS PLACE AS PART OF THE ELIGIBLE CASE. }

USE ARROW KEYS. ENTER = SELECT. CTRL/A = ADD. TO EXIT, PRESS ESC.

There are six types of Place Roster screens:

1. The Place Roster display for review only;
2. The full Place Roster display for selection and addition;
3. A static display of the facility parts on the Place Roster, excluding the place referenced first in the question text;
4. Dynamic display of all facility parts on the Place Roster, for selection only; and
5. A dynamic display of the eligible facility parts (i.e., NNHES Status=ELIGIBLE and Place Type=ELIGIBLE LTC) for selection only.
6. A display of all of the eligible LTC parts of the facility (i.e., RHPLACTYPE=ELIGIBLE LTC and LOCCODES 1-6 (part of the facility)).



The sample layout displayed above is for the second version of the Place Roster, the primary format used in Residence History.

Table 1 shows the functions that are allowed for each Place Roster version, and where each is used in the CAPI application.

Table 1. Place Roster Versions throughout the NNHES Application

	<u>Description</u>	<u>Functions Allowed</u>	<u>Location</u>
1.	All Facility Parts	Review only	F2, FA16a, FA30a, FA66a
2.	All places	Select, add	RH21
3.	All "other" facility places	NA (static list)	RH11A, RH11B, RH21C
4.	All Facility Parts	Select only	RH2B, BQ15a, IN11, RH21D
5.	Eligible parts (lowest level)	Varies	FA85PRE, SS2, SS19, RH1, FA24PRE, SS19A, SS19B
6.	All eligible parts	NA (static list)	HAO

Sample layouts of each version follow page 9 as "ATTACHMENT A".

**Version 1.** The "all facility parts" version is for review only. It's displayed whenever the F2 key is pressed throughout the application. It is also displayed at specific points in the Facility Questionnaire. In the Round 2 New Facility application they are:

- FA16a (in the Facility Structure section) following the entry of parts or units in a complex facility;
- FA30a after the identification of some non-nursing beds in the eligible units; and
- FA66a following the naming of special care units and the remainder of the nursing beds in the eligible unit(s).

The first version differs from the sample layout only in the screen tail (the bottom line on the screen): the interviewer instruction reads "USE ARROW KEYS. TO EXIT, PRESS ESC." Also note that no SP-level data are included; only facility-level places are displayed.

**Version 2.** The "all places" version for selection and addition is the full-blown Place Roster, including SP-level additions from Residence History as well as the facility-level entries. It is only accessed in Residence History: RH21 asks where the SP went (after determining a move occurred).

**Version 3.** The "all 'other' facility places" version is not a roster at all, but the static display of "other" facility parts (as a simple list, not in dynamic format). It is used in:

- RH11A and RH11B, questions that determine whether the SP has been in the SAD/TAD unit (or the place at the last interview date) the whole time; and
- RH21C, a question that is called when adding facility places in residence history, to determine if the added place is also known by any of the names for parts of the facility that were already enumerated.

The list of all other facility-level units is displayed (i.e., the unit referenced in the question text is excluded).

The third version display differs markedly from Version 2: only the Place Name and the Also Known As... entry are displayed, and only for places that are collected at the facility level. Furthermore, the RH displays exclude the place referenced first in the question text. There are no asterisks or checkmarks, no indentation, no place type, no footnote for eligible parts of the case, and no interviewer instructions at the bottom.

**Version 4.** Like Version 1 -- it displays all facility parts -- but it allows selection. Two items in the SP-level instruments in New Facilities access this Place Roster display:

- RH2B captures residence at Transfer Admit Date;
- RH21D determines which part of the facility is the same as the place added in RH21;

The display includes an additional line at the bottom of the list, for "OTHER PLACE." (The display for RH21D is an exception; no "OTHER PLACE" choice is displayed for RH21D.) The asterisks are omitted, and there is no footnote beneath the list. The screen tail omits the instruction regarding additions.

**Version 5.** The fifth type of Place Roster display, the "eligible parts" version, is used in several places to present only the eligible parts of the facility -- that is, places with NNHES STATUS=ELIGIBLE and PLACE TYPE=ELIGIBLE LTC -- at the lowest level reported. (For example, in the sample layout, only the Alzheimer's Unit and the Health Care Unit would be displayed.)

Eligible parts, including the SAMPLE FACILITY, are listed in FA24PRE. These places are, thereafter, listed in the "special" header, right justified. Eligible parts are listed in FA85PRE (the SAQ item) to help the interviewer record the eligible parts on the SAQ form. The asterisks and footnote are omitted from the display.

Version 5 takes a different form for each appearance. In FA85PRE it is presented as a static list.

**Version 6.** The last type of Place Roster display includes all eligible LTC parts of the facility that were identified as part of the facility during the administration of the facility structure of the FQ and any that were subsequently added in Residence History. These are places where RH PLACTYPE=ELIGIBLE LTC and LOCCODE=1-6 (part of the facility).

These eligible LTC parts of the facility are displayed as list at HAO.

**Place Roster Updates.** As noted above, the Place Roster is initialized with the New Facility name. Additions or changes to the Place Roster can occur at the following points in the application:

- FAVERIF1 (name updates for SF/NF)
- BOXES FA5, FA7, FA8 (set locator code, hence order of places on Roster)
- FA11-14 (adds parts or units in complex facilities)
- BOXES FA10, FA11, FA12, and FA16 (set locator code, status code, and place type)
- FA26, FA27 (add non-nursing units within eligible units)
- FA55, FA56 (add special care units)
- FA66 (adds name for remainder of eligible units)
- RH21 (adds name of place SP went to)
- RH21C (determines if added place is same as a facility unit already listed)

**ATTACHMENT A**

**SAMPLE LAYOUT OF PLACE ROSTER**

Place Roster Version 1 - Used at F2, F16a, FA30a, FA66a  
Parts are indented according to facility hierarchy.  
Asterisks are displayed for eligible facility parts in F2, FA30a, FA66a

PLACE NAME

ALSO KNOWN AS...PLACE TYPE

Displays all facility parts  
For Review Only

{\*CONSIDER THIS PLACE AS PART OF THE ELIGIBLE CASE.}  
USE ARROW KEYS. TO EXIT, PRESS ESC.

**Place Roster Version 2** - Used at RH21  
Parts are indented according to facility hierarchy.

SELECT ONE.

PLACE NAME

ALSO KNOWN AS...PLACE TYPE

Displays all places - facility and non-facility places  
Select and add allowed

\*CONSIDER THIS PLACE AS PART OF THE ELIGIBLE CASE.

USE ARROW KEYS. ENTER=SELECT/DESELECT CTRL/A=ADD CTRL/D=DELETE ESC=EXIT

**Place Roster Version 3** - Used at RH11A, RH11B, RH21C  
Displays all other facility parts as a list, not a roster. List is displayed flush left below the Q text, above the input field.  
In RH11A and RH11B, excludes the current place displayed in question text.  
In RH21C, excludes the added place displayed in question text.

**Place Roster Version 4** - Used in RH21D  
No parts are indented.  
No asterisks are displayed.

SELECT ONE.

PLACE NAME

ALSO KNOWN AS...PLACE TYPE

Displays all facility parts  
Selection only is allowed  
SOME OTHER PLACE is displayed for BQ15A, IN11 only

USE ARROW KEYS. TO SELECT/DESELECT, PRESS ENTER. TO EXIT, PRESS ESC.

ATTACHMENT A (cont.)

**Place Roster Version 5** - Used in FA24PRE, FA85PRE

Displays the lowest level of eligible parts of the facility (NNHES STATUS=ELIGIBLE and PLACE TYPE=ELIGIBLE LTC).

No asterisks are displayed.

**At FA24PRE and FA85PRE** Version 5 is displayed as a list, with the lowest level eligible facility parts all displayed flush left.

SELECT ONE.

PLACE NAME

ALSO KNOWN AS...PLACE TYPE

Displays lowest level eligible facility parts Selection only is allowed IN FACILITY - CAN'T TELL WHERE SOME OTHER PLACE
--

USE ARROW KEYS. TO SELECT/DESELECT, PRESS ENTER. TO EXIT, PRESS ESC.

**Place Roster Version 6** - Used in HAO.

Displays all of the eligible LTC parts of the facility where RH PLACTYPE=ELIGIBLE LTC and LOCCODE=1-6 (part of the facility). The places are displayed as a list, flush left.

These update points play a role in the design of the F2 function, reviewing the Place Roster at any point in the application. When F2 is invoked, the Place Roster as it existed at the latest update point should be displayed.

**Flow for Residence History Additions to the Place Roster**

All RH21 additions to the Roster go immediately to RH21B.

RH21B  
Display as an overlay.

RH21B	
CHOOSE A CODE	
PART OF LARGER FACILITY .....	5
PART OF SAMPLE FACILITY .....	6
OTHER .....	7
	(SET A FLAG TO INDICATE THIS IS AN ADDITION AND GO TO RH22)

RH21C	
Is {CURRENT PLACE} also known by any of these names -- [READ PLACE NAMES BELOW]?	
{PLACE ROSTER VERSION 3}	
YES .....	1
NO .....	0 (BOX RH14)
DK .....	-8 (BOX RH14)
RF .....	-7 (BOX RH14)

RH21D	
Which name is {CURRENT PLACE} also known by?	
{PLACE ROSTER VERSION 4}	

PROGRAMMER SPECS:  
When a selection is made, delete the new line on the Place Roster.

RH21E

YOU HAVE SELECTED {PLACE NAME}.  
DO YOU WANT TO DISPLAY {PLACE NAME ADDED IN RH21}  
IN THE "ALSO KNOWN AS..." FIELD?

YES ..... 1  
NO ..... 0

PROGRAMMER SPECS:

If RH21E=1, post first 20 characters of {RH21 PLACE NAME} to "ALSO KNOWN AS..." field for selected place.  
Then (for all responses to RH21E), set a flag to indicate this is a selection (rather than an addition), and go to BOX RH13.

BOX RH14	SET A FLAG TO INDICATE THIS IS AN ADDITION, SET LOCATOR CODE ACCORDING TO ENTRY IN RH21B, AND GO TO RH21F.
-------------	---

RH21F

SHOW  
CARD  
RH2

What type of (place/unit) is that?

NURSING HOME/UNIT OR REHABILITATION UNIT ..... 4  
HOSPITAL ..... 6 (RH21)  
ASSISTED LIVING FACILITY ..... 8 (RH21)  
BOARD AND CARE HOME ..... 9 (RH21)  
DOMICILIARY CARE HOME ..... 10 (RH21)  
PERSONAL CARE HOME ..... 11 (RH21)  
REST HOME ..... 12 (RH21)  
INDEPENDENT LIVING UNITS ..... 14 (RH21)  
MENTAL HEALTH/PSYCHIATRIC SETTING ..... 15 (RH21)  
OTHER (SPECIFY: \_\_\_\_\_) ..... 91 (RH21)

PROGRAMMER SPECS:

Disallow DK and RF.

Assign NNHES status code to "INELIGIBLE" and NNHES PLACE TYPE as in BOX FA11.

RH21G

SHOW  
CARD  
RH4

Is it a special care unit, such as those listed on this card?

YES .....	1	
NO .....	0	(RH21I)
DK .....	-8	(RH21I)
RF .....	-7	(RH21I)

RH21H

Display as an overlay to RH21G

RH21H

What kind of special care unit is {UNIT NAME}?

ALZHEIMER'S AND RELATED DEMENTIAS .....	1
AIDS/HIV .....	2
DIALYSIS .....	3
CHILDREN WITH DISABILITIES .....	4
BRAIN INJURY (TRAUMATIC OR ACQUIRED) .....	5
HOSPICE .....	6
HUNTINGTON'S DISEASE .....	7
REHABILITATION .....	8
VENTILATOR/PULMONARY .....	9
OTHER (SPECIFY:_____)	91

PROGRAMMER SPECS:

Disallow DK and RF.

BOX RH14A omitted.

RH21I

In what year did the unit begin operation?

YEAR 19( )

PROGRAMMER SPECS:

Soft range: 87-95; hard range 00-97,

BOX RH14B omitted.

RH21Ja

Is the unit still in operation?

YES .....	1	(RH21K)
NO .....	0	(RH21J)
DK .....	-8	(RH21K)
RF .....	-7	(RH21K)

RH21J

When did the unit end operations?

YEAR 19( )

PROGRAMMER SPECS:  
 Soft range: 87-95; hard range 00-97,  
 If RH21J is less than RH21I, display the following error message at the bottom of RH21J, flush left:  
 YEAR ENDED CANNOT BE EARLIER THAN YEAR BEGAN. BACK UP TO CORRECT.

BOX RH14C omitted.

RH21K  
 If RH21Ja = 1, display "are"; else display "were".

RH21K

How many beds {are/were} dedicated to {UNIT NAME}?

\_\_\_\_\_  
 NO. OF BEDS

PROGRAMMER SPECS:  
 Soft range: 3-100; hard range 0-500.

BOX RH14Ca	If RH21Ja=0, go to RH21M; else go to RH21L.
---------------	--



RH21L

How many residents were in {UNIT NAME} at midnight last night?

\_\_\_\_\_  
NO. OF RESIDENTS

**PROGRAMMER SPECS:**

Soft range: 3-100; hard range 0-500.

RH21M

If RH21Ja = 1, display "Does; else display "Did".

RH21M

{Does/Did} {UNIT NAME} have direct care patient staff dedicated to it?

YES ..... 1  
NO ..... 0

BOX RH14D	For all responses, set a flag to indicate this is a selection (rather than an addition), and go to BOX RH13.
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In RH21, besides the capability of adding a place to the Roster, the interviewer has the ability to use arrow keys and add or overwrite an entry in the "ALSO KNOWN AS..." field for an existing line.

**The Use of Places in SP-level Section Headers**

There are no place headers in Residence History. All other SP-level sections feature a header that includes the eligible LTC places in this facility (i.e., places with NNHES status=eligible) where the SP resided during the reference period. The only exception is screens that include the Place Roster; these screens have no places in the header.

For screens that don't include the Place Roster in HS, PM, BQ, IN, IA, USE, EX, and CRR, the eligible unit where the SP lived during the reference period is displayed right-justified on the second line of the screen. If the SP lived in three or four eligible units during the reference period, they are right-justified on the third, fourth, and fifth lines. If the SP lived in more than four eligible units, the fifth line reads: "MORE UNITS -- USE F2" and is right-justified.

**RR1-7  
RESPONDENT ROSTER**

The Respondent Roster is a list (at the facility level) of all respondents (and potential respondents) identified in the course of data collection.

In the course of the CAPI application, every point that calls for an addition to be made to the Respondent Roster is signalled by a question, such as "Who is ...?" or "What is the name of the ...?" The entry to such a question is automatically posted to the NAME cell on the next available line of the Respondent Roster, the interviewer is presented with the roster screen, and the cursor is in the title cell for the roster addition.

In the title cell the interviewer can enter the title code from memory, and the text for the category should be displayed in the roster. If the interviewer escapes from the roster and the title cell is not filled, the RR2 question is presented as specified at various points throughout the Facility Questionnaire. The question is formatted as a choice roster with answer categories (codes and text) displayed as formatted on the following page. After an entry is made, it should be posted to the respondent roster in the title cell next to the appropriate name.

**SAMPLE LAYOUT**

RESPONDENT ROSTER	
RR1 NAME	RR2 TITLE

RR2

Fill with entry in RR2.

Display the following list of codes in an F1 screen:

HEALTH CARE AND MEDICAL RECORDS STAFF TITLES

- 01 = Director Of Nursing/VP Of Nursing
- 02 = Assistant Director Of Nursing
- 03 = Head Nurse/Nurse Supervisor/Charge Nurse
- 04 = Nurse, Floor/Shift
- 05 = Social Worker/Case Worker/Activities Coordinator Or Director
- 06 = Medical Records Clerk/Supervisor/Director
- 07 = Nurses Aide

MDS/QUALITY CONTROL TITLES

- 11 = MDS Coordinator/Nurse
- 12 = Case Mix Coordinator/Nurse
- 13 = Care Plan Coordinator/Nurse
- 14 = Quality Assurance Coordinator

ADMINISTRATIVE TITLES

- 21 = Owner
- 22 = Administrator/Executive Director
- 23 = Assistant Administrator/Administrator In Training
- 24 = Medical Director
- 25 = Admissions Director/Coordinator
- 26 = Human Resources Staff Member
- 27 = VP For Operations
- 28 = Administrative Assistant/Secretary/Receptionist

BUSINESS OR FINANCE TITLES

- 30 = VP For Finance
- 31 = Controller/Comptroller
- 32 = Business Office Manager
- 33 = Accounting Supervisor
- 34 = Accounting/Billing Or Accounts Receivable Clerk/Bookkeeper
- 35 = Electronic Data Processing Staff Member
  
- 91 = OTHER (SPECIFY:\_\_\_\_\_)

RR2

What is {RESPONDENT'S NAME}'s title or position?  
SELECT ONE.

{TITLE CATEGORIES}

PROGRAMMER SPECS:

When the code for title is entered, the text for the category should be displayed in the roster.

MANAGEMENT SYSTEM SPECS:

If missing, prompt for Title the first time a respondent is selected from the roster.

RR3-5 omitted.

## **FACILITY SET-UP SCREENS**

The following series of screens precede the facility-level application, as part of the management system:

SCREEN FOR SELECTING FACILITY (PART OF MANAGEMENT SYSTEM)

SCREEN TO CONFIRM YOU WANTED TO SELECT THIS FACILITY (PART OF MANAGEMENT SYSTEM)

WITHIN-FACILITY NAVIGATION SCREEN: SELECT FACILITY-LEVEL QUESTIONNAIRE

SELECT FACILITY-LEVEL QUESTIONNAIRE RESPONDENT FROM RESPONDENT ROSTER

**SECTION FA. FACILITY DEFINITION**

BOX FA0	If the facility is a continuing new facility, that is, it was identified as a new facility in Round 1, go to BOX FB1A; else Go to BOX FA1.
---------	---

BOX FA1	If FA1-FA18 have already been completed, but ELIGIBILITY BLOCK (FA19-22) has not been completed for all facility parts, and a respondent is selected who was entered in FA18, go to FA17, p. 39. Others, go to FAVERIF1.
---------	---

**FAVERIF1**

{FACILITY} fill in either the name of the new facility from the NHPI, or a modification entered in the course of updating. Display the NF name right justified on the top line header. This header continues throughout the FQ and sampling except where noted.

FAVERIF1	
Before we begin, I need to verify that I'm in the right place and that our information about you is correct.	
Is {FACILITY} the <u>exact</u> name of this facility?	
YES .....	1
NO .....	0
DK .....	-8
RF .....	-7

**PROGRAMMER SPECS:**

If 0 is entered in FAVERIF1, present NAME UPDATE SCREENS. The first NAME UPDATE screen is an overlay to FAVERIF1:

What is the exact name of this facility?

\_\_\_\_\_

FACILITY NAME

Set a flag to indicate a change has been made. Use the updated FACILITY name for FACILITY. Fill in all questions that follow. The second UPDATE screen captures the reason for change:

REASON FOR NAME UPDATE:

- CORRECTING A TYPOGRAPHICAL ERROR ..... 1
- CORRECTING SOME OTHER KIND OF ERROR ..... 2
- SPECIFYING MORE COMPLETE INFORMATION ..... 3
- FACILITY CHANGED ITS NAME  
WHEN BOUGHT BY ANOTHER COMPANY ..... 5
- FACILITY CHANGED ITS NAME FOR SOME OTHER REASON 6
- OTHER (SPECIFY: \_\_\_\_\_) ..... 91

MANAGEMENT SYSTEM SPECS:

If DK or RF are entered in root question, flag FAVERIF1 root question for retrieval from another respondent in this facility.

FAVERIF2 moved.

<p>FAVERIF3</p> <p>Is {FACILITY}'s address...</p> <p style="padding-left: 40px;">{ADDRESS1}</p> <p style="padding-left: 40px;">{CITY, STATE ZIP}?</p> <p style="padding-left: 80px;">YES ..... 1</p> <p style="padding-left: 80px;">NO ..... 0</p> <p style="padding-left: 80px;">DK ..... -8</p> <p style="padding-left: 80px;">RF ..... -7</p>
--

MANAGEMENT SYSTEM SPECS:

If DK or RF are entered in root question, flag FAVERIF3 root question for retrieval from another respondent in this facility.

<p>BOX FA1a</p>	<p>If 0 is entered in FAVERIF3, review address fields. If interviewer pressed enter on each and all fields, go to FAVERIF4. Else, present ADDRESS UPDATE SCREEN. Set a flag to indicate a change has been made. The ADDRESS UPDATE screen collects the reason for change.</p>
---------------------	---

REASON FOR ADDRESS UPDATE: ( )

CORRECTING A <u>TYPOGRAPHICAL ERROR</u> .....	1
CORRECTING SOME <u>OTHER KIND OF ERROR</u> .....	2
SPECIFYING <u>MORE COMPLETE INFORMATION</u> .....	3
FACILITY <u>MOVED TO A DIFFERENT ADDRESS</u> .....	7
FACILITY <u>CHANGED ITS ADDRESS FOR</u> SOME <u>OTHER REASON</u> .....	8
OTHER (SPECIFY: _____) .....	91

FAVERIF4

Display "Is ADMINISTRATOR'S NAME" if any name coded 22 on RESPONDENT ROSTER, other than current respondent. Else, display "Are you."

FAVERIF4

{Is ADMINISTRATOR'S NAME/Are you} the current administrator of {FACILITY}?

YES .....	1
NO .....	0
DK .....	-8
RF .....	-7

PROGRAMMER SPECS:

If 0 is entered in FAVERIF4, go to RR1 with this question text displayed:

What is the current administrator's name?

After the NAME has been entered and the TITLE confirmed, return to FAVERIF4 at the ADMINISTRATOR UPDATE SCREEN. The UPDATE screen captures the reason for the change:

REASON FOR ADMINISTRATOR NAME UPDATE: ( )

CORRECTING A <u>TYPOGRAPHICAL ERROR</u> .....	1
CORRECTING SOME <u>OTHER KIND OF ERROR</u> .....	2
SPECIFYING <u>MORE COMPLETE INFORMATION</u> .....	3
FACILITY <u>CHANGED ADMINISTRATORS</u> .....	4
OTHER (SPECIFY: _____) .....	91

Set a flag to indicate a change has been made. The UPDATE screen includes a prompt for reason for change.

MANAGEMENT SYSTEM SPECS:

If DK or RF are entered in root question, flag FAVERIF4 root question for retrieval from another respondent in this facility.

FAVERIF5

Is {FACILITY AREA CODE AND PHONE NUMBER} the correct phone number for {FACILITY}?

- YES ..... 1
- NO ..... 0
- DK ..... -8
- RF ..... -7

PROGRAMMER SPECS:

If FAVERIF5=0 (NO), present PHONE UPDATE SCREENS. The first PHONE UPDATE screen is an overlay to FAVERIF5. If the area code and state from FAVERIF3 (ADDR.ADDRSTAT) do not match, display the error message: "Area code and state...area code" at the bottom of the screen.

What is the phone number?

( ) ( ) - ( )

{Area code and state do not match. Verify and re-enter area code.}

The second UPDATE screen collects the reason for the change:

REASON FOR UPDATE: ( )

- CORRECTING A TYPOGRAPHICAL ERROR ..... 1
- CORRECTING SOME OTHER KIND OF ERROR ..... 2
- SPECIFYING MORE COMPLETE INFORMATION ..... 3
- FACILITY MOVED TO A DIFFERENT ADDRESS ..... 7
- OTHER (SPECIFY: \_\_\_\_\_) ..... 91

Set a flag to indicate a change has been made. (The UPDATE screen includes a prompt for reason for change.)

MANAGEMENT SYSTEM SPECS:

If DK or RF are entered in root question, flag FAVERIF5 root question for retrieval from another respondent in this facility.

FAVERIF5A

When was {FACILITY} founded?

MONTH ( ) YEAR 19( )



FAVERIF5B

Did it previously have a different name or address?

YES ..... 1  
NO ..... 0 (FAVERIF6)

FAVERIF5C

What was the previous name and address?

NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_ ZIP CODE: \_\_\_\_\_

FAVERIF5D

When did the name change occur?

MONTH ( ) YEAR 19( )

FAVERIF6

Is {FACILITY} part of a chain--that is, a group of nursing facilities operating under common management?

YES ..... 1  
NO ..... 0

PRESS F1 FOR EXPANDED DEFINITION.

BOX FA2 omitted.

FAVERIF6

Is {FACILITY} part of a chain--that is, a group of nursing facilities operating under common management?

YES ..... 1  
NO ..... 0

PRESS F1 FOR EXPANDED DEFINITION.

FA1PRE

FACILITY-LEVEL QUESTIONNAIRE

Now I have a few questions about the nature of {FACILITY} and its certification and licensing to confirm that it is eligible for this study.

PRESS ENTER TO CONTINUE.

BOX FA1PRE	If FAVERIF6 = 1 (YES, FACILITY IS PART OF A CHAIN), go to FA1A. Else, go to FA1.
---------------	---

FA1A

I understand that {FACILITY} is part of a chain -- that is, a group of nursing homes operating under common management. Setting that aside, this next question is about the physical location of the home here.

PRESS ENTER TO CONTINUE.

FA1

The layout of this screen should be a 2 column format with places arranged in groups, alphabetically within group. No group should be split across columns. Group 1 is items 3, 4, and 5; group 2 is items 6 and 7; group 3 is items 8, 9, 10, 11, and 12; items 13, 91, -8 and -7 follow. This layout should also be used in FA5.

FA1

Is {FACILITY} a free-standing nursing home?  
 PROBE: Free-standing nursing homes are not physically part of any other place or organization.

YES ..... 1 (FAVERIF2)  
 NO ..... 0 (FAVERIF2)

IF VOLUNTEERED: {FACILITY} IS ...

CONTINUING CARE		ASSISTED LIVING FACILITY .	8 (FAVERIF2)
RETIREMENT COMMUNITY		BOARD AND CARE HOME ...	9 (FAVERIF2)
(CCRC) .....	3 (BOX FA5)	DOMICILIARY CARE HOME ..	10 (FAVERIF2)
NURSING HOME/UNIT WITHIN		PERSONAL CARE HOME ....	11 (FAVERIF2)
A CCRC OR RETIREMENT		REST HOME .....	12 (FAVERIF2)
CENTER .....	4 (FA9)	HOME/MGMT. OFFICE	
RETIREMENT COMMUNITY ..	5 (BOX FA5)	FOR CHAIN/OFF-SITE	
HOSPITAL .....	6 (BOX FA5)	NURS. FAC. ....	13 (BOX FA5)
HOSPITAL-BASED SNF UNIT .	7 (FA9)	OTHER (SPECIFY:_____)	91 (FAVERIF2)
		DK .....	-8 (FAVERIF2)
		RF .....	-7 (FAVERIF2)

PRESS F1 FOR DEFINITION OF FREE-STANDING AND HOSPITAL-BASED SNFS.

MANAGEMENT SYSTEM SPECS:

If DK or RF are entered, flag FA1 for retrieval from another respondent in this facility *unless* one of the codes 3-13 or 91 is assigned in FA3 or FA5.

PROGRAMMER SPECS:

In all subsequent displays that call for a choice between the words "home" and "facility," display "facility" if FA1 = 3, 4, 5, 6, 7 or 13.

FAVERIF2

IF ALREADY KNOWN, CODE WITHOUT ASKING:

Do you prefer that I call {FACILITY} a home or a facility?

PREFERS HOME .....	1
PREFERS FACILITY .....	2
NO PREFERENCE .....	3

PROGRAMMER SPECS:

In all subsequent displays that call for a choice between the words "home" and "facility," display "home" if FAVERIF2=1 (HOME); else, display "facility."

FA2

Is {FACILITY} part of a larger {home/facility} or campus?

YES .....	1
NO .....	0
DK .....	-8
RF .....	-7

PRESS F1 FOR DEFINITION, EXAMPLES OF "LARGER" PLACES.

MANAGEMENT SYSTEM SPECS:

If DK or RF are entered, flag FA2 for retrieval from another respondent in this facility *unless* one of the codes 3-13 or 91 is assigned in FA5.

BOX FA3	If FA1 = 1 and FA2 = 0, go to ELIGIBILITY BLOCK (FA19). If FA2 = 1, go to FA3. If FA1=8, 9, 10, 11, 12, or 91, go to FA8. Others, go to FA5.
---------	---

FA3

IF ALREADY VOLUNTEERED, CODE WITHOUT ASKING:

What type of place is {FACILITY} part of?

SHOW  
CARD  
FA1

CONTINUING CARE RETIREMENT	
COMMUNITY (CCRC) .....	3
RETIREMENT COMMUNITY .....	5
HOSPITAL .....	6
ASSISTED LIVING FACILITY .....	8
BOARD AND CARE HOME .....	9
DOMICILIARY CARE HOME .....	10
PERSONAL CARE HOME .....	11
REST HOME .....	12
OTHER (SPECIFY: _____) .....	91

PRESS F1 FOR HOSPITAL DEFINITIONS.

FA4

If FA3=91, display the specified text in FA4.

FA4

What is the name of the {CATEGORY SELECTED IN FA3}?

\_\_\_\_\_

BOX FA4	Add to Place Roster, then Go to BOX FA5.
---------	---

FA5

What type of place is {FACILITY}?

SHOW  
CARD  
FA2

CONTINUING CARE RETIREMENT COMMUNITY (CCRC) .....	3 (BOX FA5)	ASSISTED LIVING FACILITY .	8 (FA8)
NURSING HOME/UNIT WITHIN A CCRC OR RETIREMENT CENTER .....	4 (FA9)	BOARD AND CARE HOME ...	9 (FA8)
RETIREMENT COMMUNITY ..	5 (BOX FA5)	DOMICILIARY CARE HOME ..	10 (FA8)
HOSPITAL .....	6 (BOX FA5)	PERSONAL CARE HOME ....	11 (FA8)
HOSPITAL-BASED SNF UNIT .	7 (FA9)	REST HOME .....	12 (FA8)
		HOME OFFICE OR MANAGE- MENT OFFICE FOR A CHAIN OR GROUP OF OFF-SITE NURSING FACILITIES .....	13 (BOX FA5)
		OTHER (SPECIFY: _____)	91 (FA8)
		DK .....	-8 (FA8)
		RF .....	-7 (FA8)

PRESS F1 FOR HOSPITAL DEFINITIONS.

BOX FA4A omitted.

FA6 omitted.

BOX FA5

BOX FA5 may be approached from FA1, FA4 (via BOX FA4), or FA5. The context is critical; it determines whether the sampled facility Locator Code is set to NEW FACILITY AND LARGER FACILITY, or whether a LARGER FACILITY is added to the PLACE ROSTER.

BOX FA5	<p>If coming from FA1; or FA5; and FA3 not = 6 (HOSPITAL): set new facility locator code = NEW FACILITY AND LARGER FACILITY. Then if FA1 or FA5=13 (HOME OFFICE), go to FA7; others, go to FA8.</p> <p>If coming from FA6, and FA3 = 6 (HOSPITAL): set the locator code for the place added to PLACE ROSTER =LARGER FACILITY; set the locator code for the new facility = NEW FACILITY, PART OF LARGER FACILITY; and go to FA8.</p>
---------	---

NOTE:

The LARGER FACILITY flag is set for a specific place on the Place Roster. It may be the sampled facility (e.g., FA1 = 5), or for a place the sampled facility is part of (e.g., FA3 = 6). No more than one place within a facility case can be classified a LARGER FACILITY.

FA7

How many nursing {homes/facilities} are associated with this home office?

\_\_\_\_\_ (BOX FA11)  
NO. OF NURSING {HOMES/FACILITIES}

DK	.....	-8	(FA11)
RF	.....	-7	(FA11)

PROGRAMMER SPECS:

Hard range: 1-200.

FA8

Display "{LARGER FACILITY name} or any of its parts" if any place coded LARGER FACILITY or NEW FACILITY and LARGER FACILITY.  
Else, display NEW FACILITY name only.

FA8

Does {LARGER FACILITY or any of its parts/FACILITY} have any beds that are certified or licensed as a nursing {home/facility}?

PROBE 1: Don't include personal care beds, board and care, domiciliary homes, or residential rest homes.

PROBE 2: Certified or licensed nursing facilities must provide 24-hour-a-day, on-site supervision by an RN or LPN 7 days a week.

YES .....	1
NO .....	0
DK .....	-8
RF .....	-7

BOX FA7	<p>If FA8=1 and no place has been coded LARGER FACILITY on Place Roster, set locator code = NEW FACILITY AND LARGER FACILITY.</p> <p>If FA8=1, go to FA11.</p> <p>Others, set NEW FACILITY NNHES STATUS=INELIGIBLE and if FA1, FA3, or FA5 = 6 (Hospital), set .RHPLACTY = HOSPITAL; else if FA1, FA3, or FA5 = 14 (INDEPENDENT LIVING UNITS) or 91 (OTHER) set .RHPLACTY = COMMUNITY; else set .RHPLACTY = INELIGIBLE LTC. Then go to Closing 1, p. 70.</p>
---------	--

FA9

Fill with entry in FA1 or FA5. If FA1 or FA5=4, fill with "CCRC or retirement center". If FA1 or FA5=7, fill with "hospital".



FA9

What is the name of the {CATEGORY SELECTED IN FA1 OR FA5}?

\_\_\_\_\_

BOX FA8	Add to Place Roster. IF FA1 or FA5=7, add HOSPITAL NAME to database. Set the locator code for the place added to Place Roster =LARGER FACILITY, and set the locator code for the sampled facility = NEW FACILITY, PART OF LARGER FACILITY. Then, if FA1 or FA5=7 (HOSPITAL-BASED SNF UNIT), go to BOX FA11. Others, go to FA11.
---------	---

FA10 omitted.

FA11-15

Display FA11-15 as a matrix.

If the sampled facility's NNHES locator code= NEW FACILITY, PART OF A LARGER FACILITY, initialize matrix with the sampled facility name on the first line in the name column. If facility is a SNF unit in a hospital or a nursing unit in a CCRC or retirement center, display "NURS HOME/UN" in PLACE TYPE. For others, display type. Don't allow changes to sampled facility.

If the new facility's locator code = NEW FACILITY AND LARGER FACILITY leave matrix blank.

If LARGER FACILITY is a hospital (FA1, 3, or 5 equals 6 (HOSPITAL) or 7 (HOSPITAL-BASED SNF UNIT)), display "Please do not include..."

FA11-12 must be answered for a given unit before an entry can be allowed in FA13-15.

SAMPLE LAYOUT

FA11-15				
FA11				
Please tell me about all the parts or units of {LARGER FACILITY} where residents stay overnight. {Please do not include acute care departments or units in this list.}				
PROBE: <u>Any others?</u>				
FA11 NAME	FA12 PLACE TYPE	FA13 NUMBER OF BEDS/ UNITS	FA14 ANOTHER NAME? (YES = 1, NO = 0)	FA15 ALSO KNOWN AS...
<hr/>				
<hr/>				
<hr/>				
<hr/>				

FA12

When the cursor is in the PLACE TYPE column, in the question area above the matrix, replace question text for FA11, "Please tell me about..." with FA12.

Display the following categories and codes across the bottom of the screen whenever the cursor is in the PLACE TYPE column:

- 4 = NURSING HOME/UNIT
- 6 = HOSPITAL
- 8 = ASSISTED LIVING FACILITY
- 9 = BOARD AND CARE HOME
- 10 = DOMICILIARY CARE HOME
- 11 = PERSONAL CARE HOME
- 12 = REST HOME
- 14 = INDEPENDENT LIVING UNITS
- 15 = MENTAL HEALTH/PSYCHIATRIC SETTING
- 91 = OTHER (SPECIFY:\_\_\_\_\_)

[NOTE:

These categories can be mapped to the categories and subcategories in RH22. Absolute consistency with the presentation in the residence history section is not desirable, however, because here we are asking specifically about a place that we already know is part of a larger facility; in residence history, the questions are designed to categorize the place where the SP resided, regardless of whether it was part of a larger place or not.]

FA12



What type of (place/unit) is that?

PROBE WITH CATEGORIES BELOW MATRIX.

PROGRAMMER SPECS:

When a code is entered for PLACE TYPE, display the category text, or (if 91 is entered) the specified text in the PLACE TYPE cell. Truncate names as follows:

- 4 = NURS HOME/UN
- 6 = HOSPITAL
- 8 = ASSISTED LIV
- 9 = BOARD & CARE
- 10 = DOMICIL CARE
- 11 = PERSNAL CARE
- 12 = REST HOME
- 14 = INDEP LIVING
- 15 = MENTAL/PSYCH
- 91 = FIRST 12 CHARACTERS OF SPECIFIED TEXT

FA13

When the cursor is in the NUMBER OF BEDS column, display FA13 in the question area above the matrix.  
For PLACE/UNIT, fill with entry in FA11.  
Display "or individual units" if FA12 = 8, 9, or 14.

<p>FA13</p> <p>How many beds {or individual units} are in {PLACE/UNIT}?</p>
---

PROGRAMMER SPECS:

Soft range: 10-300; hard range: 1-1,600.

FA14

For PLACE/UNIT, fill with entry in FA11.

<p>FA14</p> <p>Is {PLACE/UNIT} also known by some other name?</p> <p>YES ..... 1</p> <p>NO ..... 0 (BOX FA10)</p>
---

FA15

Allow 20 characters for name.

<p>FA15</p> <p>What name is that?</p> <p>_____</p> <p>ALSO KNOWN AS . . .</p>
---

BOX FA9 omitted.

<p>BOX FA10</p>	<p>Post each Part/Unit to Place Roster.</p> <p>If new facility's locator code = NEW FACILITY, PART OF LARGER FACILITY, code all other parts/units listed in FA11-15 as PART OF LARGER FACILITY.</p> <p>Otherwise, code all parts/units as PART OF NEW FACILITY, then go to BOX FA11.</p>
---------------------	--

BOX FA10 omitted.

FA16 omitted.

BOX FA11	Review Status Code and Place Type for each Place. If missing for a Place, assign a value to the missing item(s) based on the following table:		
	IF	THEN ASSIGN: NNHES STATUS CODE    NNHES PLACE TYPE	
	FA1, FA3 or FA5 = 3 (CCRC)		INELIGIBLE LTC
	5 (RETIREMENT COMMUNITY)		INELIGIBLE LTC
	FA1 or FA5 = 13 (HOME OFFICE)		COMMUNITY
	FA12 = 8 (ASSISTED LIVING FACILITY)	INELIGIBLE	INELIGIBLE LTC
	9 (BOARD AND CARE HOME)	INELIGIBLE	INELIGIBLE LTC
	10 (DOMICILIARY CARE HOME)	INELIGIBLE	INELIGIBLE LTC
	14 (INDEPENDENT LIVING UNITS)	INELIGIBLE	COMMUNITY
	15 (MENTAL HEALTH/ PSYCHIATRIC)	INELIGIBLE	INELIGIBLE LTC
	4 (NURSING HOME/ UNIT)	(leave blank)	ELIGIBLE LTC
	11 PERSONAL CARE HOME)	INELIGIBLE	INELIGIBLE LTC
	12 (REST HOME)	INELIGIBLE	INELIGIBLE LTC
	91 (OTHER)	INELIGIBLE	COMMUNITY
	FA1, FA3, FA5, or FA12 = DK or RF		INELIGIBLE LTC
	IF LOOKUP Y MODULE RETURNED "FOUND" OR IF FA12=6 AND FA16=1 (ACUTE CARE HOSPITAL)	INELIGIBLE	HOSPITAL
	IF FA12=6 AND FA16 not=1 (ANY OTHER KIND OF HOSPITAL)	INELIGIBLE	INELIGIBLE LTC
	Leave blank all others with missing NNHES Status or Place Type. No further action is required in the Facility-level Questionnaire for all Places with NNHES Status=INELIGIBLE. Then go to FA16a.		

FA16a

Display the Place Roster in a "view only" matrix.

The Place Roster should reflect the hierarchical relationship for added facility places. Added places are assigned a locator code. If the locator code is "PART OF NEW FACILITY" or "PART OF LARGER FACILITY," followup questions will determine date started, date ended and possibly more (if this place looks like a place that should have been enumerated in FA). So if the locator code is "PART OF NEW FACILITY," show it indented under the sampled facility; if it's "PART OF A LARGER FACILITY," show it indented under larger facility.

FA16a

HERE IS THE CURRENT PLACE ROSTER FOR YOUR REVIEW:

{PLACE ROSTER VERSION 1}

USE ARROW KEYS. TO EXIT, PRESS ESC.

BOX FA12

Two basic rules determine which places are eligible for inclusion in this questionnaire:

- Parts of a facility which are on the NHPI determine their own fate, i.e., if a part is listed on the NHPI, it is eligible only if it is the sampled facility.
- Parts of the facility which are not on the NHPI are eligible if they are part of the sampled facility. If the sampled facility is itself part of a larger facility that is not on the NHPI, then a second part of the larger facility, also not on the NHPI, would be considered as well. Essentially, the larger facility, if it is on the NHPI, is the surrogate for its parts which are not on the NHPI. Otherwise, any other part serves as surrogate for these parts.

This leads to the following situations:

1. Parts of a facility which are on the NHPI and are sampled are always considered.
2. Parts of a facility not on the NHPI are only taken when they are part of the sampled facility or when the larger facility they are part of is not on the NHPI.
3. If a larger facility is sampled and all of its LTC parts are on the NHPI, then everything is out of scope for that case.
4. The only way a facility part that is on the NHPI can be considered is if it is sampled.
5. If the NHPI contains no duplicate listings, each LTC part of a facility has only one chance of selection in all cases except one: When the larger facility is not on the NHPI; it has at least 3 parts; at least 2 parts are on the NHPI; and one part is not on the NHPI. The part not on the NHPI has a chance of selection associated with each part that is on the NHPI. This case should be very rare.

If the NEW FACILITY is a larger facility (LF) or a nursing home (NH), or the Place is flagged as LARGER FACILITY, or the Place is coded 4 in FA12, apply the BOX FA12 items. Order Places in Place Roster Order (Larger Facility -- if other than New Facility, Parts of Larger Facility, New Facility, Parts of New Facility). For each Place, apply statements in order until directed to next Place, to Closing, or to Item 7 (the last item in BOX FA12).

BOX FA12	<ol style="list-style-type: none"><li>1. If the New Facility's locator code = NEW FACILITY AND LARGER FACILITY, set NNHES status=INELIGIBLE. (Eligibility will be determined for its parts in the steps below.) Go to next place. If no remaining places, go to Item 7 below.</li><li>2. Omitted.</li><li>3. If NEW FACILITY is a HOME OFFICE for nursing unit(s) (FA1 or FA5 = 13), set NNHES status=INELIGIBLE and go to next Place. If no other Places, go to Item 7 below.</li><li>4. If Place has locator code=PART OF NEW FACILITY, set TENTATIVE ADDITION flag = YES for this Place and go to the next Place or Item 7 below.</li><li>5. If Place has locator code=PART OF LARGER FACILITY, and the Place with locator code=LARGER FACILITY, set TENTATIVE ADDITION flag = YES for this Place and go to the next Place or Item 7 below.</li><li>6. Unless the Place is the New Facility, set NNHES status=INELIGIBLE for this Place and go to next Place or Item 7.</li><li>7. If the new facility's NNHES status=INELIGIBLE, and no Place is flagged TENTATIVE ADDITION, go to CLOSING 1, p. 70. Else, loop through FA17 and FA18 for each TENTATIVE ADDITION. Else, if no TENTATIVE ADDITIONS, go to FA19 for NEW FACILITY.</li></ol>
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FA17

Ask FA17 and FA18 for each pending Place flagged as TENTATIVE ADDITION. (All TENTATIVE ADDITIONS are pending until they are subjected to the ELIGIBILITY BLOCK; a Place is no longer pending after the ELIGIBILITY BLOCK -- FA19-23 -- has been completed for it.)

If a new respondent (entered earlier in another pass through FA18) has been selected, present only those TENTATIVE ADDITIONS for which they have been nominated as a knowledgeable respondent.

FA17	
Would you be able to answer some questions about the certification status and bed size for {TENTATIVE ADDITION}?	
YES .....	1
NO .....	0
DK .....	-8
RF .....	-7

BOX FA13	<p>If 1 is entered in FA17: Repeat FA17 for all TENTATIVE ADDITIONS identified; if no remaining TENTATIVE ADDITIONS, go to BOX FA14.</p> <p>If 0, -7, or -8 is entered in FA17, go to RR1, using question text from FA18 for the NAME CELL.</p>
-------------	---

FA18	
Who would be the most knowledgeable person to answer questions about {TENTATIVE ADDITION}?	
_____	_____
NAME	TITLE

PROGRAMMER SPECS: After the name and title have been posted to the Respondent Roster, return to the Facility Questionnaire at BOX FA14.

BOX FA14	<p>Repeat FA17 and FA18 for each TENTATIVE ADDITION identified for this respondent.</p> <p>When FA17 and FA18 have been asked for all TENTATIVE ADDITIONS for this respondent, set a counter for each TENTATIVE ADDITION FOR WHICH FA17=1 (YES).</p> <p>If NEW FACILITY is eligible, go to FA19 for new facility.</p> <p>If new facility is ineligible, and FA17=1 (YES) for Tentative Additions for this respondent, go to FA19 for first such tentative addition.</p> <p>Else, go to CLOSING 3 (p. 71).</p>
-------------	---



FA19

START OF ELIGIBILITY BLOCK (CERTIFICATION AND LICENSING QUESTIONS)

If cycling through ELIGIBILITY BLOCK for a TENTATIVE ADDITION and this respondent has already been through ELIGIBILITY BLOCK for another part of the facility, display "Now let's turn to {FACILITY}."

For {FACILITY}, if cycling through FA19-23 for a Tentative Addition, display Place Name from FA11. Otherwise, display new facility name. (This display instruction applies to Q's 19-23.)

If this FACILITY/TENTATIVE ADDITION was entered in FA11-15, pre-fill with number of beds from FA13, display "According to the information I obtained earlier, ..." and "PRESS ENTER..."

If no entries in FA13 (NUMBER OF BEDS/INDIVIDUAL LIVING UNITS) for this FACILITY/TENTATIVE ADDITION, display "How many beds..."

**\*CTRL/E OK\***

FA19

{Now let's turn to {FACILITY}.}

{How many beds does {FACILITY} have?/According to the information I obtained earlier, {FACILITY} has [READ NUMBER BELOW] beds.}

    {    }      
NO. OF BEDS

{PRESS ENTER TO CONTINUE.}

PRESS F1 FOR EXPANDED DEFINITION OF "BEDS".

PROGRAMMER SPECS:

Soft range: 10-300; hard range; 1-1,600.

MANAGEMENT SYSTEM SPECS:

If DK or RF are entered, flag FA19 for retrieval from another respondent in this facility.

FA20

Display {"PREFERRED" NAME FOR MEDICAID} {(or {"ALLOWED FOR" NAME(S) FOR MEDICAID}} if the state in the facility's address is a state that uses a name other than Medicaid. Use table of State Medicaid Names (attached).

FA20

Is {FACILITY} certified by {"PREFERRED" NAME FOR MEDICAID} {(or {"ALLOWED FOR" NAME(S) FOR MEDICAID}} as a Nursing Facility (NF)?

IF R MENTIONS:

-ICF (INTERMEDIATE CARE FACILITY), NOTE IN COMMENTS AND ENTER 1.

-ICF-MR (INTERMEDIATE CARE FACILITY--MENTAL RETARDATION), NOTE IN COMMENTS AND ENTER 0.

YES .....	1
NO .....	0
DK .....	-8
RF .....	-7

MANAGEMENT SYSTEM SPECS:

If DK or RF are entered, flag FA20 for retrieval from another respondent in this facility.

FA20A moved to FA85.

**STATE MEDICAID NAMES**

Program Name(s)		
State	Preferred	Allow For
Alaska	Medicaid	
Alabama	Medicaid	
Arkansas	Medicaid	
Arizona	AHCCSS (for Arizona Health Care Cost Containment System)	Health Care Cost Containment
California	Medi-Cal	
Colorado	Medicaid	
Connecticut	Medicaid	Medical Assistance, Title 19
District of Columbia	Medicaid	
Delaware	Medicaid	Medical Assistance
Florida	Medicaid	
Georgia	Medicaid	
Hawaii	Medicaid	Medical Assistance
Iowa	Medicaid	Title 19
Idaho	Medicaid	Medical Assistance
Illinois	Medicaid	
Indiana	Medicaid	
Kansas	Medical Assistance	Medical Care, Medicaid
Kentucky	Medicaid	
Louisiana	Medicaid	Medical Assistance
Massachusetts	Medicaid	Massachusetts Health
Maryland	Medicaid	Medical Assistance, Maryland Access to Care
Maine	Medicaid	Maine's Medical Assistance Program
Michigan	Medicaid	
Minnesota	Medical Assistance	Medicaid
Missouri	Medicaid	
Mississippi	Medicaid	
Montana	Medical Assistance	Medicaid
North Carolina	Medicaid	Medical Assistance, Medicare Aid (for QMBs)
North Dakota	Medicaid	

**STATE MEDICAID NAMES (Continued)**

Program Name(s)		
State	Preferred	Allow For
Nebraska	Medicaid	Welfare Assistance
New Hampshire	Medicaid	Medical Assistance, Welfare
New Jersey	Medical Assistance	Medicaid
New Mexico	Medicaid	
Nevada	Medicaid	
New York	Medicaid	Medical Assistance Program
Ohio	Medicaid	
Oklahoma	Medical Services	Medicaid
Oregon	Oregon Health Plan	Medicaid
Pennsylvania	Medicaid	Medical Assistance
Puerto Rico	Medicaid	Medical Assistance
Rhode Island	Medical Assistance	Medicaid, Welfare
South Carolina	Medicaid	
South Dakota	Medicaid	
Tennessee	TennCare	Medicaid
Texas	Medicaid	
Utah	Medicaid	
Virginia	Medicaid	
Virgin Islands	Medicaid	Medical Assistance
Vermont	Medicaid	Welfare
Washington	Welfare	Medical Coupon, Medical Assistance
Wisconsin	Medicaid	
West Virginia	Medicaid	
Wyoming	Title 19	Medical Assistance

FA21

Is {FACILITY} certified by Medicare as a SNF?

- YES ..... 1
- NO ..... 0
- DK ..... -8
- RF ..... -7

MANAGEMENT SYSTEM SPECS:

If DK or RF are entered, flag FA21 for retrieval from another respondent in this facility.

BOX FA15	If FA20 or FA21=1 (YES), go to BOX FA16. Else, go to FA22.
-------------	---

FA22

Fill {STATE} with state field from FAVERIF3 (ADDR.ADDRSTAT). Spell out state name. Always use sampled facility state name.

FA22

Is {FACILITY} licensed as a nursing {home/facility} by the {STATE} State Health Department or by some other State or Federal agency?

- YES, LICENSED BY STATE HEALTH DEPARTMENT ..... 1
- YES, LICENSED BY SOME OTHER AGENCY  
(SPECIFY: \_\_\_\_\_) ..... 2
- NO, NOT LICENSED ..... 0 (BOX FA15A)

PROGRAMMER SPECS:

If 2 entered, present a soft range check: UNLIKELY RESPONSE. PLEASE VERIFY AND RE-ENTER.

MANAGEMENT SYSTEM SPECS:

If DK or RF are entered, flag FA22 for retrieval from another respondent in this facility.

FA23

Does {FACILITY} provide 24-hour a day, on-site supervision by an RN or LPN 7 days a week?

YES ..... 1  
 NO ..... 0  
 DK ..... -8  
 RF ..... -7

MANAGEMENT SYSTEM SPECS:

If DK or RF are entered, flag FA23 for retrieval from another respondent in this facility.

BOX FA15A	Return to FA19 for next PLACE that has FA17 = 1 (YES) for this respondent. If no remaining place, go to BOX FA16.
--------------	--

BOX FA16

To be deemed eligible, a place must (1) have three or more beds, and (2) be certified by Medicaid or Medicare or be licensed as a nursing home and provide 24 hour, 7 day a week supervision by an RN or LPN.

Subject each place looped through FA19-23 with this respondent to the steps in BOX FA16, one place at a time.

BOX FA16	<ol style="list-style-type: none"> <li>1. If FA19 is less than 3, flag FACILITY/TENTATIVE ADDITION as INELIGIBLE, set Place Type = INELIGIBLE LTC, decrement counter, and go to next Place or Item 6 below. Others, go to Item 2 below. [NOTE: This means DK and REF are assumed equal to 3 or more.]</li> <li>2. If FA20 or FA21 = 1 (YES, CERTIFIED BY MEDICAID OR MEDICARE) set NNHES STATUS = ELIGIBLE and go to next Place or Item 6 below. Others go to Item 3.</li> <li>3. If FA22 = 1 or 2 (LICENSED BY STATE HEALTH DEPT. OR SOME OTHER AGENCY), and FA23 = 1 (PROVIDES AROUND-THE-CLOCK NURSING SUPERVISION), set NNHES STATUS = ELIGIBLE and go to next Place or Item 6 below. Others go to Item 4.</li> <li>4. If FA20, 21, 22, or 23 = -8 or -7, decrement counter, set a flag for retrieval, ask FA18 and go to next Place or Item 6. Others go to Item 5.</li> <li>5. Set NNHES STATUS = INELIGIBLE, set Place Type = INELIGIBLE LTC, decrement counter, and go to next Place or Item 6.</li> <li>6. If no remaining places for this respondent, but these are other pending tentative additions, go to CLOSING 3, p. 83.</li> <li>7. Else,  <ul style="list-style-type: none"> <li>If counter &gt; 1, go to FA24PRE.</li> <li>If counter = 1, go to FA25.</li> <li>If counter = 0, go to Closing 1.</li> </ul> </li> </ol>
-------------	--

FA24PRE

Display Version 5 of Place Roster.

If NEW FACILITY is eligible, display {FACILITY and}.

Throughout remainder of FA, FR, FG, and SS, display names of all Places displayed in FA24PRE (including NEW FACILITY, if filled in FA24PRE) as a special header right justified beginning on line 2 in the upper right corner of the screen. Also, throughout remainder of FA, FR, FG, and SS, for {FACILITY} fill, if only one eligible place, fill with PLACE NAME from Place Roster. If more than one eligible place, fill with [READ FAC/UNITS LISTED ABOVE]. If more than 4 places, display "MORE UNITS -- USE F2" on line 5.

FA24PRE

All of the remaining questions will refer to {FACILITY and} [READ FAC/UNITS LISTED BELOW] combined.

{PLACE ROSTER VERSION 5}

PRESS ENTER TO CONTINUE.

BOX FA17 omitted.

FA24a

Fill with "all" if more than 2 places with NNHES STATUS=ELIGIBLE. If only two, fill with "both".

FA24a

The questions are about the number of nursing beds and residents by payor type, special care units, and staffing. Can you answer these questions about {all/both} of these places?

YES .....	1	(FA25)
NO .....	0	(RR1)
DK .....	-8	(FA25)
RF .....	-7	(RR1)

FA24b

Present as question text for the NAME CELL at RR1.

FA24b

Who would be the best person to answer questions about [READ FACILITIES/UNITS IN HEADER ABOVE]?

\_\_\_\_\_

NAME TITLE

PROGRAMMER SPECS:

After the name and title have been posted to the Respondent Roster, go to CLOSING 6.

FA25

If FA19 (NUMBER OF BEDS) never equals DK or RF and the SUM OF FA19 can be calculated, display "From information I collected...nursing beds."; Else do not display.

FA25

{From information I collected earlier, I understand that {FACILITY} has {SUM OF FA19, NUMBER OF BEDS IN FACILITY} nursing beds.}

Does {FACILITY} have any beds that are not licensed or certified as nursing {home/facility} beds?

YES .....	1	
NO .....	0	(BOX FA18)
DK .....	-8	(BOX FA18)
RF .....	-7	(BOX FA18)

FA26-FA29

These questions are a subset of the questions in FA55-65, with a couple of variations on the question text. Only places that have non-nursing beds (FA25 = 1) are displayed on this matrix. Display as a matrix.

SAMPLE LAYOUT

FA26-29  
{QUESTION DISPLAY AREA}

FA26 TYPE	FA27 NAME	FA28 BEDS/ UNITS	FA29 START DATE (YY)
<hr/>			
<hr/>			
<hr/>			
<hr/>			
{DISPLAY TYPE CATEGORIES ACROSS THE SCREEN HERE.}			



FA26

Display the following codes for TYPE across bottom of screen:

- 8 = ASSISTED LIVING
- 9 = BOARD AND CARE
- 10 = DOMICILIARY CARE
- 6 = HOSPITAL
- 14 = INDEPENDENT LIVING
- 15 = MENTAL HEALTH/PSYCHIATRIC SETTING
- 11 = PERSONAL CARE HOME
- 12 = REST HOME
- 91 = OTHER (SPECIFY:\_\_\_\_\_)

FA26

Please look at this card and tell me how you would describe the beds or units that are not certified or licensed as nursing {home/facility} beds.

PROBE: What kind of place is it? Any others?



PRESS F1 FOR MORE ON NON-NURSING BEDS.

PROGRAMMER SPECS:

When a number is entered for type, display the text for the category in the TYPE column. For code 91, display only the specified text.

FA27

Display "IF SAME AS TYPE, ENTER SHIFT/5" if only one eligible unit (as defined by display instructions above FA24).

FA27

What is the name of the place or unit?

IF SAME AS TYPE, ENTER SHIFT/5. FOR ANY OTHER NAME, ENTER TEXT.

PROGRAMMER SPECS:

If FA27=SHIFT/5 (SAME AS TYPE), display "The {TYPE CATEGORY} unit" in NAME field. Truncate names as follows:

- 8 = ASSISTED LIV
- 9 = BOARD & CARE
- 10 = DOMICIL CARE
- 6 = HOSPITAL
- 14 = INDEP LIVING
- 15 = MENTAL/PSYCH
- 11 = PERSNAL CARE
- 12 = REST HOME
- 91 = FIRST 12 CHARACTERS OF SPECIFIED TEXT

FA28

How many beds or individual units are dedicated to {UNIT NAME}?

\_\_\_\_\_ ( )  
NUMBER  
BEDS = 1  
INDIVIDUAL UNITS = 2  
OTHER (SPECIFY: \_\_\_\_\_) = 91

**PROGRAMMER SPECS:**

When a code is selected for units (BEDS, INDIVIDUAL UNITS, OTHER SPECIFY), display the category or other specify text instead of the code. For example, "243 BEDS" where 243 was entered for number, and 1 was entered for unit. Soft range: 3-100; hard range: 1-1,600.

Consistency check: If number is greater than sum of FA19 minus 3, display the following message:

The number of {UNIT NAME}'s beds in FA28 ({FA28}) cannot be greater than the sum of beds in the facility ({FA19}).  
REVIEW NUMBERS WITH RESPONDENT. BACK UP TO CORRECT.

FA29

When did the (place/unit) begin operation?

YEAR 19( )

**PROGRAMMER SPECS:**

Soft range: 87-95; Hard range: 00-96.

After all entries have been made, post all Places added in FA26 to the Place Roster; assign NNHES status = INELIGIBLE; If {FACILITY} fill in FA25 is filled with PLACENAME from Place Roster (this means there is only one eligible place), set locator code = PART OF NEW FACILITY; else if {FACILITY} fill in FA25 is filled with "[READ FACILITIES/UNITS IN HEADER ABOVE.]", set locator code = PART OF LARGER FACILITY; set Place Type according to table in BOX FA11 (substituting FA26 for FA12 in the column heading).

For sum of beds in FA28:

Soft range: 3-100; hard range: 1-1,600.

Before escaping the matrix, perform this consistency check: If sum of beds and units in FA28 is greater than entry (or sum of entries) in FA19 - 3, display the following message:

The sum of non-nursing beds in FA28 ({sum of FA28}) cannot be greater than the sum of beds in the facility ({FA19}).  
REVIEW NUMBERS WITH RESPONDENT. BACK UP TO CORRECT.

FA30

Display sum of beds and units in FA28. If sum of beds and units cannot be calculated, display "an unknown total of".

FA30

So that is a total of {NUMBER OF BEDS AND UNITS/AN UNKNOWN TOTAL OF} beds (or units) that are not licensed or certified as nursing {home/facility} beds (or units). Is that correct?

YES .....	1
NO .....	0

PROGRAMMER SPECS:

If FA30 not=1, present message: BACK UP AND REVIEW RESPONSES IN FA26 AND FA27. CORRECT AS DIRECTED BY RESPONDENT.

If FA30=1, display in subsequent headers and fills that include {FACILITY}: "(excluding the {SUM OF BEDS AND UNITS IN FA28} non-nursing beds/units)". That is, if FA24=1 (a complex facility with a special header already specified in the first statement for BOX FA17), add that statement to the header (on the next available line in the upper right corner of the screen). In simpler cases, add the statement to the {FACILITY} fill.

BOX17B omitted.

FA30a

Display the Place Roster in a "view only" matrix.

FA30a

HERE IS THE CURRENT PLACE ROSTER FOR YOUR REVIEW:

{PLACE ROSTER VERSION 1}

USE ARROW KEYS. TO EXIT, PRESS ESC.

FA31PRE

Now we are going to ask only about the parts of {FACILITY} that do have beds certified or licensed as nursing {home/facility} beds.

PRESS ENTER TO CONTINUE.

BOX FA18	If FACILITY is a LARGER FACILITY or is part of a LARGER FACILITY go to BOX FA19. Others, go to FA31.
-------------	---

FA31

Which one of the categories on this card best describes the ownership of {FACILITY}?

SHOW  
CARD  
FA6

FOR PROFIT (INDIVIDUAL, PARTNERSHIP, OR CORPORATION) . . . . .	1
PRIVATE <u>NONPROFIT</u> (RELIGIOUS GROUP, NONPROFIT CORP., ETC.) . . . . .	2
<u>CITY/COUNTY GOVERNMENT</u> . . . . .	3
<u>STATE GOVERNMENT</u> . . . . .	4
<u>VETERAN'S ADMINISTRATION</u> . . . . .	5
<u>OTHER FEDERAL AGENCY</u> . . . . .	6
<u>OTHER (SPECIFY:_____)</u> . . . . .	91

FA33 omitted.

FA42 omitted.

FA43-46 (Number of Beds by Payer)

If any entry in FA28, display "MINUS NON-NURSING BEDS." Calculate fill as sum of FA19-sum of FA28. If unable to calculate because there is a DK entry in FA28, fill with "CAN'T CALC."

The fill below "NUMBER OF BEDS TO BE ACCOUNTED FOR:" is dynamic; it should display sum of FA19 minus the sum of FA28 minus any entries on the screen.

For the displays below TOTAL BEDS:

- If facility or any unit within the facility is certified by both Medicaid (FA20=1) and Medicare (FA21=1), display "FA43 DUALY CERTIFIED, MEDICAID AND MEDICARE", with an entry field to the right. Display "DUALY" in reverse video.
- If facility or any unit within the facility is certified by Medicaid (FA20=1), display "FA44 CERTIFIED BY MEDICAID" with an entry field to the right. If facility or any unit within the facility is also certified by Medicare (FA21=1), display "ONLY" in reverse video.
- If facility or any unit within the facility is certified by Medicare (FA21=1), display "FA45 CERTIFIED BY MEDICARE" with an entry field to the right. If facility or any unit within the facility is also certified by Medicaid (FA20=1), display "ONLY" in reverse video.
- If facility or any unit within the facility is certified by neither Medicaid (FA20=1) nor Medicare (FA21=1), display "FA46 CERTIFIED BY NEITHER MEDICAID NOR MEDICARE;" display "NEITHER" in reverse video. If facility is certified by Medicaid only (FA20=1, FA21 not=1), display "NOT CERTIFIED BY MEDICAID," with "NOT" in reverse video. If facility is certified by Medicare only (FA20 not=1, FA21=1), display "NOT CERTIFIED BY MEDICARE," with "NOT" in reverse video. To the right, prefill with the result of FA19 minus the sum of FA28 minus FA43 minus FA44 minus FA45.

When there is an entry in all previous questions that have been displayed in this series, the question text for FA46 should pop up at the top of the form, and the interviewer instructions for answer categories and an entry field for 1 or 0 should pop up at the bottom of the form.

Wherever MEDICAID appears on the screen, follow the display instructions above FA20 for adding ({OR STATE NAME FOR MEDICAID}).

FA43-46  
SAMPLE LAYOUT

{Question text}		
TO	NUMBER	NUMBER OF BEDS
	OF BEDS	BE ACCOUNTED FOR:
TOTAL BEDS {MINUS NON-NURSING BEDS}	{ }	{ }
{FA43} <u>DUALY</u> CERTIFIED, MEDICAID AND MEDICARE	( )	
{FA44} CERTIFIED BY MEDICAID {ONLY}	( )	
{FA45} CERTIFIED BY MEDICARE {ONLY}	( )	
FA46 {NOT CERTIFIED BY {MEDICAID/MEDICARE}, BUT LICENSED AS NURSING BEDS/ {CERTIFIED BY NEITHER MEDICAID NOR MEDICARE} BUT LICENSED AS NURSING BEDS	{ }	
ENTER 1 IF CORRECT, 0 IF NOT CORRECT	( )	

BOX FA19	If FA20 and FA21 both = 1, go to FA43. Others, go to BOX FA20.
-------------	---

FA43

See instructions above FA20 for displaying {or {"ALLOWED FOR"...}}

<p>FA43</p> <p>I recorded earlier that {FACILITY} is certified by {"PREFERRED" NAME FOR MEDICAID} {(or {"ALLOWED FOR" NAME(S) FOR MEDICAID})} as a Nursing Facility and by Medicare as a skilled Nursing Facility. How many beds are dually certified (that is, certified by both)?</p> <p style="text-align: center;">_____</p> <p style="text-align: center;">NO. OF BEDS</p>
---

PROGRAMMER SPECS:

Soft range: 10-300; hard range: 0-1,600.

Consistency check: Entry in FA43 cannot be greater than the entry in sum of FA19 minus the sum of FA28.

If it is, display the following message:

The number of dually certified beds in FA43 ({FA43}) cannot be greater than ({FA19-FA28}).  
REVIEW NUMBERS WITH RESPONDENT. BACK UP TO CORRECT.

BOX FA20	If FA20 = 1, go to FA44. Others, go to BOX FA21.
-------------	---

FA44

Display "I recorded earlier..." if FA21 is not = 1. Display "only" if FA21 = 1.

FA44

{I recorded earlier that {FACILITY} is certified by {"PREFERRED" NAME {FOR MEDICAID} {(or {"ALLOWED FOR" NAME(S) FOR MEDICAID})} as a Nursing Facility.) How many beds are certified under {"PREFERRED" NAME FOR MEDICAID} {or {ALLOWED FOR NAME(S) FOR MEDICAID}} only?

\_\_\_\_\_  
NO. OF BEDS

PROGRAMMER SPECS:

Soft range: 10-300; hard range: 0-1,600.

Consistency check: Entry in FA44 cannot be greater than the entry in sum of FA19 minus the sum of FA28 minus FA43.

If it is, display the following message:

The number of Medicaid only certified beds in FA44 ({FA44}) cannot be greater than ({FA19-FA28-FA43}).  
REVIEW NUMBERS WITH RESPONDENT. BACK UP TO CORRECT.

BOX FA21	If FA21 = 1, go to FA45. Others, go to BOX FA22.
-------------	---

FA45

Display {"I have recorded..."} if FA20 is not = 1.

FA45

{I have recorded that {FACILITY} is certified by Medicare as a Skilled Nursing Facility.) How many beds are certified under Medicare only?

\_\_\_\_\_  
NO. OF BEDS

PROGRAMMER SPECS:

Soft range: 10-300; hard range: 0-1,600.

Consistency check: entry in FA45 cannot be greater than entry in sum of FA19 minus the sum of FA28 minus FA43 minus FA44.

If it is, display the following message:

The number of Medicare only certified beds in FA45 ({FA45}) cannot be greater than ({FA19-FA28-FA43-FA44}).  
REVIEW NUMBERS WITH RESPONDENT. BACK UP TO CORRECT.

BOX FA22	If the facility is certified by neither Medicaid (FA20 not = 1) nor Medicare (FA21 not = 1), go to FA46. If cannot calculate number of remaining beds, go to BOX FA22A. Others, go to FA46.
-------------	---

FA46

In first fill, display FA19 minus sum of FA28.

If FA43 > 0, display second clause and fill with number in FA43.

If FA44 > 0, display third clause and fill with number in FA44.

If FA45 > 0, display fourth clause and fill with number in FA45.

In fifth clause, if FA19 minus sum of FA28 minus FA43 minus FA44 minus FA45≠0,  
display "That leaves { } licensed nursing beds that are not certified ... or Medicaid." else  
Do not display.

If FA20=1, display {"PREFERRED NAME" FOR MEDICAID (OR "ALLOWED FOR" NAMES FOR MEDICAID)}. If FA20=1  
and FA21=1, display "or." If FA21=1, display "Medicare." If FA20=0, -8, -7 and FA21=0, -8, -7, display {"PREFERRED  
NAME" FOR MEDICAID} {(or "ALLOWED FOR" NAME(S) FOR MEDICAID)} or Medicare".

FA46

So, there is a total of { } nursing beds in {FACILITY},  
{and { } are dually certified,}  
{and { } are certified by {"PREFERRED" NAME FOR MEDICAID} {(or "ALLOWED FOR" NAME(S) FOR  
MEDICAID)} {only},,"  
{and { } are certified by Medicare {only},}  
{that leaves { } licensed nursing beds that are not certified by {"PREFERRED NAME" FOR MEDICAID} {(or  
"ALLOWED FOR" NAME(S) FOR MEDICAID)} {or} {Medicare}}. Is that correct?

YES ..... 1  
NO ..... 0

PROGRAMMER SPECS:

Disallow DK and RF in FA46.

The first time 0 is entered in FA46, display the following message:

BACK UP TO CORRECT.

If 0 is entered a second time, present the following message as an overlay:

PLEASE ENTER A BRIEF EXPLANATION: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



BOX FA22c	IF FA20=1 or FA21=1, go to FA47 PRE; else go to FA49.
--------------	--

FA47PRE

If FA20 and FA21 = 1, display {"PREFERRED" NAME FOR MEDICAID} {(or {"ALLOWED FOR" NAME(S) FOR MEDICAID}), Medicare, and private pay";

Else, if FA20 = 1, and FA21 = 0, display {"PREFERRED" NAME FOR MEDICAID} {(or {"ALLOWED FOR" NAME(S) FOR MEDICAID}) and private pay";

Else, if FA20 = 0 and FA21 = 1, display "Medicare and private pay";

Else display "private pay".

FA47PRE

Next, I'm going to ask about the number of current residents having {"PREFERRED" NAME FOR MEDICAID} {(or {"ALLOWED FOR" NAME(S) FOR MEDICAID}), Medicare, and private pay/{"PREFERRED" NAME FOR MEDICAID} {(or {"ALLOWED FOR" NAME(S) FOR MEDICAID}) and private pay/Medicare and private pay/private pay} as their source of payment.

If you need to go get the relevant records, I can pause for a moment.

ALLOW RESPONDENT TIME TO GATHER RECORDS, IF NECESSARY.

PRESS ENTER TO CONTINUE.

BOX FA22a	If FA20 = 1, go to FA47. Else, if FA21 = 1, go to FA48. Else, go to FA49.
--------------	---

FA47

See instructions above FA20 for displaying "PREFERRED NAME..."

FA47

Based on your most recent daily census, how many current residents have {"PREFERRED" NAME FOR MEDICAID} {(or {"ALLOWED FOR" NAME(S) FOR MEDICAID}) as a source of payment?

\_\_\_\_\_  
NO. OF RESIDENTS

PROGRAMMER SPECS:

Soft range: 10-300; hard range: 0-1,600.

Consistency check: If the entry is greater than 100% of the entry in FA43 plus FA44, display the following message:

If it is, display the following message:

The number of Medicaid residents in FA47 ({FA47}) cannot be greater than the number of Medicaid certified beds in the facility ({FA43+FA44}).

REVIEW NUMBERS WITH RESPONDENT. BACK UP TO CORRECT.

BOX FA22b	If FA21 = 1, go to FA48. Else, go to FA49.
--------------	---

FA48

Based on your most recent daily census, how many current residents have Medicare as their primary source of payment?

\_\_\_\_\_  
NO. OF RESIDENTS

PROGRAMMER SPECS:

Soft range: 10-300; hard range: 0-1,600.

Consistency check: If the entry is greater than 100% of the entry in FA43 plus FA45 display the following message:

The number of Medicare residents in FA48 ({FA48}) cannot be greater than the number of Medicare certified beds in the facility ({FA43+FA45}).

REVIEW NUMBERS WITH RESPONDENT. BACK UP TO CORRECT.

FA49

Based on your most recent daily census, how many of the current residents in {FACILITY} have private pay as their only source of payment for basic care?

\_\_\_\_\_  
NO. OF RESIDENTS

PROGRAMMER SPECS:

Soft range: 10-300; hard range: 0-1,600.

Consistency check: If FA49>0, FA49 cannot be greater than 100% of FA19 minus the sum of FA28 minus FA47 or FA48 (whichever is greater).

If it is, present the following message:

The number of private pay residents in FA49 ({FA49}) cannot be greater than the number of nursing beds in the facility ({FA19-(FA28-(FA47 or FA48))}).

REVIEW NUMBERS WITH RESPONDENT. BACK UP TO CORRECT.

FA52

How many residents were in {FACILITY} altogether at midnight, December 31, 1996?

\_\_\_\_\_  
NO. OF RESIDENTS

PROGRAMMER SPECS:

Soft range: 10-300; hard range: 0-1,600.

Consistency check: FA52 cannot be greater than sum of FA19 minus the sum of FA28. If it is, present the following message:

The number of residents in eligible units in FA52 ({FA52}) cannot be greater than the sum of all beds in the facility minus those beds in ineligible units ({FA19-FA28}).

REVIEW NUMBERS WITH RESPONDENT. BACK UP TO CORRECT.

\*CTRL/E OK\*

FA54

Next, we're interested in learning about any special care units within {FACILITY} -- units with a specified number of beds identified and dedicated for residents with specific needs or diagnoses. Does {FACILITY} have any special care units, such as those listed on this card?

SHOW  
CARD  
FA7

AT LEAST ONE SPECIAL CARE UNIT MENTIONED .....	1	
NO SPECIAL CARE UNITS .....	0	(BOX FA27)
DK .....	-8	(BOX FA27)
RF .....	-7	(BOX FA27)

FA55-65

Display as a matrix.

SAMPLE LAYOUT

FA55-65

{QUESTION DISPLAY AREA}

FA55 TYPE	FA56 NAME	FA57 BEDS	FA58 RESI- DENTS	FA59 STAFF	FA60 START YEAR	FA61-4 PAY SOURCE MEDICAID? MEDICARE?
--------------	--------------	--------------	------------------------	---------------	-----------------------	--

19\_\_  
YR

19\_\_  
YR

19\_\_  
YR

19\_\_  
YR

{DISPLAY TYPE CATEGORIES ACROSS THE SCREEN HERE.}

FA55

Display the following codes for TYPE across bottom of screen:

- 1 = ALZHEIMER'S AND RELATED DEMENTIAS
- 2 = AIDS/HIV
- 3 = DIALYSIS
- 4 = CHILDREN WITH DISABILITIES
- 5 = BRAIN INJURY (TRAUMATIC OR ACQUIRED)
- 6 = HOSPICE
- 7 = HUNTINGTON'S DISEASE
- 8 = REHABILITATION
- 9 = VENTILATOR/PULMONARY
- 91 = OTHER (SPECIFY:\_\_\_\_\_)

FA55



What kind of special care unit(s) does {FACILITY} have?  
PROBE: Any others?

PRESS F1 FOR DIALYSIS DEFINITION.

PROGRAMMER SPECS:

When a number is entered for type, display the text for the category in the TYPE column. For code 91, display only the specified text.

FA56

What is the name of the unit?  
IF SAME AS TYPE, ENTER SHIFT/5. FOR ANY OTHER NAME, ENTER TEXT.

PROGRAMMER SPECS:

If FA56=-5, display "The {TYPE CATEGORY} unit" in NAME cell. Truncate names as follows:

- 1 = ALZHEIMER'S
- 2 = AIDS/HIV
- 3 = DIALYSIS
- 4 = CHILDREN
- 5 = BRAIN INJURY
- 6 = HOSPICE
- 7 = HUNTINGTON'S
- 8 = REHAB
- 9 = VENTILATOR
- 91 = FIRST 12 CHARACTERS OF SPECIFIED TEXT

If same TYPE CATEGORY is entered a second time, disallow SHIFT/5 for that unit. Display the message: YOU MUST ENTER ANOTHER NAME FOR THIS UNIT.

FA57

How many beds are dedicated to {UNIT NAME}?

\_\_\_\_\_  
NO. OF BEDS

PROGRAMMER SPECS:

Soft range: 3-100; hard range: 1-1,1599.

Consistency check: If FA57 is greater than sum of FA19 minus 1, display the following message:

The number of beds in {UNITNAME} in FA57 ({FA57}) cannot be greater than the number of beds in the facility minus 1 ({FA19-1}).

REVIEW NUMBERS WITH RESPONDENT. BACK UP TO CORRECT.

FA58

How many residents were in {UNIT NAME} at midnight last night?

\_\_\_\_\_  
NO. OF RESIDENTS

PROGRAMMER SPECS:

Soft range: 3-100; hard range: 0-1,1599.

Consistency checks: FA58 cannot be greater than FA57. FA58 cannot be greater than FA52. If it is, display the following message(s):

The number of residents in {UNITNAME} cannot be greater than the number of beds in {UNITNAME} ({FA57})/{residents in eligible units ({FA52})}.

REVIEW NUMBERS WITH RESPONDENT. BACK UP TO CORRECT.

FA59

Does {UNIT NAME} have direct care patient staff dedicated to it?

YES ..... 1  
NO ..... 0

FA60

In what year did the unit begin operation?

YEAR 19( )

PROGRAMMER SPECS:

Soft range: 87-95; hard range: 00-97.

BOX FA22e	If FA20 = 0 for all eligible units (FACILITY NOT CERTIFIED BY MEDICAID), go to BOX FA22f. Else, go to FA61.
--------------	--

FA61  
See instructions above FA20 for displaying "or STATE NAME..."

<p>FA61</p> <p>Is any resident's care in the unit paid for by {"PREFERRED" NAME FOR MEDICAID} {(or {"ALLOWED FOR" NAME(S) FOR MEDICAID})}?</p> <p style="text-align: right;"> YES ..... 1  NO ..... 0  DK ..... 8  RF ..... -7 </p>
---

FA62 omitted.

BOX FA22f	If FA21 = 0 for all eligible units (FACILITY NOT CERTIFIED BY MEDICARE), go to BOX FA23. Else, go to FA63.
--------------	---

<p>FA63</p> <p>Is any resident's care in the unit paid for by <u>Medicare</u>?</p> <p style="text-align: right;"> YES ..... 1  NO ..... 0  DK ..... -8  RF ..... -7 </p>
--

FA64 omitted.

BOX FA23	<p>If sum of FA19 minus SUM OF BEDS OR UNITS IN FA28 minus SUM OF BEDS in FA57 &gt; 0, go to FA65.</p> <p>If sum of FA19 minus SUM OF BEDS OR UNITS IN FA28 minus the SUM OF BEDS in FA57 &lt; 0, present the following message: THE NUMBER OF BEDS IN SPECIAL CARE UNITS (SUM OF FA57) CANNOT BE GREATER THAN THE TOTAL NUMBER OF BEDS IN THE FACILITY (SUM OF FA19). BACK UP, REVIEW ENTRIES IN FA57, FA19, AND FA13 CORRECT IF NECESSARY.</p> <p>If sum of FA19 minus SUM OF BEDS OR UNITS IN FA28 minus SUM OF BEDS in FA57 = 0, go to Box FA23a.</p> <p>Others, if FA65 and FA66 have not been asked, go to FA65.</p> <p>Else, go to BOX FA23a.</p>
-------------	--

FA65

If only one special care unit entered in FA55, do not display the first sentence.  
 If unable to calculate DIFFERENCE, do not display first 2 statements, and display "some number of " in the question.

<p>FA65</p> <p>{So that makes a total of {SUM OF BEDS IN FA57} special care unit beds in {FACILITY}. You told me earlier that there are {NUMBER OF BEDS IN FA19} certified or licensed nursing {home/facility} beds in {FACILITY} altogether.</p> <p>So that leaves {DIFFERENCE/some number of} beds that are <u>not</u> part of a special care unit.          Is that correct?</p> <p style="text-align: right;">           YES ..... 1            NO ..... 0            DK ..... -8            RF ..... -7         </p>
---

PROGRAMMER SPECS:

The first time 0, -7, or -8 is entered, present the following message:  
 PLEASE BACK UP TO REVIEW ENTRIES IN FA57, FA19, AND FA13. CORRECT IF NECESSARY.



FA66

Do not display FA66 on the FA55-65 matrix.

FA66

What can I call that part of {FACILITY} -- the general population unit, or do you have another name for these beds?

IF GENERAL POPULATION UNIT, ENTER SHIFT/5. FOR ANY OTHER NAME, ENTER TEXT.

PROGRAMMER SPECS:

When -5 is entered in NAME cell for FA66, display "GENERAL POPULATION UNIT."

BOX FA23a	Post all Places added in FA55-66 to the Place Roster. Set NNHES STATUS = ELIGIBLE; If {FACILITY} fill in FA25 is filled with PLACE NAME from Place Roster (this means there is only <u>one</u> eligible place), set locator code = PART OF NEW FACILITY; else if {FACILITY} fill in FA25 is filled with "[READ FACILITIES/UNITS IN HEADER ABOVE.]", set locator code = PART OF LARGER FACILITY. set Place Type = ELIGIBLE LONG-TERM CARE.
--------------	--

FA66a

Display the Place Roster in a "view only" matrix.

FA66a

HERE IS THE CURRENT PLACE ROSTER FOR YOUR REVIEW:

{PLACE ROSTER VERSION 1}

USE ARROW KEYS. TO EXIT, PRESS ESC.

BOX FA25 omitted.

FA69-FA71 omitted.

BOX FA26 omitted.

BOX FA27	If {FACILITY} locator code = PART OF LARGER FACILITY or PART OF NEW FACILITY, or NEW FACILITY, PART OF LARGER FACILITY, or NEW FACILITY AND LARGER FACILITY go to FA77PRE. Others, go to FB37.
-------------	---

FA77  
 No special header should be displayed.

FA77PRE

The next question is about {LARGER FACILITY} as a whole.

PRESS THE F2 KEY TO REVIEW PLACE ROSTER.

PRESS ENTER TO CONTINUE.

FA77

Which one of the categories on this card best describes the ownership of {LARGER FACILITY}?

SHOW CARD FA6	FOR <u>PROFIT</u> (INDIVIDUAL, PARTNERSHIP, OR CORPORATION) . . . . . 1
	PRIVATE <u>NONPROFIT</u> (RELIGIOUS GROUP, NONPROFIT CORP., ETC.) . . . . . 2
	<u>CITY/COUNTY GOVERNMENT</u> . . . . . 3
	<u>STATE GOVERNMENT</u> . . . . . 4
	<u>VETERAN'S ADMINISTRATION</u> . . . . . 5
	<u>OTHER FEDERAL AGENCY</u> . . . . . 6
	<u>OTHER (SPECIFY:_____)</u> . . . . . 91

FA79 through FA82 omitted.

FA84a omitted.

FA85PRE omitted.

FA85 omitted.

FB37

Next, I have a few questions about physicians' services within {FACILITY/[READ FACILITY/UNITS ABOVE]}. Does {FACILITY/[READ FACILITY/UNITS ABOVE]} have a contract with any group of physicians to provide services to residents?

YES .....	1	
NO .....	0	(FB43)
DK .....	-8	(FB43)
RF .....	-7	(FB43)

FB38

Display Group Roster.

FB38

What is the name of the group?

PROBE: Are there any other groups?

\_\_\_\_\_  
NAME OF GROUP

\_\_\_\_\_  
NAME OF GROUP

USE ARROW KEYS. CTRL/A = ADD. CTRL/D = DELETE TO EXIT, PRESS ESC.

BOX FB9	ASK FB39 - FB42 FOR ALL GROUPS IN FB38.
---------	---

FB39

What is the number of physicians provided under contract from {GROUP}?

\_\_\_\_\_  
NUMBER

Hard range: 0-999; soft range: 1-20.

If 0 entered, display overlay screen: PRESS CTRL/K TO EXPLAIN WHY THERE ARE NO PHYSICIANS. THEN PRESS ENTER TO CONTINUE.

FB40

Ask for each group recorded in FB38. Fill with name of group from FB38.  
Display "Think about" for first group.  
Display "Next, think about" for second group.

FB40

{Think about/Next, think about} the physician services provided by {GROUP}. Does {FACILITY/[READ FACILITY/UNITS ABOVE]} ever bill the resident through the basic or ancillary rate for these services, at least for some residents or some of the time?

- YES ..... 1
- NO ..... 0 (NEXT GROUP OR FB43)
- DK ..... -8 (NEXT GROUP OR FB43)
- RF ..... -7 (NEXT GROUP OR FB43)

FB41

Taking all their visits to residents into account, does {GROUP} bill entirely, mostly, sometimes, or rarely through {FACILITY/[READ FACILITY/UNITS ABOVE]}?

- ENTIRELY ..... 1
- MOSTLY ..... 2
- SOMETIMES ..... 3
- RARELY ..... 4

FB42

If this is other than the first group entered in FB38, display "ENTER = SELECT/DESELECT." Else, do not display.

FB42

What are the names of the physicians provided by {GROUP}?

PHYSICIAN

DR.\_\_\_\_\_

USE ARROW KEYS. {ENTER=SELECT/DESELECT.} CTRL/A = ADD. CTRL/D = DELETE.  
TO EXIT, PRESS ESC.

PROGRAMMER SPECS:

Doctor names entered in FB42 should be flagged in the database as billing through the facility. Allow escape from this roster without text entry. When a doctor is added to the roster using CTRL/A, do not allow "SELECT/DESELECT" to function for that doctor while on this screen. CTRL/D is only valid for a doctor whose name has just been added to the roster.

BOX FB10	<p>ANY MORE GROUPS?</p> <p>YES ..... 1 (FB39)</p> <p>NO ..... 0 (FB43)</p>
-------------	--

FB43

Display "Aside from the physicians provided through the group(s) that you just told me about" and "other", if FB37 = 1. Display "group" if FB37 = 1. If more than one group entered at FB38, display "groups".

<p>FB43</p> <p>{Aside from the physicians provided through the group(s) that you just told me about,} {A/}are there any {other} physicians who see residents at {FACILITY/[READ FACILITY/UNITS ABOVE]} and for whom the facility bills the resident through the basic or ancillary rate, at least for some residents or some of the time?</p> <p>YES ..... 1</p> <p>NO ..... 0 (BOX FB11)</p> <p>DK ..... -8 (BOX FB11)</p> <p>RF ..... -7 (BOX FB11)</p>
---

FB44

Display Doctor Roster from FB42.  
If coming to FB44 from any question but FB43, display "I understand that...of the time"; else do not display.

<p>FB44</p> <p>{I understand that there are some physicians who see residents at {FACILITY/[READ FACILITY/UNITS ABOVE]} and for whom the facility bills the resident through the basic or ancillary rate, at least for some residents or some of the time.} What are the names of these physicians?</p> <p style="text-align: center;">PHYSICIAN</p> <p style="text-align: center;">DR. _____</p> <p>USE ARROW KEYS. CTRL/A = ADD. CTRL/D = DELETE. TO EXIT, PRESS ESC.</p>
---

PROGRAMMER SPECS:

Do not allow "SELECT/DESELECT" on this screen. If "ENTER" is pressed on the name of a doctor who appears on this screen as a result of entry in FB42, display the following message: CANNOT SELECT A DOCTOR WHO ALREADY APPEARS ON THIS SCREEN.

Create a Doctor Roster from the names entered in FB42 and FB44. The Roster will be used in the Use Questionnaire. Doctor names entered in FB44 should be flagged in the database as billing through the facility. Allow escape from this roster without text entry.

BOX FB11	<p>Review DOCTOR ROSTER. If no names or groups entered in DOCTOR ROSTER from FB44, go to FB47PRE; else if any names entered in FB44, ask FB45 for each doctor entered on ROSTER from FB44, then go to FB47PRE.</p>
-------------	--

FB45

Taking all (his/her) visits to residents into account, does Dr. {PHYSICIAN} bill entirely, mostly, sometimes, or rarely through {FACILITY/[READ FACILITY/UNITS ABOVE]}?

- ENTIRELY ..... 1 (FB47PRE)
- MOSTLY ..... 2 (FB47PRE)
- SOMETIMES ..... 3 (FB47PRE)
- RARELY ..... 4 (FB47PRE)

BOX FB1A	GO TO RESPONDENT SELECTION SCREEN. THEN, IF THERE IS ONLY ONE PLACE ROSTER LINE FOR THIS FACILITY (AS DETERMINED IN ROUND 2), GO TO FB1PRE; ELSE, GO TO FBOPRE.
-------------	---

FBOPRE

Display all parts of the facility as identified in Round 2 (PLACE ROSTER VERSION 1).

FBOPRE

HERE IS THE CURRENT PLACE ROSTER FOR YOUR REVIEW:

{PLACE ROSTER VERSION 1}

USE ARROW KEYS. TO EXIT, PRESS ESC.

FB0A

Display all parts or units of the facility that were identified in Round 2; questions FA11-FA15 as NNHES STATUS=ELIGIBLE and PLACETYPE = ELIGIBLE as determined at BOX FA16. Allow 6 lines.

FB0A

Would you be able to answer some questions about the certification status and services offered for [READ PLACES LISTED BELOW]?

{ELIGIBLE PARTS OF FACILITY}

- YES ..... 1 (FB1PRE)
- NO ..... 0 (FB0B)
- DK ..... -8 (FB0B)
- RF ..... -7 (FB0B)

BOX FB1B omitted.

FB0B  
 Present FB0B as an overlay to FB0A.

FB0B

Please tell me who in {ELIGIBLE PART OF FACILITY} could give me that information?

USE YOUR PAPER FROG TO WRITE DOWN THE NAME OF THE RESPONDENT.

PRESS ENTER TO RETURN TO FACILITY NAVIGATION SCREEN.

FB1PRE

I would like to review with you some information that I collected about {FACILITY/[READ FACILITY/UNITS ABOVE]} the last time I was here.

PRESS ENTER TO CONTINUE.

BOX FB2	WAS FACILITY CERTIFIED BY MEDICAID?		
	YES .....	1	(FB1)
	NO .....	0	(FB2)
	DK .....	-8	(FB2)
	RF .....	-7	(FB2)

FB1

Is {FACILITY/[READ FACILITY/UNITS ABOVE]} still certified by Medicaid as a Nursing Facility (NF)?

YES ..... 1 (BOX FB3)

NO ..... 0 (BOX FB3)

DK ..... -8 (BOX FB3)

RF ..... -7 (BOX FB3)

FB2

Is {FACILITY/[READ FACILITY/UNITS ABOVE]} certified by Medicaid as a Nursing Facility (NF)?

YES ..... 1 (FB3)

NO ..... 0 (BOX FB3)

DK ..... -8 (BOX FB3)

RF ..... -7 (BOX FB3)

FB3

How many beds are certified under Medicaid as nursing facility beds?

\_\_\_\_\_
# OF BEDS

PROGRAMMER SPECS:

Hard range: 1-1,600; soft range: 10-300.

FB4

Based on your most recent daily census, how many current residents have {"PREFERRED" NAME FOR MEDICAID} {(or {"ALLOWED FOR" NAME(S) FOR MEDICAID})} as a source of payment?

\_\_\_\_\_
# MEDICAID RESIDENTS

PROGRAMMER SPECS:

Hard range: 0-1,600; soft range: 10-300.

Table with 2 columns: BOX FB3 and WAS FACILITY CERTIFIED BY Medicare?. Rows include YES (1, FB5), NO (0, FB6), DK (-8, FB6), and RF (-7, FB6).

FB5

Is {FACILITY} still certified by Medicare as a Skilled Nursing Facility?

YES ..... 1 (BOX FB4)
NO ..... 0 (BOX FB4)
DK ..... -8 (BOX FB4)
RF ..... -7 (BOX FB4)



FB6

Is {FACILITY} certified by Medicare as a Skilled Nursing Facility (SNF)?

YES .....	1	(FB7)
NO .....	0	(BOX FB4)
DK .....	-8	(BOX FB4)
RF .....	-7	(BOX FB4)

FB7

How many beds are certified under Medicare?

\_\_\_\_\_
# BEDS

PROGRAMMER SPECS:

Hard range: 1-1,600; soft range: 10-300.

FB8

Based on your most recent daily census, how many current residents have Medicare as their primary source of payment?

\_\_\_\_\_
# MEDICARE RESIDENTS

PROGRAMMER SPECS:

Hard range: 0-1,600; soft range: 10-300.

BOX FB4	<p>IF FACILITY WAS CERTIFIED BY BOTH MEDICAID AND MEDICARE IN ROUND 2 (BOX FB2=1 AND BOX FB3=1), GO TO FB47PRE.</p> <p>ELSE, IF FACILITY IS NOW CERTIFIED BY BOTH MEDICAID AND MEDICARE (FB1 OR FB2=1 AND FB5 OR FB6=1), GO TO FB9.</p> <p>ELSE, IF FACILITY HAS GAINED CERTIFICATION STATUS SINCE ROUND 2 (FB2=1 OR FB6=1), GO TO FB10.</p> <p>ELSE, GO TO FB47PRE.</p>
---------	--

FB9

How many beds are certified under both Medicaid and Medicare? (That is, how many beds are dually certified?)

\_\_\_\_\_

# BEDS

PROGRAMMER SPECS:

Hard range: 0-1,600; soft range: 10-300.

FB10

Based on your most recent daily census, how many of the current residents in {FACILITY/[READ FACILITY/UNITS ABOVE]} have private pay as their only source of payment for basic care?

\_\_\_\_\_

# PRIVATE PAY RESIDENTS

PROGRAMMER SPECS:

Hard range: 0-1,600; soft range: 10-300.

FB47PRE  
Display {PLACE ROSTER VERSION 5} below.

\*CTRL/E OK\*

FB47PRE

Next, we need some information about the number of nursing staff (RNs, LPNs, and nurses aides) who were employees of {FACILITY/READ FACILITIES LISTED BELOW} during the second full week in December 1996.

We need to know the number of full-time (that is, at least 35 hours per week) and part-time (less than 35 hours per week) RNs, LPNs, and nurses aides. We also need the number of full-time equivalents (FTEs) for the same employees.

{PLACE ROSTER VERSION 5}

PRESS ENTER TO CONTINUE.

FB47  
For SAQ status to be marked as complete, item 1 must be selected.

FB47

We thought you might not have this information immediately at hand, so I can come back later today, or I can make arrangements to ask someone else, if you'd prefer.

COMPLETE THE SAQ NOW . . . . .	1
COMPLETE THE SAQ LATER . . . . .	2
REFERRED TO SOMEONE ELSE (RECORD NAME ON FROG) . . . . .	3
OTHER (SPECIFY: _____) . . . . .	91

MANAGEMENT SYSTEM SPECS:  
If 2, 3, or 91 is entered, flag the SAQ for data retrieval and go to FG3PRE. However, note that the SAQ items are not critical items. Do not retrieve RF. Disallow DK.  
If 1 is entered, go to SAQ1PRE.

SAQ1PRE

Please answer the following questions for the certified or licensed nursing facility beds in {FACILITY/[READ PLACES LISTED BELOW]}.

{PLACE ROSTER, VERSION 5}

PRESS ENTER TO CONTINUE.

SAQ1-3

Display SAQ1-3 as a matrix.

When coming on to the matrix, the cursor should reside in the first cell (SAQ1A). The cursor may be moved horizontally or vertically and when it is moved, the question text will change, using the appropriate fill. Do not allow <ESCAPE> from the matrix if any cell is blank.

SAMPLE LAYOUT SAQ1-3

SAQ1A-3C

How many {full-time/part-time/full-time equivalents (FTE)} {RNs/LPNs/nurses aides} {(including the Director of Nursing)} were employed during the second full week in December 1996?

EMPLOYMENT LEVEL

	STAFF TYPE	A FULL-TIME	B PART-TIME	C FTEs
SAQ1	RNs			
SAQ2	LPNs			
SAQ3	Aides			

{PRESS F1 FOR DEFINITION OF {"FULL-TIME"/"PART-TIME"/"FTEs"}.

SAQ1A

How many full-time RNs (including the Director of Nursing) were employed during the second full week in December 1996?

(  
NUMBER  
)

PRESS F1 FOR DEFINITION OF "FULL-TIME".

PROGRAMMER SPECS:

Soft Range: 1-80

Hard Range: 0-200

SAQ1B

How many part-time RNs were employed during the second full week in December 1996?

(            )  
NUMBER

PRESS F1 FOR DEFINITION OF "PART-TIME".

PROGRAMMER SPECS:

Soft Range: 0-23

Hard Range: 0-200

SAQ1C

How many full-time equivalents (FTEs) for RNs were employed during the second full week in December 1996?

(            )  
NUMBER

PRESS F1 FOR DEFINITION OF "FTE".

PROGRAMMER SPECS:

Soft Range: 0-101

Hard Range: 0-500

SAQ2A

How many full-time LPNs were employed during the second full week in December 1996?

(            )  
NUMBER

PRESS F1 FOR DEFINITION OF "FULL-TIME".

PROGRAMMER SPECS:

Soft Range: 0-45

Hard Range: 0-200

SAQ2B

How many part-time LPNs were employed during the second full week in December 1996?

(            )  
NUMBER

PRESS F1 FOR DEFINITION OF "PART-TIME".

PROGRAMMER SPECS:

Soft Range: 0-23

Hard Range: 0-200

SAQ2C

How many full-time equivalents (FTEs) for LPNs were employed during the second full week in December 1996?

(            )  
NUMBER

PRESS F1 FOR DEFINITION OF "FTE".

PROGRAMMER SPECS:

Soft Range: 0-101

Hard Range: 0-800

SAQ3A

How many full-time nurses aides were employed during the second full week in December 1996?

(            )  
NUMBER

PRESS F1 FOR DEFINITION OF "FULL-TIME".

PROGRAMMER SPECS:

Soft Range: 6-120

Hard Range: 0-400

SAQ3B

How many part-time nurses aides were employed during the second full week in December 1996?

(            )  
NUMBER

PRESS F1 FOR DEFINITION OF "PART-TIME".

PROGRAMMER SPECS:

Soft Range: 0-48

Hard Range: 0-100

SAQ3C

How many full-time equivalents (FTEs) for nurses aides were employed during the second full week in December 1996?

(            )  
NUMBER

PRESS F1 FOR DEFINITION OF "FTE".

PROGRAMMER SPECS:

Soft Range: 0-137

Hard Range: 0-200

BOX FG1	If this is a continuing new facility, go to closing 1; else go to FG3PRE
---------	--

FG3PRE

If this is a Continuing New Facility, display "some"; else display "to update my".

FG3PRE

Next, I need {some/to update my} information about the organization of {FACILITY'S} records and staff responsibilities.

PRESS ENTER TO CONTINUE.

FG3

RESIDENCE HISTORY RECORDS: I may need information about where [READ SP NAME(S) FROM FACE SHEET] lived prior to entering {FACILITY}, and if (he/she/they) have left, where (he/she/they) went. What is the name and title of the staff member who would be the best source for this information?

RECORD NAME AND TITLE ON PAPER FROG.

PRESS ENTER TO CONTINUE.

FG4

HEALTH STATUS RECORDS: I will also need some information about [SP(s)] health status at the time of admission to {FACILITY} and about the MDS forms. What are the names and titles of the staff members who would be the best source for this information?

RECORD NAME AND TITLE ON PAPER FROG.

IF LOCATED OUTSIDE FACILITY, PROBE FOR ADDRESS.

PRESCRIPTION MEDICINE RECORDS: I will also be collecting information about the use of prescribed medicines. Who would be the best source for this information? (What is (his/her) title?)

RECORD NAME AND TITLE ON PAPER FROG.

PRESS ENTER TO CONTINUE.

FG5 omitted.

FG5A

EXPENDITURE RECORDS: Also, I'll need to talk to someone about billing and payments received for services provided.

What is the name and title of the person I should talk to about this kind of information?

RECORD NAME AND TITLE ON PAPER FROG.

PRESS ENTER TO CONTINUE.

FG6

HEALTH CARE SERVICES: I will need information about the health care services the selected residents may have received this year -- services outside this {facility/home} as well as care from any physicians, therapists, or other providers who saw residents here. What staff member would be the best source for this information? Could you tell me (his/her) title?

RECORD NAME AND TITLE ON PAPER FROG.

PRESS ENTER TO CONTINUE.

FG8-11 omitted.

BOXES FG1 and FG2 omitted.

BOX FA29 omitted.



CLOSING 1

Thank you.

THE FACILITY-LEVEL QUESTIONS FOR THIS CASE ARE COMPLETE FOR THIS ROUND.

PRESS ENTER TO RETURN TO FACILITY NAVIGATION SCREEN.

## SECTION MD: FACILITY MISSING DATA (MD)

### Overall Programming Specifications

All of the overall programming specifications specified in the Facility-Level Questionnaire, pages 2 -19, are applicable in the Facility Missing Data Module.

If there is any facility missing data still outstanding, after entering a response to the last MD item in facility level missing data, the cursor returns to the MD management screen (FQ\_MISS); else if there is no missing data, in any of the "sections" (i.e., Facility Questionnaire, status of SAQ), the application goes to FAEND, then to the Facility Navigation Screen (F\_SELECT).

## SECTION MD: FACILITY MISSING DATA

### Facility Level Data Retrieval

In a New Facility level data retrieval of missing data may occur at two different points in the application. The first is data retrieval of critical items (and other non-critical items noted for data retrieval) in the FA section of the facility questionnaire. The second point at which data retrieval may occur is for collection of the SAQ. If at FA47 (status of the SAQ), the status is other than "1" ("COMPLETE"), the data retrieval introduction screen will include updating the status of the SAQ as a choice. In Continuing New Facility, data retrieval is only done for an incomplete SAQ.

On the facility navigate screen, if there is any data retrieval to be done, then the line for "CURRENT STATUS" will indicate that facility data retrieval needs to be done and the line for "FACILITY QUESTIONNAIRE" will say "MISSING DATA".

### SAMPLE LAYOUT

FACNAV	
FACILITY NAVIGATION	
CURRENT STATUS: (NEED FAC RETRIEVAL AND SP WORK)	
FACILITY STATUS: ELIGIBLE/INELIGIBLE	
1. FACILITY QUESTIONNAIRE	(MISSING DATA)
3. SP NAVIGATION	(AVAILABLE)

When "1" is selected at the navigate screen when the facility questionnaire status is "MISSING DATA", the flow is from the navigate screen to FQ\_MISS. This screen provides the interviewer with the options for collecting missing data as described above.

SAMPLE LAYOUT

FQ\_MISS

If this is a New Facility and any items in the FA section have been flagged for data retrieval, display item 1; else do not display.

<p>FQ_MISS</p> <p style="text-align: center;">MISSING DATA</p> <p style="text-align: center;">INTERVIEWER: WHAT WOULD YOU LIKE TO DO?</p> <p style="text-align: center;">(       )</p> <p style="text-align: center;">0. RETURN TO FACILITY NAVIGATION SCREEN</p> <p style="text-align: center;">{1. RETRIEVE FACILITY LEVEL MISSING DATA      (FQ_MISS1)}</p> <p style="text-align: center;">2. MARK STATUS OF SAQ                              (FB47PRE)</p>
--

PROGRAMMER SPECS:

1. RETRIEVE FACILITY LEVEL MISSING DATA

When item 1 is selected the interviewer is presented with the missing data summary screen. This screen provides for review of all missing data for the sampled facility. It will have a permanent header, centered, that says: THE FOLLOWING ITEMS ARE MISSING FROM FQ. CONFIRM THAT RESPONDENT CAN ANSWER AT LEAST ONE QUESTION.

After reviewing these items and pressing <ENTER> on the last of the review screens, the interviewer is presented with the respondent roster (RR1) in order to select the respondent who will attempt to answer the missing data questions.

If a respondent is selected, the application is steered to the first of the missing data items followed by all remaining missing data items. After entering an answer for each item, the interviewer is returned to FQ\_MISS. (Unless there is no more missing data, in which case, the application goes to FAEND, then the facility navigation screen.)

The items in the facility application that may be flagged for data retrieval are as follows:

- FAVERIF1-5
- FA2 (part of larger facility)
- FA19-23 (eligibility block)

"MISSING DATA" on the FQ\_MISS screen and at the navigate screen can be set to COMPLETE if none of the items in the missing data module are flagged "-8" (DK). Otherwise, the MD module remains open.

2. MARK STATUS OF SAQ

If the interviewer selects "2" from FQ\_MISS, CAPI goes directly to FB47PRE and the interviewer updates the SAQ status accordingly.

## RETRIEVE FACILITY LEVEL MISSING DATA

### FQ\_MISS1

For any critical items with invalid responses (as specified in the programmer specifications for the Facility Questionnaire), display flush left, the screen name of the missing item and in a second column the screen text for that item. Display the items in the same sequence in which they appear in the application. Items FAVERIF1 - FA23 are applicable only if the facility is a Round 3 New Facility.

### FQ\_MISS1

THE FOLLOWING ITEMS ARE MISSING FROM FQ.  
CONFIRM THAT RESPONDENT CAN ANSWER AT LEAST ONE QUESTION.

{FAVERIF1	IS SF'S NAME CORRECT?}
{FAVERIF3	IS SF'S ADDRESS CORRECT?}
{FAVERIF4	IS SF'S ADMINISTRATOR CORRECT?}
{FAVERIF5	IS SF'S PHONE NUMBER CORRECT?}
{FA2	IS SF PART OF A LARGER FACILITY?}
{FA19	NUMBER OF BEDS IN{FACILITY/TENTATIVE ADDITION}??
{FA20	MEDICAID CERTIFICATION FOR {FACILITY/TENTATIVE ADDITION}??
{FA21	MEDICARE CERTIFICATION FOR {FACILITY/TENTATIVE ADDITION}??
{FA22	STATE DEPARTMENT LICENSING FOR {FACILITY/TENTATIVE ADDITION}??
{FA23	SUPERVISION BY RN OR LPN AT {FACILITY/TENTATIVE ADDITION}??

PRESS ENTER TO CONTINUE.

PROGRAMMER SPECS: After pressing enter on the last FQ\_MISS screen, the application should go to the respondent roster with the cursor on the first entry in the roster, RR1.

### SAMPLE LAYOUT

### RR1

#### RESPONDENT ROSTER

RR1	RR2
NAME	TITLE

### PROGRAMMER SPECS:

If coming to the Respondent Roster from FQ\_MISS1 and a name is not selected/added, <ESCAPE> from the roster should return to the missing data management screen (FQ\_MISS1). If coming to the roster from FQ\_MISS1 and a name is selected added, <ESCAPE> from the roster takes the interviewer to the first facility level item flagged as missing.

FAVERIF1

{FACILITY} fill is either the name of the sampled facility from the LOOKUP (NHPI), or a modification entered in the screener or the Round 1 update process.

Display the SF name right justified on the top line header. This header continues throughout MD items in the FQ unless otherwise specified.

FAVERIF1	
I need to verify that I'm in the right place and that our information about you is correct.	
Is {FACILITY} the <u>exact</u> name of this {home/facility}?	
YES .....	1
NO .....	0
DK .....	-8
RF .....	-7

PROGRAMMER SPECS:

if 0 is entered in FAVERIF1, present NAME UPDATE SCREENS. The first NAME UPDATE screen is an overlay to FAVERIF1:

What is the exact name of this facility?

\_\_\_\_\_ FACILITY NAME

Set a flag to indicate a change has been made. Use the updated FACILITY name for FACILITY. Fill in all questions that follow. The second UPDATE screen captures the reason for change:

REASON FOR NAME UPDATE:

- CORRECTING A TYPOGRAPHICAL ERROR ..... 1
- CORRECTING SOME OTHER KIND OF ERROR ..... 2
- SPECIFYING MORE COMPLETE INFORMATION ..... 3
- FACILITY CHANGED ITS NAME
- WHEN BOUGHT BY ANOTHER COMPANY ..... 5
- FACILITY CHANGED ITS NAME FOR SOME
- OTHER REASON ..... 6
- OTHER (SPECIFY: \_\_\_\_\_) .. 91

MANAGEMENT SYSTEM SPECS:

If DK is entered in root question, flag FAVERIF1 root question as still MISSING DATA.

FAVERIF3

Is {FACILITY}'s address...

{ADDRESS1}  
{CITY, STATE ZIP}?

YES .....	1
NO .....	0
DK .....	-8
RF .....	-7

MANAGEMENT SYSTEM SPECS:

If DK is entered in root question, flag FAVERIF3 root question as still MISSING DATA. If 0 was entered, review address fields and present ADDRESS UPDATE SCREEN if interviewer did not press enter on each and all fields. Set a flag to indicate a change has been made. The ADDRESS UPDATE screen collects the reason for change:

REASON FOR ADDRESS UPDATE:

CORRECTING A <u>TYPOGRAPHICAL</u> ERROR .....	1
CORRECTING SOME <u>OTHER</u> KIND OF ERROR .....	2
SPECIFYING <u>MORE COMPLETE</u> INFORMATION .....	3
FACILITY <u>MOVED</u> TO A DIFFERENT ADDRESS .....	7
FACILITY CHANGED ITS ADDRESS FOR SOME <u>OTHER</u> REASON .....	8
OTHER (SPECIFY: _____) .....	91

FAVERIF4

Display "Is ADMINISTRATOR'S NAME" if any name coded 22 on RESPONDENT ROSTER, other than current respondent. Else, display "Are you."

FAVERIF4	
{Is ADMINISTRATOR'S NAME/Are you} the current administrator of {FACILITY}?	
YES .....	1
NO .....	0
DK .....	-8
RF .....	-7

PROGRAMMER SPECS:

If 0 is entered in FAVERIF4, go to RR1 with this question text displayed:

What is the current administrator's name?

After the NAME has been entered and the TITLE confirmed, return to FAVERIF4 at the ADMINISTRATOR UPDATE SCREEN. The UPDATE screen captures the reason for the change:

REASON FOR ADMINISTRATOR NAME UPDATE (     )	
CORRECTING A TYPOGRAPHICAL ERROR .....	1
CORRECTING SOME <u>OTHER</u> KIND OF ERROR .....	2
SPECIFYING <u>MORE COMPLETE</u> INFORMATION .....	3
FACILITY <u>CHANGED</u> ADMINISTRATORS .....	4
OTHER (SPECIFY: _____) .....	91

Set a flag to indicate a change has been made. The UPDATE screen includes a prompt for reason for change.

MANAGEMENT SYSTEM SPECS:

If DK is entered in root question, flag FAVERIF4 root question as still MISSING DATA.



FAVERIF5

Is this {FACILITY AREA CODE AND PHONE NUMBER} the correct phone number for this {home/facility}?

YES .....	1
NO .....	0
DK .....	-8
RF .....	-7

PROGRAMMER SPECS:

If 0 is entered in FAVERIF5, present PHONE UPDATE SCREENS. The first UPDATE screen is an overlay to FAVERIF5. If the area code and state from FAVERIF3 (ADDR.ADDRSTAT) do not match, display the error message "Area code and state...area code" at the bottom of the screen.

What is the phone number?

( ) ( ) - ( )

{Area code and state do not match. Verify and re-enter area code.}

The second UPDATE screen captures the reason for the change:

REASON FOR UPDATE ( )

CORRECTING A TYPOGRAPHICAL ERROR .....	1
CORRECTING SOME <u>OTHER</u> KIND OF ERROR .....	2
SPECIFYING <u>MORE COMPLETE</u> INFORMATION .....	3
FACILITY <u>MOVED</u> TO A DIFFERENT ADDRESS .....	7
OTHER (SPECIFY: _____) .....	91

Set a flag to indicate a change has been made. The UPDATE screen includes a prompt for reason for change.

MANAGEMENT SYSTEM SPECS:

If DK is entered in root question, flag FAVERIF5 root question as still MISSING DATA.

FA2

Is {FACILITY} part of a larger {home/facility} or campus?

YES .....	1
NO .....	0
DK .....	-8
RF .....	-7

PRESS F1 FOR DEFINITION, EXAMPLES OF "LARGER" PLACES.

MANAGEMENT SYSTEM SPECS:

If DK is entered, flag FA2 as still MISSING DATA.

FA19

For {FACILITY}, if cycling through FA19-23 for a Tentative Addition, display the name of the Tentative Addition from the Place Name from FA11. Otherwise, display sampled facility name. (This display instruction applies to MD items FA19-FA23.)

If this FACILITY/TENTATIVE ADDITION was entered in FA11-15, prefill with number of beds from FA13, display "According to the information I obtained earlier, ..." and "PRESS ENTER..."

If no entries in FA13 (NUMBER OF BEDS/INDIVIDUAL UNITS) for this FACILITY/TENTATIVE ADDITION, display "How many beds..."

FA19

{Now let's turn to {FACILITY}.}

{How many beds does {FACILITY} have?/According to the information I obtained earlier, {FACILITY} has [READ NUMBER BELOW] beds.}

{        }
-----
NO. OF BEDS

{PRESS ENTER TO CONTINUE.}

PRESS F1 FOR EXPANDED DEFINITION OF "BEDS".

PROGRAMMER SPECS:

Soft Range:10-300; hard range: 1-1,600.

MANAGEMENT SYSTEM SPECS:

If DK is entered, flag FA19 as still MISSING DATA.

FA20

Display {"PREFERRED" NAME FOR MEDICAID} {(or {"ALLOWED FOR" NAME(S) FOR MEDICAID}} if the state in the facility's address is a state that uses a name other than Medicaid. Use table of State Medicaid names presented in the Facility-Level Questionnaire at FA20.

FA20

Is {FACILITY} certified by {"PREFERRED" NAME FOR MEDICAID} {(or {"ALLOWED FOR" NAME(S) FOR MEDICAID}} as a Nursing Facility (NF)?

IF R MENTIONS:

-ICF (INTERMEDIATE CARE FACILITY), NOTE IN COMMENTS AND ENTER 1.

-ICF-MR (INTERMEDIATE CARE FACILITY-MENTAL RETARDATION), NOTE IN COMMENTS AND ENTER 0.

YES .....	1
NO .....	0
DK .....	-8
RF .....	-7

MANAGEMENT SYSTEM SPECS:

If DK is entered, flag FA20 as still MISSING DATA.

FA21

Is {FACILITY} certified by Medicare as a SNF?

YES .....	1
NO .....	0
DK .....	-8
RF .....	-7

MANAGEMENT SYSTEM SPECS:

If DK is entered, flag FA21 as still MISSING DATA.

FA22

Fill {STATE} with state field from FAVERIF3. Spell out state name. Always use sampled facility state name.

FA22	
Is {FACILITY} licensed as a nursing {home/facility} by the {STATE} State Health Department or by some other agency?	
YES, LICENSED BY STATE HEALTH DEPARTMENT . . . . .	1
YES, LICENSED BY SOME OTHER AGENCY (SPECIFY: _____) . . . . .	2
NO, NOT LICENSED . . . . .	0

PROGRAMMER SPECS:

If 2 entered, present a soft range check: UNLIKELY RESPONSE. PLEASE VERIFY AND RE-ENTER.

MANAGEMENT SYSTEM SPECS:

If DK is entered, flag FA22 as still MISSING DATA.

FA23	
Does {FACILITY} provide 24-hour a day, on-site supervision by an RN or LPN 7 days a week?	
YES . . . . .	1
NO . . . . .	0
DK . . . . .	-8
RF . . . . .	-7

MANAGEMENT SYSTEM SPECS:

If DK is entered, flag FA23 as still MISSING DATA.

FA31 omitted.

FA77 omitted.

BOX FACOMP	If there is <u>no</u> facility missing data, that is, there are no items listed on FQ_MISS, and FB47=1, go to FAEND; else go to MD Management screen (FQ_MISS).
---------------	---

FAEND
YOU HAVE COMPLETED DATA COLLECTION FOR FACILITY LEVEL MISSING DATA.
PRESS ENTER TO RETURN TO FACILITY NAVIGATION SCREEN.

FB47PRE  
Display {PLACE ROSTER VERSION 5} below.

\*CTRL/E OK\*

FB47PRE

Next, we need some information about the number of nursing staff (RNs, LPNs, and nurses aides) who were employees of {FACILITY/[READ PLACES LISTED BELOW]} during the second full week in December 1996.

We need to know the number of full-time and part-time RNs, LPNs, and nurses aides and the number of full-time equivalents (FTEs) for these employees.

{PLACE ROSTER, VERSION 5}

PRESS ENTER TO CONTINUE.

FB47  
For SAQ status to be marked as complete, item 1 must be selected.

FB47

(We thought you might not have this information immediately at hand, so I can come back later today, or I can make arrangements to ask someone else, if you prefer.)

COMPLETE THE SAQ NOW . . . . .	1	(SAQ1)
COMPLETE THE SAQ LATER . . . . .	2	(FQMISS)
REFERRED TO SOMEONE ELSE (RECORD NAME ON FROG) . . . . .	3	(FQMISS)
OTHER (SPECIFY: _____) . . . . .	91	(FQMISS)

MANAGEMENT SYSTEM SPECS:  
If 2, 3, or 91 is entered, flag the SAQ for data retrieval and go to FQMISS. However, note that the SAQ items are not critical items. Do not retrieve RF. Disallow DK.  
If 1 is entered, go to SAQ1PRE.

SAQ1PRE

Please answer the following questions for the certified or licensed nursing facility beds in {FACILITY/[READ PLACES LISTED BELOW]}.

{PLACE ROSTER, VERSION 5}

PRESS ENTER TO CONTINUE.

SAQ1-3

Display SAQ1-3 as a matrix.

When coming on to the matrix, the cursor should reside in the first cell (SAQ1A). The cursor may be moved horizontally or vertically and when it is moved, the question text will change, using the appropriate fill. Do not allow (Escape) from the matrix if any cell is blank.

SAMPLE LAYOUT SAQ1-3

SAQ1A-3C

How many {full-time/part-time/full-time equivalents (FTE)} {RNs/LPNs/nurses aides} {(including the Director of Nursing)} were employed during the second full week in December 1996?

EMPLOYMENT LEVEL

		A	B	C
	STAFF TYPE	FULL-TIME	PART-TIME	FTEs
SAQ1	RNs			
SAQ2	LPNs			
SAQ3	Aides			

{PRESS F1 FOR DEFINITION OF {"FULL-TIME"/"PART-TIME"/"FTEs"}.

SAQ1A

How many full-time RNs (including the Director of Nursing) were employed during the second full week in December 1996?

(    )  
NUMBER

PRESS F1 FOR DEFINITION OF "FULL-TIME".

PROGRAMMER SPECS:

Soft Range: 1-80

Hard Range: 0-200

SAQ1B

How many part-time RNs were employed during the second full week in December 1996?

(    )  
NUMBER

PRESS F1 FOR DEFINITION OF "PART-TIME".

PROGRAMMER SPECS:

Soft Range: 0-23

Hard Range: 0-200

SAQ1C

How many full-time equivalents (FTEs) for RNs were employed during the second full week in December 1996?

(    )  
NUMBER

PRESS F1 FOR DEFINITION OF "FULL-TIME".

PROGRAMMER SPECS:

Soft Range: 0-101

Hard Range: 0-500

SAQ2A

How many full-time LPNs were employed during the second full week in December 1996?

(    )  
NUMBER

PRESS F1 FOR DEFINITION OF "FULL-TIME".

PROGRAMMER SPECS:

Soft Range: 0-45

Hard Range: 0-200

SAQ2B

How many part-time LPNs were employed during the second full week in December 1996?

(    )  
NUMBER

PRESS F1 FOR DEFINITION OF "PART-TIME".

PROGRAMMER SPECS:

Soft Range: 0-23

Hard Range: 0-200

SAQ2C

How many full-time equivalents (FTEs) for LPNs were employed during the second full week in December 1996?

(    )  
NUMBER

PRESS F1 FOR DEFINITION OF "FTEs".

PROGRAMMER SPECS:

Soft Range: 0-101

Hard Range: 0-800



SAQ3A

How many full-time nurses aides were employed during the second full week in December 1996?

(     )  
NUMBER

PRESS F1 FOR DEFINITION OF "FULL-TIME".

PROGRAMMER SPECS:

Soft Range: 6-120

Hard Range: 0-400

SAQ3B

How many part-time nurses aides were employed during the second full week in December 1996?

(     )  
NUMBER

PRESS F1 FOR DEFINITION OF "PART-TIME".

PROGRAMMER SPECS:

Soft Range: 0-48

Hard Range: 0-100

SAQ3C

How many full-time equivalent (FTEs) for nurses aides were employed during the second full week in December 1996?

(     )  
NUMBER

PRESS F1 FOR DEFINITION OF "FTE".

PROGRAMMER SPECS:

Soft Range: 0-137

Hard Range: 0-200

BOX MD2

If there is no facility missing data, that is, there are no items listed on FQ\_MISS, and FB47 = 1 go to FAEND; else go to MD Management Screen (FQ\_MISS).

FAEND

YOU HAVE COMPLETED DATA COLLECTED FOR FACILITY LEVEL MISSING DATA.

PRESS ENTER TO RETURN TO FACILITY NAVIGATION SCREEN.

## TYPES OF PLACES

Nursing Home/Unit or Rehabilitation Unit

Hospital

Assisted Living Facility

Board and Care Home

Domiciliary Care Home

Personal Care Home

Rest Home

Independent Living Units

Mental Health/Psychiatric Setting

Some Other Type of Place

CARD  
RH4

## SPECIAL CARE UNITS

Alzheimer's and Related Dementias

AIDS/HIV

Dialysis

Children with Disabilities

Brain Injury (Traumatic or Acquired)

Hospice

Huntington's Disease

Rehabilitation

Ventilator/Pulmonary

Some Other Kind of Unit

## FACILITY QUESTIONNAIRE HELP SCREENS

RR1

### HEALTH CARE AND MEDICAL RECORDS STAFF TITLES

- 1 = Director of Nursing/VP of Nursing
- 2 = Assistant Director of Nursing
- 3 = Head Nurse/Nurse Supervisor/Charge Nurse
- 4 = Nurse, Floor/Shift
- 5 = Social Worker/Caseworker/Activities Coordinator or Director
- 6 = Medical Records Clerk/Supervisor/Director
- 7 = Nurse's Aide

### MDS/QUALITY CONTROL TITLES

- 11 = MDS Coordinator/Nurse
- 12 = Case Mix Coordinator/Nurse
- 13 = Care Plan Coordinator/Nurse
- 14 = Quality Assurance Coordinator

### ADMINISTRATIVE TITLES

- 21 = Owner
- 22 = Administrator/Executive Director
- 23 = Assistant Administrator/Administrator in Training
- 24 = Medical Director
- 25 = Admissions Director/Coordinator
- 26 = Human Resources Staff Member
- 27 = VP for Operations
- 28 = Administrative Assistant/Secretary/Receptionist

### BUSINESS OR FINANCE TITLES

- 30 = VP for Finance
  - 31 = Controller/Comptroller
  - 32 = Business Office Manager
  - 33 = Accounting Supervisor
  - 34 = Accounting/Billing or Accounts Receivable Clerk/Bookkeeper
  - 35 = Electronic Data Processing Staff Member
- 91 = OTHER (SPECIFY)

SAQ1A  
SAQ2A  
SAQ3A

"FULL-TIME" means the employee works at least 35 hours per week.

SAQ1B  
SAQ2B  
SAQ3B

"PART-TIME" means the employee works LESS than 35 hours per week.

SAQ1C  
SAQ2C  
SAQ3C

A "FULL-TIME EQUIVALENT" ("FTE") is calculated by the TOTAL number of hours worked in a week by RNs or LPNs divided by the number of hours worked by 1 full-time employee in a week. For example, if a facility has 3 LPNs each working 20 hours each week, then  $FTEs = 3 (\# \text{ of LPNs}) \times 20 (\text{hours}) / 40 (\# \text{ of hours worked by 1 full time employee})$  or 1.5 FTEs.