

DIVISION OF QUALITY ASSURANCE

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

JANUARY – MARCH 2008

State of Wisconsin
Department of Health Services

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
- Nursing Home Survey Standard/Extended/Partial Extended 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
- 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
- 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 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**

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

| Licensure Type | Northeastern | Northern | Southeastern | Southern | Western | Total |
|------------------------------|---------------------|-----------------|---------------------|-----------------|----------------|--------------|
| 132 Intermediate | | 1 | | 1 | | 2 |
| 132 Skilled | 105 | 27 | 99 | 77 | 90 | 398 |
| 132 Skilled-IMD | | | | | 2 | 2 |
| 134 Developmentally Disabled | 3 | | 4 | 6 | 6 | 19 |
| TOTAL | 108 | 28 | 103 | 84 | 98 | 421 |

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

| Certification Type | Northeastern | Northern | Southeastern | Southern | Western | Total |
|---------------------------|---------------------|-----------------|---------------------|-----------------|----------------|--------------|
| T18 SNF Only | 2 | 1 | 8 | 3 | 1 | 15 |
| T18 SNF/T19 NF | 94 | 24 | 85 | 72 | 82 | 357 |
| T19 NF Only | 9 | 2 | 4 | 1 | 7 | 23 |
| T19 ICF/MR | 3 | | 4 | 6 | 6 | 19 |
| Non-Certified | | 1 | 2 | 2 | 2 | 7 |
| TOTAL | 108 | 28 | 103 | 84 | 98 | 421 |

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

| Certification Type | Northeastern | Northern | Southeastern | Southern | Western | Total |
|---------------------------|---------------------|-----------------|---------------------|-----------------|----------------|--------------|
| T18 SNF Only | 35 | 60 | 364 | 94 | 50 | 603 |
| T18 SNF/T19 NF | 9136 | 2868 | 10700 | 6319 | 6563 | 35586 |
| T19 NF Only | 1081 | 76 | 156 | 18 | 344 | 1675 |
| T19 ICF/MR | 71 | | 413 | 579 | 127 | 1190 |
| Non-Certified | | 20 | 100 | 19 | 013 | 242 |
| TOTAL | 10323 | 3024 | 11733 | 7029 | 7187 | 39296 |

**NURSING HOME SURVEY
AND
COMPLAINT ACTIVITY**

Nursing Home Surveys Conducted by Region*

| Survey Type | Northeastern | Northern | Southeastern | Southern | Western | Total |
|-----------------------|--------------|-----------|--------------|-----------|-----------|------------|
| State Licensure | | | 2 | | | 2 |
| Initial Certification | | | | | | |
| Standard (Recert) | 27 | 12 | 29 | 18 | 20 | 106 |
| Follow-Up | 50 | 16 | 45 | 26 | 33 | 170 |
| Complaint | 60 | 19 | 67 | 29 | 42 | 217 |
| Partial Extended | | | | | | |
| Extended | | | | | | |
| Total | 137 | 47 | 143 | 73 | 95 | 495 |

* Health Surveys Counted only

NOTE: Effective 7/1/2007 survey data was retrieved from the Aspen Database. Survey types have been modified.

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

| Region | Surveys Completed | *SQC # of Homes | *SQC # of Tags Care | *SQC # of Tags Life | *SQC # of Tags Behavior |
|--------------|-------------------|-----------------|---------------------|---------------------|-------------------------|
| Northeastern | 27 | 2 | 2 | | |
| Northern | 12 | 1 | 1 | | |
| Southeastern | 29 | | | | |
| Southern | 18 | 2 | 2 | | |
| Western | 20 | 2 | 1 | | 2 |
| Total | 106 | 7 | 6 | | 2 |

*SQC = Substandard Quality of Care

NOTE: The above SQC data was reported from Aspen

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

| Resolution | Northeastern | Northern | Southeastern | Southern | Western | Total |
|-------------------|---------------------|-----------------|---------------------|-----------------|----------------|--------------|
| No Change | 3 | 1 | 11 | | | 15 |
| Examples Removed | 1 | 2 | 2 | 4 | | 9 |
| Request Withdrawn | | | 2 | | | 2 |
| S/S Change | | | | 2 | | 2 |
| Tag Removed | 1 | 1 | 3 | | | 5 |
| Total | 5 | 4 | 18 | 6 | | 33 |

NOTE: The above data was reported from Aspen

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

| Resolution | Northeastern | Northern | Southeastern | Southern | Western | Total |
|--------------------------------|---------------------|-----------------|---------------------|-----------------|----------------|--------------|
| No Change | 1 | | 6 | | | 7 |
| Examples Removed | 1 | 1 | 2 | 2 | | 6 |
| S/S Change/Examples Removed | | | | | | |
| Tag Removed | | 1 | | 1 | | 2 |
| Total | 2 | 2 | 8 | 3 | | 15 |

NOTE: The above data was reported from Aspen

Nursing Home Violations of State Codes by Region

| Violation Type | Northeastern | Northern | Southeastern | Southern | Western | Total |
|-----------------------|---------------------|-----------------|---------------------|-----------------|----------------|--------------|
| Class A | 2 | | 1 | 1 | 2 | 6 |
| Class B | 27 | 12 | 28 | 20 | 27 | 114 |
| Class C | 1 | | 1 | 1 | | 3 |
| Correction Order | 7 | 7 | 7 | 3 | 10 | 34 |
| Total | 37 | 19 | 37 | 25 | 39 | 157 |

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(1)(b) | Resident Care/Decubiti Prevention | 27 |
| 50.09(1)(L) | Care | 19 |
| 132.60(8)(c) | Implementation of Care Plans | 13 |
| 132.60(5)(a)1 | Resident Care/Orders | 13 |
| 132.60(1) | Resident Care/Individual Care | 10 |
| 132.60(1)(c)4 | Resident Care/Basic Nrsng Care | 9 |
| 132.60(8)(b) | Updating of Care Plans | 7 |
| 132.50(1)(k) | Abuse and Restraints | 5 |

NOTE: The above data was reported from Aspen

Nursing Home Class A and Class B State Violations Cited

| State Code | Brief Description | Number |
|-----------------|--|--------|
| 132.60(1)(b) | Resident Care/Decubiti Prevention | 26 |
| 50.09(1)(L) | Care | 17 |
| 132.60(8)(c) | Implementation of Care Plans | 13 |
| 132.60(1) | Resident Care/Individual Care | 10 |
| 132.60(1)(c)4 | Resident Care/Basic Nrsng Care | 8 |
| 132.60(5)(a)1 | Resident Care/Orders | 7 |
| 132.60(8)(b) | Updating of Care Plans | 6 |
| 50.09(1)(k) | Abuse and Restraints | 5 |
| 132.60(3)(a) | Resident Care/Notification of Change | 4 |
| 132.51(2)(b) | Admissions/Communicable Disease | 3 |
| 132.60(1)(c)5 | Facility Shall Provide Pain Assessment/Treatment | 3 |
| 132.60(1)(c)2 | Resident Care/Basic Nrsng Care | 2 |
| 132.60(2)(d) | Resident Care/Diet Acceptance | 2 |
| 132.41(1) | Administrator | 1 |
| 132.44(1)(a) | Employee Development | 1 |
| 132.45(5)(c)2 | Medical Records-Content-Nursing | 1 |
| 132.52(4) | Admission Procedures/Initial Care Plan | 1 |
| 132.62(2)(a)3.f | DON/Defining Nrsng Roles | 1 |
| 132.62(2)(b)1.d | Charge Nurse/100+ Res | 1 |
| 132.62(3) | Nursing Assignments | 1 |
| 132.63(4)(b) | Therapeutic Diets | 1 |
| 132.68(5)(b) | SW/Adjustment Assistance | 1 |
| 132.71(2)(d) | Other Equipment | 1 |

| | | |
|--------------|------------------------------------|------------|
| 132.72(1) | Housekeeping | 1 |
| 132.83(1) | Maintenance | 1 |
| 132.60(1)(b) | Resident Care/Decubiti Prevention | 1 |
| 132.46(2)(b) | QAA Committee Corrects Care Issues | 1 |
| | Total | 120 |

NOTE: The above data was reported from Aspen

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

| Grid Level | Northeastern | Northern | Southeastern | Southern | Western | Total |
|--------------|--------------|-----------|--------------|-----------|------------|------------|
| A | | 1 | 2 | | | 3 |
| B | 8 | 5 | 13 | 3 | 6 | 35 |
| C | 14 | 4 | 17 | 6 | 4 | 45 |
| D | 123 | 53 | 100 | 47 | 92 | 415 |
| E | 25 | 19 | 46 | 15 | 22 | 127 |
| F | 3 | 2 | 5 | 1 | 3 | 14 |
| G | 10 | 4 | 14 | 5 | 8 | 41 |
| H | | | | | 4 | 4 |
| I | | 1 | | | | 1 |
| J | 7 | 1 | | 3 | 2 | 13 |
| K | | | | | | 0 |
| L | | | 3 | | | 3 |
| Total | 190 | 90 | 200 | 80 | 141 | 701 |

*Excludes LSC

NOTE: The above data was reported from ASPEN.

Nursing Home F-Tags with 10 or More Citations

| Tag | Brief Description | Number |
|-------|---|--------|
| F0323 | Accidents and Supervision | 56 |
| F0314 | Pressure Sores | 41 |
| F0225 | Staff Treatment of Residents | 31 |
| F0444 | Preventing Spread of Infection | 39 |
| F0309 | Quality of Care | 32 |
| F0281 | Comprehensive Care Plans | 29 |
| F0157 | Notification of Changes | 28 |
| F0225 | Staff Treatment of Residents | 26 |
| F0371 | Sanitary Conditions-Food Prep & Service | 25 |
| F0282 | Comprehensive Care Plans | 23 |
| F0315 | Urinary Incontinence | 23 |
| F0282 | Comprehensive Care Plans | 22 |
| F0241 | Dignity | 20 |
| F0329 | Unnecessary Drugs | 20 |
| F0272 | Comprehensive Assessments | 17 |
| F0253 | Housekeeping/Maintenance | 16 |
| F0425 | Pharmacy Services | 16 |
| F0441 | Infection Control | 15 |
| F0312 | Activities of Daily Living | 14 |
| F0465 | Other Environmental Conditions | 14 |
| F0332 | Medication Errors | 12 |
| F0156 | Notice of Rights and Services | 11 |
| F0226 | Staff Treatment of Residents | 10 |
| F0285 | Preadmission Screening | 10 |

NOTE: The above data was reported from ASPEN.

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

| Grid Level | Northeastern | Northern | Southeastern | Southern | Western | Total |
|-------------------|---------------------|-----------------|---------------------|-----------------|----------------|--------------|
| A | | | | 2 | | 2 |
| B | 1 | 1 | | 2 | | 4 |
| C | 15 | 5 | 55 | 14 | 2 | 91 |
| D | 22 | 1 | 46 | 69 | 7 | 145 |
| E | 10 | 6 | 107 | 97 | 10 | 230 |
| F | 7 | 3 | 60 | 82 | 5 | 157 |
| G | | | | | | 0 |
| H | | | | | | 0 |
| I | | | | | | 0 |
| J | | | | | | 0 |
| K | | | | | | 0 |
| L | | | | | | 0 |
| Total | 55 | 16 | 268 | 266 | 24 | 629 |

*Excludes Health

Table includes waivers

NOTE: The above data was reported from ASPEN.

Nursing Home LSC K-Tags with 10 or More Citations

| Tag | Brief Description | Number |
|------|---------------------------|--------|
| K144 | Life Safety Code Standard | 31 |
| K038 | Life Safety Code Standard | 30 |
| K018 | Life Safety Code Standard | 28 |
| K025 | Life Safety Code Standard | 28 |
| K147 | Life Safety Code Standard | 27 |
| K029 | Life Safety Code Standard | 26 |
| K154 | Life Safety Code Standard | 24 |
| K015 | Life Safety Code Standard | 22 |
| K155 | Life Safety Code Standard | 22 |
| K014 | Life Safety Code Standard | 21 |
| K017 | Life Safety Code Standard | 21 |
| K027 | Life Safety Code Standard | 21 |
| K045 | Life Safety Code Standard | 21 |
| K050 | Life Safety Code Standard | 21 |
| K052 | Life Safety Code Standard | 21 |
| K056 | Life Safety Code Standard | 21 |
| K062 | Life Safety Code Standard | 21 |
| K069 | Life Safety Code Standard | 17 |
| K011 | Life Safety Code Standard | 13 |
| K072 | Life Safety Code Standard | 13 |
| K046 | Life Safety Code Standard | 12 |
| K067 | Life Safety Code Standard | 12 |
| K130 | Life Safety Code Standard | 12 |
| K021 | Life Safety Code Standard | 11 |

Table includes waivers

NOTE: The above data was reported from ASPEN.

Nursing Home Complaints Received by ACTS Complainant Type

| Type | Number |
|-------------------------|------------|
| Anonymous | 46 |
| Current Staff | 6 |
| Entity Self-Report | 129 |
| Family | 109 |
| Former Staff | 3 |
| Friend | 8 |
| Ombudsman | 8 |
| Other | 7 |
| Other Health Provider | 12 |
| Other State Agency | 3 |
| Resident/Patient/Client | 18 |
| State Survey Agency | 3 |
| Total | 352 |

NOTE: The above data was reported from ACTS

Nursing Home Complaint Survey Summary

| Region | Surveys Completed | *SQC # of Homes | *SQC # / Tags Care | *SQC #/Tags Life | *SQC #/Tags Behavior |
|---------------|--------------------------|------------------------|---------------------------|-------------------------|-----------------------------|
| Northeastern | 60 | 3 | 3 | | |
| Northern | 19 | | | | |
| Southeastern | 67 | | | | |
| Southern | 29 | 1 | 1 | | |
| Western | 42 | 2 | 1 | | 2 |
| Total | 217 | 6 | 5 | | 2 |

*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

| Subject Area | # Substantiated | # Unsubstantiated | Total |
|--|-----------------|-------------------|------------|
| Accidents | 9 | 4 | 13 |
| Administration/Personnel | 1 | | 1 |
| Admission, Transfer & Discharge Rights | 5 | 10 | 15 |
| Death-General | 2 | | 2 |
| Dietary Services | 4 | 9 | 13 |
| Falsification of Records/Reports | 1 | 2 | 3 |
| Fraud/False Billing | 1 | 1 | 2 |
| Infection Control | 3 | 6 | 9 |
| Injury of Unknown Origin | 4 | 5 | 9 |
| Misappropriation of Property | 25 | 6 | 31 |
| Nursing Services | 3 | 21 | 24 |
| Other Services | 1 | | 1 |
| Pharmaceutical Services | | 1 | 1 |
| Physical Environment | 4 | 11 | 15 |
| Quality of Care/Treatment | 76 | 97 | 173 |
| Quality of Life | 5 | 13 | 18 |
| Rehabilitation Services | | 3 | 3 |
| Resident/Patient/Client Abuse | 52 | 41 | 93 |
| Resident/Patient/Client Assessment | 1 | 1 | 2 |
| Resident/Patient/Client Neglect | 11 | 5 | 16 |
| Resident/Patient/Client Rights | 8 | 16 | 24 |
| Unqualified Personnel | | 1 | 1 |
| Total | 216 | 253 | 469 |

NOTE: The above data was reported from ACTS

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

FDD Surveys Conducted by Region*

| Survey Type | Northeastern | Northern | Southeastern | Southern | Western | Total |
|-----------------------|--------------|----------|--------------|----------|----------|----------|
| State Licensure | | | | | | |
| Initial Certification | | | | | | |
| Standard (Recert) | | | 1 | 1 | | 2 |
| Follow-Up | 1 | | 1 | 1 | | 3 |
| Complaint | | | 2 | | 1 | 3 |
| Partial Extended | | | | | | |
| Extended | | | | | | |
| Total | 1 | | 4 | 2 | 1 | 8 |

*Health counted only

NOTE: Effective 7/1/2007 survey data was retrieved from the Aspen Database. Survey types have been modified.

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

| Resolution | Northeastern | Northern | Southeastern | Southern | Western | Total |
|------------|--------------|----------|--------------|----------|---------|-------|
| No Change | | | 3 | | | 3 |

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

| Resolution | Northeastern | Northern | Southeastern | Southern | Western | Total |
|------------|--------------|----------|--------------|----------|---------|-------|
| | | | | | | |

No State IDR requested for this timeframe

FDD Violations of State Codes by Region

| Violation Type | Northeastern | Northern | Southeastern | Southern | Western | Total |
|------------------|--------------|----------|--------------|----------|---------|----------|
| Class A | | | | | | |
| Class B | | | 1 | | | 1 |
| Class C | | | | | | |
| Correction Order | | | | | | |
| Total | | | 1 | | | 1 |

HFS 134/C50 State Codes with 3 or More Citations

| State Code | Brief Description | Number |
|------------|-------------------|--------|
| | | |

No violations with 3 or more cites for this timeframe

FDD Class A and Class B State Violations Cited

| State Code | Brief Description | Number |
|------------|-------------------|----------|
| 134.61(1) | Nursing Services | 1 |
| | Total | 1 |

NOTE: The above data was reported from Aspen

FDD Federal Deficiencies

| Level | Total |
|-----------------------------|-----------|
| Condition | |
| Standard | 14 |
| Element | |
| Life Safety Code – Standard | 20 |
| Life Safety Code- Element | |
| Total | 34 |

FDD Health Tags with 3 or More Citations this Quarter*

| Tag | Brief Description | Number |
|-----|-------------------|--------|
| | | |

*LSC Excluded

No health tags with 3 or more cites for this timeframe

FDD Condition Deficiencies

| Tag | Brief Description | Number |
|-----|-------------------|--------|
| | | |

No Condition level tags cited for this timeframe

FDD Complaints Received by ACTS Complainant Type

| Type | Number |
|--------------------|-----------|
| Anonymous | 1 |
| Entity Self-Report | 6 |
| Family | 4 |
| Total | 11 |

NOTE: The above data was reported from ACTS

FDD Complaint Investigation Results By ACTS Subject Area of Complaint

| Subject Area | # Substantiated | # Unsubstantiated | Total |
|-------------------------------|-----------------|-------------------|----------|
| Injury of Unknown Origin | 1 | | 1 |
| Quality of Care/Treatment | 4 | | 4 |
| Resident/Patient/Client Abuse | 2 | | 2 |
| Total | 7 | | 7 |

NOTE: The above data was reported from ACTS

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

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

| Type | Number |
|---|-------------|
| Swing Bed Hospital | 64 |
| General Acute Hospital | 81 |
| Alcohol Hospital | 2 |
| Special Psychiatric Hospital | 13 |
| Critical Access Hospital | 60 |
| Comprehensive Outpatient Rehab Facility | 3 |
| Ambulatory Surgical Center | 55 |
| End Stage Renal Dialysis | 107 |
| Hospice | 76 |
| AODA/Mental Health | 1200 |
| Prospective Payment Exemption | 46 |
| Portable X-Ray | 7 |
| Home Health Agency | 179 |
| Rural Health Clinic | 47 |
| Outpatient Rehabilitation Agency | 45 |
| Total | 1985 |

Branch/Extension Offices

| Type | Number |
|-------------------------------------|------------|
| AODA/Mental Health | 356 |
| Home Health Agency – Branch | 49 |
| Hospice – Branch | 33 |
| Outpatient Rehab Agency – Extension | 64 |
| Total | 502 |

Non-LTC Surveys Conducted

| Provider Type | Survey Type | Number |
|--------------------------------|--------------------|---------------|
| End Stage Renal Dialysis | Recertification | 9 |
| | Follow-Up | 6 |
| | Complaint | 1 |
| Home Health Agency | Recertification | 12 |
| | Follow-Up | 10 |
| | Complaint | 14 |
| Hospital – Special Psychiatric | Recertification | 1 |
| | Follow-Up | 3 |
| | Complaint | 1 |
| Hospital –Critical Access | Complaint | 1 |
| | Follow-Up | 1 |
| Hospital – General Acute | Follow-Up | 8 |
| | Complaint | 15 |
| Hospice | Follow-Up | 2 |
| | Complaint | 3 |
| Outpatient Rehab Agency | Recertification | 2 |
| | Follow-Up | 1 |
| Rural Health Clinic | Recertification | 2 |
| | Follow-Up | 1 |
| Total | | 93 |

*Heath Counted Only

NOTE: Effective 7/1/2007 survey data was retrieved from the Aspen Database. Survey types have been modified.

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

| Provider Type | Condition | Standard | Element | LSC-Standard | LSC-Element | Total |
|----------------------------|------------------|-----------------|----------------|---------------------|--------------------|--------------|
| Ambulatory Surgical Center | 6 | 12 | 3 | 26 | | 47 |
| ESRD | | 65 | | | | 65 |
| Hospital-Acute | 3 | 19 | | | | 22 |
| Home Health Agency | 6 | 69 | | | | 75 |
| Hospital-Psychiatric | 1 | 16 | | 2 | | 19 |
| Hospital-Critical Access | 1 | 1 | | | | 2 |
| Outpatient Rehab Agency | 9 | 29 | | | | 38 |
| Rural Health Clinic | | 2 | 7 | | | 9 |
| Total | 26 | 213 | 10 | 28 | | 277 |

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

| Tag | Brief Description | Number |
|--------------|--------------------------|---------------|
| 133.14(2)(b) | Skilled Nursing Services | 5 |
| 133.20(4) | Plan of Care | 5 |
| 133.14(2)(c) | Skilled Nursing Services | 3 |

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

| Tag | Brief Description | Number |
|------------|--------------------------|---------------|
| | | |

None for this timeframe

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

| Tag | Brief Description | Number |
|-----------------|---|---------------|
| 124.13(2)(b)2.b | Nursing Services – Patient Care | 3 |
| 124.12(9)(b)2 | Medical Staff-Administrative Structure | 3 |
| 124.14(3)(a)12 | Medical Record Service-Responsibilities | 3 |

Non-LTC Complaints Received by ACTS Complainant Type

| Type | ESRD | Home Health Agency | Hospice | Hospital General Acute | Hospital Psychiatric | Hospital Critical Access |
|----------------------------|----------|--------------------|----------|------------------------|----------------------|--------------------------|
| Accreditation Organization | | | | | | |
| Anonymous | | | | | 2 | |
| CMS | | | | 2 | | |
| Congressional Inquiry | | | | 1 | | |
| Current Staff | | | | | 1 | |
| Entity Self-Report | | | | 2 | | |
| Family | | 13 | 3 | 16 | 3 | |
| Former Staff | | 1 | 1 | | | |
| Friend | | 2 | 1 | 1 | | |
| Ombudsman | | | | | | |
| Other | | | | | | |
| Other Health Providers | | 2 | 1 | 1 | | |
| Other State Agency | | | | 1 | | 1 |
| Quality Improvement Org. | | | | 1 | | |
| Resident/Patient/Client | 3 | 8 | | 14 | 1 | 2 |
| State Survey Agency | | | | | | |
| Total | 3 | 26 | 6 | 39 | 7 | 3 |

NOTE: The above data was reported from ACTS

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

| Subject Area | # Substantiated | # Unsubstantiated | Total |
|--|------------------------|--------------------------|--------------|
| Admission, Transfer & Discharge Rights | 1 | | 1 |
| Emtala (Patient Dumping) | 1 | 2 | 3 |
| Infection Control | 1 | | 1 |
| Nursing Services | 4 | 1 | 5 |
| Other | | | |
| Other Services | 4 | 1 | 5 |
| Physical Environment | 1 | | 1 |
| Physician Services | 1 | | 1 |
| Quality of Care/Treatment | 3 | 1 | 4 |
| Resident/Patient/Client Rights | | 1 | 1 |
| Total | 15 | 7 | 22 |

NOTE: The above data was reported from ACTS

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

| Subject Area | # Substantiated | # Unsubstantiated | Total |
|---------------------------|------------------------|--------------------------|--------------|
| Quality of Care/Treatment | 1 | | 1 |
| Total | 1 | | 1 |

NOTE: The above data was reported from ACTS

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

| Subject Area | # Substantiated | # Unsubstantiated | Total |
|---------------------|------------------------|--------------------------|--------------|
| Nursing Services | | 1 | 1 |
| Total | | 1 | 1 |

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

| Subject Area | # Substantiated | # Unsubstantiated | Total |
|--|------------------------|--------------------------|--------------|
| Admission, Transfer & Discharge Rights | 1 | 3 | 4 |
| Falsification of Records/Reports | | | |
| Nursing Services | 3 | 2 | 5 |
| Quality of Care/Treatment | 3 | 3 | 6 |
| Resident/Patient/Client Rights | 1 | 1 | 2 |
| Unqualified Personnel | | 1 | 1 |
| Total | 8 | 10 | 18 |

NOTE: The above data was reported from ACTS

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

| Subject Area | # Substantiated | # Unsubstantiated | Total |
|---------------------------|------------------------|--------------------------|--------------|
| Nursing Services | | 1 | 1 |
| Other Services | 1 | | 1 |
| Quality of Care/Treatment | 1 | 1 | 2 |
| Total | 2 | 2 | 4 |

NOTE: The above data was reported from ACTS

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

| Subject Area | # Substantiated | # Unsubstantiated | Total |
|--|------------------------|--------------------------|--------------|
| Admission, Transfer & Discharge Rights | 1 | | 1 |
| Total | 1 | | 1 |

NOTE: The above data was reported from ACTS

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

State Forfeitures Processed – Nursing Homes and FDDs

| State Class | Total Assessed | Original Amount Due | Actual Amount Due | Amount Paid |
|--------------|----------------|---------------------|-------------------|------------------|
| A | 7 | \$157,675 | \$116,139 | \$77,139 |
| B | 69 | \$1,077,112 | \$804,891 | \$363,156 |
| C | 4 | \$39,500 | \$39,500 | \$39,000 |
| Total | 80 | \$1,274,287 | \$960,530 | \$479,295 |

State Forfeitures Processed – Hospice

| # of Invoices Issued | Actual Amount Due | Amount Paid |
|----------------------|-------------------|-------------|
| 1 | \$430 | \$430 |