



# Bureau of Assisted Living

**STATE OF ASSISTED LIVING**

**Mid Year 2016**

**November 8, 2016**



# Alfred C. Johnson, Director



# Agenda

1. BAL Staffing
2. Trends and Statistics
  - ✓ Assisted Living (AL) Capacity
  - ✓ AL Complaints
  - ✓ AL Self-Reports
  - ✓ AL Survey
  - ✓ Abbreviated Surveys
  - ✓ AL Enforcement
  - ✓ Wisconsin Coalition for Collaborative Excellence in Assisted Living (WCCEAL)
3. Bureau of Assisted Living Strategies
4. Wrap-Up



# Bureau of Assisted Living Staffing

## Assisted Living Regional Directors

- Northeastern Regional Office (NERO)
  - Kathy Lyons
- Western Regional Office (WRO)
  - William Gardner
- Southern Regional Office (SRO)
  - Linda Boswell
- Southeastern Regional Office (SERO)
  - Michelle Crockett



# **Bureau of Assisted Living Staffing**

## **Quality Assurance Program Specialists, Senior**

- Lynnette Traas
- Cindy O'Connell
- Vacant, Enforcement Specialist



# Bureau of Assisted Living Staffing

## Central Office Staff

- Colette Anderson, Research Technician
- Damon Scott, Office Operations Program Associate
- Lori Smithback, Central Licensing Associate
- Chquota Carter, Central Health Service Specialist



# Bureau of Assisted Living Staffing

## Assisted Living Support Staff

- Southern Regional Office
  - Thom Smith
  - Julie Mallder
- Western Regional Office
  - Moua Luedtke
  - Vacant
- Southeastern Regional Office
  - Rothea Hunt
  - Maxine Johnson
- Northeastern Regional Office
  - Diane Van Rens
  - Carrie Raasch



# Bureau of Assisted Living Staffing

## Assisted Living Surveyors

### Northeastern Regional Office

- Jerome Riederer
- Heather Schweiner
- Phyllis Witter
- Jule Degrave
- Connie Van Rossum
- Trisha Piotraschke
- Cari Gast
- Vicky Whittman
- Sandra Culligan
- Nicole Hall



# Bureau of Assisted Living Staffing

## Assisted Living Surveyors

### Southeastern Regional Office

- Bunny Booker
- MaryBeth Hoffman
- Sharon Gries
- Connie Knezic
- Tom Redding
- Geralyn Spitzer
- Joelle Verstegen
- Cindie Wilbur
- Kelly Clark



# Bureau of Assisted Living Staffing

## Assisted Living Surveyors

### Western Regional Office

- Cynthia Larson
- Sandy Finseth
- Mary Eckwright
- Ann Colbenson-Hallum
- Kris Carew
- Judy Jordan
- Kelly Haugen
- Ron Kunferman



# Bureau of Assisted Living Staffing

## Assisted Living Surveyors

### Southern Regional Office

- Cheryl Bott
- Leann Fox
- Cindy Lindgren
- Tina Lubick
- Roda McLees
- Estrella Schnering
- Sharon Paulson
- Shannon Lane



# Bureau of Assisted Living Regional Assignments

## SERO

- Kenosha, Milwaukee, Racine

## NERO

- Adams, Brown, Calumet, Door, Fond du Lac, Green Lake, Kewaunee, Manitowoc, Marinette, Marquette, Menominee, Oconto, Outagamie, Ozaukee, Portage, Shawano, Sheboygan, Washington, Waushara, Waupaca, Winnebago, Wood

## SRO

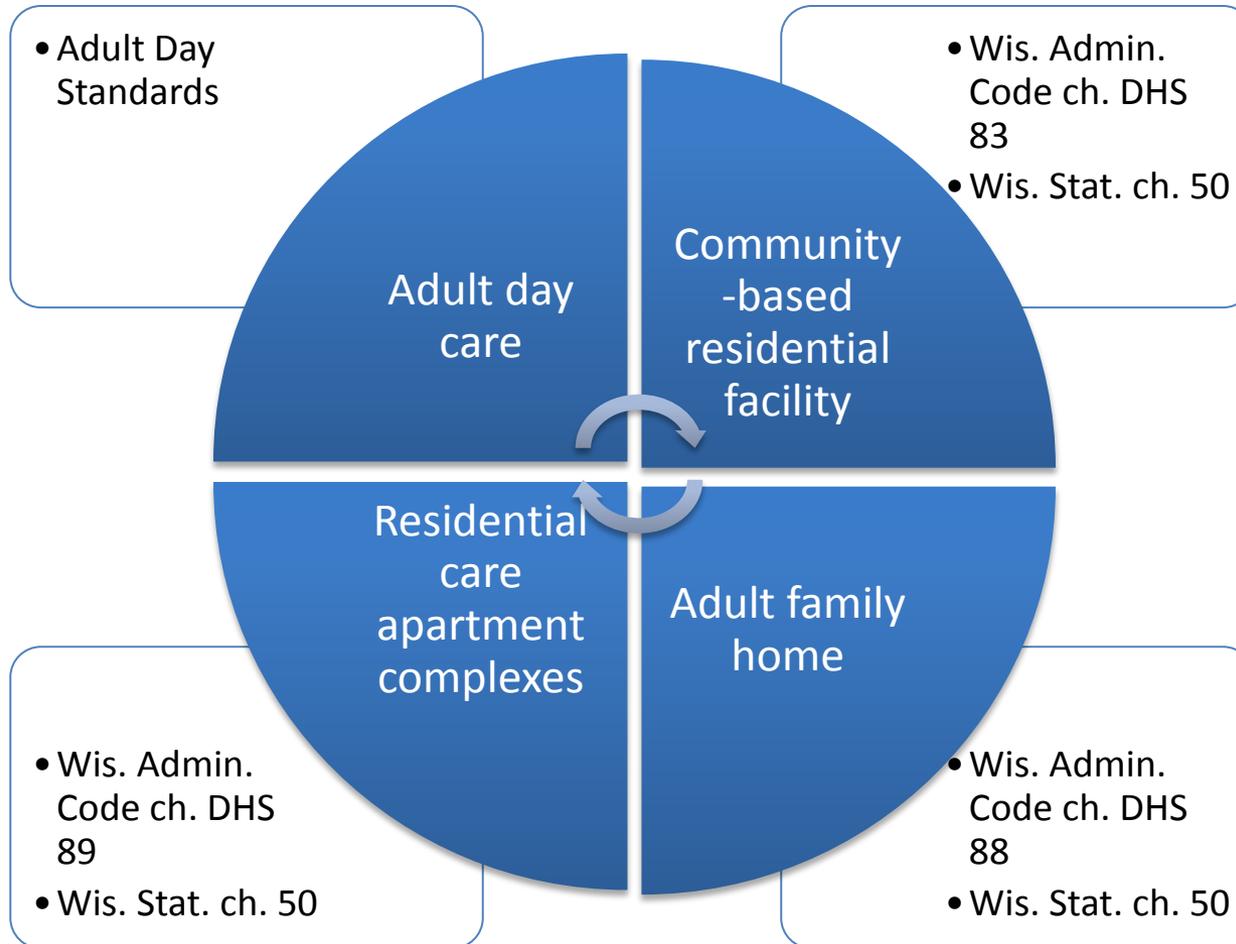
- Columbia, Crawford, Dane, Dodge, Grant, Green, Iowa, Jefferson, Lafayette, Richland, Rock, Sauk, Walworth, Waukesha

## WRO

- Ashland, Barron, Bayfield, Buffalo, Burnett, Chippewa, Clark, Douglas, Dunn, Eau Claire, Florence, Forest, Iron, Jackson, Juneau, Langlade, La Crosse, Lincoln, Marathon, Monroe, Oneida, Pepin, Pierce, Polk, Price, Rusk, Sawyer, St. Croix, Taylor, Trempealeau, Vernon, Vilas, Washburn



# Wisconsin Assisted Living Facilities





# Regulatory Trends





# Regulatory Trends

- Increase in:
  - Number of Assisted Living Facilities
  - Resident Acuity
    - Health monitoring
    - Behavioral monitoring
    - Care planning/Assessment
  - Lack of Qualified Staff
    - Administrator/Service Managers
    - Training not provided
  - Financial Difficulties
  - Lack of Systems of Care



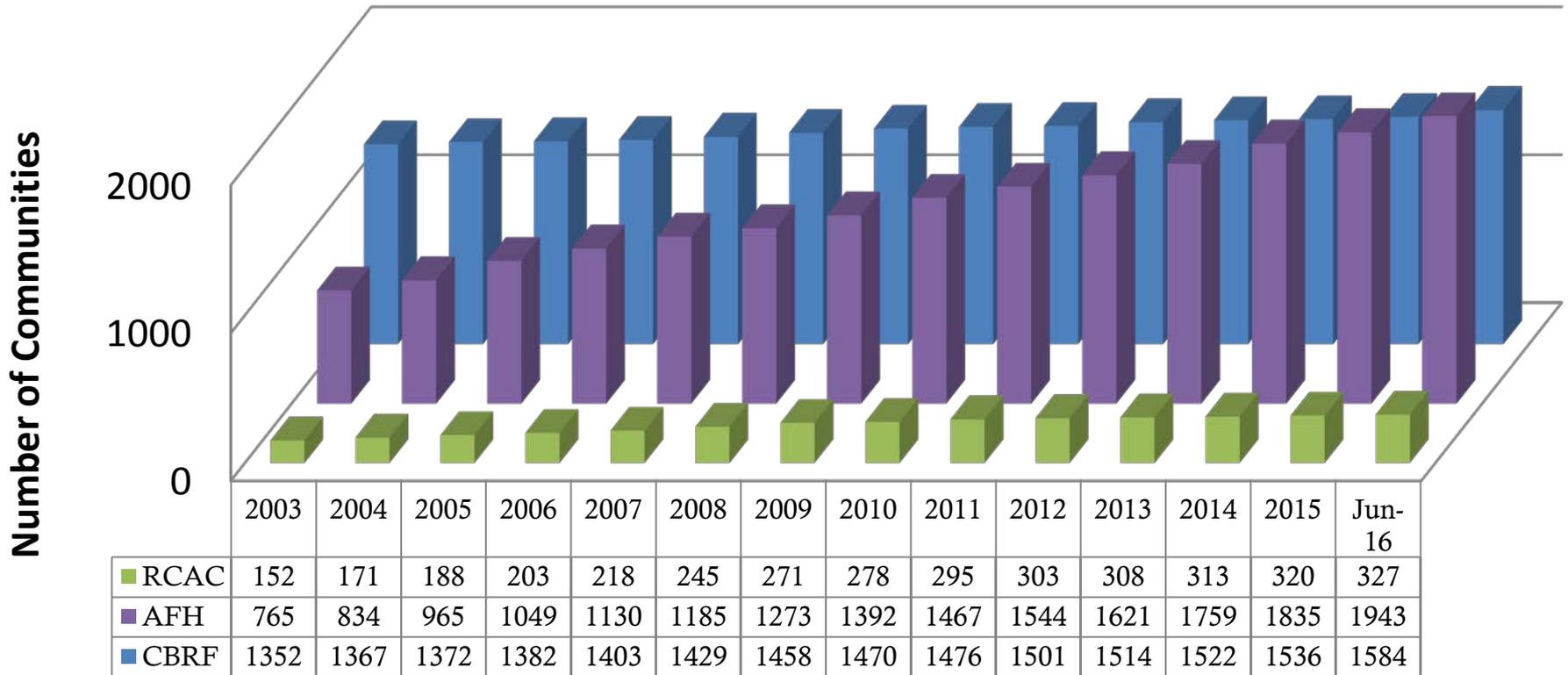
# Regulatory Trends

- As a result, BAL sees:
  - Testing the “boundaries” of Assisted Living care
  - Complex complaints
  - Serious outcomes to resident
  - Limited/No action by provider
  - Failure to sustain compliance
  - Increased enforcement activity
    - Revocations
    - Directed Plan of Correction (DPOC)
    - Forfeitures



# Assisted Living Facilities

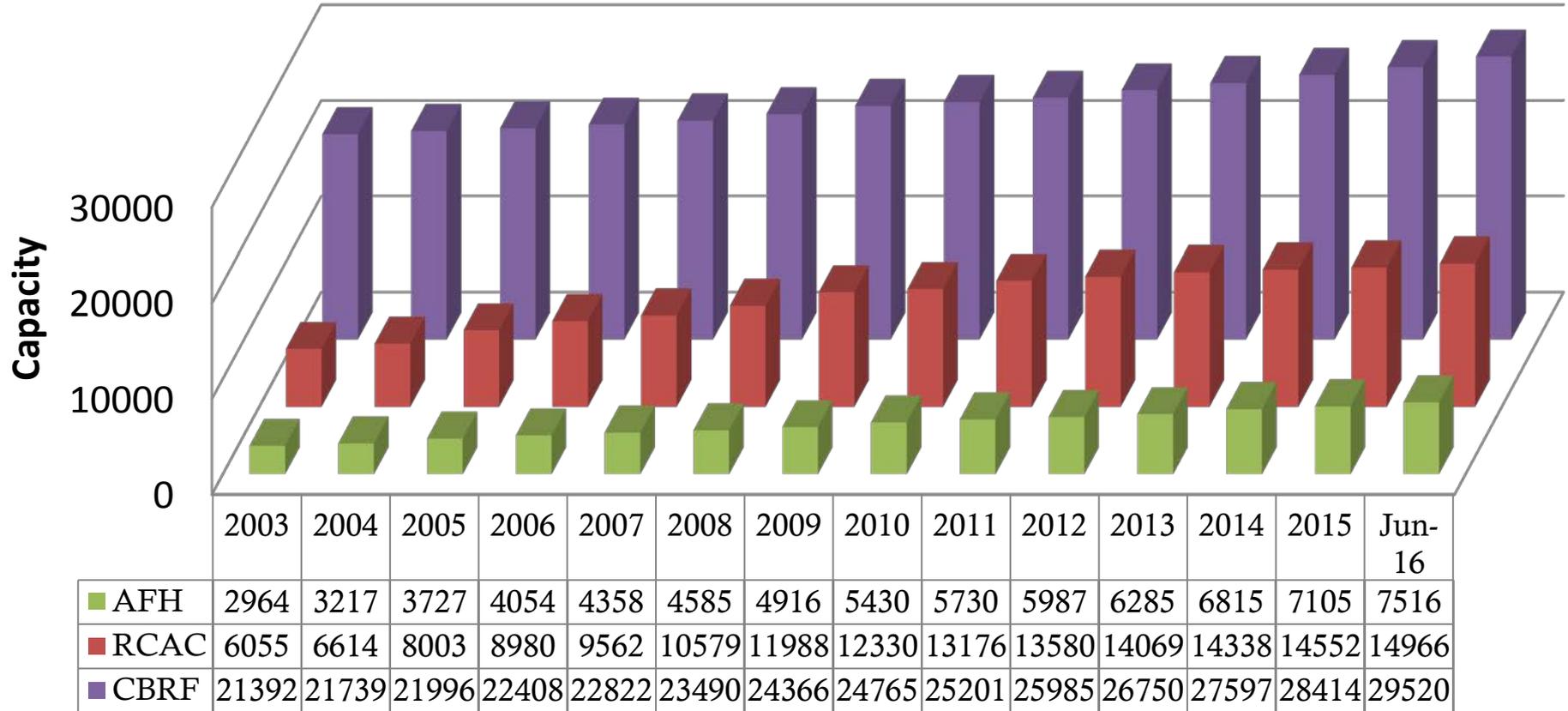
## Trend in Number of Facilities





# Assisted Living Capacity

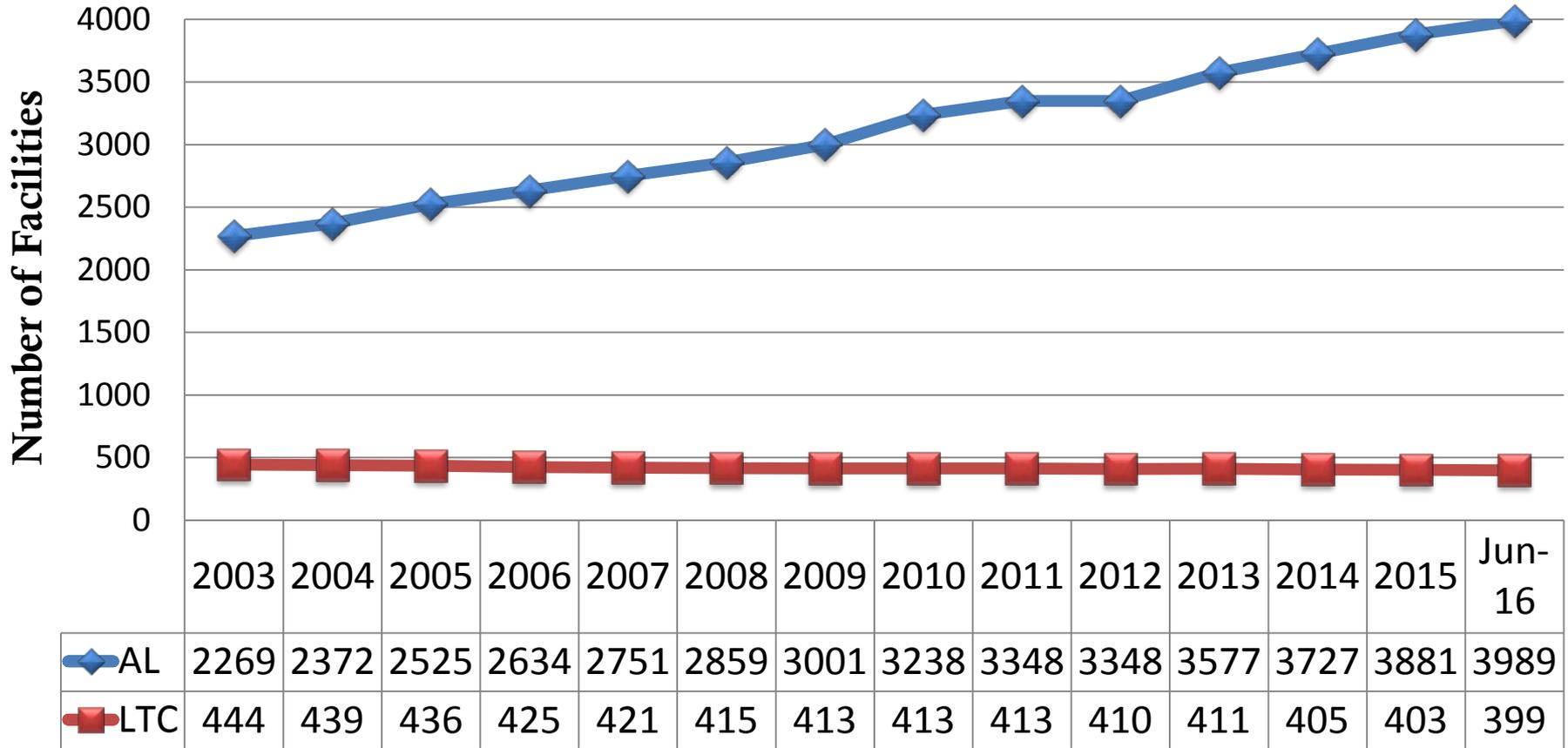
## Trend in Assisted Living Capacity





# Assisted Living vs. LTC Facilities

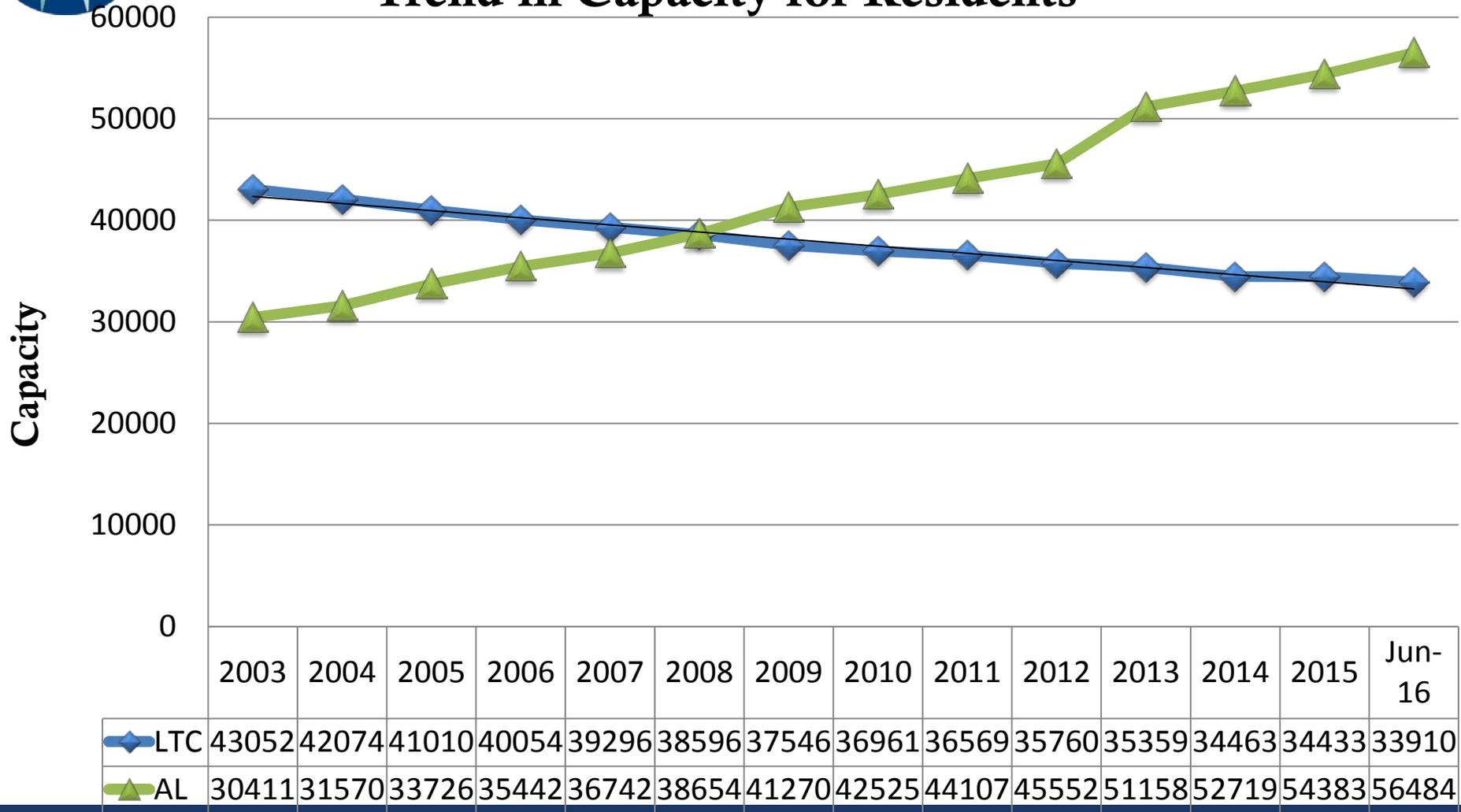
## Trend in Number of Facilities





# Assisted Living vs. LTC Capacity

## Trend in Capacity for Residents



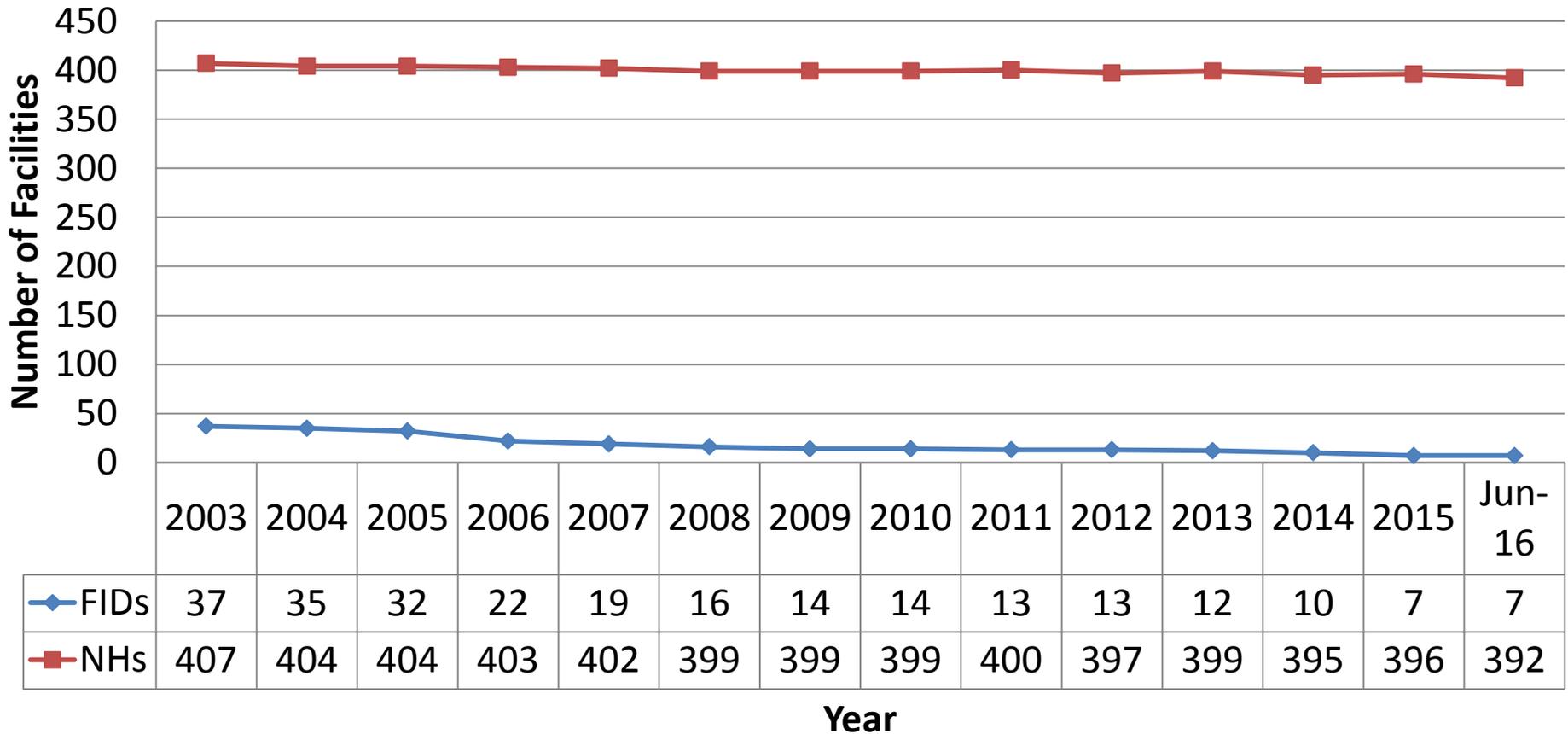
Promoting Regulatory Compliance

Division of Quality Assurance



# Nursing Home and Intermediate Care Facilities for Individuals with Intellectual Disabilities (ICF/IID)

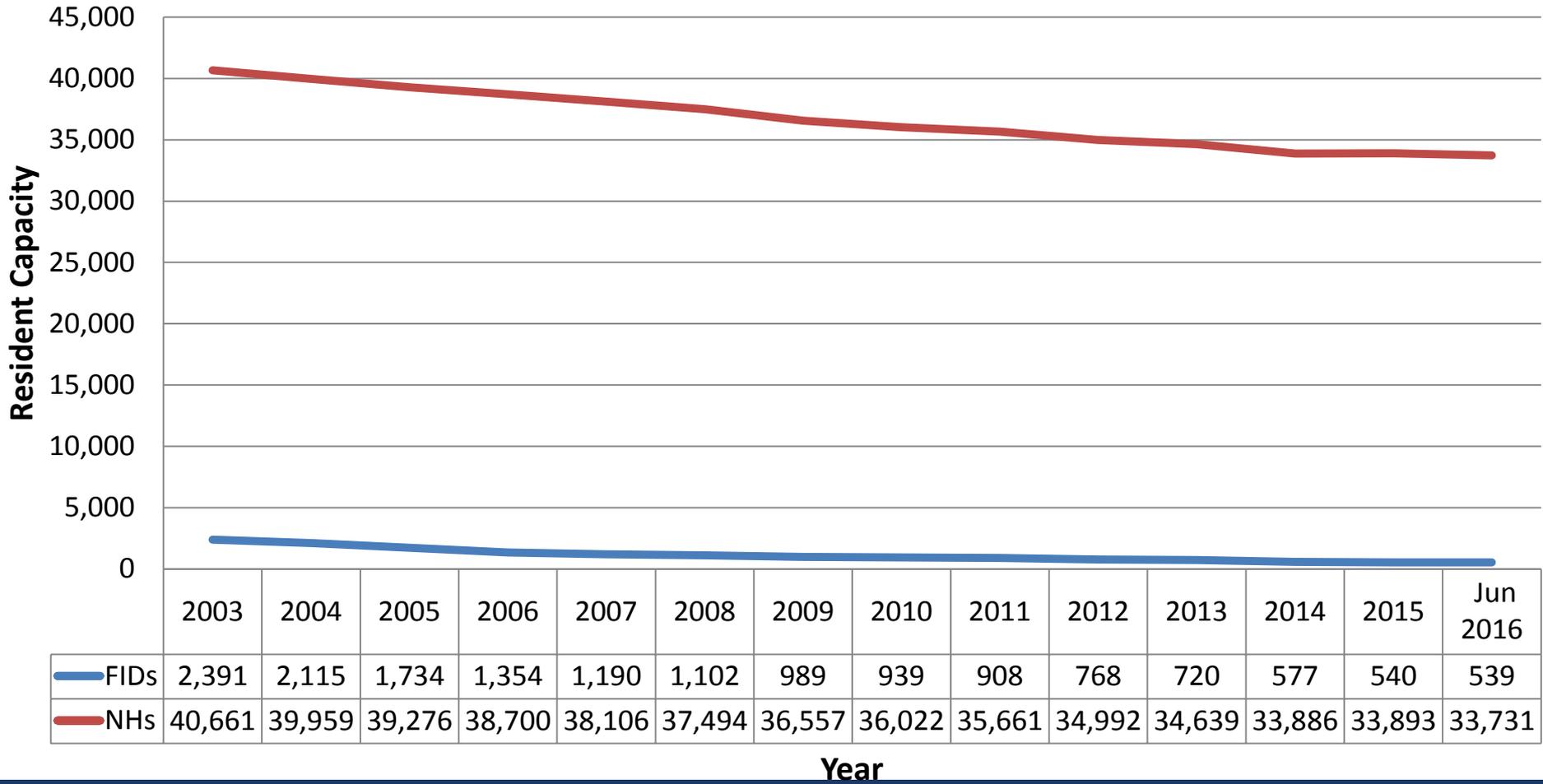
## Trend in Number of Facilities





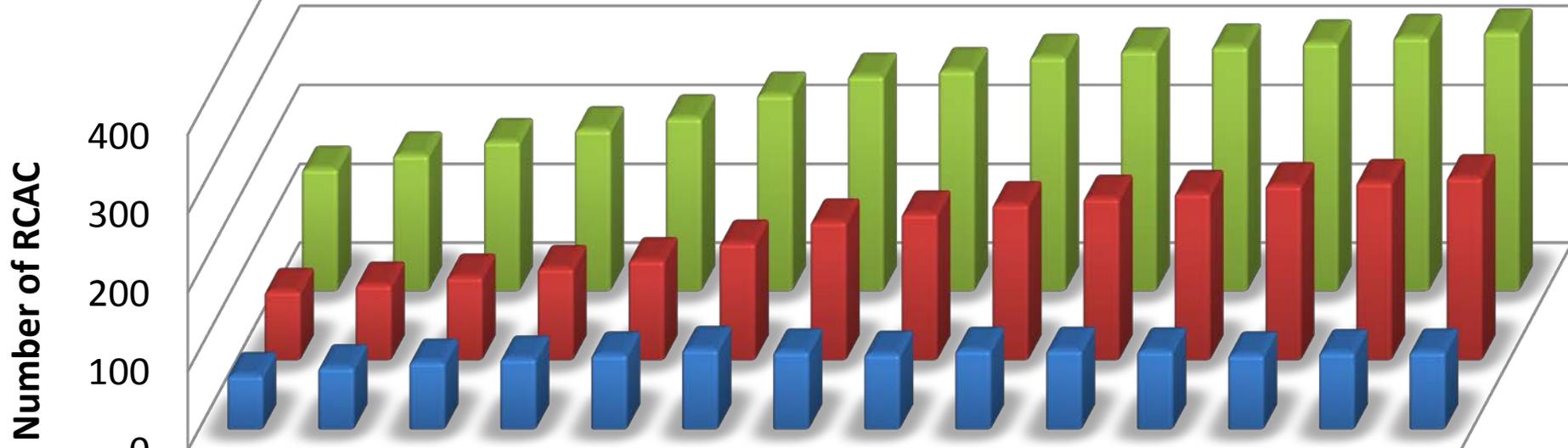
# Nursing Home and ICF/IID

## Trend in Capacity for Residents





# Residential Care Apartment Complex (RCAC)



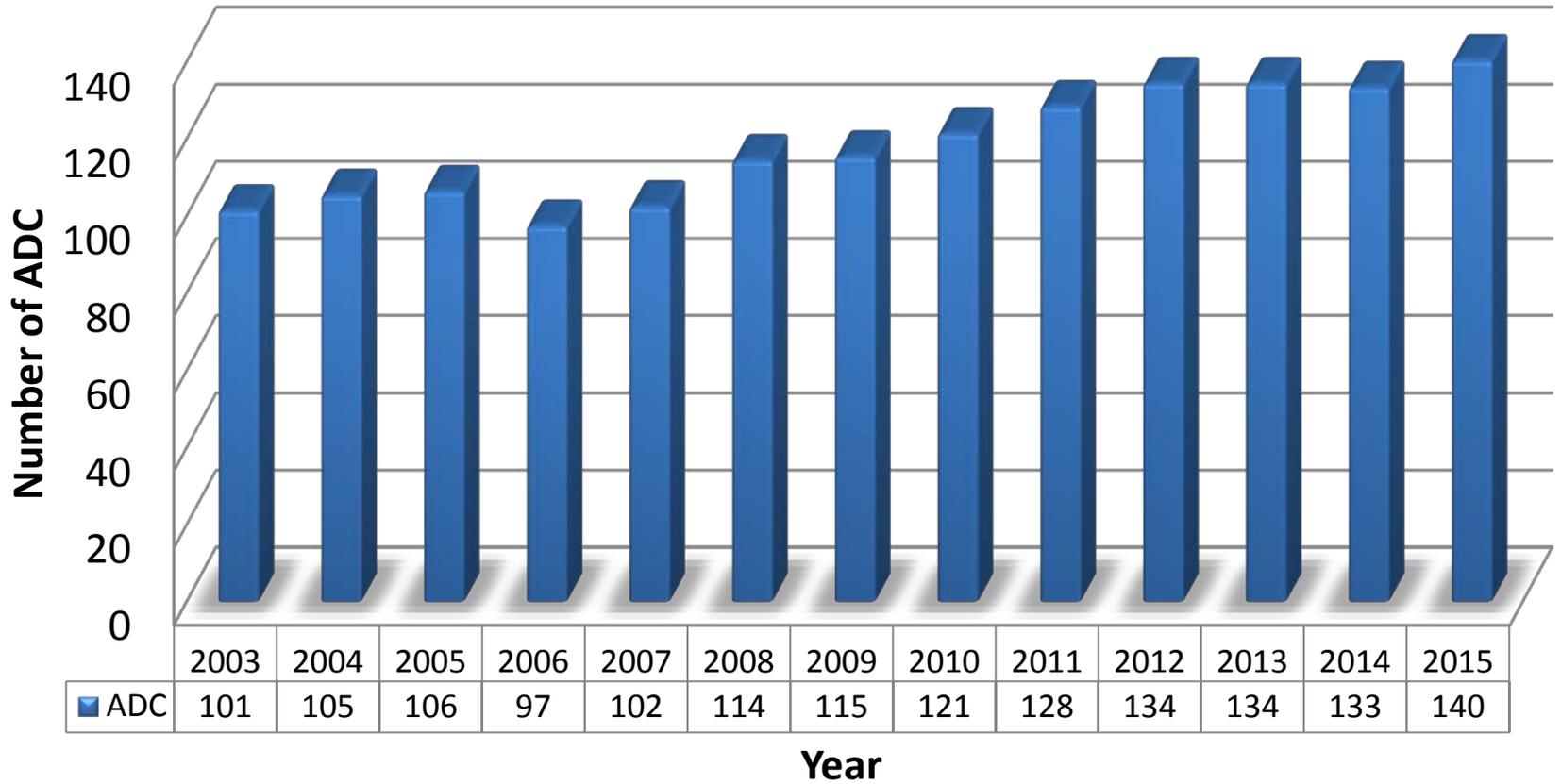
	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	Jun-16
Registered	67	77	84	88	93	100	97	94	99	99	98	93	96	97
Certified	86	94	104	115	125	147	174	184	196	204	210	220	224	230
Total	153	171	188	203	218	247	271	278	295	303	308	313	320	327

Year



# Adult Day Care (ADC) Centers

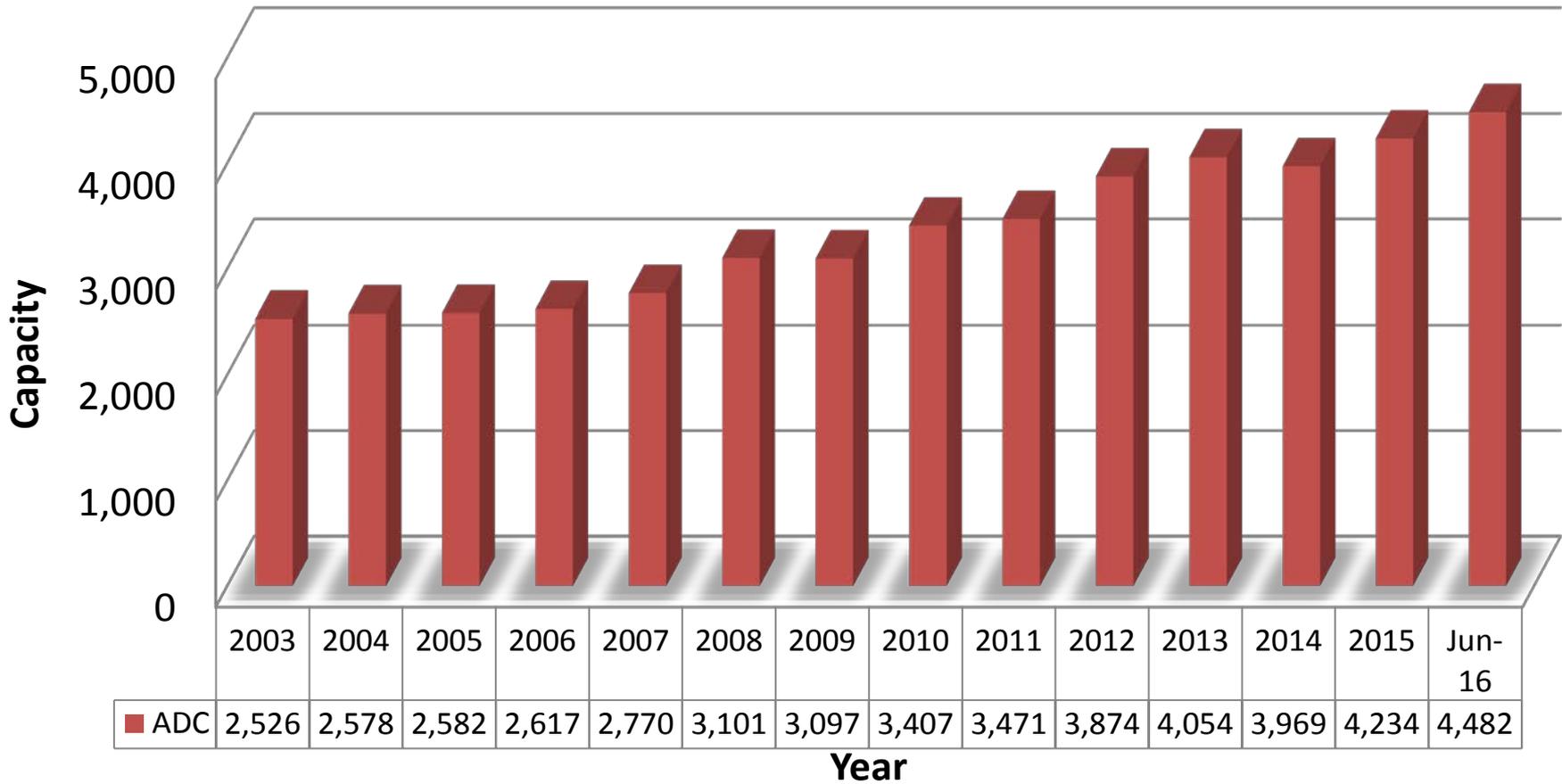
## Trend in Number of Centers





# Adult Day Care Centers

## Trend in the Capacity for Participants

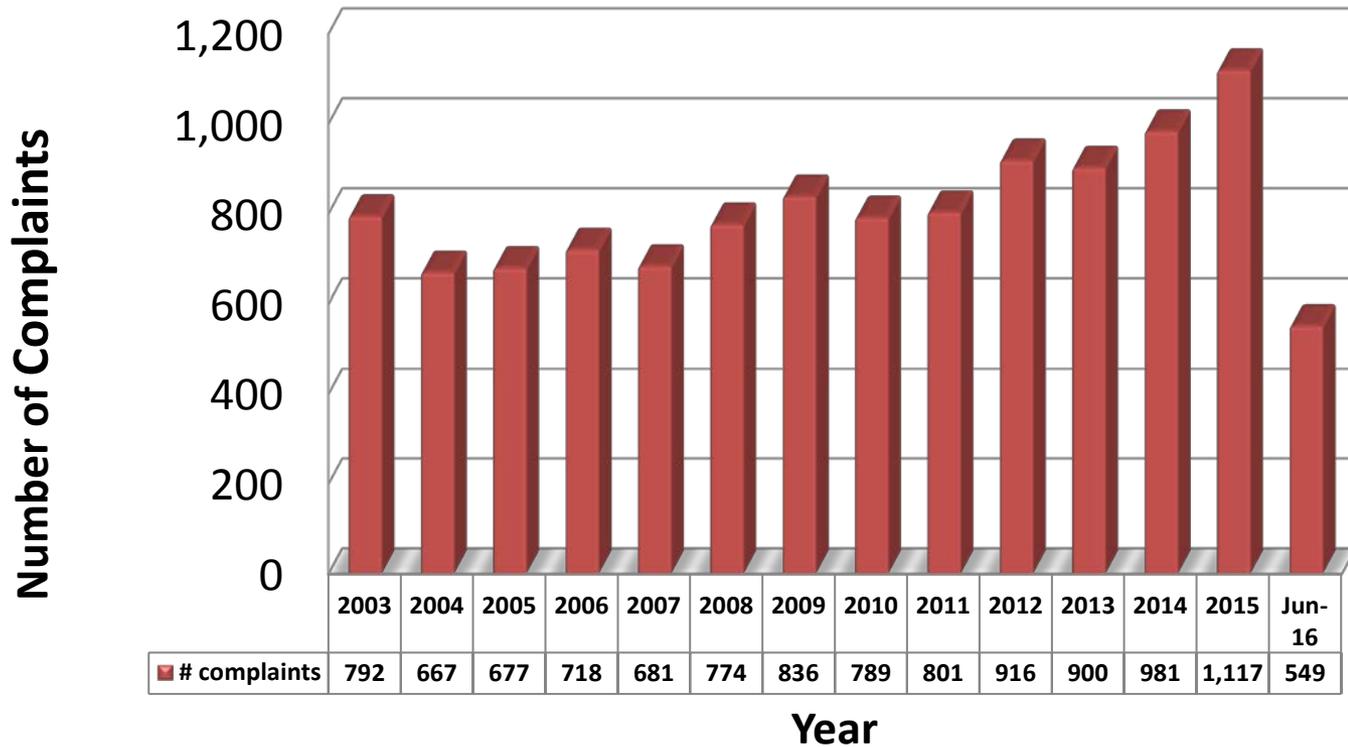




# **Assisted Living Complaints Mid Year 2016**



# Assisted Living Complaints Received

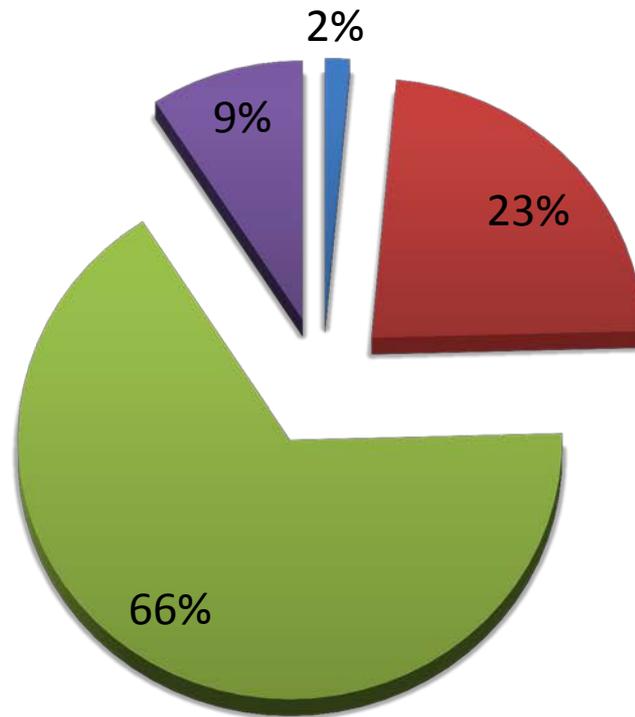




# Complaints Received Mid Year 2016

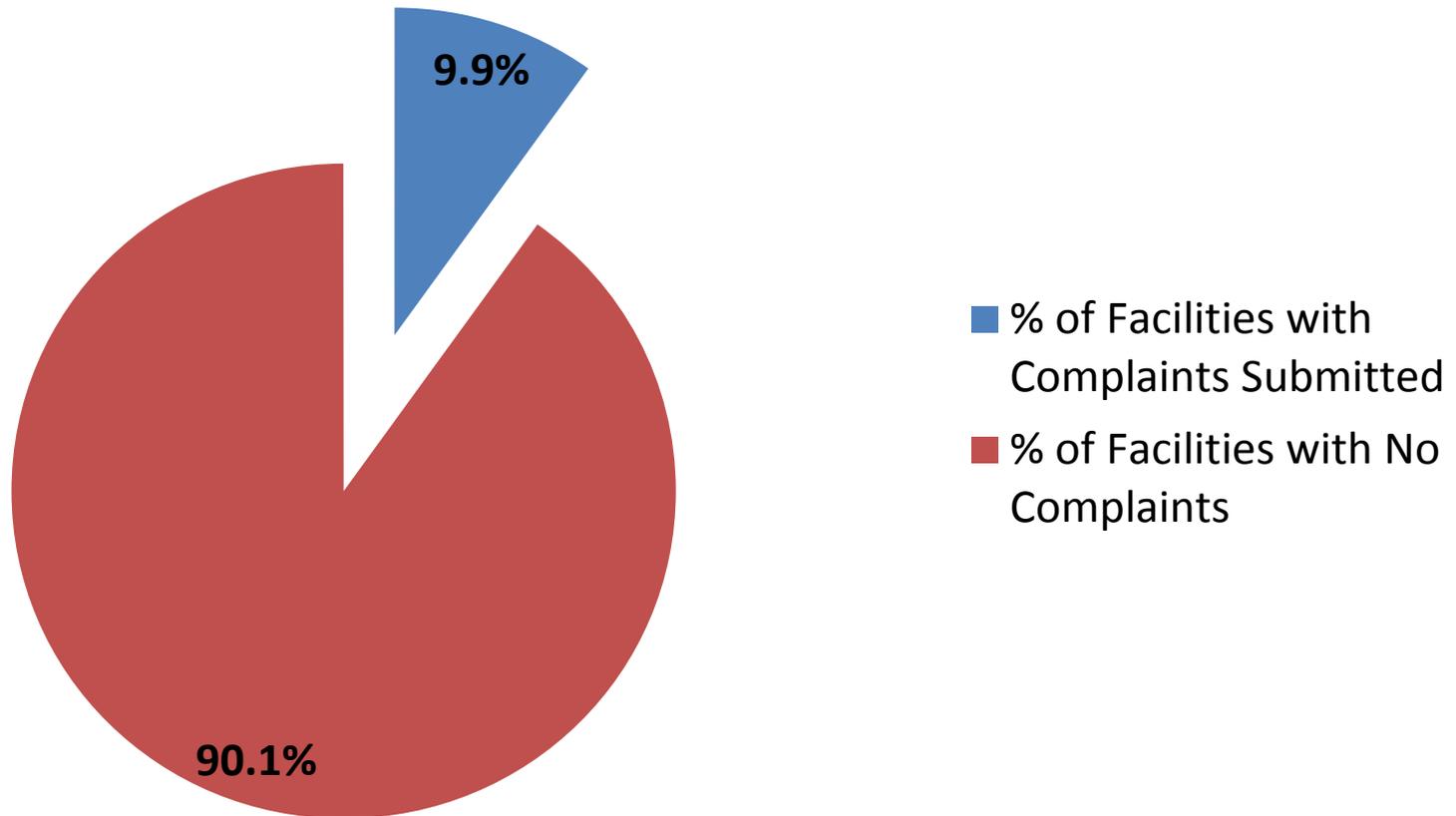
## Complaints

■ ADC ■ AFH ■ CBRF ■ RCAC



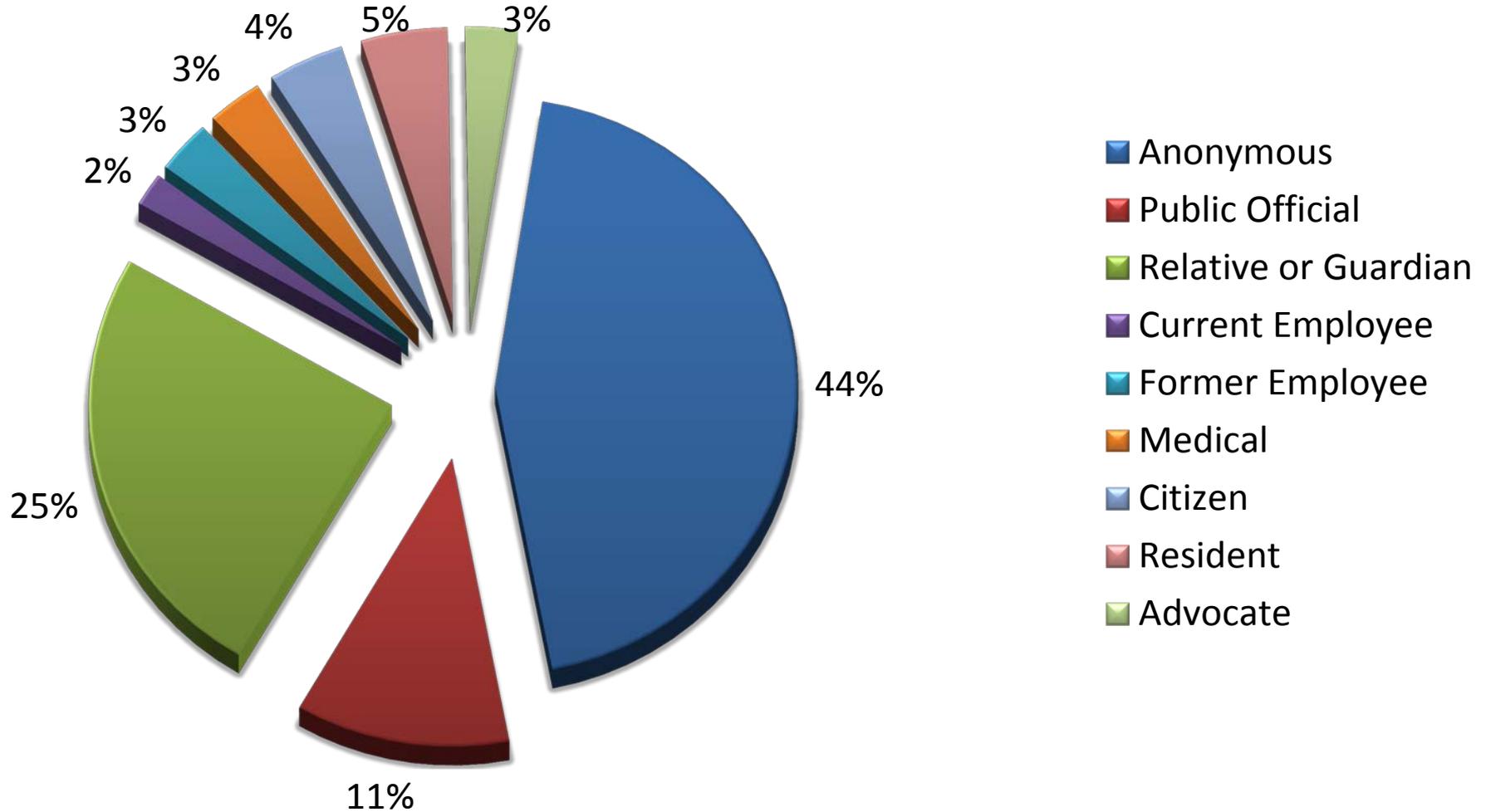


# Percentage of Facilities with Complaints Submitted





# Source of Complaint Mid Year 2016

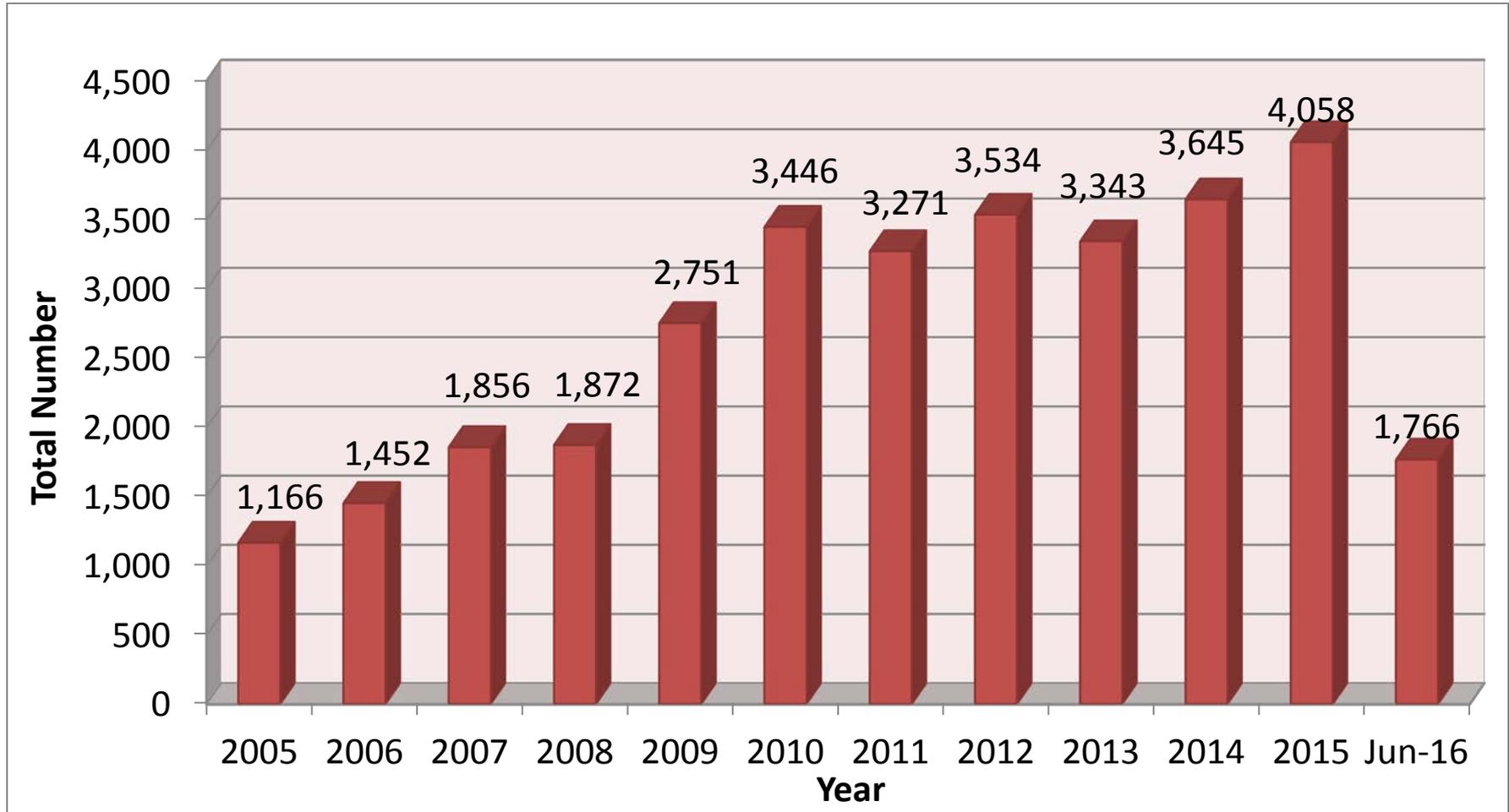




# **Assisted Living Self-Reports Mid Year 2016**



# Self-Reports Received

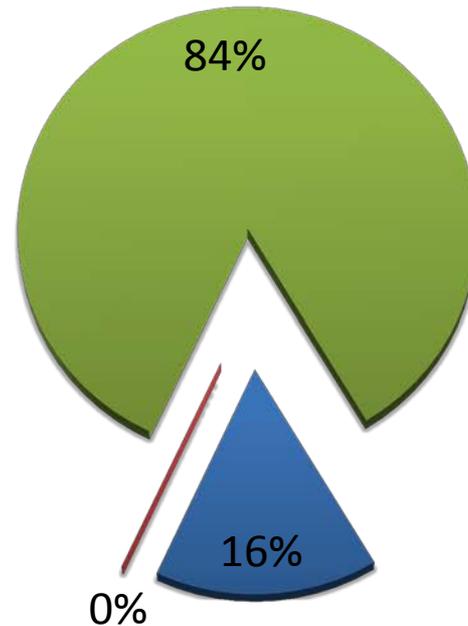




# Self-Reports Received Mid Year 2016 (1,766)

## Self-Reports

■ Open Investigation   ■ Review Next Visit   ■ File

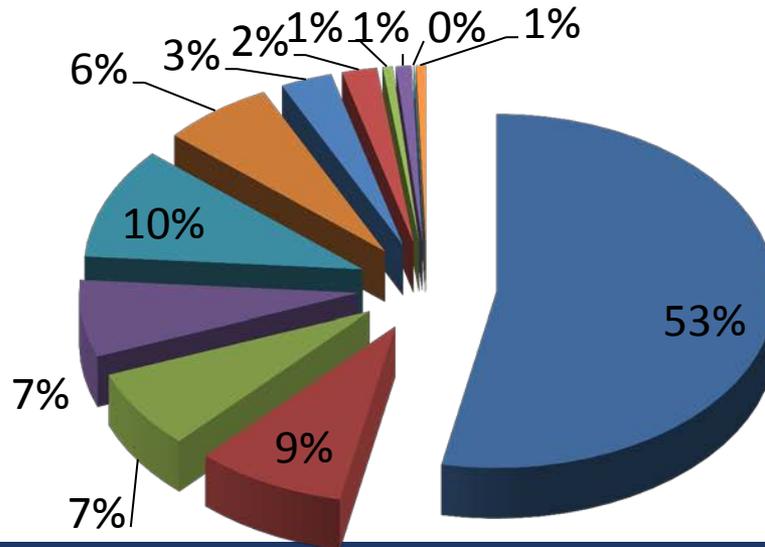




# Number of Self-Reports by Subject Area

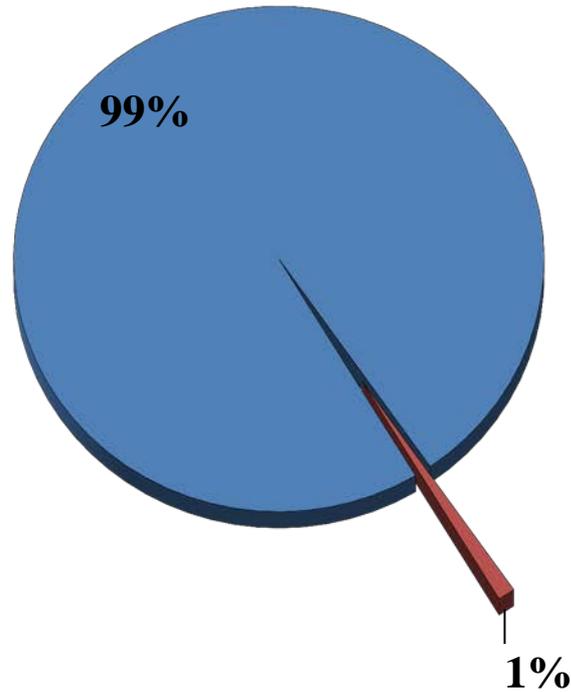
Mid Year 2016

- Falls
- Elopement
- Misappropriation
- Fire
- Resident Behavior
- Hospital (Not Fall)
- Abuse
- Communicable Disease
- Police
- Other
- Neglect
- Disaster or Evacuation





# Self-Reports Investigated Mid Year 2016 (475)



(SOD = Statement of Deficiency)



# Abbreviated Surveys Mid Year 2016

- No deficiency survey - 59%
- Statement of deficiency - 41%

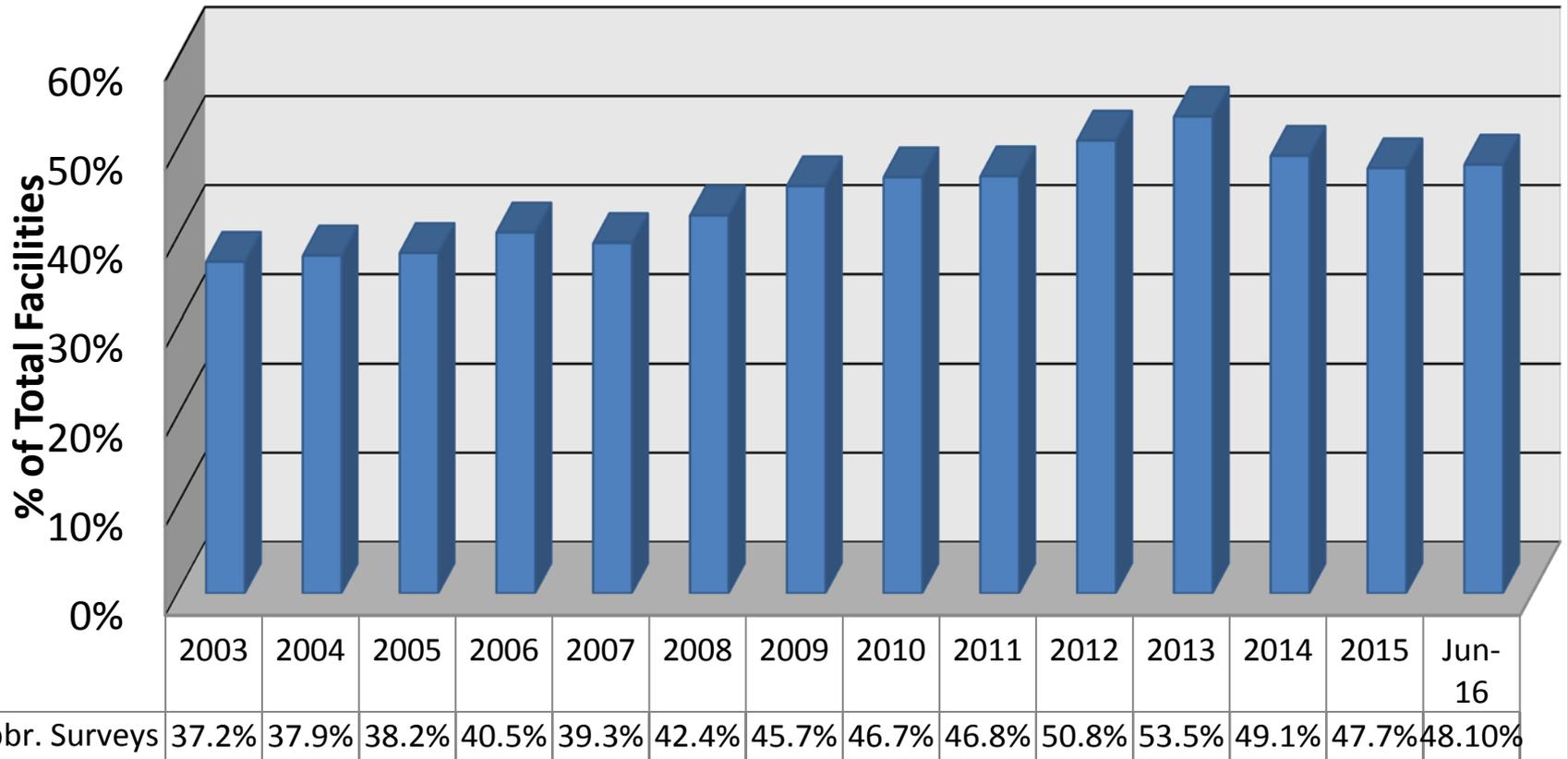


# Facilities Qualifying for Abbreviated Surveys Mid Year 2016

• Adult day care	68.1%
• Adult family home	47.7%
• Community-based residential facility	44.9%
• Residential care apartment complex	58.2%
• Statewide	48.1%



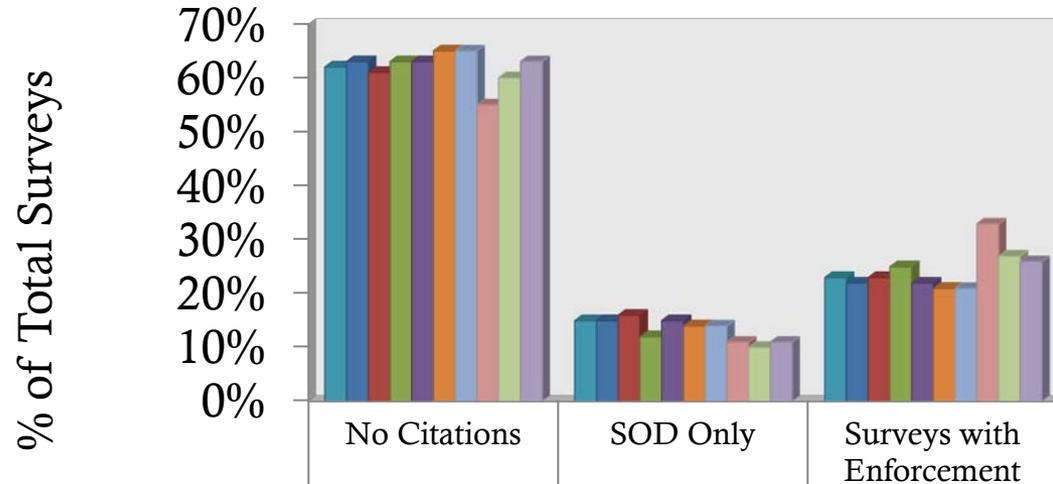
# Facilities Qualifying for an Abbreviated Survey



Year



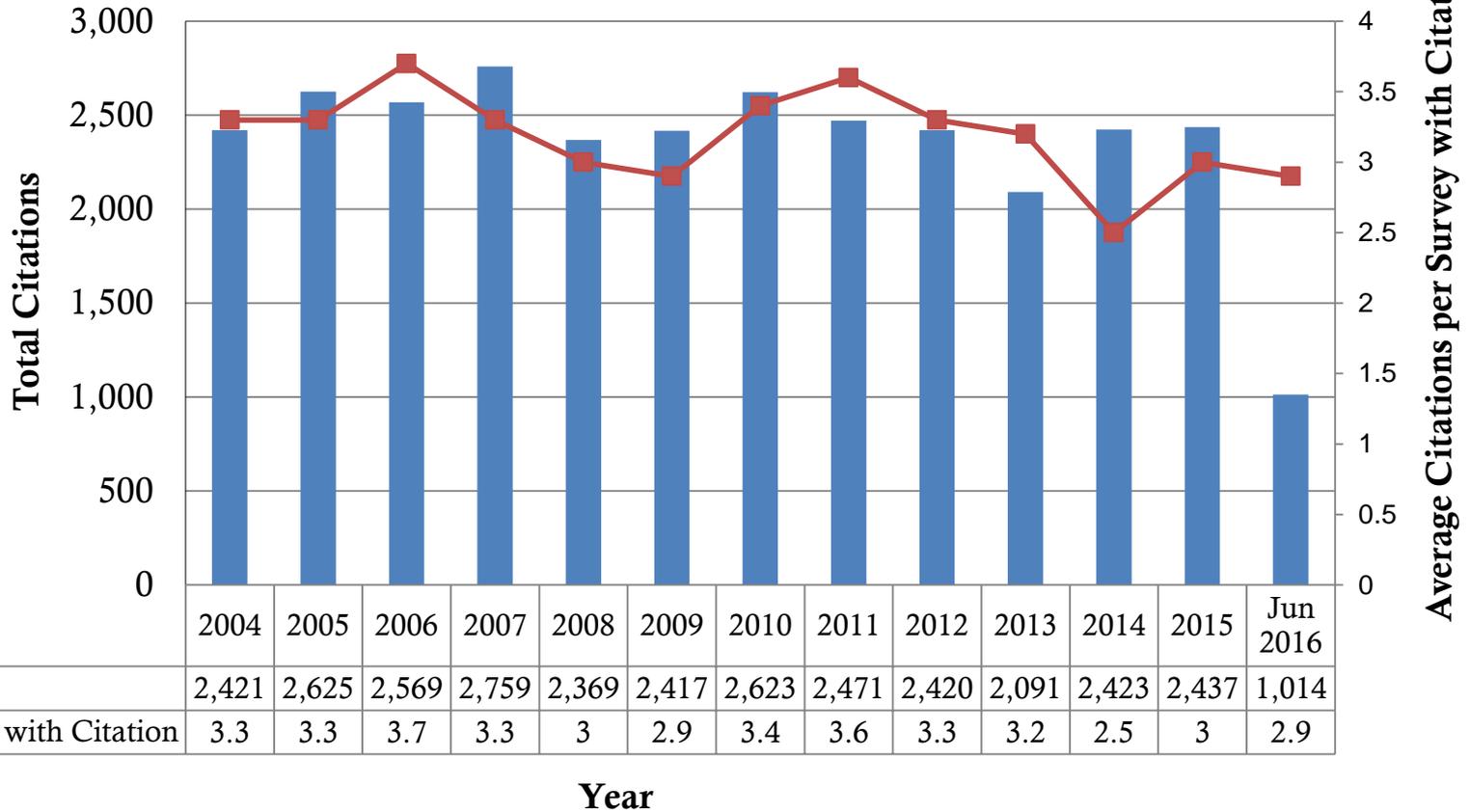
# Statewide Survey Results



	No Citations	SOD Only	Surveys with Enforcement
2007	62%	15%	23%
2008	63%	15%	22%
2009	61%	16%	23%
2010	63%	12%	25%
2011	63%	15%	22%
2012	65%	14%	21%
2013	65%	14%	21%
2014 excludes initial & CHOW	55%	11%	33%
2015	60%	10%	27%
Jun-16	63%	11%	26%

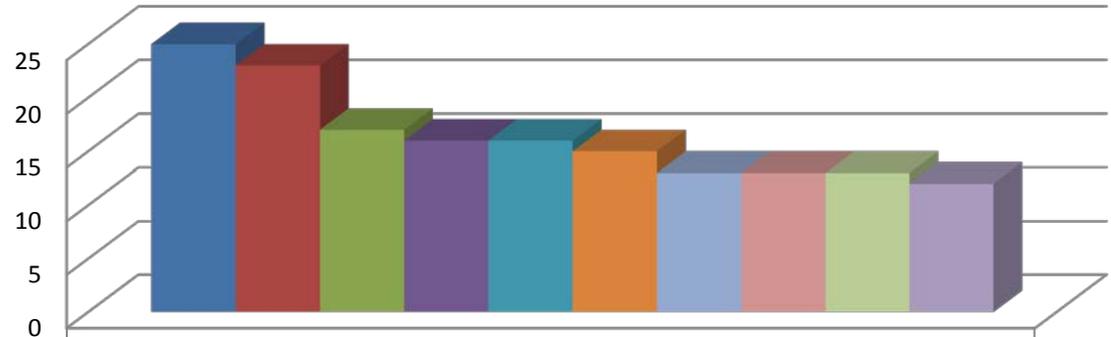


# Assisted Living Citations Issued





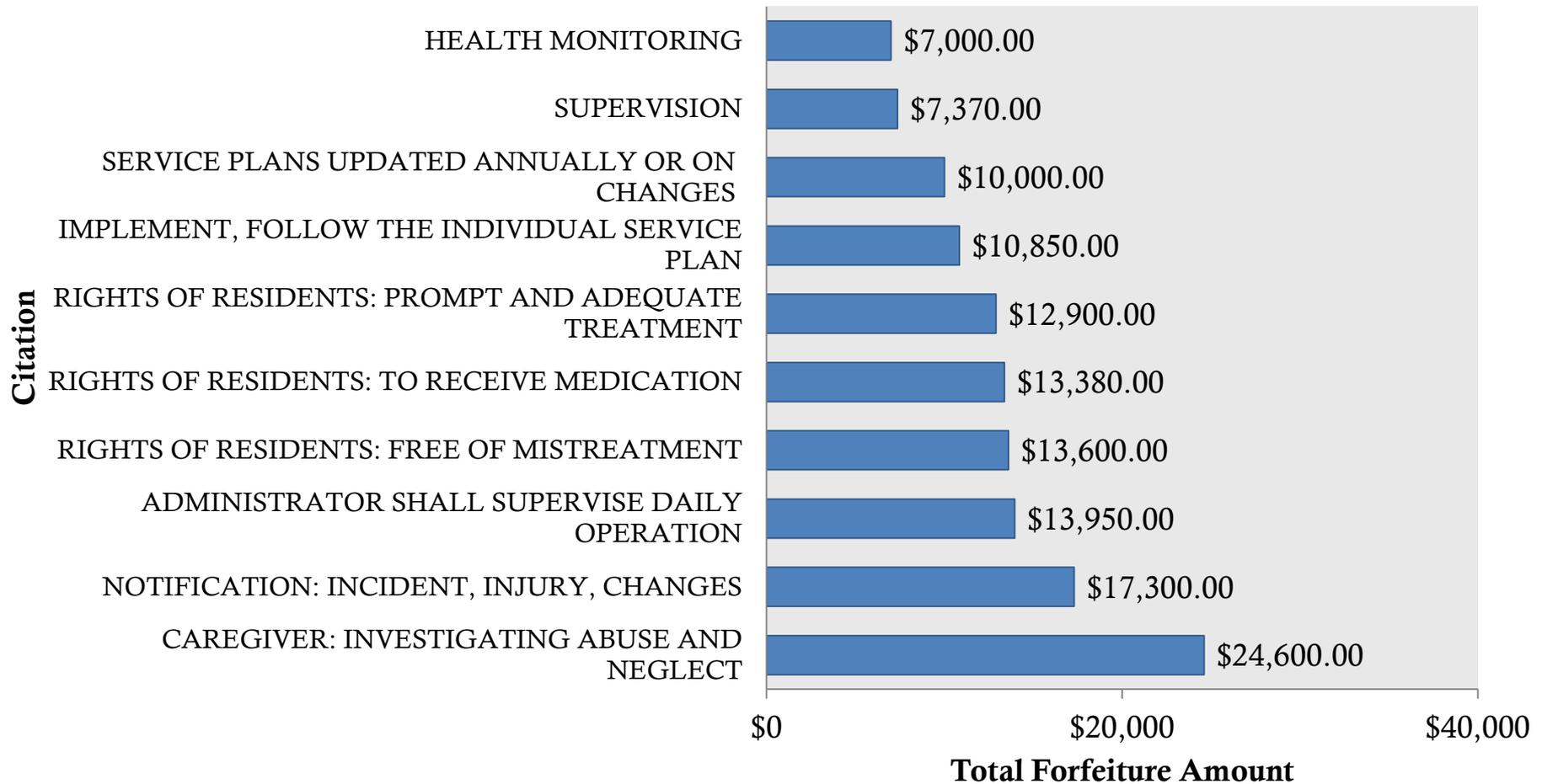
# CBRF Top Ten Citations June 2016



Citation	Number of Citations
83.35(3)d SERVICE PLANS UPDATED ANNUALLY OR ON CHANGES	25
83.47(2)e Other evacuation drills	23
83.12(5)a Notification: Incident, Injury, Changes	17
83.43(1) ENVIRONMENT SAFE, CLEAN, AND COMFORTABLE	16
83.20(2)c TRAINING IN FIRST AID AND CHOKING	16
83.32(3)h Rights of Residents: to Receive medication	15
83.15(3)a Adminrator shall supervise daily operation	13
83.20(2)b Training in Fire Safety	13
83.38(1)g Health Monitoring	13
83.32(3)i Rights of Residents: prompt and adequate treatment	12

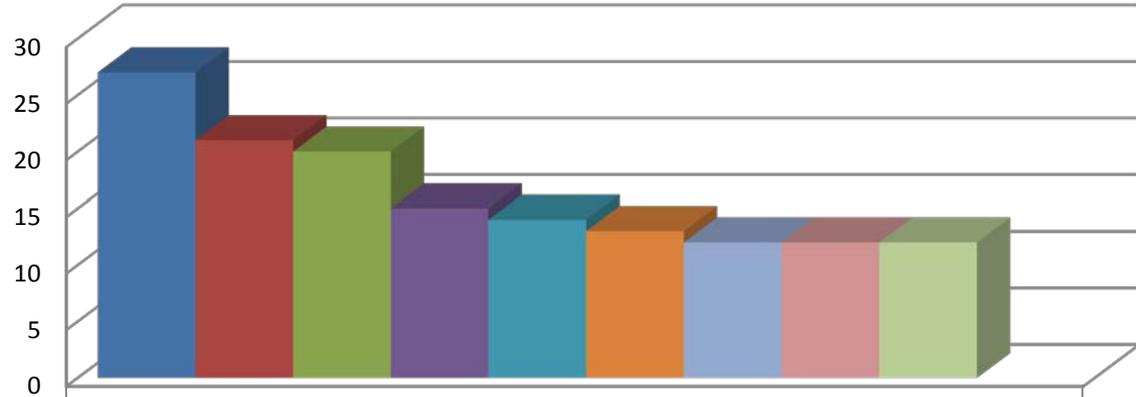


# Top Ten Cites With Forfeiture CBRF Mid Year 2016





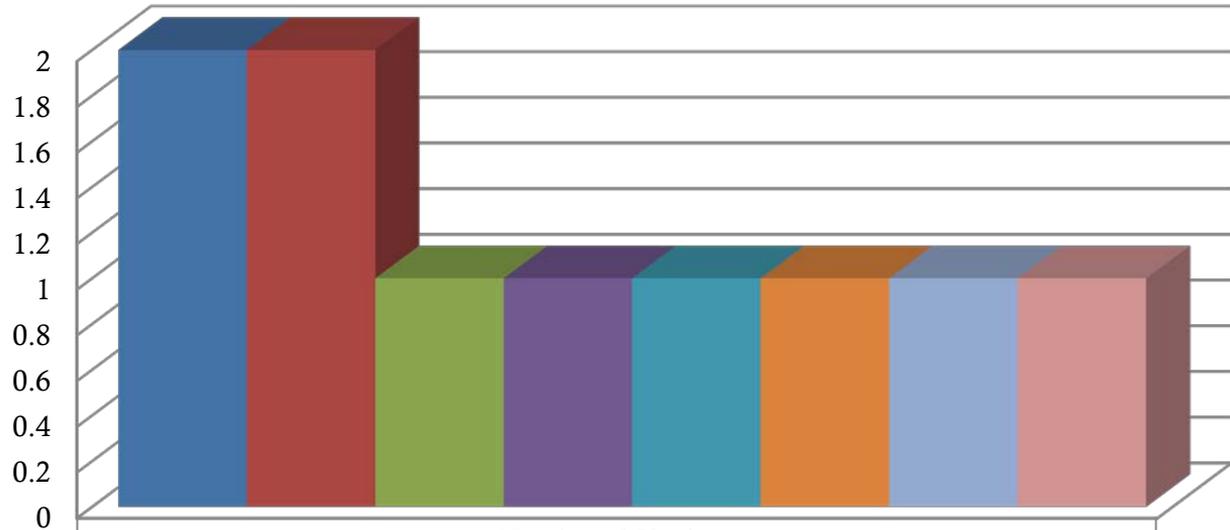
# AFH Top Ten Citations Mid Year 2016



Citation	Number of Citations
88.05(3)a HOME ENVIRONMENT	27
88.05(4)(d)2.b FIRE EVACUATION ANNUAL EVALUATION	21
88.07(3)a Prescription Medications	20
88.04(2)a Responsibilities	15
88.05(4)(b)2 SMOKE DETECTORS-TESTING AND MAINTENANCE	14
88.07(3)€1 Medication-Record Keeping	13
88.04(5) Training-15 Hours within 6 months	12
88.05(4)(b)1 Fire Safety-Smoke Detectors	12
88.10(3)i SAFE PHYSICAL ENVIRONMENT	12
88.10(3)i SAFE PHYSICAL ENVIRONMENT	12



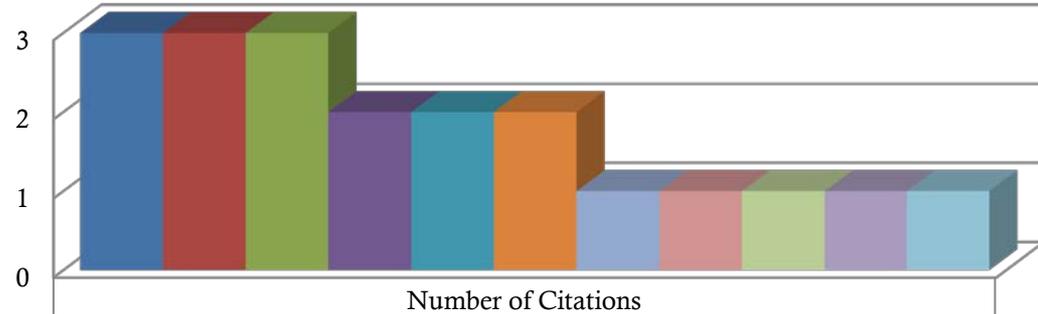
# RCAC Top Ten Citations Mid Year 2016



Citation	Number of Citations
89.23(4)(a)2 SERVICES	2
89.28(1) RISK AGREEMENT	2
89.28(5) RISK AGREEMENT	1
89.34(16) TENANT RIGHTS	1
89.26(3)(a) PARTICIPATION IN THE ASSESSMENT	1
89.27(3)(d) SERVICE AGREEMENT	1
89.27(4) SERVICE AGREEMENT	1
89.23(2)(a)2.c SERVICES	1



# ADC Top Ten Citations Mid Year 2016



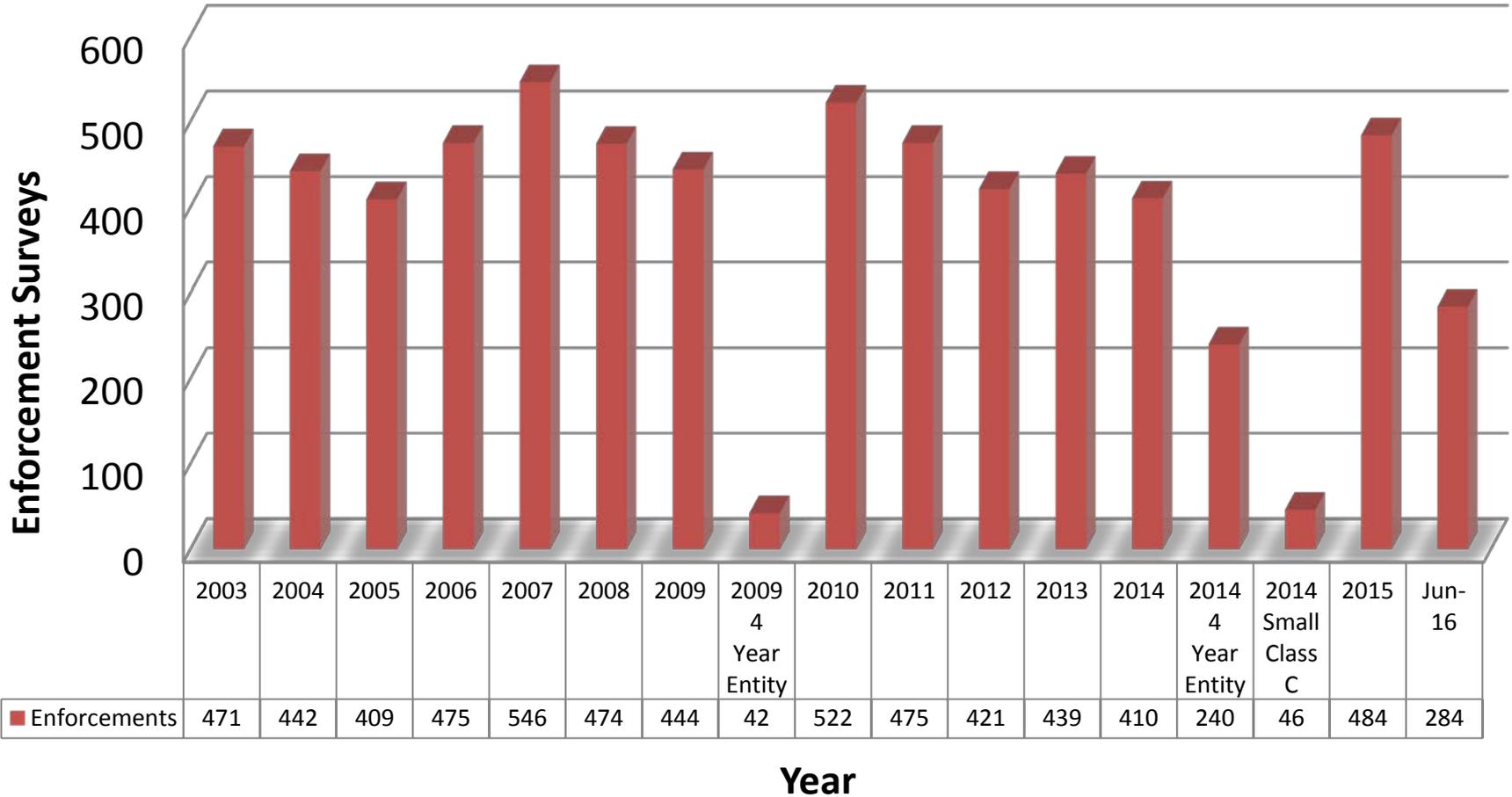
Citation	Number of Citations
■ II.a.(4) PERSONNEL-HEALTH EXAMINATION	3
■ III.b.(5) SAFETY-EMERGENCIES PLAN	3
■ II.d.(2) TRAINING-ORIENTATION.	3
■ II.d.(3) TRAINING-EMPLOYEES	2
■ I.f.(3)(c) MEDICATION-LOCKED SAFE PLACE	2
■ II.a.(2) PERSONNEL-BACKGROUND VERIFICATION	2
■ III.a.(6) SANITATION-MANUAL WASHING	1
■ I.c.(4) PLAN-QUARTERLY DOCUMENTING	1
■ I.c.(3) PLAN-REVIEWED & UPDATED EVERY 6 MONTHS	1
■ I.a.(1) PROGRAM ADMINISTRATION-DESCRIPTION	1
■ III.b.(4) SAFETY-DRINKING WATER	1



# **Assisted Living Enforcement Mid Year 2016**

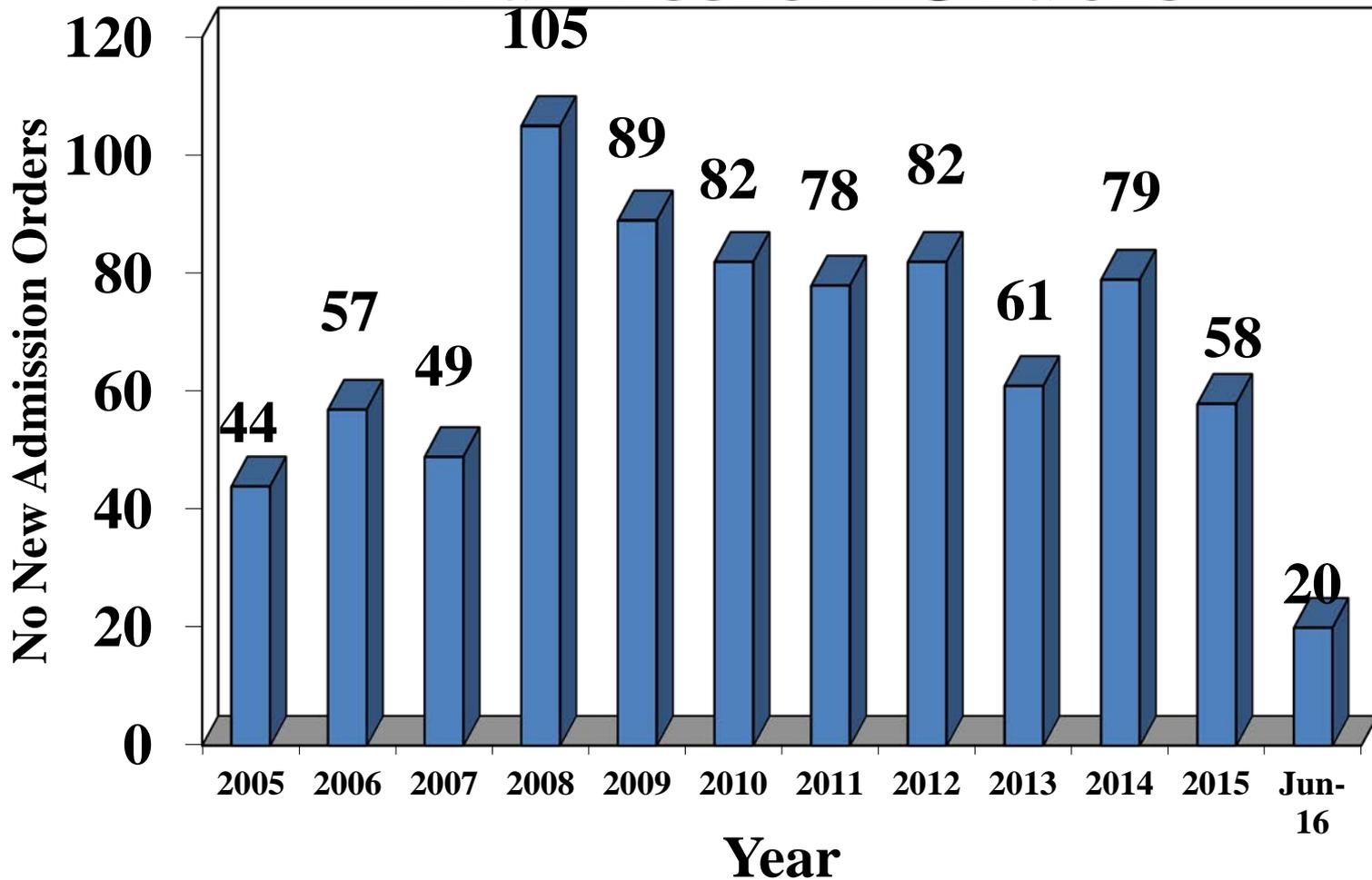


# AL Surveys With Enforcement



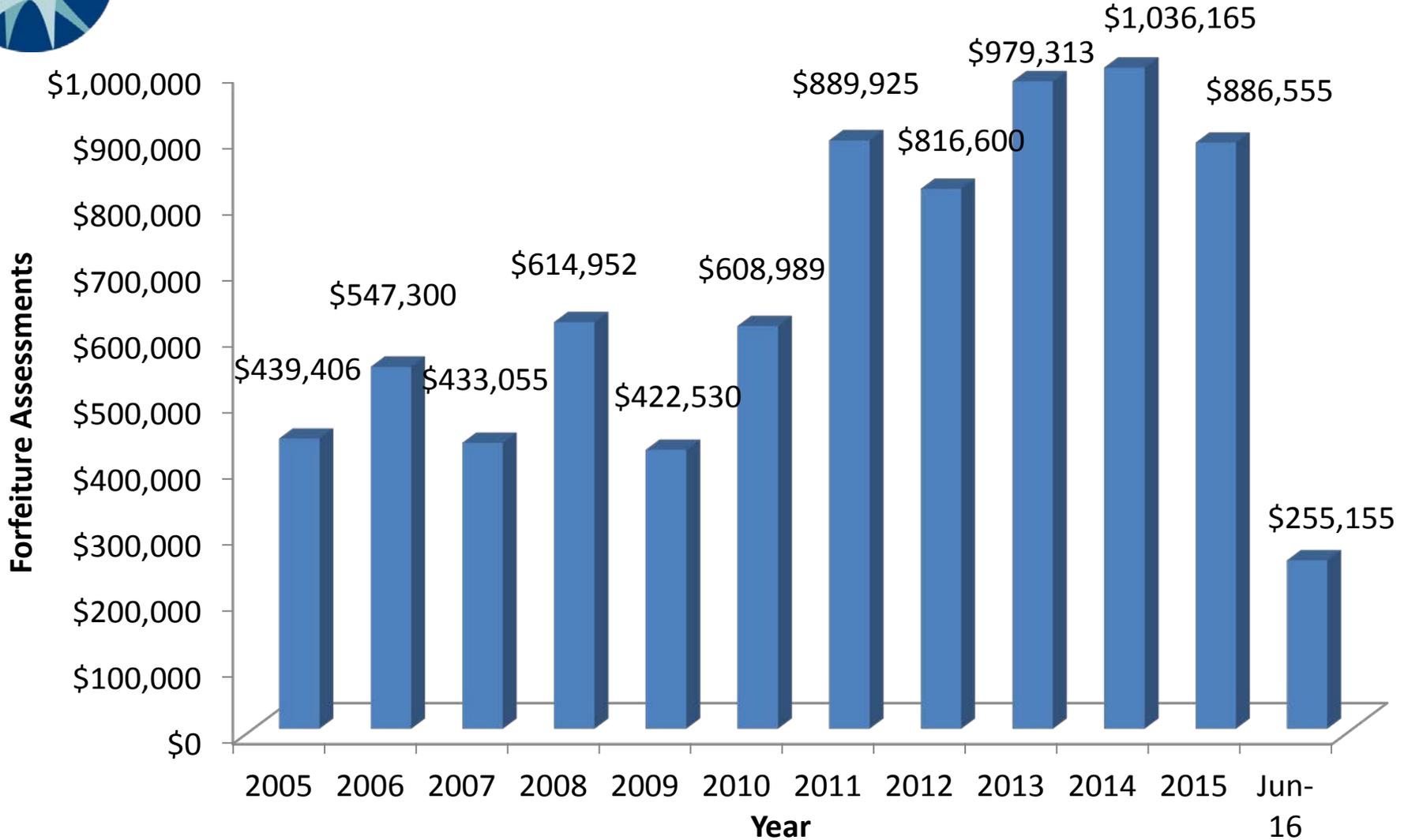


# Assisted Living No New Admission Orders



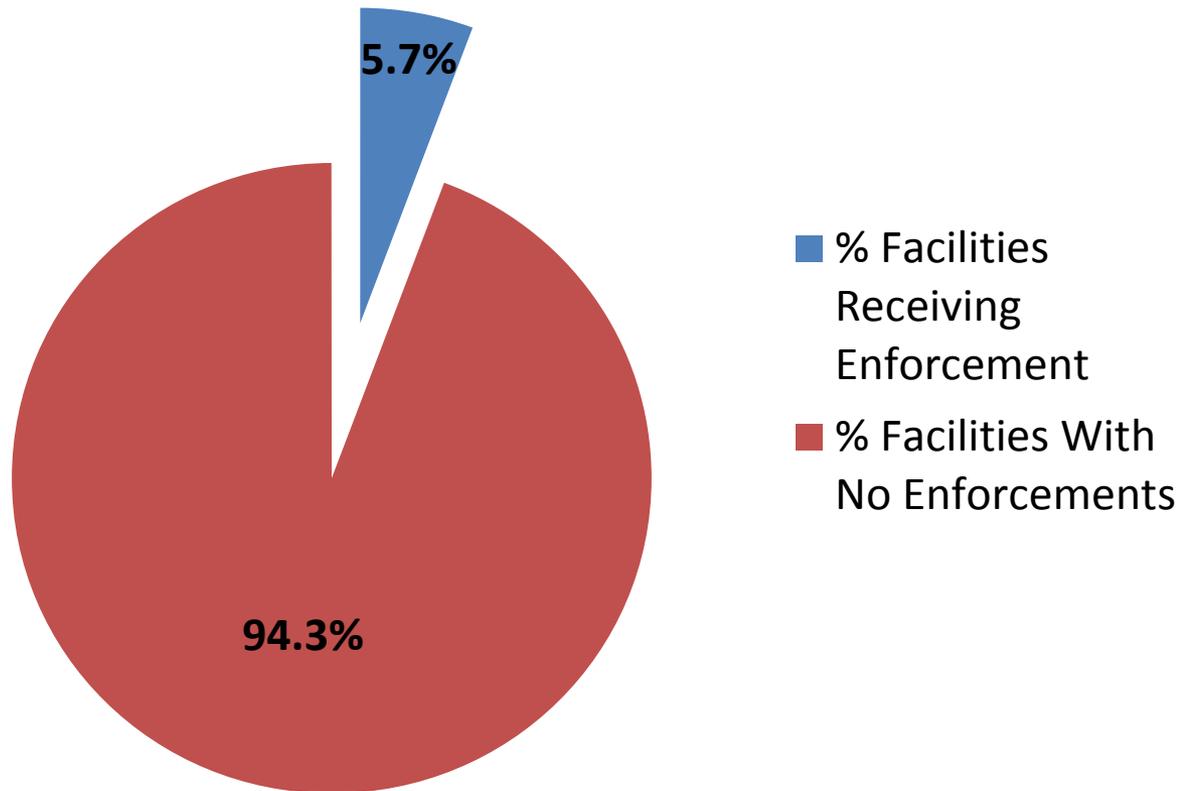


# Forfeiture Assessments



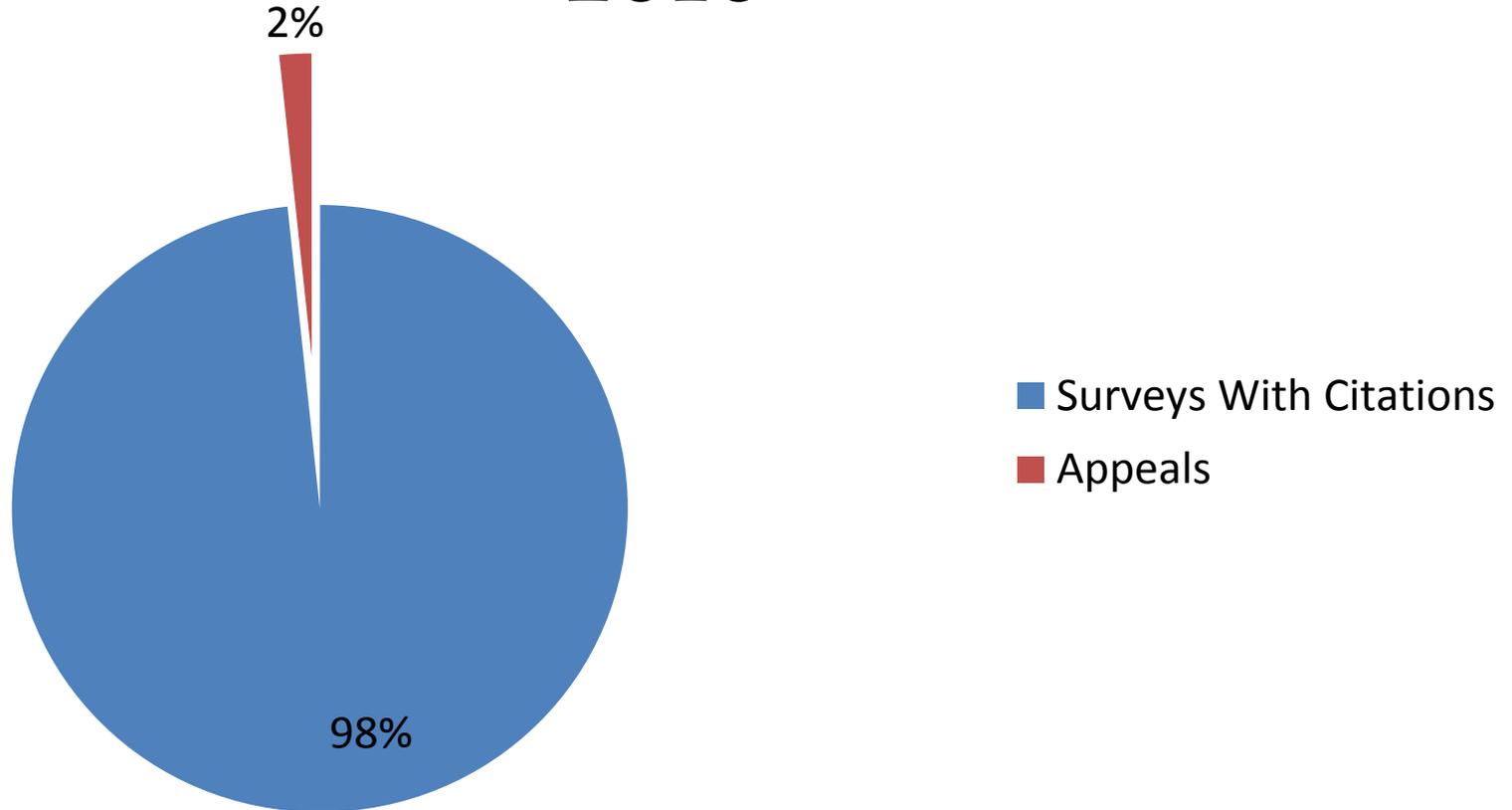


# Percentage of Facilities Receiving Enforcements Mid Year 2016





# Assisted Living Surveys with Citations with Appeals Mid Year 2016





# **Bureau of Assisted Living Strategies**



# 2016-2017 BAL Initiatives

- Completion of LEAN Application Project
  - Abbreviated initial licensing process
  - Templates
  - BAL staffing
  - Revision letters/2x
  - Website redesign
- E-Licensure/E-Payment System
  - License renewal
  - Initial licensing/certification



# 2016-2017 BAL Initiatives

- Evaluation of the Assisted Living Survey Enforcement system
- Transitions in Care Coordination Workgroup
- Home & Community Based Services (HCBS) validation reviews
- Strategies to enhance resident care publication(s)
- Concentrated Survey Activities
- Supporting Older Adults with Intellectual Disabilities (ID) online training course
  - <http://continuingstudies.wisc.edu/classes/supporting-older-people-intellectual-disabilities>



# **Wisconsin Coalition for Collaborative Excellence in Assisted Living (WCCEAL)**



# Wisconsin Coalition for Collaborative Excellence in Assisted Living

- Provider association sponsored
- Department approved
- Comprehensive quality assurance (QA) and quality improvement (QI)



# Internal Quality Assurance

- Essential to maintain quality!
- Structure, process, and outcome measures used to evaluate quality



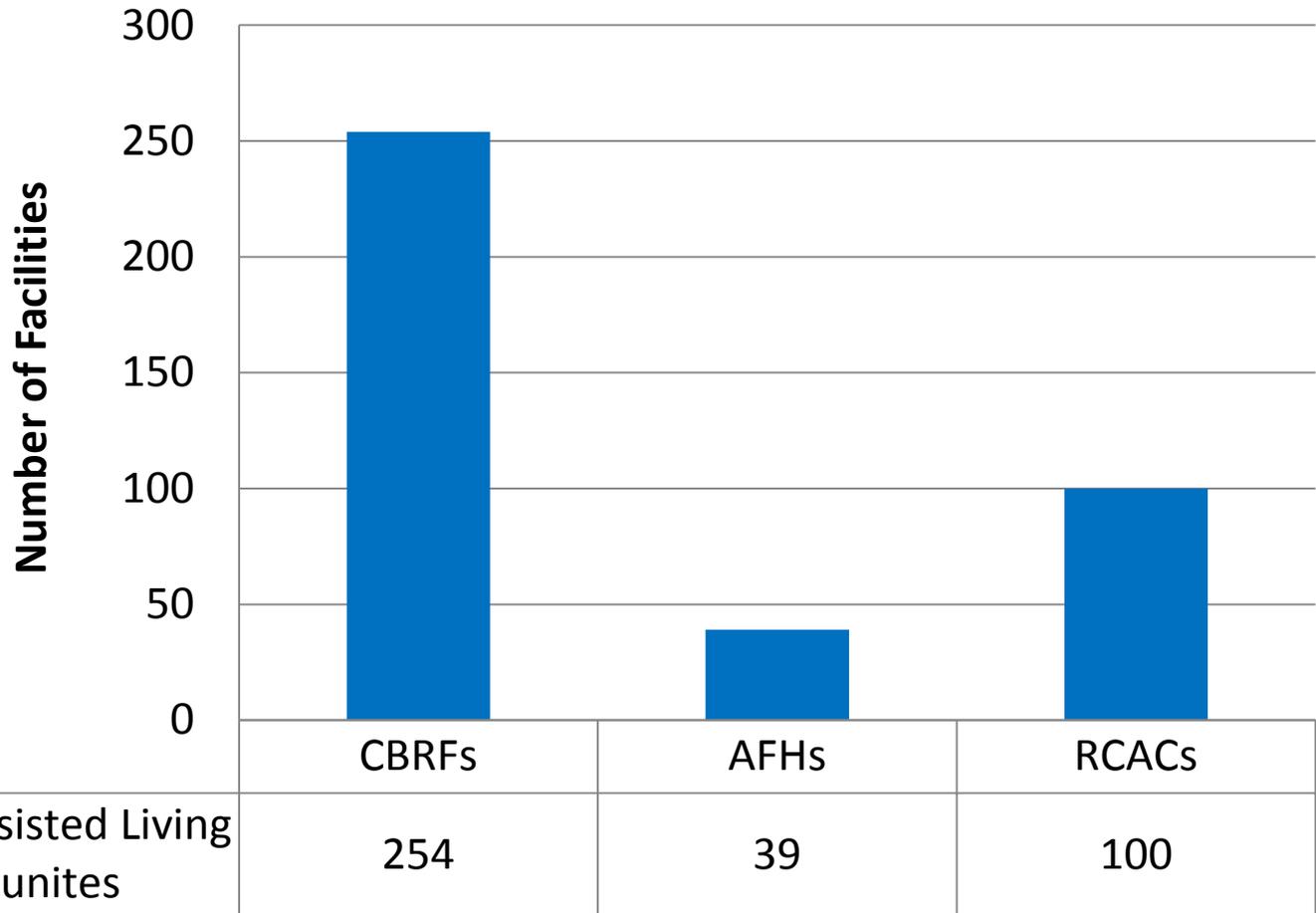


# WCCEAL Regulatory Data Mid Year 2016





# WCCEAL Regulated Facilities Mid Year 2016

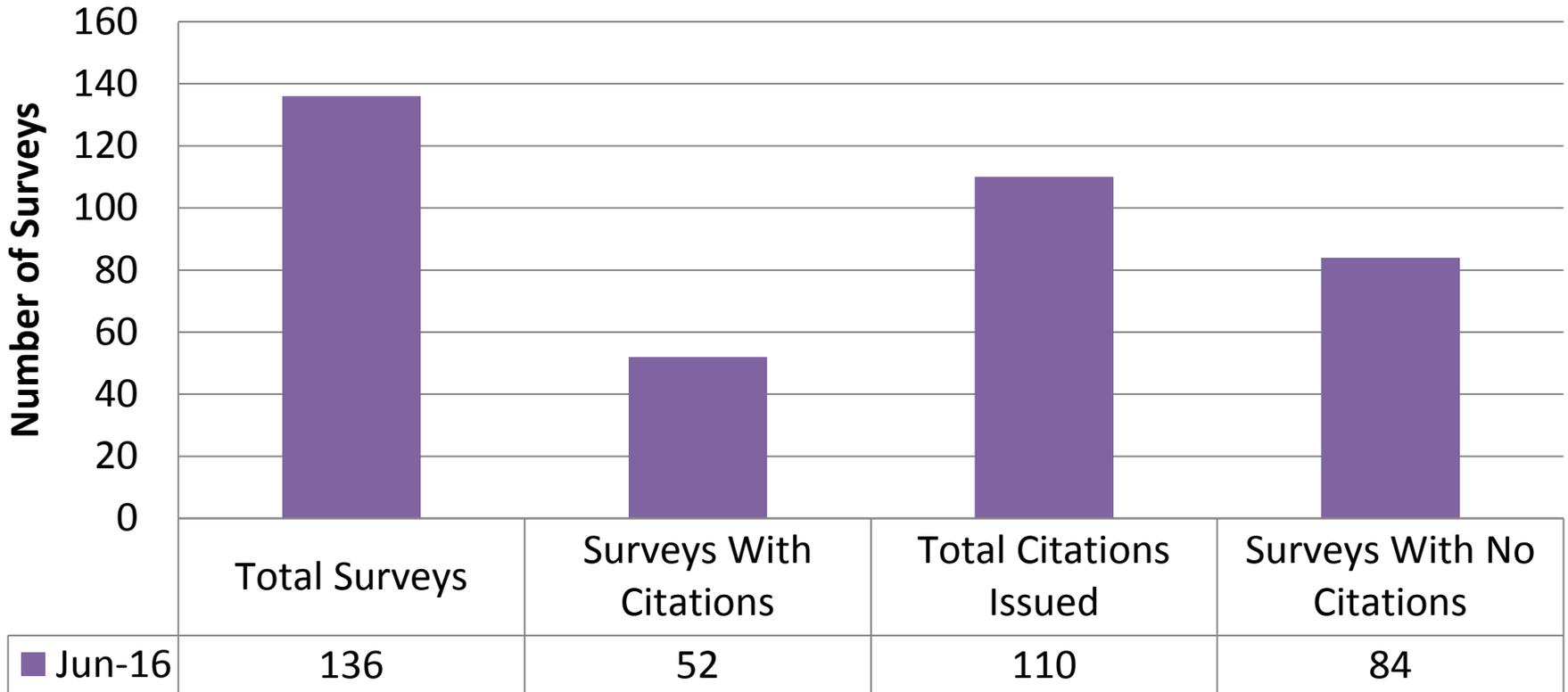


■ WCCEAL Assisted Living  
Communities



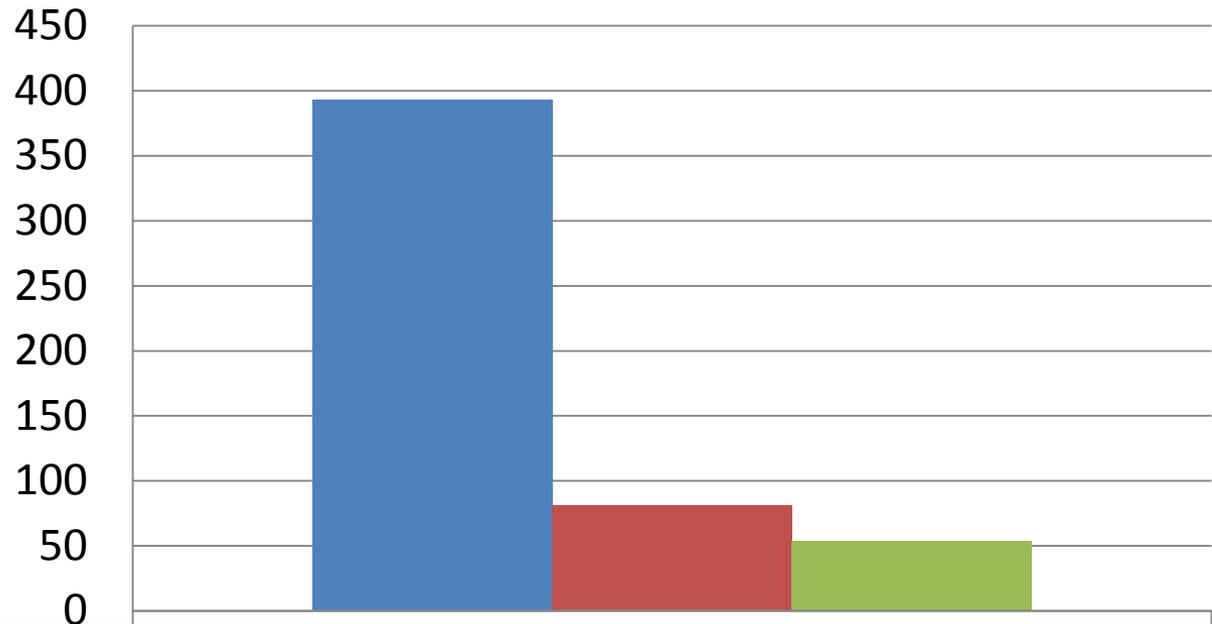
# WCCEAL Regulated Facilities Surveys Conducted

Mid Year 2016





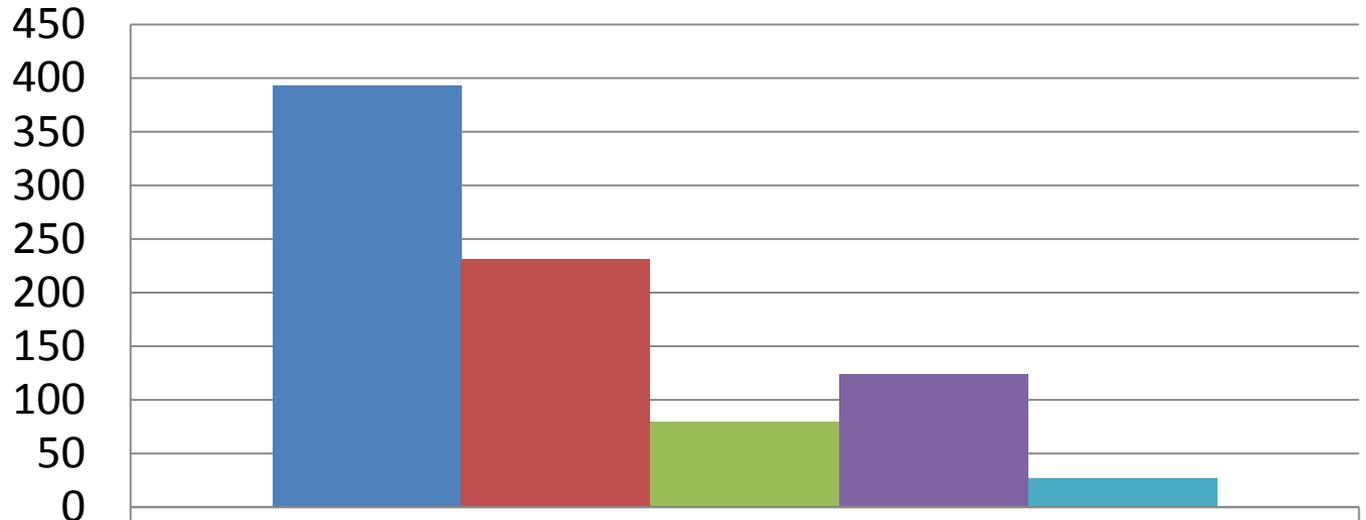
# WCCEAL Members Complaints Mid Year 2016



Total Facilities	393
Total Complaints	81
Facilities With Complaints	54



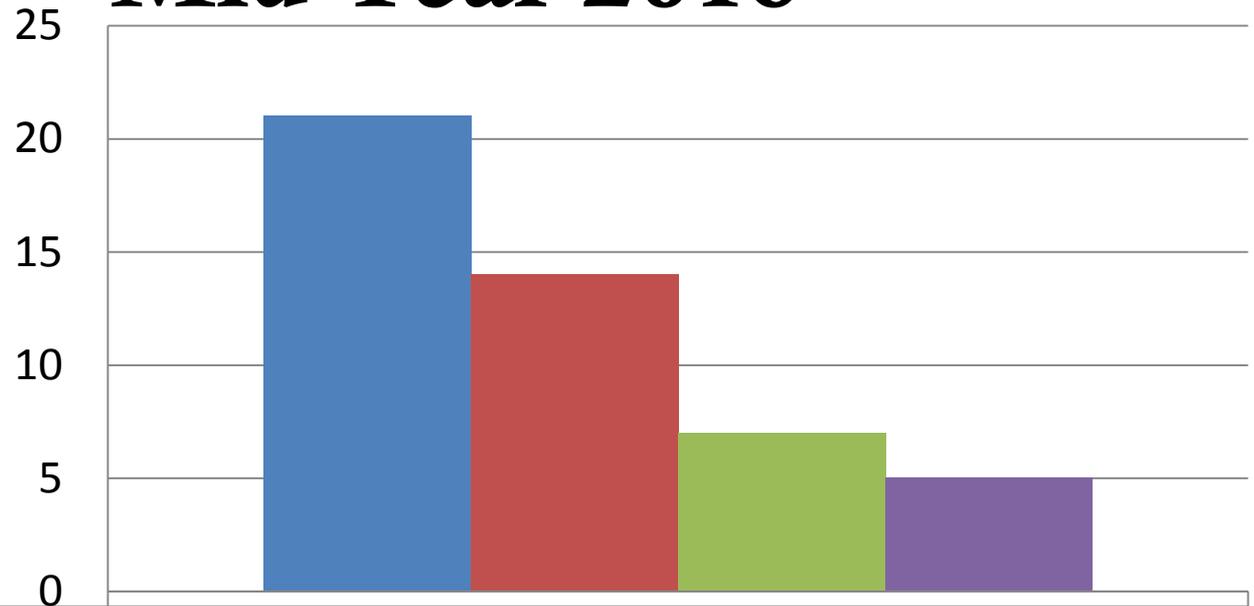
# WCCEAL Regulated Facilities Qualifying for Abbreviated Surveys Mid Year 2016



■ Total Number of Facilities	393
■ Qualifying Facilities	231
■ RCAC	80
■ CBRF	124
■ AFH	27



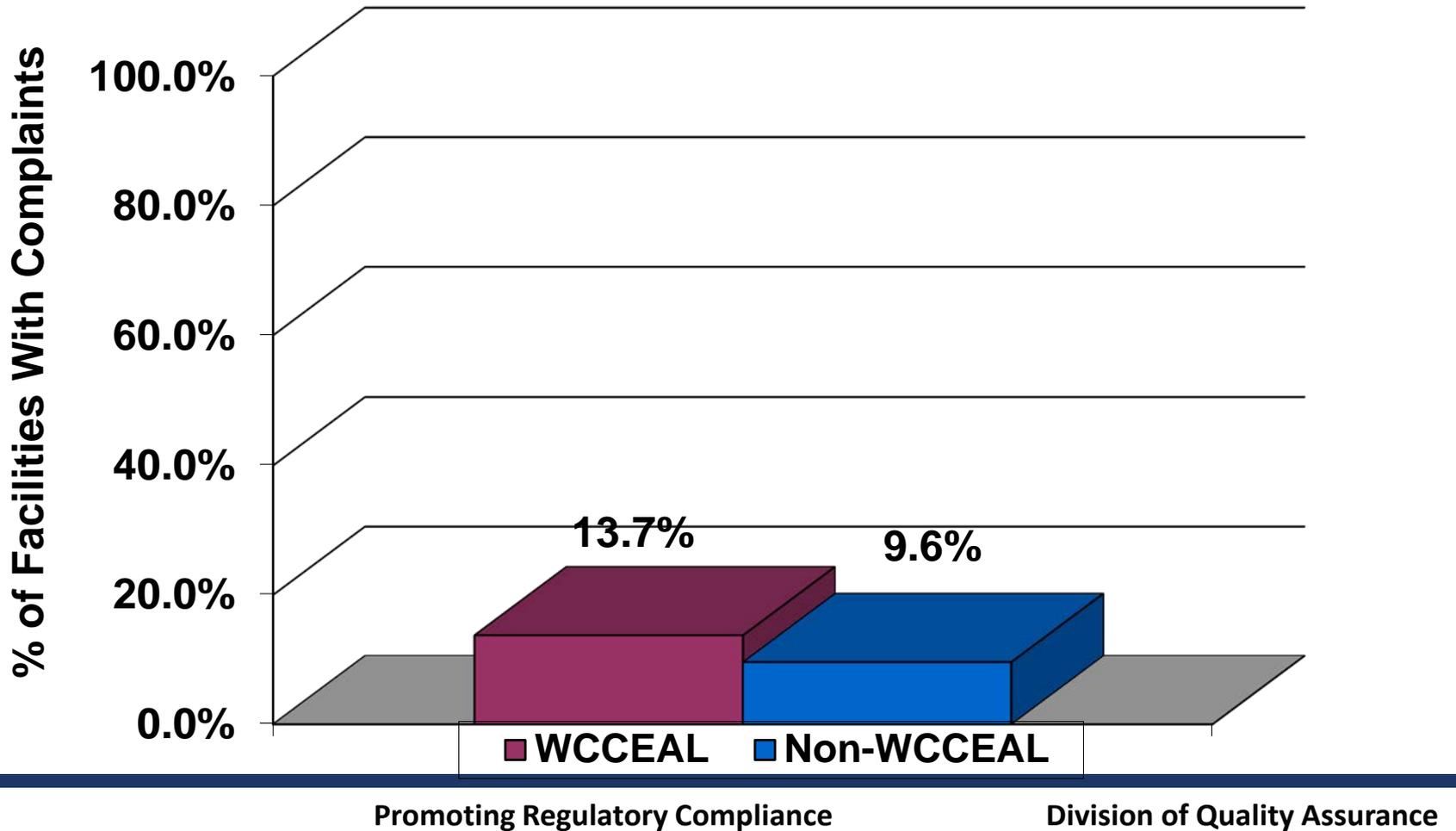
# WCCEAL Regulated Facilities Abbreviated Survey Results Mid Year 2016



■ Total Abbreviated Surveys	21
■ Surveys With No Citations	14
■ Surveys With Citations Only	7
■ Enforcement Action	5

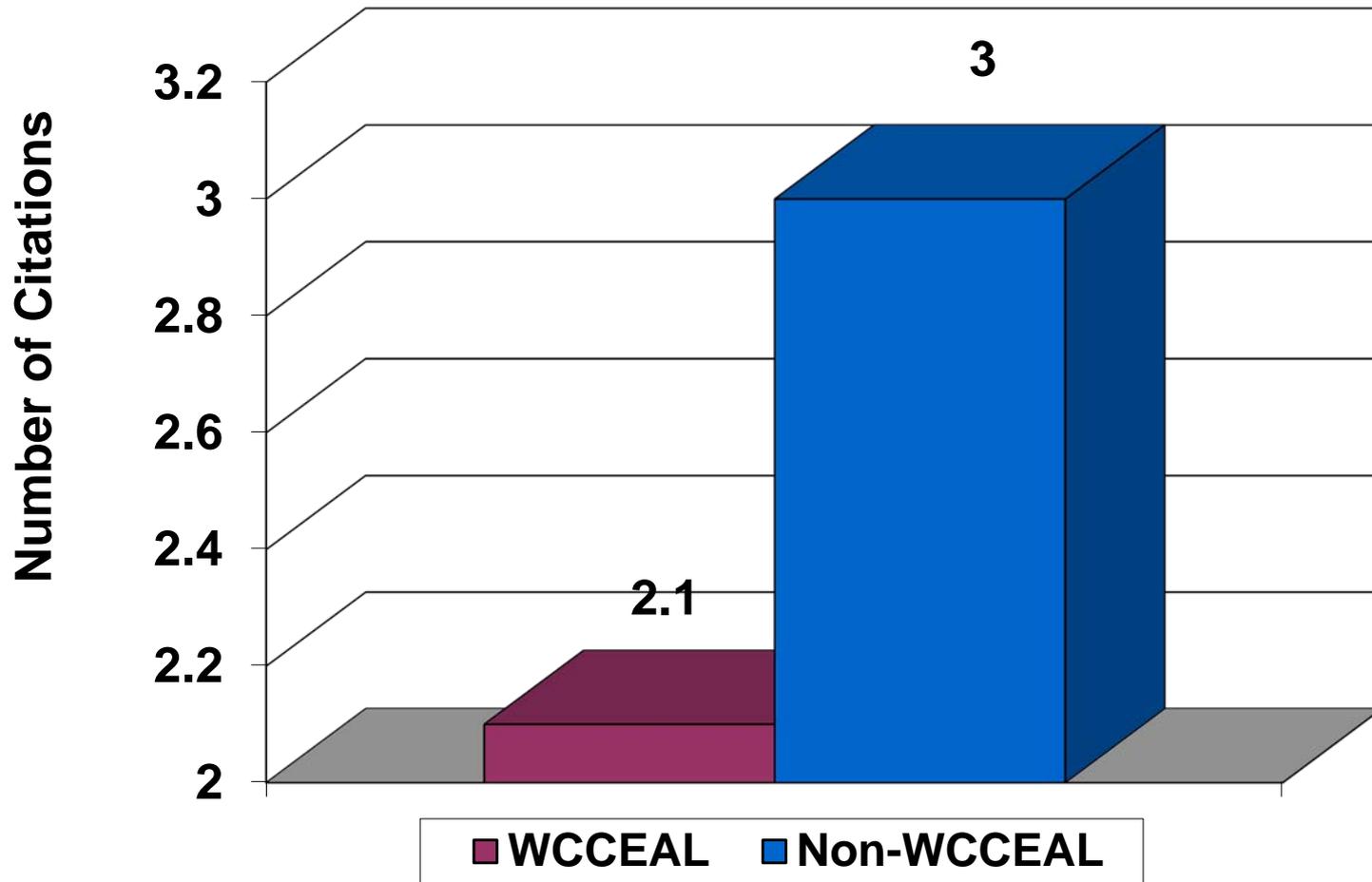


# Percentage of Facilities with Complaints Mid Year 2016





# Average Citations per Survey with Citations Mid Year 2016





**Life is like a camera, focus on what's important and you will capture it perfectly. (author unknown)**



# Thank You

Wisconsin Division of Quality Assurance

The Division of Quality Assurance (DQA) is responsible for assuring the safety, welfare and health of persons using health and community care provider services in Wisconsin.

DQA - Working to Protect - Promote - Provide Quality in Wisconsin's Health Care Facilities

Alfred C. Johnson, Director  
Bureau of Assisted Living  
Phone: 608-266-8598  
Email: [alfred.johnson@wi.gov](mailto:alfred.johnson@wi.gov)