

**OFFICE OF QUALITY ASSURANCE**

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

**OCTOBER – DECEMBER 2006**



State of Wisconsin  
Department of Health and Family Services

NOTE: Time frame 10/1/06 – 12/31/06

## 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

- Non-LTC Complaint Investigation Results by Subject Area of Complaint-Ambulatory Surgical Center
- Non-LTC Complaint Investigation Results by Subject Area of Complaint – Rural Health Clinic

### **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 10/1/06 – 12/31/06

**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		2
132 Skilled	71	101	99	49	79	399
132 Skilled-IMD					2	2
134 Developmentally Disabled	7	4	6		8	25
<b>TOTAL</b>	<b>79</b>	<b>105</b>	<b>105</b>	<b>50</b>	<b>89</b>	<b>428</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			14
T18 SNF/T19 NF	67	86	87	46	71	357
T19 NF Only		4	10	4	9	27
T19 ICF/MR	7	4	6		8	25
Non-Certified	1	3			1	5
<b>TOTAL</b>	<b>79</b>	<b>105</b>	<b>105</b>	<b>50</b>	<b>89</b>	<b>428</b>

NOTE: Time frame 10/1/06 – 12/31/06

**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	6055	10824	8510	4729	5744	<b>35862</b>
T19 NF Only		156	1220	130	512	<b>2018</b>
T19 ICF/MR	688	426	114		194	<b>1420</b>
Non-Certified	9	220			77	<b>306</b>
<b>TOTAL</b>	<b>6941</b>	<b>11990</b>	<b>9879</b>	<b>4859</b>	<b>6527</b>	<b>40196</b>

NOTE: Time frame 10/1/06 – 12/31/06

**NURSING HOME SURVEY  
AND  
COMPLAINT ACTIVITY**

NOTE: Time frame 10/1/06 – 12/31/06

**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)	28	22	24	10	16	<b>100</b>
STD/Initial T18 SNF			1			<b>1</b>
STD/Initial T19 NF						
Initial T18 SNF						
Initial T19 NF						
Initial T18 SNF/T19 NF						
Initial Prelicensure						
CHOW*/Probationary License						
Complaint	27	50	36	23	44	<b>180</b>
Other/Other-Off Cycle Inspection						
Monitoring						
Surveillance					1	<b>1</b>
Verification Visit Violations issued	3	4	3	2	4	<b>16</b>
Partial Extended	1			1	1	<b>3</b>
Extended	2	2	2		4	<b>10</b>
<b>Total</b>	<b>61</b>	<b>78</b>	<b>66</b>	<b>36</b>	<b>70</b>	<b>311</b>

\*CHOW = Change of Ownership

\*\* Health Surveys Counted only

NOTE: Time frame 10/1/06 – 12/31/06

**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	34	1	1		
Southeastern	28	3	2		1
Northeastern	30	2	2		
Northern	13	1	1	1	
Western	25	4	5		
<b>Total</b>	<b>130</b>	<b>11</b>	<b>11</b>	<b>1</b>	<b>1</b>

\*SQC = Substandard Quality of Care

NOTE: Time frame 10/1/06 – 12/31/06

**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>
Aspen-No Change	2	3		6	10	21
Aspen-Examples Removed/ Other Wording Change	1	2			5	8
Aspen-Tag Removed				1	2	3
Aspen-Request Withdrawn					1	1
<b>Total</b>	<b>3</b>	<b>5</b>		<b>7</b>	<b>18</b>	<b>33</b>

**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>
Aspen-No Change	2	1		2	18	23
Aspen-Examples Removed/Other Wording Change	1	1			1	3
Aspen-Tag Removed				2		2
Aspen-Request Withdrawn					1	1
<b>Total</b>	<b>3</b>	<b>2</b>		<b>4</b>	<b>20</b>	<b>29</b>

NOTE: Time frame 10/1/06 – 12/31/06

## Nursing Home 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			1	2	8	<b>11</b>
Class B	32	21	14	13	30	<b>110</b>
Class C		3	1		1	<b>5</b>
Correction Order	6	18	16	5	7	<b>52</b>
<b>Total</b>	<b>38</b>	<b>42</b>	<b>32</b>	<b>20</b>	<b>46</b>	<b>178</b>

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

<b>State Code</b>	<b>Brief Description</b>	<b>Number</b>
132.60(8)(c)	Implementation of Care Plans	18
132.31(1)(L)	Care	11
132.60(5)(a)1	Resident Care/Orders	11
132.60(1)	Resident Care/Individual Care	11
132.60(1)(c)2	Resident Care/Basic Nrsg Care	10
132.60(1)(c)4	Resident Care/Basic Nrsg Care	10
132.60(8)(b)	Updating Care Plans	8
132.60(1)(b)	Resident Care/Decubiti Prevention	7
132.60(5)(a)2	Resident Care/Oral Orders	6
132.82 (3)(c)1	Fire Inspection/Semi Annual	6
132.71(3)	Maintenance of Equipment	5

NOTE: Time frame 10/1/06 – 12/31/06

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

Description of Violation	Number
Resident Care/Basic Nrsg Care	19
Implementation of Care Plans	16
Resident Care/Individual Care	11
Care	11
Resident Care/Orders	8
Updating Care Plans	8
Resident Care/Decubiti Prevention	7
Admissions/Destructive Residents	4
Maintenance of Equipment	4
Resident Care/Notification of Change	3
Diagnostic Services	3
Resident Abuse	3
Resident Records-Content Nursing	3
Resident Care/Adm of Meds	2
Facility Should Provide Plan Assessment/Treatment	2
Administrator	2
Personal Possessions	1
Abuse	1
Admissions/Communicable Disease	1
Resident Care/Emergencies	1
Social Work Referrals	1
SW/Adjustment Assistance	1

NOTE: Time frame 10/1/06 – 12/31/06

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

Description of Violation	Number
Reviewing Complaints	1
Transfer/Behold	1
Resident Care/Meds Errors and Reactions	1
Medical Director-Coordination	1
DON/Supervision	1
Nurse Staffing	1
Housekeeping	1
Care Planning	1
Smoking	1
<b>Total</b>	<b>121</b>

NOTE: Time frame 10/1/06 – 12/31/06

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

Grid Level	Southern	Southeastern	Northeastern	Northern	Western	Total
A		1		1	1	<b>3</b>
B		4	7	1	2	<b>14</b>
C	2		6	4	6	<b>18</b>
D	32	67	64	50	68	<b>281</b>
E	15	46	14	4	28	<b>107</b>
F		5	2		5	<b>12</b>
G	16	10	8	5	12	<b>51</b>
H	1	3				<b>4</b>
I						
J	5		2	5	5	<b>17</b>
K	1	1			5	<b>7</b>
L						
<b>Total</b>	<b>72</b>	<b>137</b>	<b>103</b>	<b>70</b>	<b>132</b>	<b>514</b>

\*Health Only

NOTE: The above data was reported from ASPEN.

NOTE: Time frame 10/1/06 – 12/31/06

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

Tag	Brief Description	Number
F0324	Accidents	33
F0225	Staff Treatment of Residents	31
F0279	Comprehensive Care Plans	30
F0309	Quality of Care	28
F0315	Urinary Incontinence	27
F0272	Comprehensive Assessments	22
F0157	Notification of Changes	21
F0281	Comprehensive Care Plans	21
F0444	Preventing Spread of Infection	21
F0241	Dignity	20
F0371	Sanitary Conditions-Food Prep & Service	14
F0250	Social Services	12
F0323	Accidents	12
F0314	Pressure Sores	11
F0441	Infection Control	11

NOTE: The above data was reported from ASPEN.

NOTE: Time frame 10/1/06 – 12/31/06

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

Grid Level	Southern	Southeastern	Northeastern	Northern	Western	Total
A					1	<b>1</b>
B		2			1	<b>3</b>
C	9	26	18	11	12	<b>76</b>
D	20	20	4	8	26	<b>78</b>
E	30	44	5	10	17	<b>106</b>
F	21	30	12	13	35	<b>111</b>
G						
H						
I						
J						
K						
L						
<b>Total</b>	<b>80</b>	<b>122</b>	<b>39</b>	<b>42</b>	<b>92</b>	<b>375</b>

\*Engineer Only

NOTE: The above data was reported from ASPEN.

Table includes waivers

NOTE: Time frame 10/1/06 – 12/31/06

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

Tag	Brief Description	Number
K50	Life Safety Code Standard	35
K144	Life Safety Code Standard	26
K147	Life Safety Code Standard	26
K38	Life Safety Code Standard	23
K29	Life Safety Code Standard	18
K18	Life Safety Code Standard	17
K56	Life Safety Code Standard	17
K67	Life Safety Code Standard	15
K27	Life Safety Code Standard	13
K54	Life Safety Code Standard	13
K69	Life Safety Code Standard	12
K25	Life Safety Code Standard	11
K48	Life Safety Code Standard	11
K66	Life Safety Code Standard	11
K52	Life Safety Code Standard	10

NOTE: Time frame 10/1/06 – 12/31/06

## Nursing Home Complaints Received by ACTS Complainant Type

Type	Number
ACTS-Anonymous	51
ACTS-Current Staff	7
ACTS-Entity Self-Report	131
ACTS-Family	123
ACTS-Former Staff	8
ACTS-Friend	6
ACTS-Ombudsman	8
ACTS-Other Health Providers	9
ACTS-Other	6
ACTS-Other State Agency	3
ACTS-Resident/Patient/Client	12
<b>Total</b>	<b>364</b>

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	27	2			4
Southeastern	50				
Northeastern	36				
Northern	23	2	2		
Western	44	1	1		
<b>Total</b>	<b>180</b>	5	3		4

\*SQC = Substandard Quality of Care

NOTE: Time frame 10/1/06 – 12/31/06

## 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	11	<b>15</b>
Administration/Personnel	5	5	<b>10</b>
Admission, Transfer & Discharge Rights	14	3	<b>17</b>
Death-General (No Category)	2		<b>2</b>
Dietary Services	9	1	<b>10</b>
Fraud False Billing	1		<b>1</b>
Infection Control	7	4	<b>11</b>
Injury of Unknown Origin	1	1	<b>2</b>
Misappropriation of Property	27	7	<b>34</b>
Nursing Services	22	10	<b>32</b>
Other	2		<b>2</b>
Other Services	1		<b>1</b>
Pharmaceutical Services	2		<b>2</b>
Physical Environment	17	9	<b>26</b>
Physician Services	1		<b>1</b>
Quality of Care/Treatment	108	64	<b>172</b>
Quality of Life	7	4	<b>11</b>
Rehabilitation Services	7		<b>7</b>
Resident/Patient/Client Abuse	57	36	<b>93</b>

NOTE: Time frame 10/1/06 – 12/31/06

**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 Assessment	2	1	<b>3</b>
Resident/Patient/Client Neglect	3	7	<b>10</b>
Resident/Patient/Client Rights	12	7	<b>19</b>
Restraints/Seclusion General	1		<b>1</b>
Unqualified Personnel	2	1	<b>3</b>
<b>Total</b>	<b>314</b>	<b>171</b>	<b>485</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 10/1/06 – 12/31/06

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

NOTE: Time frame 10/1/06 – 12/31/06

**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	2	2	1		2	7
STD/Initial T19 NF						
Initial T19 NF						
Initial Prelicensure						
CHOW*/Probationary License						
Complaint	1	3				4
Monitoring						
Other/Other-Off Cycle Inspection						
Surveillance						
Verification Visit Violations cited		2				2
Partial Extended						
Extended						
<b>Total</b>	<b>3</b>	<b>7</b>	<b>1</b>		<b>2</b>	<b>13</b>

\*CHOW = Change of Ownership

\*\* Health counted only

**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-Examples Removed/ Other Wording Change		2				2
Aspen-No Change		3				3
<b>Total</b>		<b>5</b>				<b>5</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	3			2	6
Class C						
Correction Order		2	1			3
<b>Total</b>	<b>1</b>	<b>5</b>	<b>1</b>		<b>2</b>	<b>9</b>

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

<b>State Code</b>	<b>Brief Description</b>	<b>Number</b>
134.60(1)(g)	Resident Safety	3

NOTE: Time frame 10/1/06 – 12/31/06

## FDD Class A and Class B State Violations Cited

Description of Violation	Number
Resident Safety	3
Care	1
Destructive Residents	1
Total Staffing	1
<b>Total</b>	<b>6</b>

## FDD Federal Deficiencies

Level	Total
Condition	2
Standard	59
Element	
Life Safety Code – Standard	20
Life Safety Code- Element	
<b>Total</b>	<b>81</b>

NOTE: Time frame 10/1/06 – 12/31/06

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

Tag	Brief Description	Number
W154	Staff Treatment of Clients	7
W149	Staff Treatment of Clients	6
W249	Program Implementation	4
W264	Program Monitoring & Change	4
W312	Drug Usage	4
W124	Protection of Client Rights	3
W369	Drug Administration	3

\*Health Only

### FDD Condition Deficiencies

Tag	Brief Description	Number
W122	Client Protections	1
W158	Facility Staffing	1
<b>Total</b>		<b>2</b>

### FDD Complaints Received by ACTS Complainant Type

Type	Number
Entity Self-Report	5
Family	2
<b>Total</b>	<b>7</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 10/1/06 – 12/31/06

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

<b>Subject Area</b>	<b># Unsubstantiated</b>	<b># Substantiated</b>	<b>Total</b>
Accidents		1	<b>1</b>
Quality of Care/Treatment	1		<b>1</b>
Resident/Patient/Client Abuse		2	<b>2</b>
Resident/Patient/Client Rights		1	<b>1</b>
<b>Total</b>	<b>1</b>	<b>4</b>	<b>5</b>

NOTE: The above data was reported from ACTS

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

NOTE: Time frame 10/1/06 – 12/31/06

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

Type	Number
Swing Bed Hospital	65
General Acute Hospital	85
Alcohol Hospital	2
Special Psychiatric Hospital	13
Critical Access Hospital	59
Comprehensive Outpatient Rehab Facility	4
Ambulatory Surgical Center	47
End Stage Renal Dialysis	108
Hospice	67
AODA/Mental Health	1178
Prospective Payment Exemption	45
Portable X-Ray	7
Home Health Agency	166
Rural Health Clinic	51
Outpatient Rehabilitation Agency	47
<b>Total</b>	<b>1944</b>

NOTE: Time frame 10/1/06 – 12/31/06

### 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 10/1/06 – 12/31/06

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

<b>Provider Type</b>	<b>Survey Type</b>	<b>Number</b>
Home Health Agency	Annual	2
	Complaint	6
	Initial Cert/Prelicensure	1
	Verification Visit	2
Hospital – Special Psychiatric	Complaint	3
Hospital –Critical Access	Complaint	3
Hospital – General Acute	Annual	5
	Complaint	13
Hospice	Initial Cert/Prelicensure	2
	Complaint	5
	Verification Visit	1
End Stage Renal Dialysis	Complaint	1
PPE	Annual	1
Rural Health Clinic	Annual	5
	Complaint	1
Ambulatory Surgery Center	Complaint	1
	Initial Certification	1
<b>TOTAL</b>		<b>53</b>

\*Heath Counted Only

NOTE: Time frame 10/1/06 – 12/31/06

**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>
Critical Access Hosp		7		1		<b>8</b>
Hospital-Acute	4	45		89		<b>138</b>
HHA	7	43				<b>50</b>
Hospice		7				<b>7</b>
Ambulatory Surgical Ctr	1	3	1			<b>5</b>
RHC	1	2	6			<b>9</b>
Hospital-Psychiatric	2	9				<b>11</b>
<b>Total</b>	<b>15</b>	<b>116</b>	<b>7</b>	<b>90</b>		<b>228</b>

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

<b>Tag</b>	<b>Brief Description</b>	<b>Number</b>
133.21(1)	Medical Records	5
133.20(4)	Plan of Treatment	4
133.14(2)(b)	Skilled Nursing Services	3

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

<b>Tag</b>	<b>Brief Description</b>	<b>Number</b>

\*None for this timeframe

NOTE: Time frame 10/1/06 – 12/31/06

**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>
124.05(3)(a)1.h	Governing Body-Policies	3

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

<b>Provider Type</b>	<b>Number</b>
Home Health Agency	10
Hospice	7
Hospital – General Acute	34
Hospital – Psychiatric	7
Hospital – Critical Access	5
Rural Health Clinic	1
End Stage Renal Dialysis	1
<b>Total</b>	<b>65</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 10/1/06 – 12/31/06

## Non-LTC Complaints Received by ACTS Complainant Type

Type	Hospice	Gen Hospital	Home Health	Psyc Hosp	Crit Access Hosp	ESRD	RHC	Total
CMS		1						1
Current Staff		1		1				2
Entity Self-Report		1		3	1			5
Family	5	14	5	1	2			27
Former Staff				1				1
Friend		1	1					2
Media	1			1				2
Other	1							1
Other Health Providers		2			1			3
Quality Improvement Org		1						1
Resident/Patient/Client		12	4			1		17
Other State Agency							1	1
State Survey Agency		1			1			2
<b>Total</b>	<b>7</b>	<b>34</b>	<b>10</b>	<b>7</b>	<b>5</b>	<b>1</b>	<b>1</b>	<b>65</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 10/1/06 – 12/31/06

**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	2	5
Infection Control	1	2	3
Nursing Services		2	2
Other Services	2	1	3
Physician Services	1		1
Quality of Care/Treatment	1	2	3
<b>Total</b>	<b>8</b>	<b>9</b>	<b>17</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>
Death-General		1	1
Dietary Services	1		1
Quality of Care/Treatment		3	3
<b>Total</b>	<b>1</b>	<b>4</b>	<b>5</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 10/1/06 – 12/31/06

**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)	3	3	<b>6</b>
Nursing Services		1	<b>1</b>
Physical Environment		2	<b>2</b>
<b>Total</b>	<b>3</b>	<b>6</b>	<b>9</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	1		<b>1</b>
Other		2	<b>2</b>
Other Services	1	2	<b>3</b>
Quality of Care/Treatment	1	1	<b>2</b>
<b>Total</b>	<b>3</b>	<b>5</b>	<b>8</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 10/1/06 – 12/31/06

**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>
Death-General	1		<b>1</b>
Nursing Services	1		<b>1</b>
Other Services		1	<b>1</b>
Quality of Care/Treatment	2	1	<b>3</b>
<b>Total</b>	<b>4</b>	<b>2</b>	<b>6</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 & Discharge		1	<b>1</b>
Quality of Care/Treatment		1	<b>1</b>
<b>Total</b>		<b>2</b>	<b>2</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 10/1/06 – 12/31/06

**Non-LTC Complaint Investigation Results  
By ACTS Subject Area of Complaint –  
Ambulatory Surgical Center**

<b>Subject Area</b>	<b># Unsubstantiated</b>	<b># Substantiated</b>	<b>Total</b>
Unqualified Personnel		1	<b>1</b>
<b>Total</b>		<b>1</b>	<b>1</b>

NOTE: The above data was reported from ACTS

**Non-LTC Complaint Investigation Results  
By ACTS Subject Area of Complaint –  
Rural Health Clinic**

<b>Subject Area</b>	<b># Unsubstantiated</b>	<b># Substantiated</b>	<b>Total</b>
Administration/Personnel	1		<b>1</b>
<b>Total</b>	<b>1</b>		<b>1</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 10/1/06 – 12/31/06

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

NOTE: Time frame 10/1/06 – 12/31/06

### State Forfeitures Processed – Nursing Homes and FDDs

<b>State Class</b>	<b>Total Assessed</b>	<b>Original Amount Due</b>	<b>Actual Amount Due</b>	<b>Amount Paid</b>
<b>A</b>	7	\$ 196,675	\$ 189,325	\$ 34,650
<b>B</b>	44	\$ 591,380	\$ 455,260	\$ 222,560
<b>C</b>	11	\$ 5,950	\$ 5,950	\$ 5,950
<b>Total</b>	<b>62</b>	<b>\$ 794,005</b>	<b>\$ 650,535</b>	<b>\$ 263,160</b>

### State Forfeitures Processed – Hospice

<b># of Invoices Issued</b>	<b>Actual Amount Due</b>	<b>Amount Paid</b>
7	\$ 5,575	\$ 5,575

NOTE: Time frame 10/1/06 – 12/31/06