

**RESIDENT DEMOGRAPHIC AND MOVEMENT DATA
FORMS AND INSTRUCTIONS FOR
YOUR RETIREMENT COMMUNITY**

A.V. Powell & Associates LLC

300 Chesterfield Center, Suite 123
Chesterfield, Missouri 63017-4816
636.530.1072
Fax 636.530.1073

6055 Barfield Road, NE, Suite 209
Atlanta, Georgia 30328-4400
404.845.0360
Fax 404.845.0366

www.avpowell.com

©2003 A.V. Powell & Associates LLC
All Rights Reserved

Table of Contents

Introduction.....	1
Resident Demographic and Movement Data Collection Process	2
Data Entry Instructions	4
Field Descriptions	5
Data Collection Hints.....	8
Data Validation	10
Appendix A – Blank Data Form and Sample Completed Data Form	
Appendix B – Sample Spreadsheet Layout	
Appendix C – Codes for Your Retirement Community	

Introduction

The purpose of this document is to assist the individual who is responsible for (a) collecting demographic and movement information on contractholders, (b) inputting such information in the A.V. Powell & Associates LLC (“AVP”) software and (c) verifying the accuracy and completeness of the resident database. This document contains:

- Description of the process for collecting the demographic and movement data
- Paper format that identifies the type of data to be collected from residents (see Appendix A)
- Sample spreadsheet layout that can be used in place of individual paper forms (see Appendix B)
- Instructions for inputting resident data into our software
- Instructions for verifying the accuracy and completeness of the resident database

If you have any questions regarding the data collection process, please contact your AVP consultant in Atlanta at 800.441.4969 or in St. Louis at 800.828.6309.

Resident Demographic and Movement Data Collection Process

Who should be included in the resident data collection?

Complete data must be gathered on each contractholder who lived in the community during the period [study begin dt] through [study end dt].

Contractholders include all residents in [independent living], plus all residents in [assisted living] and [nursing care] who originated in [independent living]. Include all current contractholders, all contractholders who died or moved out during the study period, and all spouses who lived in the community even if they died or moved out before the beginning of the study period. **Do not include** direct entrants into assisted living or nursing care unless they paid an entrance fee (i.e., exclude community residents/private pay).

We recommend that you collect complete data on current contractholders first, then collect data on spouses and contractholders who died or moved out during the study period.

What type of data should be collected?

The data to be collected includes a unique identification number, full name, gender, date of birth, contract type, entrance fee amount, and pertinent information concerning the contractholder's movements between care levels. A detailed description of the required data can be found in the Field Descriptions section of this document.

How should we start the data collection process?

The first step in the data collection process should be a review of what data you have readily available. Do you have any spreadsheets that contain pertinent data on current and former residents? Do you have a billing system that can be used to get a resident's movements within the community? Do you have individual resident folders containing application forms and contracts?

Be sure to identify a source for each of the required data items. Also, be sure that data are available for both current and former contractholders.

How should the data be assembled?

Ultimately, the resident data must be entered into a database in FORCAST, the actuarial projection model developed by A. V. Powell & Associates. Some communities prefer to gather the data on paper forms or in a spreadsheet before entering it into FORCAST. Decide which approach makes the most sense for your situation.

If you prefer to use paper forms, Appendix A contains a blank form which can be copied and completed for each resident. A completed data form to be used as an example is also included in

Appendix A. We recommend that completed forms be collated alphabetically and stored in a three ring binder. This will facilitate entering the data into the FORCAST database.

If you prefer to gather the necessary data for all residents in a spreadsheet, Appendix B contains a sample spreadsheet layout. We recommend using two separate sheets in a workbook: one for Initial Data and one for Move Data. The Initial Data sheet will contain one line for each resident. The Move Data could have multiple lines corresponding to the resident's movements within the community. Use the same, unique ID number in both the Initial Data and Move Data sheets to identify a resident.

Whichever approach you choose (enter data directly or use paper forms or use spreadsheets), all of the data ultimately must be entered into FORCAST.

What is the procedure for inputting resident information into FORCAST?

Install the FORCAST data collection software by running the program named "FORCAST database_setup.exe" by obtaining software on a CD or other distribution media. Instructions on how to enter resident information into the FORCAST database can be found in the Data Entry Instructions section of this document or in the built-in Help on each screen of the installed software.

What should I do with the data after I have entered it into FORCAST?

Once the resident data is in FORCAST, certain edit checks need to be performed to ensure the accuracy of the data entry. FORCAST contains a set of predefined edit checks which include listings of long temporary transfers to health care, entry ages outside of user-defined ranges, and mismatches in couple information. You should also create a current census in FORCAST. The resident counts by level of care should be verified.

There are on-line help documents in the FORCAST system that will guide you through performing these tasks. Refer to the following topics: Verify Resident Data and Verify Census. A printout of these topics is contained in the Data Validation section of this document.

Data Entry Instructions

1. Open the FORCAST program by clicking on the icon on your desktop
2. Choose File-Open from the main menu to open your file group, if it is not automatically opened at startup
3. Choose Database / Resident Data
4. To add a new record click the New button on the right side of the screen
5. Fill in all of the required data and click OK to save the resident record
6. Proceed with adding new records for all of the contractholders
7. The database can be sorted by name or by ID# by using the Options menu

Illustration of Populated FORCAST Resident Data Screen (ver. 6.11 build 137)

Resident Data Record
✕

Setup **Help**

Initial Data

ID number	20
Last name	ABERCROMBIE
First name	DAWN
Gender	0 Female
Date of birth	09/10/1908
Contract type	20 2% DECLINING INDIV REFU
Entry couple ID	0
Current couple ID	0
Entry fee-total or 1st person	51,500
Entry fee-2nd person	0
Monthly fee-1st person	0
Monthly fee-2nd person	0
*Date of deferred rev	
Deferred rev balance	0
Amortization group number	20

Move Data

Move date	Move code	Facility code	Unit type	*Unit code	Entry fee adjustment	Revenue bal flag
02/01/1983	100	10	102			
09/06/1984	610					
09/07/1984	510	10				
09/08/1984	100	10	102			
04/27/1988	610					
04/30/1988	100	10	102			
08/01/1991	610					
08/14/1991	510	10				
08/23/1991	100	10	102			
09/16/1997	300	10	301			

* Field may remain empty. Use Delete key to clear.

Field Descriptions

There are two parts to the resident database: Initial Data and Move Data.

Initial Data:

1. **ID Number:** Must be a unique number for each contractholder. Must be numeric and have 9 or fewer digits. We recommend using ID Numbers beginning with the number one if you do not have a unique numeric ID Number in another system. Each resident in a couple must have his/her own ID Number.
2. **Last Name:** Enter the resident's last name.
3. **First Name:** Enter the resident's first name.
4. **Gender:** Enter 0 for Female; 1 for Male
5. **Date of Birth:** Record actual date of birth. If month is unknown, record 07; if date is unknown, record 15; if year is unknown, make an educated guess.
6. **Contract Type:** This field indicates the current contract type. Each contract type must have a unique code. We recommend starting with 10 and increasing sequentially by 1. Contract types are usually distinguished by different refund provisions and health care guarantees. See Appendix C for contract types and descriptions.
7. **Entry Couple ID Number:** For a single resident, this field is zero. For a couple, this field will contain the ID number of the other person. Even if one or both people in the couple have moved or died, this field should still reflect the other ID number.
8. **Current Couple ID Number:** This item is used to identify "couples" to determine unit occupancy and project the appropriate monthly fee revenues. For a single resident, this field is zero. For a couple, this field will contain the ID number of the other person.

This field will contain the same data as the previous field, Entry Couple ID Number, for couples who moved in together and are still both contractholders of the community. If one of the members of the couple has died, moved out, or moved to health care, both of these fields should still reflect the other person's ID number.

In a remarriage, the Current Couple ID Number field should reflect the ID number of the person this contractholder is currently related to for billing as a couple. In this case, the Entry Couple ID Number will be different than the Current Couple ID Number.

9. **Entry Fee – Total or First Person:** Total entrance fee paid at move-in. For couples, this entry fee amount is generally a total of first person and second person fees and is recorded the same way on both records. Our model will recognize it as a shared amount. See Item 10 for an exception.

10. **Entry Fee – Second Person** (optional): The entrance fee is only required to be separated into first person and second person if partial refunds are paid when the first death or withdrawal occurs for a couple.
11. **Monthly Fee (First Person)** (optional): The monthly fees need to be recorded only if contractholders have special fees that do not follow the current fee schedule by contract type and unit type.
12. **Monthly Fee (Second Person)** (optional): Same note as Item 11 above. If monthly fees need to be recorded, enter the amount charged for an additional person in the unit.
13. **Date of Deferred Revenue Balance** (optional): Only record date if converting from another amortization method to AVP's system for amortization calculations. This is the date related to the balance in the next item.
14. **Deferred Revenue Balance** (optional): Only record amount if converting from another amortization method to AVP's system for amortization calculations. This is the deferred revenue amount to use as a beginning balance.
15. **Amortization Group Number** (optional): Record number only if using AVP's amortization system and contracts are contingent on reoccupancy of the unit. Set this field equal to ID number. Couples must have the same Amortization Group Number, so choose one ID number and enter it for Amortization Group Number on both records.

Move Data:

The first movement should reflect the resident's entry date and care level upon admission to the community. Subsequent moves are recorded when the resident moves to a different care level, dies, withdraws, or transfers to a different unit type. Note that movements among care levels must distinguish between a permanent or temporary transfer by using the appropriate move code.

1. **Move Date:** Enter the date corresponding to code in the next item. Movements must be entered in chronological order.
2. **Move Code:** See Appendix C for move codes and descriptions.

If a transfer is temporary, another movement is needed to return the contractholder to his/her previous location. For example, if the contractholder moved from independent living to nursing care on 5/15/2000 and returned to independent living on 5/25/2000, there should be two moves: 05/15/2000 510 and 05/25/2000 100.

3. **Facility Code:** If you are entering data for more than one facility, start with 10 and increase sequentially by one for each different facility. [See Appendix C for facility codes and descriptions.]
4. **Unit Type:** This field reflects the type of unit permanently occupied by a resident. See Appendix C for unit types and descriptions.
5. **Unit Code (optional):** Apartment number of the unit permanently occupied by a resident. Required if using AVP's amortization system and contracts are contingent upon reoccupancy of the unit. In this case, unit code should be identical for all contractholders who ever occupied the same unit.
6. **Entry Fee Adjustment:** Enter the amount paid or refunded upon upgrade/downgrade (Move Code = 3) or enter the amount refunded upon contract termination (Move Code = 4). If upgrade/downgrade, enter additional entrance fee payments as a positive number and partial refunds as a negative number. If contract termination, enter refund as a positive number.

Data Collection Hints

Initial Data:

1. The “Entry Couple ID Number” should always be recorded even if that roommate has died.
2. The “Current Couple ID Number” does not change when a resident transfers to a different level of care. It will only change with a remarriage.
3. For residents who are part of a couple, BOTH RECORDS MUST BE IDENTICAL except for gender, birth date, and movements after entry.

Move Data:

1. Move dates should be in chronological order.
2. Only one movement is allowed per day. If multiple moves occur on the same date, add a day to the last movement.

For example, a resident temporarily moves to nursing care in the morning then is temporarily transferred to the hospital the same afternoon on 1/1/2000. The moves should be recorded as:

Move Code 510 on 1/1/2000
Move Code 610 on 1/2/2000

3. There cannot be successive movements with the same move code (i.e., a move code of 510 cannot be the next movement after 510).
4. Move codes refer to changes in care levels (i.e., a room change is not a movement unless the unit type changes or the resident pays an additional entry fee or receives a partial refund).
5. A resident cannot move from permanent to temporary in the same level of care.

For example, a resident currently listed as 300 (permanent assisted living) cannot then be listed as 310 (temporary assisted living).

6. If a resident is deceased, the last movement code must be 1 (death). The only code that can follow a 1 is a 4, to record the refund amount.
7. Move Code 2 (withdrawal) refers to withdrawal from the community and should only be used when a resident permanently leaves the campus for a reason other than death.

Handling Exceptions:

1. If a resident withdraws and reenters at a later date, two separate records must be created for that resident. A unique ID number must be assigned for each entry.
2. If a unit is occupied by three contractholders, record the youngest two residents and ignore the third.
3. Monthly fees are required only if residents with the same contract type pay different fees for the same unit type. Also, they should be recorded for any resident who is paying less than the standard contract rate.
4. Partial refunds must be coded using Move Code 3. Refunds relating to contract termination must be coded using Move Code 4.

Data Validation

This section contains several documents that describe how to validate the resident data after it is entered into FORCAST. These sections are also available as help documents in the FORCAST projection system.

Verify Resident Data

Go to Database/Resident Data/Utilities/Verify Data to perform the database edit checks. These edit checks must be run and any corrections made to the database prior to submitting the data to A.V. Powell.

Exhaustive Check: this report shows the 10 highest/lowest entry and monthly fees, mismatched couples, number of residents, and other information. Choose census type (generally full census). If current census is selected, enter a cutoff date for the census, then choose "Process and Display."

Pay particular attention to the duplicate and mismatched couple ID numbers that appear at the very bottom of the listing. Some may not necessarily be an error due to remarriage, but review all residents listed and check to be sure they are coupled correctly.

Residents with zero entry fee amounts should also be reviewed. A database filter can be created to list all residents without an entry fee. See Common Filters under the Creating Resident Data Filters help topic.

Long Transfer: long transfers are temporary stays over the standards of 180 days for assisted living, 270 days for nursing care, and 60 days for a hospital stay. The defaults can be changed to other lengths of stay. This is a good check for the residents who might be missing movement data about returns from temporary nursing care or hospital stays. Enter the observation period (generally last three to five years), then "Process and Display."

Pay particular attention to the residents with a "Y" in the last move column. Add any missing movements to the resident's record.

Recoveries: this check is used to identify those residents who have recovered from a permanent stay at a higher care level to a lower level of care. Enter the observation period (generally last three to five years), then "Process and Display."

Review each resident's record and make any necessary corrections.

Entry Age Outside Range: check for errors in birthdates or entry dates by listing residents over or under the specified age range, generally 60 to 90, then "Process and Display."

Mismatched Couples at Entry: This check shows inconsistencies in the data records of a couple such as different entry dates, contract types, entry fees, etc. Some inconsistencies may be correct, such as different entry dates for couples following remarriage. Choose the census type (generally current census) and enter the census cutoff date, then "Process and Display."

Potential Couples at Entry: This check will list residents who are coded as singles but could possibly be couples. The system checks for matches on certain fields between two records. Generally, choose entry date and contract code, then "Process and Display."

Residents by Apartment Code: This check will generate a list of residents grouped by apartment number. It is particularly helpful for checking amortization layers for contracts contingent upon reoccupancy. ***It is not necessary to run this check unless amortization parameters specify contingent = yes.*** Choose full census to see the history of residents coded to each apartment code, to check amortization layers. If apartment codes (unit codes) are not entered in the movement data on each resident record, the report will list all blanks together.

After reviewing the output from these edit checks, be sure to go back to the resident database and make any necessary corrections. The final step in maintaining the resident database is to Verify Census.

Verify Census

The final step to maintaining the resident database is to verify the current census.

See Create Census (Resident Data) for instructions on how to create the census. The View Census Summary and the View Census Sort by Single/Couple report options are very helpful in verifying the census. The resident counts by care level should be checked against any internal occupancy reports or census listings. Furthermore, the number of units occupied by unit type in independent living should be verified. The number of units occupied is shown under the first person section under the independent living column.

This partial Census Summary report shows that there are 8 Studios occupied. If there are actually 7 Studios and only 6 are occupied, some residents must be miscoded. The Census Sort by Single/Couple Report will show all of the residents coded in a Studio. This listing must be reviewed to find the residents that are miscoded and the unit types must be corrected on the Resident Data records. After the necessary corrections are made, the census must be recalculated and the results verified.

CENSUS DATE: 12/31/2001				
----- CARE LEVELS -----				
STATISTIC	Indepen- dent Living	Assisted Living	Skilled Nursing	TOTAL
NUMBER OF RESIDENTS:				
CURRENT LOCATION	588	26	44	658
PERMANENT LOCATION	597	27	34	658
AVERAGE AGE:	81.0	85.1	85.0	81.4
PERCENTAGE FEMALE:	54.1	74.1	70.6	55.8
YEARS IN COMMUNITY:	6.7	8.3	8.1	6.8

NUMBERS OF RESIDENTS (FIRST PERSONS) - BY UNIT TYPE AND CARE LEVEL				
----- CARE LEVELS -----				
UNIT TYPE	Indepen- dent Living	Assisted Living	Skilled Nursing	TOTAL
Studio	8	4	2	14
Studio Extra	58	9	6	73
1BR	13			13
1BR +	43	1	2	46
1BR Deluxe	26			26
1BR Den	32	4	2	38
1BR 2BA	13			13
2BR	16			16
2BR +	22		2	24
2BR Deluxe	18		3	21
2BR Den	15	5	3	23
Cottage 1	12			12
Cottage 2	13			13
Cottage 3	51	1		52
Cottage 4	22			22
Townhouse 1	21			21
Townhouse 2	15			15
TOTAL:	398	24	20	442

**Appendix A:
Blank Data Form
and
Sample Completed Data Form**

Your Retirement Community Contractholder Information

ID Number	
Last Name	
First Name	
Gender (0=Female, 1=Male)	
Date of Birth	
Contract Type	
Entry Couple ID Number	
Current Couple ID Number	
Entry Fee (total or first person)	
Entry Fee (second person)	
Monthly Fee (first person)	
Monthly Fee (second person)	
Date of Deferred Revenue Balance	
Deferred Revenue Balance	
Amortization Group Number	

Codes

Contract Types:

- 10 _____
- 11 _____
- 12 _____
- 13 _____
- 14 _____
- 15 _____

Move Codes:

- 100 Perm. ILU
- 300 Perm. ALU
- 310 Temp. ALU
- 500 Perm NC
- 510 Temp. NC
- 610 Temp. Hospital
- 1 Death
- 2 Vol. Withdrawal
- 3 Unit Upgrd/Dwn
- 4 Contract Termin.

Unit Types:

- 101 _____
- 102 _____
- 103 _____
- 104 _____
- 105 _____
- 301 Assisted Living Unit
- 501 Nursing Care Bed

Move Date	Move Code	Facility Code	Unit Type	Unit Code	Entry Fee Adjustment

Use a separate sheet of paper if more moves to record.

Sample Contractholder Information

ID Number	001
Last Name	Sample
First Name	Ima
Gender (0=Female, 1=Male)	0
Date of Birth	07/15/1920
Contract Type	10
Entry Couple ID Number	0
Current Couple ID Number	0
Entry Fee (total or first person)	100,000
Entry Fee (second person)	
Monthly Fee (first person)	
Monthly Fee (second person)	
Date of Deferred Revenue Balance	
Deferred Revenue Balance	
Amortization Group Number	

Codes

Contract Types:

- 10 Declining Plan 1
- 11 Declining Plan 2
- 50 50% Refundable
- 90 90% Refundable

Move Codes:

- 100 Perm. ILU
- 300 Perm. ALU
- 310 Temp. ALU
- 500 Perm NC
- 510 Temp. NC
- 610 Temp. Acute Care
- 1 Death
- 2 Vol. Withdrawal
- 3 Unit Upgrd/Dwn
- 4 Contract Termin.

Unit Types:

- 101 Studio
- 102 1 BR
- 103 2 BR
- 104 Cottage

Move Date	Move Code	Facility Code	Unit Type	Unit Code	Entry Fee Adjustment
10/01/1985	100	10	103	A452	
07/15/1990	510	10			
07/22/1990	100	10	103		
11/01/1990	610				
11/04/1990	510	10			
12/01/1990	500	10	501		
03/15/1995	1				

**Appendix B:
Sample Spreadsheet Layout**

SAMPLE SPREADSHEET LAYOUT

SAMPLE RESIDENT DATA - INITIAL DATA

MALE=1
FEMALE=0

10=Declining-Plan 1
11=Declining Plan 2
50=50% Refundable
90=90% Refundable

ID#	LAST NAME	FIRST NAME	GENDER	DATE OF BIRTH	CONTRACT TYPE	ENTRY COUPLE ID#	CURRENT COUPLE ID#	FIRST PERSON ENTRY FEE	SECOND PERSON ENTRY FEE	FIRST PERSON MONTHLY FEE	SECOND PERSON MONTHLY FEE	DATE OF DEFERRED REVENUE	DEFERRED REVENUE BALANCE	AMORTIZATION GROUP NUMBER
1	LAST NAME	MR FIRST NAME	1	3/14/1920	11	2	2	100,000	10,000					
2	LAST NAME	MRS FIRST NAME	0	4/15/1923	11	1	1	100,000	10,000					

SAMPLE RESIDENT DATA - MOVE DATA

100=Perm Independent Living
300=Perm Assisted Living
310=Temp Assisted Living
500=Perm Nursing Care
510=Temp Nursing Care
610=Hospital
1 = Death
2 = Voluntary Moveout
3 = Unit Upgrade/Downgrade
4 = Contract Termination

10= Campus 1
11 = Campus 2

101 = Studio
102 = 1 BR
103 = 2 BR
104 = Cottage

ID#	LAST NAME	FIRST NAME	MOVE DATE	MOVE CODE	FACILITY CODE	UNIT TYPE	UNIT CODE	ENTRY FEE ADJUSTMENT
1	LAST NAME	MR FIRST NAME	04/01/1990	100	10	103	C16	
1	LAST NAME	MR FIRST NAME	07/15/1995	300	10	301		
1	LAST NAME	MR FIRST NAME	07/01/2000	1	10			
2	LAST NAME	MRS FIRST NAME	04/01/1990	100	10	103	C16	
2	LAST NAME	MRS FIRST NAME	06/01/1997	510	10			
2	LAST NAME	MRS FIRST NAME	06/04/1997	100	10	103		
2	LAST NAME	MRS FIRST NAME	07/01/2000	3	10	102	B32	
2	LAST NAME	MRS FIRST NAME	09/10/2001	500	10	501		

**Appendix C:
Codes for Your Retirement Community**

Movement Codes for Your Retirement Community

<u>Code</u>	<u>Description</u>
1	Death
2	Withdrawal
3	Upgrade/Downgrade/Modification * Also indicate amount of entry fee or refund and current unit type
4	Refund Paid at Specified Date * Record refund date and amount paid after death or withdrawal date

Permanent Movements

100	Apartments, Cottages or Houses
300	Assisted Living
500	Nursing Care

Temporary Movements

310	Assisted Living
510	Nursing Care
610	Hospital or Acute Care Facility

Unit Type Codes for Your Retirement Community

Independent Living

101	Studio
102	1 BR
103	2 BR
104	Cottage

Assisted Living

301	Assisted Living Unit
-----	----------------------

Nursing Care

501	Nursing Care Bed
-----	------------------

Contract Codes for Your Retirement Community

<u>Code</u>	<u>Description</u>
10	Declining Plan 1
11	Declining Plan 2
50	50% Refundable
90	90% Refundable

Facility Codes for Your Retirement Community

<u>Code</u>	<u>Description</u>
10	Campus 1
11	Campus 2