

**DIVISION OF QUALITY ASSURANCE**

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

**JULY – SEPTEMBER 2007**



State of Wisconsin  
Department of Health and Family Services

NOTE: Time frame 7/1/07 – 9/30/07

## 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
- 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 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 7/1/07 – 9/30/07

**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	77	99	105	26	91	<b>398</b>
132 Skilled-IMD					2	<b>2</b>
134 Developmentally Disabled	6	4	3		6	<b>19</b>
<b>TOTAL</b>	<b>84</b>	<b>103</b>	<b>108</b>	<b>27</b>	<b>99</b>	<b>421</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	3	8	2		1	<b>14</b>
T18 SNF/T19 NF	72	85	94	25	82	<b>358</b>
T19 NF Only		4	9	2	8	<b>24</b>
T19 ICF/MR	6	4	3		6	<b>19</b>
Non-Certified	2	2			2	<b>6</b>
<b>TOTAL</b>	<b>84</b>	<b>103</b>	<b>108</b>	<b>27</b>	<b>99</b>	<b>421</b>

NOTE: Time frame 7/1/07 – 9/30/07

**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	94	364	35		95	<b>588</b>
T18 SNF/T19 NF	6317	10751	9112	2934	6538	<b>35652</b>
T19 NF Only	18	156	1081	76	420	<b>1751</b>
T19 ICF/MR	630	413	72		129	<b>1244</b>
Non-Certified	19	100			103	<b>222</b>
<b>TOTAL</b>	<b>7078</b>	<b>11784</b>	<b>10300</b>	<b>3010</b>	<b>7285</b>	<b>39457</b>

NOTE: Time frame 7/1/07 – 9/30/07

**NURSING HOME SURVEY  
AND  
COMPLAINT ACTIVITY**

NOTE: Time frame 7/1/07 – 9/30/07

## Nursing Home Surveys Conducted by Region\*

Survey Type	Southern	Southeastern	Northeastern	Northern	Western	Total
Standard (STD)	17	24	26	6	22	<b>95</b>
Initial Certification						
State Licensure	1				1	<b>2</b>
Complaint	35	57	66	9	39	<b>206</b>
Follow-Up	24	43	40	12	39	<b>158</b>
Partial Extended						
Extended						
<b>Total</b>	<b>77</b>	<b>124</b>	<b>132</b>	<b>27</b>	<b>101</b>	<b>461</b>

\* 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	17	2	2		
Southeastern	24	5	5		
Northeastern	26	1	2		
Northern	6				
Western	22	3	3		
<b>Total</b>	<b>95</b>	<b>11</b>	<b>12</b>		

\*SQC = Substandard Quality of Care

NOTE: The above SQC data was reported from Aspen

NOTE: Time frame 7/1/07 – 9/30/07

**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	6	3	1	8	3	<b>21</b>
Examples Removed	2		1	1		<b>4</b>
Tag Removed		1	1			<b>2</b>
S/S Change	2	2				<b>4</b>
S/S Change/Examples Removed		2				<b>2</b>
<b>Total</b>	<b>10</b>	<b>8</b>	<b>3</b>	<b>9</b>	<b>3</b>	<b>33</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	5		1	2	2	<b>10</b>
Examples Removed		1	1	1		<b>3</b>
S/S Change		1				<b>1</b>
Tag Removed		1				<b>1</b>
<b>Total</b>	<b>5</b>	<b>3</b>	<b>2</b>	<b>3</b>	<b>2</b>	<b>15</b>

NOTE: The above data was reported from Aspen

NOTE: Time frame 7/1/07 – 9/30/07

## Nursing Home Violations of State Codes by Region

Violation Type	Southern	Southeastern	Northeastern	Northern	Western	Total
Class A	4	5		2	2	<b>13</b>
Class B	34	35	28	7	17	<b>121</b>
Class C				2		<b>2</b>
Correction Order	2	9	10	3	9	<b>33</b>
<b>Total</b>	<b>40</b>	<b>49</b>	<b>38</b>	<b>14</b>	<b>28</b>	<b>169</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(1)(b)	Resident Care/Decubiti Prevention	19
132.60(1)(c)5	Facility Shall Provide Pain Assessment/Treatment	17
132.60(8)(c)	Implementation of Care Plans	16
132.60(1)	Resident Care/Individual Care	13
132.31(1)l	Care	12
132.60(2)(d)	Resident Care/Diet Acceptance	9
132.60(5)(a)1	Resident Care/Orders	9
132.45(5)(c)4.b	Medical Records-Content-Nursing	7
132.60(8)(b)	Updating of Care Plans	7
132.60(1)(c)2	Resident Care/Basic Nrsg Care	6
132.60(1)(c)4	Resident Care/Basic Nrsg Care	6

NOTE: The above data was reported from Aspen

NOTE: Time frame 7/1/07 – 9/30/07

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

Description of Violation	Number
Resident Care/Decubiti Prevention	18
Facility Shall Provide Pain Assessmnt/Treatmt	16
Implementation of Care Plans	15
Resident Care/Individual Care	13
Care	12
Resident Care/Diet Acceptance	12
Resident Care/Orders	9
Updating of Care Plans	7
Resident Care/Basic Nrsg Care	6
Resident Care/Basic Nrsg Care	6
Resident Care/Notification of Change	4
Admissions/Destructive Residents	2
Treatment	1
Reviewing Complaints	1
Resident Abuse	1
Medical Records-Content-Nursing	1
Medical Records-Content Nursing	1
Resident Care/Hygiene	1
Care Planning	1
Social Work Referrals	1
Maintenance of Equipment	1
Smoking	1
Maintenance	1
Resident's Rights in Certain Facilities	1

NOTE: Time frame 7/1/07 – 9/30/07

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

Description of Violation	Number
Abuse and Restraints	1
Care	1
<b>Total</b>	<b>134</b>

NOTE: The above data was reported from Aspen

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

Grid Level	Southern	Southeastern	Northeastern	Northern	Western	Total
A		2	2		1	<b>5</b>
B	3	5	4	1		<b>13</b>
C		6	5	1	4	<b>16</b>
D	54	78	89	44	57	<b>322</b>
E	14	38	17	7	19	<b>95</b>
F	1	4	2	1	2	<b>10</b>
G	16	20	16	6	7	<b>65</b>
H					1	<b>1</b>
I						
J	12	5	2	2	3	<b>24</b>
K	1	2				<b>3</b>
L						
<b>Total</b>	<b>101</b>	<b>160</b>	<b>137</b>	<b>62</b>	<b>94</b>	<b>554</b>

\*Health Only

NOTE: The above data was reported from ASPEN.

NOTE: Time frame 7/1/07 – 9/30/07

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

Tag	Brief Description	Number
F0309	Quality of Care	34
F0279	Comprehensive Care Plans	32
F0444	Preventing Spread of Infection	31
F0272	Comprehensive Assessments	29
F0314	Pressure Sores	27
F0315	Urinary Incontinence	26
F0225	Staff Treatment of Residents	24
F0281	Comprehensive Care Plans	20
F0157	Notification of Changes	20
F0282	Comprehensive Care Plans	16
F0329	Unnecessary Drugs	16
F0425	Pharmacy Services	13
F0323	Accidents and Supervision	12
F0327	Hydration	12
F0514	Clinical Records	12
F0324	Accidents	11
F0241	Dignity	10
F0253	Housekeeping/Maintenance	10
F0371	Sanitary Conditions-Food Prep & Service	10

NOTE: The above data was reported from ASPEN.

NOTE: Time frame 7/1/07 – 9/30/07

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

Grid Level	Southern	Southeastern	Northeastern	Northern	Western	Total
A						
B		1				1
C	5	72	19	1	10	107
D	48	48	13	4	11	124
E	78	110	9	2	6	205
F	24	48	1	3	15	91
G						
H						
I						
J						
K						
L						
<b>Total</b>	<b>155</b>	<b>279</b>	<b>42</b>	<b>10</b>	<b>42</b>	<b>528</b>

\*Engineer Only

NOTE: The above data was reported from ASPEN.

Table includes waivers

NOTE: Time frame 7/1/07 – 9/30/07

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

Tag	Brief Description	Number
K56	Life Safety Code Standard	39
K29	Life Safety Code Standard	37
K38	Life Safety Code Standard	36
K147	Life Safety Code Standard	34
K144	Life Safety Code Standard	29
K25	Life Safety Code Standard	24
K154	Life Safety Code Standard	24
K155	Life Safety Code Standard	24
K45	Life Safety Code Standard	23
K69	Life Safety Code Standard	21
K18	Life Safety Code Standard	21
K50	Life Safety Code Standard	20
K11	Life Safety Code Standard	17
K48	Life Safety Code Standard	14
K130	Life Safety Code Standard	13
K12	Life Safety Code Standard	11
K66	Life Safety Code Standard	11
K76	Life Safety Code Standard	10

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

NOTE: Time frame 7/1/07 – 9/30/07

## Nursing Home Complaints Received by ACTS Complainant Type

Type	Number
Anonymous	41
CMS	1
Coroner	1
Current Staff	6
Entity Self-Report	98
Family	100
Former Staff	6
Friend	4
Ombudsman	12
Other Health Provider	3
Other	5
Other State Agency	1
Resident/Patient/Client	18
State Survey Agency	1
<b>Total</b>	<b>297</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 7/1/07 – 9/30/07

## 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	35	6	5		2
Southeastern	57	1	1		
Northeastern	66				
Northern	9	1	1		
Western	39				
<b>Total</b>	<b>206</b>	<b>8</b>	<b>7</b>		<b>2</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	3	12	<b>15</b>
Administration/Personnel	2	2	<b>4</b>
Admission, Transfer & Discharge Rights	5	7	<b>12</b>
Death-General		1	<b>1</b>
Dietary Services	10	2	<b>12</b>
Educational Services	1		<b>1</b>
Infection Control	7	5	<b>12</b>
Injury of Unknown Origin		4	<b>4</b>
Misappropriation of Property	11	14	<b>25</b>
Nursing Services	15	4	<b>19</b>
Other Services	1		<b>1</b>
Pharmaceutical Services	6	1	<b>7</b>
Physical Environment	15	5	<b>20</b>
Quality of Care/Treatment	74	82	<b>156</b>
Quality of Life	10	2	<b>12</b>
Rehabilitation Services	1		<b>1</b>
Resident/Patient/Client Abuse	32	31	<b>63</b>
Resident/Patient/Client Assessment	1	2	<b>3</b>
Resident/Patient/Client Neglect	4	8	<b>12</b>
Resident/Patient/Client Rights	13	8	<b>21</b>
<b>Total</b>	<b>211</b>	<b>190</b>	<b>401</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 7/1/07 – 9/30/07

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

NOTE: Time frame 7/1/07 – 9/30/07

### FDD Surveys Conducted by Region\*

Survey Type	Southern	Southeastern	Northeastern	Northern	Western	Total
Fundamental	2				2	4
Initial Certification						
State Licensure						
Complaint					2	2
Follow-Up	3		1		2	6
Partial Extended						
Extended						
<b>Total</b>	<b>5</b>		<b>1</b>		<b>6</b>	<b>12</b>

\*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

NOTE: Time frame 7/1/07 – 9/30/07

## FDD Violations of State Codes by Region

Violation Type	Southern	Southeastern	Northeastern	Northern	Western	Total
Class A						
Class B	1				2	3
Class C						
Correction Order	1					1
<b>Total</b>	<b>2</b>				<b>2</b>	<b>4</b>

## HFS 134/C50 State Codes with 3 or More Citations

State Code	Brief Description	Number

No violations for this timeframe

## FDD Class A and Class B State Violations Cited

Description of Violation	Number
Care	1
Resident Abuse	1
Abuse Complaints	1
<b>Total</b>	<b>3</b>

NOTE: Time frame 7/1/07 – 9/30/07

## FDD Federal Deficiencies

Level	Total
Condition	2
Standard	14
Element	
Life Safety Code – Standard	18
Life Safety Code- Element	
<b>Total</b>	<b>34</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
W0122	Client Protections	1
W0318	Health Care Services	1
<b>Total</b>		<b>2</b>

NOTE: Time frame 7/1/07 – 9/30/07

## FDD Complaints Received by ACTS Complainant Type

Type	Number
Anonymous	1
Entity Self-Report	3
Other Health Provider	1
<b>Total</b>	<b>5</b>

NOTE: The above data was reported from ACTS

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

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

NOTE: The above data was reported from ACTS

NOTE: Time frame 7/1/07 – 9/30/07

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

NOTE: Time frame 7/1/07 – 9/30/07

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

Type	Number
Swing Bed Hospital	65
General Acute Hospital	83
Alcohol Hospital	2
Special Psychiatric Hospital	13
Critical Access Hospital	59
Comprehensive Outpatient Rehab Facility	2
Ambulatory Surgical Center	60
End Stage Renal Dialysis	108
Hospice	74
AODA/Mental Health	1189
Prospective Payment Exemption	47
Portable X-Ray	7
Home Health Agency	172
Rural Health Clinic	48
Outpatient Rehabilitation Agency	46
<b>Total</b>	<b>1975</b>

NOTE: Time frame 7/1/07 – 9/30/07

## Branch/Extension Offices

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

NOTE: Time frame 7/1/07 – 9/30/07

## Non-LTC Surveys Conducted

Provider Type	Survey Type	Number
Home Health Agency	Annual	17
	Complaint	8
	Initial Certification	1
	Follow-Up	8
	State Licensure	1
Hospital – Special Psychiatric	Annual	1
	Complaint	7
	Follow-Up	2
Hospital –Critical Access	Annual	2
	Complaint	3
	Follow-Up	3
Hospital – General Acute	Annual	1
	Complaint	15
	Follow-Up	3
Hospice	Complaint	4
	Follow-Up	1
	Initial Certification	1
End Stage Renal Dialysis	Annual	9
	Complaint	1
	Initial Certification	1
	Follow-Up	14
Portable X-Ray	Initial Certification	2
<b>TOTAL</b>		<b>105</b>

\*Heath Counted Only

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

NOTE: Time frame 7/1/07 – 9/30/07

**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	3	78				<b>81</b>
Hospital-Acute	5	52		30		<b>87</b>
HHA	1	36				<b>37</b>
Hospice		2				<b>2</b>
Hospital-Psychiatric	2	18				<b>20</b>
Hospital-Critical Access	5	35		20		<b>60</b>
<b>Total</b>	<b>16</b>	<b>221</b>		<b>50</b>		<b>287</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	4
133.20(2)(a)	Plan of Treatment	4

**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 7/1/07 – 9/30/07

**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	4
124.08(1)	Infection Control - Program	4
124.13(2)(b)2.b	Nursing Services – Patient Care	4
124.13(6)(c)	Documentation, Staff Meetings/Evaluation	4
124.14(5)(a)1	Medical Record Services	4
124.05(3)(a)1.g	Governing Body – Policies	3
124.16(5)(b)	Dietary Services - Records	3

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

<b>Provider Type</b>	<b>Number</b>
Home Health Agency	15
Hospice	3
Hospital – General Acute	31
Hospital – Psychiatric	10
Hospital – Critical Access	4
End Stage Renal Dialysis	3
<b>Total</b>	<b>66</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 7/1/07 – 9/30/07

## Non-LTC Complaints Received by ACTS Complainant Type

Type	Hospice	Gen Hospital	Home Health	Psyc Hosp	Crit Access Hosp	ESRD	Total
CMS	1						1
Current Staff			1				1
Entity Self-Report				1			1
Family	2	12	4	1	1		20
Former Staff		1					1
Friend		2					2
Media		2		1	1		4
Other		2					2
Other State Agency		1					1
Other Health Providers		2		1	1		4
PT Organization				1			1
Resident/Patient/Client		9	10	5	1	3	28
<b>Total</b>	<b>3</b>	<b>31</b>	<b>15</b>	<b>10</b>	<b>4</b>	<b>3</b>	<b>66</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 7/1/07 – 9/30/07

**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>
Admission, Transfer & Discharge Rights		1	1
Death-General		1	1
Emtala (Patient Dumping)	4		4
Fraud/False Billing	1		1
Other Services		1	1
Pharmaceutical Services		1	1
Physical Environment		1	1
Physical Services	1	2	3
Quality of Care/Treatment	4	3	7
Resident/Patient/Client Rights		2	2
<b>Total</b>	<b>10</b>	<b>12</b>	<b>22</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
Emtala (Patient Dumping)		2	2
Nursing Services	1		1
Quality of Care/Treatment	1		1
Resident/Patient/Client Rights		2	2
<b>Total</b>	<b>2</b>	<b>5</b>	<b>7</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 7/1/07 – 9/30/07

**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
Quality of Care/Treatment	1		1
<b>Total</b>	<b>3</b>		<b>3</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>
Admission, Transfer & Discharge Rights	2	1	3
Nursing Services	1		1
Quality of Care/Treatment	1	1	2
Resident/Patient/Client Rights	1		1
<b>Total</b>	<b>5</b>	<b>2</b>	<b>7</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 7/1/07 – 9/30/07

**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		2	2
Other Services	1		1
Physician Services	1		1
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>
Nursing Services		1	1
<b>Total</b>		<b>1</b>	<b>1</b>

NOTE: The above data was reported from ACTS

NOTE: Time frame 7/1/07 – 9/30/07

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

NOTE: Time frame 7/1/07 – 9/30/07

### State Forfeitures Processed – Nursing Homes and FDDs

State Class	Total Assessed	Original Amount Due	Actual Amount Due	Amount Paid
A	8	\$ 271,400	\$ 249,321	\$ 29,721
B	97	\$ 1,372,983	\$ 1,235,307	\$ 258,924
C	3	\$ 4,700	\$ 4,700	\$ 3,200
<b>Total</b>	<b>108</b>	<b>\$ 1,649,083</b>	<b>\$ 1,489,328</b>	<b>\$ 291,845</b>

### State Forfeitures Processed – Hospice

# of Invoices Issued	Actual Amount Due	Amount Paid
1	\$ 1,420	\$ 1,420

NOTE: Time frame 7/1/07 – 9/30/07