

DIVISION OF QUALITY ASSURANCE

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

OCTOBER – DECEMBER 2007



State of Wisconsin
Department of Health and Family Services

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**LONG TERM CARE PROVIDER
CERTIFICATION
AND
LICENSURE**

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

Licensure Type	Southern	Southeastern	Northeastern	Northern	Western	TOTAL
132 Intermediate	1			1		2
132 Skilled	77	99	105	26	91	398
132 Skilled-IMD					2	2
134 Developmentally Disabled	6	4	3		6	19
TOTAL	84	103	108	27	99	421

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

Certification Type	Southern	Southeastern	Northeastern	Northern	Western	TOTAL
T18 SNF Only	3	8	2			13
T18 SNF/T19 NF	72	85	94	25	83	359
T19 NF Only		4	9	2	8	24
T19 ICF/MR	6	4	3		6	19
Non-Certified	2	2			2	6
TOTAL	84	103	108	27	99	421

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

Certification Type	Southern	Southeastern	Northeastern	Northern	Western	TOTAL
T18 SNF Only	94	364	35			493
T18 SNF/T19 NF	6314	10740	9083	2934	6632	35703
T19 NF Only	18	156	1081	76	420	1751
T19 ICF/MR	585	413	71		127	1196
Non-Certified	19	100			103	222
TOTAL	7030	11773	10270	3010	7282	39365

**NURSING HOME SURVEY
AND
COMPLAINT ACTIVITY**

Nursing Home Surveys Conducted by Region*

Survey Type	Southern	Southeastern	Northeastern	Northern	Western	Total
Standard (STD)	17	18	27	5	21	88
Initial Certification					1	1
State Licensure	1					1
Complaint	36	65	66	17	31	215
Follow-Up	35	48	43	12	28	166
Partial Extended	1					1
Extended						
Total	90	131	136	34	81	472

* 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
Southern	18	2	1		3
Southeastern	18	3	4		
Northeastern	27	1	1		
Northern	5				
Western	22				
Total	90	6	6		3

*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	Southern	Southeastern	Northeastern	Northern	Western	Total
No Change	3	4	2	1	3	13
Examples Removed	3	2		1	2	8
Request Withdrawn					1	1
S/S Change	1	1				2
Tag Removed	1	3	2			6
Total	8	10	4	2	6	30

NOTE: The above data was reported from Aspen

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

Resolution	Southern	Southeastern	Northeastern	Northern	Western	Total
No Change		2	2	3	4	11
Examples Removed	2					2
S/S Change/Examples Removed		1				1
Tag Removed	1	1	1			3
Total	3	4	3	3	4	17

NOTE: The above data was reported from Aspen

Nursing Home Violations of State Codes by Region

Violation Type	Southern	Southeastern	Northeastern	Northern	Western	Total
Class A	6	4	2		1	13
Class B	25	29	26	6	18	104
Class C		3	1			4
Correction Order	4	10	8	6	10	38
Total	35	46	37	12	29	159

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	19
132.60(1)	Resident Care/Individual Care	17
132.60(1)(b)	Resident Care/Decubiti Prevention	15
132.60(5)(a)1	Resident Care/Orders	12
50.09(1)(L)	Care	9
132.60(1)(c)4	Resident Care/Basic Nrsg Care	8
132.60(1)(c)5	Facility Shall Provide Pain Assessment/Treatment	7
132.60(2)(d)	Resident Care/Diet Acceptance	7
132.60(3)(a)	Resident Care/Notification of Change	6
132.60(1)(c)2	Resident Care/Basic Nrsg Care	6

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(8)(c)	Implementation of Care Plans	17
132.60(1)	Resident Care/Individual Care	17
132.60(1)(b)	Resident Care/Decubiti Prevention	15
50.09(1)(L)	Care	9
132.60(1)(c)4	Resident Care/Basic Nrsng Care	8
132.60(1)(c)5	Facility Shall Provide Pain Assessment/Treatment	7
132.60(2)(d)	Resident Care/Diet Acceptance	7
132.60(3)(a)	Resident Care/Notification of Change	6
132.60(1)(c)2	Resident Care/Basic Nrsng Care	6
132.60(5)(a)1	Resident Care/Orders	5
50.09(1)(k)	Abuse and Restrains	4
132.51(2)(b)	Admissions/Communicable Disease	2
132.60(8)(b)	Updating of Care Plans	2
132.68(5)(b)	SW/Adjustment Assistance	2
50.09(6)	Resident's Rights in Certain Facilities	2
132.45(1)	Records	1
132.45(5)(c)4.b	Medical Records-Content-Nursing	1
132.51(2)(c)	Admissions/Destructive Residents	1
132. 52(4)	Admission Procedures/Initial Care Plan	1
132.71(7)(b)	Oxygen/Fastened	1
132.72(1)	Housekeeping	1
50.09(1)	Resident's Rights in Certain Facilities	1
13.05(2)	Client Protection	1
	Total	117

NOTE: The above data was reported from Aspen

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

Grid Level	Southern	Southeastern	Northeastern	Northern	Western	Total
A		5	1		1	7
B	2	4	22		9	37
C		4	11	1	5	21
D	64	73	114	40	53	344
E	19	26	18	8	13	84
F	1	4	4		5	14
G	8	15	14	1	8	46
H						
I						
J	10	2	5		1	18
K	1	3				4
L		2				2
Total	105	138	189	50	95	577

*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	45
F0225	Staff Treatment of Residents	31
F0314	Pressure Sores	30
F0157	Notification of Changes	26
F0272	Comprehensive Assessments	25
F0279	Comprehensive Care Plans	24
F0309	Quality of Care	23
F0444	Preventing Spread of Infection	23
F0315	Urinary Incontinence	21
F0282	Comprehensive Care Plans	18
F0281	Comprehensive Care Plans	16
F0514	Clinical Records	16
F0329	Unnecessary Drugs	15
F0441	Infection Control	15
F0465	Other Environmental Conditions	15
F0334	Influenza and Pneumococcal Immunization	13
F0241	Dignity	10
F0278	Resident Assessment	10
F0332	Medication Errors	10
F0333	Medication Errors	10

NOTE: The above data was reported from ASPEN.

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

Grid Level	Southern	Southeastern	Northeastern	Northern	Western	Total
A		1		1		2
B		1				1
C	2	36	20	5	4	67
D	44	21	12	3	14	94
E	60	62	11	13	5	151
F	33	33	14	20	8	108
G						
H						
I						
J						
K						
L						
Total	139	154	57	42	31	423

*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
K29	Life Safety Code Standard	34
K56	Life Safety Code Standard	24
K38	Life Safety Code Standard	22
K25	Life Safety Code Standard	21
K45	Life Safety Code Standard	21
K50	Life Safety Code Standard	20
K147	Life Safety Code Standard	20
K144	Life Safety Code Standard	17
K18	Life Safety Code Standard	16
K154	Life Safety Code Standard	16
K46	Life Safety Code Standard	12
K155	Life Safety Code Standard	12
K52	Life Safety Code Standard	10
K67	Life Safety Code Standard	10

Table includes waivers

NOTE: The above data was reported from ASPEN.

Nursing Home Complaints Received by ACTS Complainant Type

Type	Number
Anonymous	42
CMS	1
Coroner	1
Current Staff	7
Entity Self-Report	115
Family	100
Former Staff	4
Friend	7
Ombudsman	12
Other	8
Other Health Provider	8
Other State Agency	6
Resident/Patient/Client	15
State Survey Agency	6
Total	332

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
Southern	36	3	2		2
Southeastern	65	1			1
Northeastern	66	2	2		
Northern	17				
Western	28	1	1		
Total	215	7	5		3

*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	# Unsubstantiated	# Substantiated	Total
Accidents	4	8	12
Administration/Personnel	4	1	5
Admission, Transfer & Discharge Rights	9	5	14
Death-General		1	1
Dietary Services	8	3	11
Falsification of Records/Reports	1	1	2
Fraud/False Billing	1		1
Infection Control	5	3	8
Injury of Unknown Origin	9	9	18
Misappropriation of Property	14	4	18
Nursing Services	27	3	30
Other Services	1		1
Pharmaceutical Services		1	1
Physical Environment	16	2	18
Quality of Care/Treatment	96	68	164
Quality of Life	10	3	13
Rehabilitation Services	2		2
Resident/Patient/Client Abuse	33	42	75
Resident/Patient/Client Assessment	1	1	2
Resident/Patient/Client Neglect	5	11	16
Resident/Patient/Client Rights	12	7	19
Restraints/Seclusion - General	1	1	2
Total	259	174	433

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	Southern	Southeastern	Northeastern	Northern	Western	Total
Fundamental	1	3	1		1	6
Initial Certification						
State Licensure						
Complaint	4	3				7
Follow-Up	2	2			1	5
Partial Extended						
Extended						
Total	7	8	1		2	18

*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	Southern	Southeastern	Northeastern	Northern	Western	Total

No IDR requested for this timeframe

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

Resolution	Southern	Southeastern	Northeastern	Northern	Western	Total

No IDR requested for this timeframe

FDD Violations of State Codes by Region

Violation Type	Southern	Southeastern	Northeastern	Northern	Western	Total
Class A						
Class B	2	1				3
Class C						
Correction Order		3	3			6
Total	2	4	3			9

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
134.60(1)(g)	Resident Safety	2
134.61(1)	Nursing Services	1
	Total	3

NOTE: The above data was reported from Aspen

FDD Federal Deficiencies

Level	Total
Condition	
Standard	30
Element	
Life Safety Code – Standard	43
Life Safety Code- Element	
Total	73

FDD Health Tags with 3 or More Citations this Quarter*

Tag	Brief Description	Number
W0331	Nursing Services	5

*LSC Excluded

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
Current Staff	1
Entity Self-Report	3
Family	1
Other Health Provider	1
Total	7

NOTE: The above data was reported from ACTS

FDD Complaint Investigation Results By ACTS Subject Area of Complaint

Subject Area	# Unsubstantiated	# Substantiated	Total
Injury of Unknown Origin	1		1
Nursing Services	2		2
Quality of Care/Treatment	4		4
Quality of Life	1		1
Resident/Patient/Client Abuse		1	1
Resident/Patient/Client Abuse		2	2
Total	8	3	11

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	82
Alcohol Hospital	2
Special Psychiatric Hospital	13
Critical Access Hospital	59
Comprehensive Outpatient Rehab Facility	3
Ambulatory Surgical Center	55
End Stage Renal Dialysis	107
Hospice	74
AODA/Mental Health	1192
Prospective Payment Exemption	46
Portable X-Ray	7
Home Health Agency	176
Rural Health Clinic	47
Outpatient Rehabilitation Agency	45
Total	1972

Branch/Extension Offices

Type	Number
AODA/Mental Health	350
Home Health Agency – Branch	51
Hospice – Branch	33
Outpatient Rehab Agency –Extension	64
Total	498

Non-LTC Surveys Conducted

Provider Type	Survey Type	Number
Ambulatory Surgical Center	Initial Certification	1
	Recertification	1
	Follow-Up	2
End Stage Renal Dialysis	Complaint	3
	Follow-Up	4
Home Health Agency	Recertification	12
	Complaint	11
	Initial Certification	2
	Follow-Up	13
	State Licensure	2
Hospital – Special Psychiatric	Complaint	2
	Follow-Up	1
Hospital –Critical Access	Recertification	1
	Complaint	1
	Follow-Up	3
Hospital – General Acute	Recertification	1
	Complaint	21
	Follow-Up	5
Hospice	Recertification	1
	Complaint	1
Rural Health Clinic	Recertification	1
TOTAL		89

*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	2	8		1		11
ESRD		8				8
Hospital-Acute	2	26		10		38
Home Health Agency	8	77				85
Hospice		5				5
Hospital-Psychiatric		8				8
Hospital-Critical Access	3	10		16		29
Rural Health Clinic			2			2
Total	15	142	2	27		186

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

Tag	Brief Description	Number
133.20(4)	Plan of Treatment	7
133.14(2)(b)	Skilled Nursing Services	6
133.21(1)	Medical Records	4
133.20(2)(a)	Plan of Treatment	3
133.09(2)	Service Agreement	3
133.17(1)	Home Health Aide 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	4
124.13(6)(c)	Documentation, Staff Meetings/Evaluation	4

Non-LTC Complaints Received by ACTS Provider Type

Provider Type	Number
Home Health Agency	17
Hospice	4
Hospital – General Acute	20
Hospital – Psychiatric	3
End Stage Renal Dialysis	1
Total	45

NOTE: The above data was reported from ACTS

Non-LTC Complaints Received by ACTS Complainant Type

Type	Home Health	Hospice	Hospital General Acute	Hospital Psychiatric	ESRD	Total
Accreditation Organization			1			1
Anonymous	1					1
Current Staff	2		1		1	4
Entity Self-Report			1	1		2
Family	6	4	8	1		19
Ombudsman			1			1
Other	1		1			2
Other Health Providers			1			1
Resident/Patient/Client	7		5	1		13
State Survey Agency			1			1
Total	17	4	20	3	1	45

NOTE: The above data was reported from ACTS

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

Subject Area	# Unsubstantiated	# Substantiated	Total
Admission, Transfer & Discharge Rights	1		1
Administration/Personnel		1	1
Emtala (Patient Dumping)	4	1	5
Infection Control	2	1	3
Nursing Services	2	3	5
Other	1		1
Other Services	1		1
Physician Services	1		1
Quality of Care/Treatment	1	4	5
Resident/Patient/Client Rights	1	2	3
Total	14	12	26

NOTE: The above data was reported from ACTS

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

Subject Area	# Unsubstantiated	# Substantiated	Total
Quality of Care/Treatment	2	1	3
Resident/Patient/Client Abuse		1	1
Resident/Patient/Client Rights	1		1
Total	3	2	5

NOTE: The above data was reported from ACTS

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

Subject Area	# Unsubstantiated	# Substantiated	Total

None for this timeframe

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

Subject Area	# Unsubstantiated	# Substantiated	Total
Admission, Transfer & Discharge Rights	1		1
Falsification of Records/Reports	1		1
Fraud/False Billing	1		1
Misappropriation of Property	1		1
Nursing Services	1	1	2
Quality of Care/Treatment	4	5	9
Resident/Patient/Client Rights	2		2
Unqualified Personnel	1		1
Total	12	6	18

NOTE: The above data was reported from ACTS

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

Subject Area	# Unsubstantiated	# Substantiated	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 – ESRD**

Subject Area	# Unsubstantiated	# Substantiated	Total
Admission, Transfer & Discharge Rights		1	1
Quality of Care/Treatment		1	1
Resident/Patient/Client Rights		1	1
Total		3	3

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	5	\$116,300	\$105,660	\$19,760
B	106	\$1,338,820	\$1,005,732	\$566,562
C	1	\$0	\$0	\$0
O	2	\$1,320	\$0	\$0
Total	114	\$1,456,440	\$1,111,392	\$586,322

State Forfeitures Processed – Hospice

# of Invoices Issued	Actual Amount Due	Amount Paid
2	\$2,835	\$2,835