

**DIVISION OF QUALITY ASSURANCE**

**OVERVIEW OF PROVIDERS  
SURVEY AND COMPLAINT ACTIVITY,  
AND FORFEITURE ACTIONS**

**APRIL – JUNE 2007**



State of Wisconsin  
Department of Health and Family Services

NOTE: Time frame 4/1/07 – 6/30/07

## TABLE OF CONTENTS

### **Long Term Care Provider Certification and Licensure**

- Long Term Care (LTC) Providers by Licensure Type and Region
- Long Term Care (LTC) Providers by Certification Type and Region
- Long Term Care (LTC) Provider Bed Capacity by Certification Type and Region

### **Nursing Home Survey and Complaint Activity**

- Nursing Home Surveys Conducted by Region (Verification Visits not Included)
- Nursing Home Survey Standard/Extended/Partial Extended/Revisit and Initial Certification Survey Summary
- Nursing Home Informal Dispute Resolutions by Region – Number of Citations and Resolutions (Federal)
- Nursing Home Informal Dispute Resolutions by Region – Number of Citations and Resolutions (State)
- Nursing Home Violations of State Codes by Region
- HFS 132/C50 State Codes with 5 or More Citations
- Nursing Home Class A and Class B State Violations Cited
- Nursing Home Federal Deficiency Grid Placement for All Survey Types by Region-Health
- Nursing Home F-Tags with 10 or More Citations
- Nursing Home Federal Deficiency Grid Placement for All Survey Types by Region-Engineer
- Nursing Home K-Tags with 10 or More Citations
- Nursing Home Complaints Received by ACTS Complainant Type
- Nursing Home Complaint Survey Summary
- Nursing Home Complaint Investigation Results by ACTS Subject Area of Complaint

## **Facilities for People with Developmental Disabilities (FDD) Survey and Complaint Activity**

- FDD Surveys Conducted by Region (Verification Visits Not Included)
- FDD Informal Dispute Resolutions by Region – Number of Citations and Resolutions (Federal)
- FDD Informal Dispute Resolutions by Region – Number of Citations and Resolutions (State)
- FDD Violations of State Codes by Region
- HFS 134/C50 State Codes with 3 or More Citations
- FDD Class A and Class B State Violations Cited
- FDD Federal Deficiencies
- FDD Tags with 3 or More Citations this Quarter
- FDD Condition Deficiencies
- FDD Complaints Received by ACTS Complainant Type
- FDD Complaint Investigation Results by ACTS Subject Area of Complaint

## **Non-Long Term Care Survey and Complaint Activity**

- Non-Long Term Care (Non-LTC) Providers by Type
- Branch/Extension Offices
- Non-LTC Surveys Conducted (Verification Visits not Included)
- Non-LTC Federal Deficiencies (All Survey Types)
- HFS 133 State Codes with 3 or More Citations (Home Health Agency)
- HFS 131 State Codes with 3 or More Citations (Hospice)
- HFS 124 State Codes with 3 or More Citations (Critical Access, General Acute, General Alcohol, Special Psychiatric Hospitals)
- Non-LTC Complaints Received by ACTS Provider Type
- Non-LTC Complaints Received by ACTS Complainant Type
- Non-LTC Complaint Investigation Results by ACTS Subject Area of Complaint – General Acute Hospitals
- Non-LTC Complaint Investigation Results by ACTS Subject Area of Complaint – Psychiatric Hospitals
- Non-LTC Complaint Investigation Results by ACTS Subject Area of Complaint- Critical Access Hospitals
- Non-LTC Complaint Investigation Results by Subject Area of Complaint – Home Health Agencies
- Non-LTC Complaint Investigation Results by Subject Area of Complaint – Hospice
- Non-LTC Complaint Investigation Results by Subject Area of Complaint – ESRD

## **Long Term Care and Non-Long Term Care Enforcement Actions**

- [State Forfeitures Processed – Nursing Homes and FDDs](#)
- [State Forfeitures Processed – Hospice](#)

**LONG TERM CARE PROVIDER  
CERTIFICATION  
AND  
LICENSURE**

NOTE: Time frame 4/1/07 – 6/30/07

**Long Term Care (LTC) Providers  
By Licensure Type and Region**

<b>Licensure Type</b>	<b>Southern</b>	<b>Southeastern</b>	<b>Northeastern</b>	<b>Northern</b>	<b>Western</b>	<b>TOTAL</b>
132 Intermediate	1			1		<b>2</b>
132 Skilled	71	99	99	44	83	<b>396</b>
132 Skilled-IMD					2	<b>2</b>
134 Developmentally Disabled	6	4	3		6	<b>19</b>
<b>TOTAL</b>	<b>78</b>	<b>103</b>	<b>102</b>	<b>45</b>	<b>91</b>	<b>419</b>

**Long Term Care (LTC) Providers  
By Certification Type and Region**

<b>Certification Type</b>	<b>Southern</b>	<b>Southeastern</b>	<b>Northeastern</b>	<b>Northern</b>	<b>Western</b>	<b>TOTAL</b>
T18 SNF Only	4	8	2			<b>14</b>
T18 SNF/T19 NF	67	85	88	42	75	<b>357</b>
T19 NF Only		4	9	3	9	<b>25</b>
T19 ICF/MR	6	4	3		6	<b>19</b>
Non-Certified	1	2			1	<b>4</b>
<b>TOTAL</b>	<b>78</b>	<b>103</b>	<b>102</b>	<b>45</b>	<b>91</b>	<b>419</b>

NOTE: Time frame 4/1/07 – 6/30/07

**Long Term Care (LTC) Provider Bed Capacity  
By Certification Type and Region**

<b>Certification Type</b>	<b>Southern</b>	<b>Southeastern</b>	<b>Northeastern</b>	<b>Northern</b>	<b>Western</b>	<b>TOTAL</b>
T18 SNF Only	191	364	35			<b>590</b>
T18 SNF/T19 NF	5995	10773	8579	4288	6197	<b>35832</b>
T19 NF Only		156	1081	94	503	<b>1834</b>
T19 ICF/MR	644	415	73		129	<b>1261</b>
Non-Certified	9	100			89	<b>198</b>
<b>TOTAL</b>	<b>6839</b>	<b>11808</b>	<b>9768</b>	<b>4382</b>	<b>6918</b>	<b>39715</b>

NOTE: Time frame 4/1/07 – 6/30/07

**NURSING HOME SURVEY  
AND  
COMPLAINT ACTIVITY**

NOTE: Time frame 4/1/07 – 6/30/07

**Nursing Home Surveys Conducted by Region\*\*  
(Verification Visits not Included)**

<b>Survey Type</b>	<b>Southern</b>	<b>Southeastern</b>	<b>Northeastern</b>	<b>Northern</b>	<b>Western</b>	<b>Total</b>
Standard (STD)	42	27	25	13	26	<b>133</b>
STD/Initial T18 SNF						
STD/Initial T19 NF						
Initial T18 SNF						
Initial T19 NF						
Initial T18 SNF/T19 NF	1					<b>1</b>
Initial Prelicensure						
CHOW*/Probationary License						
Complaint	15	38	42	14	42	<b>151</b>
Other/Other-Off Cycle Inspection						
Monitoring						
Surveillance					2	<b>2</b>
Verification Visit Violations issued	2	4	2	1	2	<b>11</b>
Partial Extended	2	1			1	<b>4</b>
Extended		2			3	<b>5</b>
<b>Total</b>	<b>62</b>	<b>72</b>	<b>69</b>	<b>28</b>	<b>76</b>	<b>307</b>

\*CHOW = Change of Ownership

\*\* Health Surveys Counted only

NOTE: Time frame 4/1/07 – 6/30/07

**Nursing Home Survey Standard/Extended/Partial  
Extended/Revisit and Initial Certification  
Survey Summary**

<b>Region</b>	<b>Surveys Completed</b>	<b>*SQC # of Homes</b>	<b>*SQC # of Tags Care</b>	<b>*SQC # of Tags Life</b>	<b>*SQC # of Tags Behavior</b>
Southern	45	2	4		1
Southeastern	30	1		1	
Northeastern	25				
Northern	13				
Western	30	3	4		
<b>Total</b>	<b>143</b>	<b>6</b>	<b>8</b>	<b>1</b>	<b>1</b>

\*SQC = Substandard Quality of Care

NOTE: The above SQC data was reported from Aspen

NOTE: Time frame 4/1/07 – 6/30/07

**Nursing Home Informal Dispute Resolutions by Region  
Number of Citations and Resolutions (Federal)**

<b>Resolution</b>	<b>Southern</b>	<b>Southeastern</b>	<b>Northeastern</b>	<b>Northern</b>	<b>Western</b>	<b>Total</b>
No Change	4	5	22	2	1	<b>34</b>
Examples Removed/Other Wording Change	3	2	1			<b>6</b>
Tag Removed		1	1		1	<b>3</b>
S/S Change	1		1			<b>2</b>
Aspen-S/S Change/Examples Removed/Other Wording Change				1		<b>1</b>
Tag Change			2			<b>2</b>
<b>Total</b>	<b>8</b>	<b>8</b>	<b>27</b>	<b>3</b>	<b>2</b>	<b>48</b>

NOTE: The above data was reported from Aspen

**Nursing Home Informal Dispute Resolutions by Region  
Number of Citations and Resolutions (State)**

<b>Resolution</b>	<b>Southern</b>	<b>Southeastern</b>	<b>Northeastern</b>	<b>Northern</b>	<b>Western</b>	<b>Total</b>
No Change	3	1	4	2	2	<b>12</b>
Examples Removed/Other Wording Change	1					<b>1</b>
Tag Removed		3				<b>3</b>
<b>Total</b>	<b>4</b>	<b>4</b>	<b>4</b>	<b>2</b>	<b>2</b>	<b>16</b>

NOTE: The above data was reported from Aspen

NOTE: Time frame 4/1/07 – 6/30/07

## Nursing Home Violations of State Codes by Region

Violation Type	Southern	Southeastern	Northeastern	Northern	Western	Total
Class A	1				2	3
Class B	23	33	21	7	28	112
Class C		1	1		1	3
Correction Order	6	12	15	1	13	47
<b>Total</b>	<b>30</b>	<b>46</b>	<b>37</b>	<b>8</b>	<b>46</b>	<b>167</b>

NOTE: The above data was reported from Aspen

## HFS 132/C50 State Codes with 5 or More Citations

State Code	Brief Description	Number
132.60(8)(c)	Implementation of Care Plans	24
132.60(1)	Resident Care/Individual Care	17
132.60(1)(b)	Resident Care/Decubiti Prevention	15
132.60(8)(b)	Updating of Care Plans	8
132.60(1)(c)5	Facility Shall Provide Pain Assessment/Treatment	8
132.31(1)1	Care	7
C50.065(2)(b)intro	Entity Background Check Requirements	7
132.60(1)(c)4	Resident Care/Basic Nrsng Care	6
132.60(5)(a)1	Resident Care/Orders	6
C50.065(4m)(c)	Complete Background Information Disclosure	5

NOTE: The above data was reported from Aspen

NOTE: Time frame 4/1/07 – 6/30/07

## Nursing Home Class A and Class B State Violations Cited

Description of Violation	Number
Implementation of Care Plans	24
Resident Care/Individual Care	17
Resident Care/Decubiti Prevention	15
Updating of Care Plans	8
Facility Shall Provide Pain Assessment/Treatment	8
Care	8
Resident Care/Basic Nursing Care	6
Treatment	4
Resident Care/Orders	4
Resident Care/Basic Nursing Care	3
Resident Care/Notification of Change	2
Resident Care/Adm of Meds	2
Abuse	1
Admissions/Destructive Residents	1
Resident Care/Diet Acceptance	1
Resident Care/Emergencies	1
Resident Care/Meds Errors and Reactions	1
MDS	1
DON/Supervision	1
Nursing Assignments	1
Storage of Medications	1
Diagnostic Services	1
SW/Discharge Planning	1

NOTE: Time frame 4/1/07 – 6/30/07

## Nursing Home Class A and Class B State Violations Cited (continued)

Description of Violation	Number
Maintenance of Equipment	1
Poisons	1
Hot Water Temperature	1
<b>Total</b>	<b>115</b>

NOTE: The above data was reported from Aspen

NOTE: Time frame 4/1/07 – 6/30/07

## Nursing Home Federal Deficiency Grid Placement for All Survey Types by Region\*

Grid Level	Southern	Southeastern	Northeastern	Northern	Western	Total
A	1	2				<b>3</b>
B	1	10	14	1	3	<b>29</b>
C		4	9	1	8	<b>22</b>
D	61	106	99	27	68	<b>361</b>
E	21	53	16	5	32	<b>127</b>
F	2	3	2	1	6	<b>14</b>
G	12	20	11	2	6	<b>51</b>
H		1			2	<b>3</b>
I						
J	5	1	1		4	<b>11</b>
K					1	<b>1</b>
L			1			<b>1</b>
<b>Total</b>	<b>103</b>	<b>200</b>	<b>153</b>	<b>37</b>	<b>130</b>	<b>623</b>

\*Health Only

NOTE: The above data was reported from ASPEN.

NOTE: Time frame 4/1/07 – 6/30/07

## Nursing Home F-Tags with 10 or More Citations

Tag	Brief Description	Number
F0279	Comprehensive Care Plan	42
F0272	Comprehensive Assessments	34
F0309	Quality of Care	30
F0324	Accidents	29
F0315	Urinary Incontinence	27
F0157	Notification of Changes	24
F0225	Staff Treatment of Residents	23
F0444	Preventing Spread of Infection	23
F0241	Dignity	22
F0314	Pressure Sores	22
F0281	Comprehensive Care Plans	21
F0282	Comprehensive Care Plans	20
F0371	Sanitary Conditions-Food Prep & Service	18
F0323	Accidents	17
F0253	Housekeeping/Maintenance	14
F0329	Unnecessary Drugs	14
F0514	Clinical Records	13
F0425	Pharmacy Services	12
F0465	Other Environmental Conditions	12
F0325	Nutrition	10

NOTE: The above data was reported from ASPEN.

NOTE: Time frame 4/1/07 – 6/30/07

## Nursing Home Federal Deficiency Grid Placement for All Survey Types by Region\*

Grid Level	Southern	Southeastern	Northeastern	Northern	Western	Total
A						
B			1	1		2
C	12	44	35	4	6	101
D	41	28	24	7	8	108
E	80	88	43	6	3	220
F	51	53	76	22	19	221
G						
H						
I						
J						
K						
L			1			1
<b>Total</b>	<b>184</b>	<b>213</b>	<b>180</b>	<b>40</b>	<b>36</b>	<b>653</b>

\*Engineer Only

NOTE: The above data was reported from ASPEN.

Table includes waivers

NOTE: Time frame 4/1/07 – 6/30/07

## Nursing Home K-Tags with 10 or More Citations

Tag	Brief Description	Number
K144	Life Safety Code Standard	46
K56	Life Safety Code Standard	45
K29	Life Safety Code Standard	39
K50	Life Safety Code Standard	33
K69	Life Safety Code Standard	32
K38	Life Safety Code Standard	29
K45	Life Safety Code Standard	29
K52	Life Safety Code Standard	28
K25	Life Safety Code Standard	27
K147	Life Safety Code Standard	27
K18	Life Safety Code Standard	24
K67	Life Safety Code Standard	22
K66	Life Safety Code Standard	19
K48	Life Safety Code Standard	18
K54	Life Safety Code Standard	17
K46	Life Safety Code Standard	16
K130	Life Safety Code Standard	16
K11	Life Safety Code Standard	12
K32	Life Safety Code Standard	12
K76	Life Safety Code Standard	12
K12	Life Safety Code Standard	10
K17	Life Safety Code Standard	10

NOTE: The above data was reported from ASPEN.  
Table includes waivers

NOTE: Time frame 4/1/07 – 6/30/07

**Nursing Home K-Tags with 10 or More Citations  
(Continued)**

<b>Tag</b>	<b>Brief Description</b>	<b>Number</b>
K27	Life Safety Code Standard	10
K33	Life Safety Code Standard	10
K72	Life Safety Code Standard	10
K75	Life Safety Code Standard	10
K154	Life Safety Code Standard	10
K155	Life Safety Code Standard	10

NOTE: Time frame 4/1/07 – 6/30/07

## Nursing Home Complaints Received by ACTS Complainant Type

Type	Number
Anonymous	33
Coroner	1
Current Staff	4
Entity Self-Report	139
Family	108
Former Staff	7
Friend	6
Media	1
Ombudsman	8
Other Health Provider	11
Other	7
Other State Agency	2
Physician	1
Resident/Patient/Client	17
State Survey Agency	1
<b>Total</b>	<b>346</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 4/1/07 – 6/30/07

## Nursing Home Complaint Survey Summary

<b>Region</b>	<b>Surveys Completed</b>	<b>*SQC # of Homes</b>	<b>*SQC # / Tags Care</b>	<b>*SQC #/Tags Life</b>	<b>*SQC #/Tags Behavior</b>
Southern	15				
Southeastern	38	1	1		
Northeastern	42	1	1		
Northern	14				
Western	42	1	2		
<b>Total</b>	<b>151</b>	<b>3</b>	<b>4</b>		

\*SQC = Substandard Quality of Care

NOTE: The above SQC data was reported from ASPEN

## Nursing Home Complaint Investigation Results By ACTS Subject Area of Complaint

<b>Subject Area</b>	<b># Unsubstantiated</b>	<b># Substantiated</b>	<b>Total</b>
Accidents	4	12	<b>16</b>
Administration/Personnel		4	<b>4</b>
Admission, Transfer & Discharge Rights	15	5	<b>20</b>
Death-General		1	<b>1</b>
Dental Services	1		<b>1</b>
Dietary Services	13	4	<b>17</b>
Educational Services	1	1	<b>2</b>
Falsification of Records/Reports		1	<b>1</b>
Fraud False Billing	2		<b>2</b>
Infection Control	9	1	<b>10</b>
Injury of Unknown Origin	1	9	<b>10</b>
Misappropriation of Property	5	18	<b>23</b>
Nursing Services	16	5	<b>21</b>
Other Services	1		<b>1</b>
Physical Environment	18	8	<b>26</b>
Quality of Care/Treatment	89	75	<b>164</b>
Quality of Life	15	3	<b>18</b>
Rehabilitation Services	4		<b>4</b>
Resident/Patient/Client Abuse	47	45	<b>92</b>

NOTE: Time frame 4/1/07 – 6/30/07

**Nursing Home Complaint Investigation Results  
By ACTS Subject Area of Complaint  
(Continued)**

<b>Subject Area</b>	<b># Unsubstantiated</b>	<b># Substantiated</b>	<b>Total</b>
Resident/Patient/Client Neglect	3	11	<b>14</b>
Resident/Patient/Client Rights	13	7	<b>20</b>
State Licensure	1		<b>1</b>
Unqualified Personnel		1	<b>1</b>
<b>Total</b>	<b>258</b>	<b>211</b>	<b>469</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 4/1/07 – 6/30/07

**FACILITIES FOR PEOPLE WITH  
DEVELOPMENTAL DISABILITIES (FDD)  
SURVEY AND COMPLAINT  
ACTIVITY**

NOTE: Time frame 4/1/07 – 6/30/07

**FDD Surveys Conducted by Region\*\*  
(Verification Visits Not Included)**

<b>Survey Type</b>	<b>Southern</b>	<b>Southeastern</b>	<b>Northeastern</b>	<b>Northern</b>	<b>Western</b>	<b>Total</b>
Fundamental	4		1		3	<b>8</b>
STD/Initial T19 NF						
Initial T19 NF						
Initial Prelicensure						
CHOW*/Probationary License						
Complaint		1			1	<b>2</b>
Monitoring						
Other/Other-Off Cycle Inspection						
Surveillance						
Verification Visit Violations cited						
Partial Extended						
Extended						
<b>Total</b>	<b>4</b>	<b>1</b>	<b>1</b>		<b>4</b>	<b>10</b>

\*CHOW = Change of Ownership

\*\* Health counted only

NOTE: Time frame 4/1/07 – 6/30/07

**FDD Informal Dispute Resolutions by Region  
Number of Citations and Resolutions (Federal)**

<b>Resolution</b>	<b>Southern</b>	<b>Southeastern</b>	<b>Northeastern</b>	<b>Northern</b>	<b>Western</b>	<b>Total</b>
Aspen-No Change					1	1
<b>Total</b>					<b>1</b>	<b>1</b>

**FDD Informal Dispute Resolutions by Region  
Number of Citations and Resolutions (State)**

<b>Resolution</b>	<b>Southern</b>	<b>Southeastern</b>	<b>Northeastern</b>	<b>Northern</b>	<b>Western</b>	<b>Total</b>
Aspen-No Change					1	1
<b>Total</b>					<b>1</b>	<b>1</b>

**FDD Violations of State Codes by Region**

<b>Violation Type</b>	<b>Southern</b>	<b>Southeastern</b>	<b>Northeastern</b>	<b>Northern</b>	<b>Western</b>	<b>Total</b>
Class A						
Class B	1				1	2
Class C						
Correction Order						
<b>Total</b>	<b>1</b>				<b>1</b>	<b>2</b>

**HFS 134/C50 State Codes with 3 or More Citations\***

<b>State Code</b>	<b>Brief Description</b>	<b>Number</b>

\*No violations for this timeframe

NOTE: Time frame 4/1/07 – 6/30/07

## FDD Class A and Class B State Violations Cited

Description of Violation	Number
Care	1
Resident Safety	1
<b>Total</b>	<b>2</b>

## FDD Federal Deficiencies

Level	Total
Condition	1
Standard	18
Element	
Life Safety Code – Standard	6
Life Safety Code- Element	
<b>Total</b>	<b>25</b>

## FDD Tags with 3 or More Citations this Quarter\*

Tag	Brief Description	Number

\*Health Only

\*No tags with 3 or more cites for this timeframe

## FDD Condition Deficiencies

Tag	Brief Description	Number
W195	Active Treatment Services	1
<b>Total</b>		<b>1</b>

NOTE: Time frame 4/1/07 – 6/30/07

## FDD Complaints Received by ACTS Complainant Type

Type	Number

NOTE: The above data was reported from ACTS  
No Complaints received for this time frame

## FDD Complaint Investigation Results By ACTS Subject Area of Complaint

Subject Area	# Unsubstantiated	# Substantiated	Total
Quality of Care/Treatment		1	1
Resident/Patient/Client Abuse	1		1
<b>Total</b>	<b>1</b>	<b>1</b>	<b>2</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 4/1/07 – 6/30/07

**NON-LONG TERM CARE  
SURVEY AND COMPLAINT  
ACTIVITY**

NOTE: Time frame 4/1/07 – 6/30/07

## Non-Long Term Care (Non-LTC) Providers by Type

Type	Number
Swing Bed Hospital	65
General Acute Hospital	84
Alcohol Hospital	2
Special Psychiatric Hospital	13
Critical Access Hospital	59
Comprehensive Outpatient Rehab Facility	4
Ambulatory Surgical Center	51
End Stage Renal Dialysis	107
Hospice	73
AODA/Mental Health	1192
Prospective Payment Exemption	46
Portable X-Ray	7
Home Health Agency	171
Rural Health Clinic	48
Outpatient Rehabilitation Agency	47
<b>Total</b>	<b>1969</b>

NOTE: Time frame 4/1/07 – 6/30/07

## Branch/Extension Offices

Type	Number
AODA/Mental Health	351
Home Health Agency – Branch	50
Hospice – Branch	32
Outpatient Rehab Agency –Extension	66
<b>Total</b>	<b>499</b>

NOTE: Time frame 4/1/07 – 6/30/07

### Non-LTC Surveys Conducted (Verification Visits Not Included)\*

Provider Type	Survey Type	Number
Home Health Agency	Annual	13
	Complaint	2
	Initial Certification	2
	Verification Visit	2
Hospital – Special Psychiatric	Complaint	2
Hospital –Critical Access	Annual	1
	Complaint	1
Hospital – General Acute	Complaint	8
Hospice	Annual	1
	Complaint	2
	Initial Certification	3
End Stage Renal Dialysis	Annual	8
	Complaint	3
	Verification Visit	2
Outpatient Rehabilitation Agency	Annual	3
CORF	Annual	1
Ambulatory Surgery Center	Annual	1
	Initial Certification	2
Rural Health Clinic	Initial Certification	1
<b>TOTAL</b>		<b>58</b>

\*Heath Counted Only

NOTE: Time frame 4/1/07 – 6/30/07

**Non-LTC Federal Deficiencies  
(All Survey Types)**

<b>Provider Type</b>	<b>Condition</b>	<b>Standard</b>	<b>Element</b>	<b>LSC-Standard</b>	<b>LSC-Element</b>	<b>Total</b>
ESRD	2	95				<b>97</b>
Hospital-Acute	3	18				<b>21</b>
HHA		27				<b>27</b>
Hospice		14				<b>14</b>
Ambulatory Surgical Ctr		4	1	9		<b>14</b>
RHC		1	3			<b>4</b>
Hospital-Psychiatric	1	5		1		<b>7</b>
CORF	4	27				<b>31</b>
Hospital-Critical Access	3	20		25		<b>48</b>
OPT	18	54				<b>72</b>
<b>Total</b>	<b>31</b>	<b>265</b>	<b>4</b>	<b>35</b>		<b>335</b>

**HFS 133 State Codes with 3 or More Citations  
(Home Health Agency)**

<b>Tag</b>	<b>Brief Description</b>	<b>Number</b>
133.20(4)	Plan of Treatment	5
133.14(2)(b)	Skilled Nursing Services	4
133.09(1)	Acceptance of Patients	3
133.20(2)(a)	Plan of Treatment	3

NOTE: Time frame 4/1/07 – 6/30/07

**HFS 131 State Codes with 3 or More Citations\*  
(Hospice)**

<b>Tag</b>	<b>Brief Description</b>	<b>Number</b>
131.42(1)(a)	Plan of Care-General Requirements	3

**HFS 124 State Codes with 3 or More Citations  
(Critical Access, General Acute, General Alcohol,  
Special Psychiatric Hospitals)**

<b>Tag</b>	<b>Brief Description</b>	<b>Number</b>
124.13(6)(c)	Documentation, Staff Meetings/Evaluation	7
124.13(2)(b)2.b	Nursing Services-Patient Care	3

**Non-LTC Complaints Received by ACTS Provider Type**

<b>Provider Type</b>	<b>Number</b>
Home Health Agency	9
Hospice	5
Hospital – General Acute	25
Hospital – Psychiatric	3
Hospital – Critical Access	1
End Stage Renal Dialysis	2
<b>Total</b>	<b>45</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 4/1/07 – 6/30/07

## Non-LTC Complaints Received by ACTS Complainant Type

<b>Type</b>	<b>Hospice</b>	<b>Gen Hospital</b>	<b>Home Health</b>	<b>Psyc Hosp</b>	<b>Crit Access Hosp</b>	<b>ESRD</b>	<b>Total</b>
Accreditation Organization		1					<b>1</b>
Anonymous		1					<b>1</b>
CMS		1					<b>1</b>
Current Staff		2					<b>2</b>
Entity Self-Report		4					<b>4</b>
Family	4	5	4	1		1	<b>15</b>
Former Staff			1				<b>1</b>
Friend	1						<b>1</b>
Other State Agency		1					<b>1</b>
Other Health Providers		2					<b>2</b>
Resident/Patient/Client		5	4	1	1	1	<b>12</b>
State Survey Agency		3		1			<b>4</b>
<b>Total</b>	<b>5</b>	<b>25</b>	<b>9</b>	<b>3</b>	<b>1</b>	<b>2</b>	<b>45</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 4/1/07 – 6/30/07

**Non-LTC Complaint Investigation Results  
By ACTS Subject Area of Complaint –  
General Acute Hospitals**

<b>Subject Area</b>	<b># Unsubstantiated</b>	<b># Substantiated</b>	<b>Total</b>
Emtala Patient Dumping	3		<b>3</b>
Nursing Services		1	<b>1</b>
Other		1	<b>1</b>
Other Services	1		<b>1</b>
Physical Environment	1	1	<b>2</b>
Physician Services	1	1	<b>2</b>
Quality of Care/Treatment	2	4	<b>6</b>
Resident/Patient/Client Rights		2	<b>2</b>
<b>Total</b>	<b>8</b>	<b>10</b>	<b>18</b>

NOTE: The above data was reported from ACTS

**Non-LTC Complaint Investigation Results  
By ACTS Subject Area of Complaint –  
Psychiatric Hospitals**

<b>Subject Area</b>	<b># Unsubstantiated</b>	<b># Substantiated</b>	<b>Total</b>
Physical Environment	1	1	<b>2</b>
Resident/Patient/Client Rights	1	1	<b>2</b>
<b>Total</b>	<b>2</b>	<b>2</b>	<b>4</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 4/1/07 – 6/30/07

**Non-LTC Complaint Investigation Results  
By ACTS Subject Area of Complaint –  
Critical Access Hospital**

<b>Subject Area</b>	<b># Unsubstantiated</b>	<b># Substantiated</b>	<b>Total</b>
Emtala (Patient Dumping)	2		2
<b>Total</b>	<b>2</b>		<b>2</b>

NOTE: The above data was reported from ACTS

**Non-LTC Complaint Investigation Results  
By ACTS Subject Area of Complaint –  
Home Health Agencies**

<b>Subject Area</b>	<b># Unsubstantiated</b>	<b># Substantiated</b>	<b>Total</b>
Nursing Services		4	4
Other	1		1
<b>Total</b>	<b>1</b>	<b>4</b>	<b>5</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 4/1/07 – 6/30/07

**Non-LTC Complaint Investigation Results  
By ACTS Subject Area of Complaint –  
Hospice**

<b>Subject Area</b>	<b># Unsubstantiated</b>	<b># Substantiated</b>	<b>Total</b>
Nursing Services		1	1
Other	1		1
Quality of Care/Treatment	2		2
Resident/Patient/Client Rights		1	1
<b>Total</b>	<b>3</b>	<b>2</b>	<b>5</b>

NOTE: The above data was reported from ACTS

**Non-LTC Complaint Investigation Results  
By ACTS Subject Area of Complaint – ESRD**

<b>Subject Area</b>	<b># Unsubstantiated</b>	<b># Substantiated</b>	<b>Total</b>
Admission, Transfer and Discharge		1	1
Other Services	1		1
Quality of Care/Treatment		2	2
<b>Total</b>	<b>1</b>	<b>3</b>	<b>4</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 4/1/07 – 6/30/07

**LONG TERM CARE AND  
NON-LONG TERM CARE  
ENFORCEMENT  
ACTION**

NOTE: Time frame 4/1/07 – 6/30/07

### State Forfeitures Processed – Nursing Homes and FDDs

State Class	Total Assessed	Original Amount Due	Actual Amount Due	Amount Paid
A	5	\$ 76,380	\$ 67,490	\$ 36,910
B	44	\$ 491,475	\$ 414,612	\$ 196,771
C	2	\$ 2,300	\$ 2,300	\$ 2,300
<b>Total</b>	<b>51</b>	<b>\$ 570,155</b>	<b>\$ 484,402</b>	<b>\$ 235,981</b>

### State Forfeitures Processed – Hospice

# of Invoices Issued	Actual Amount Due	Amount Paid
0	\$ 0	\$ 0

NOTE: Time frame 4/1/07 – 6/30/07