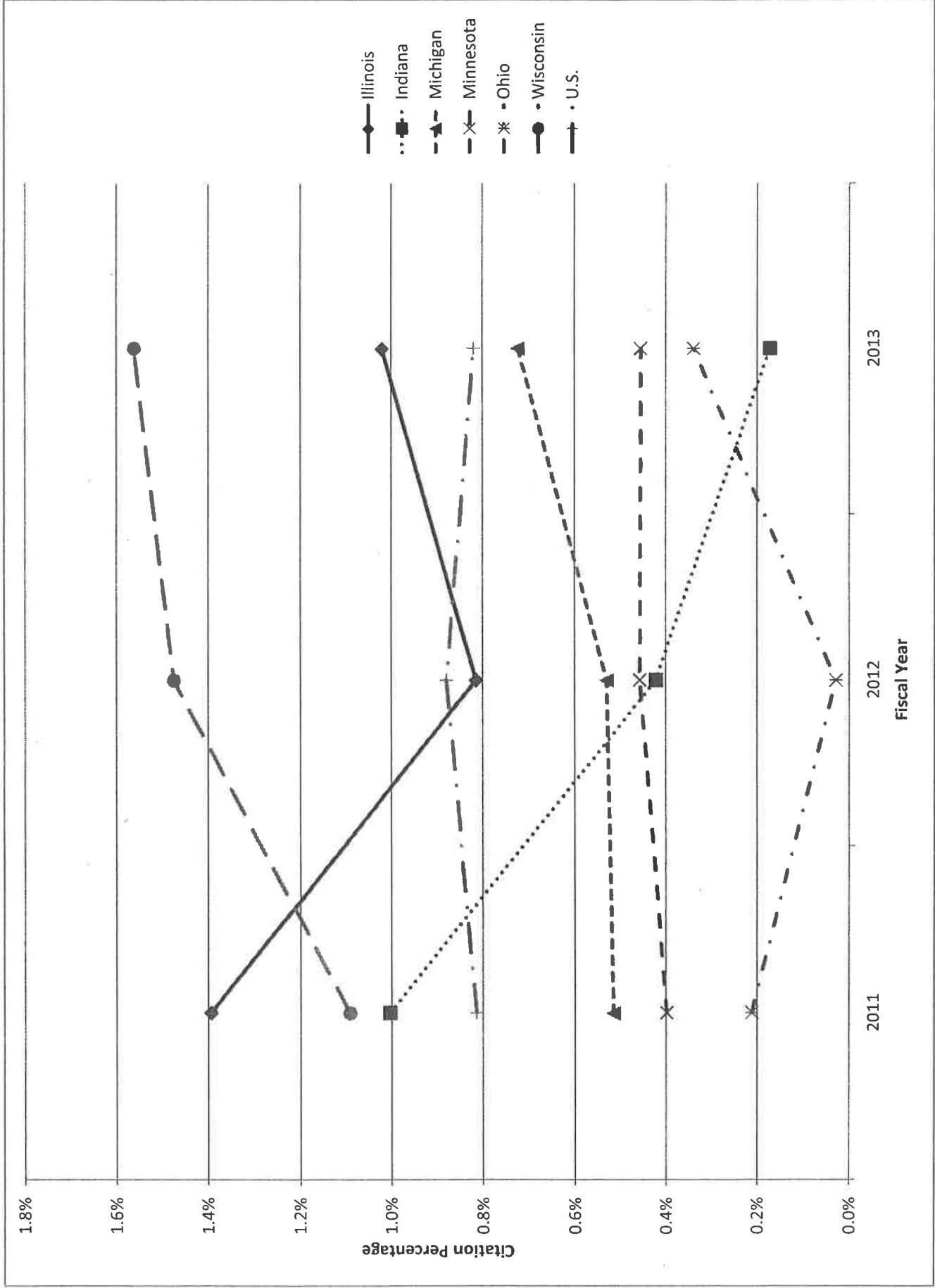


Average Number of Deficiencies Cited Per Survey by  
 Region V States and Nation  
 on Standard and Complaint Surveys  
 FY 2013

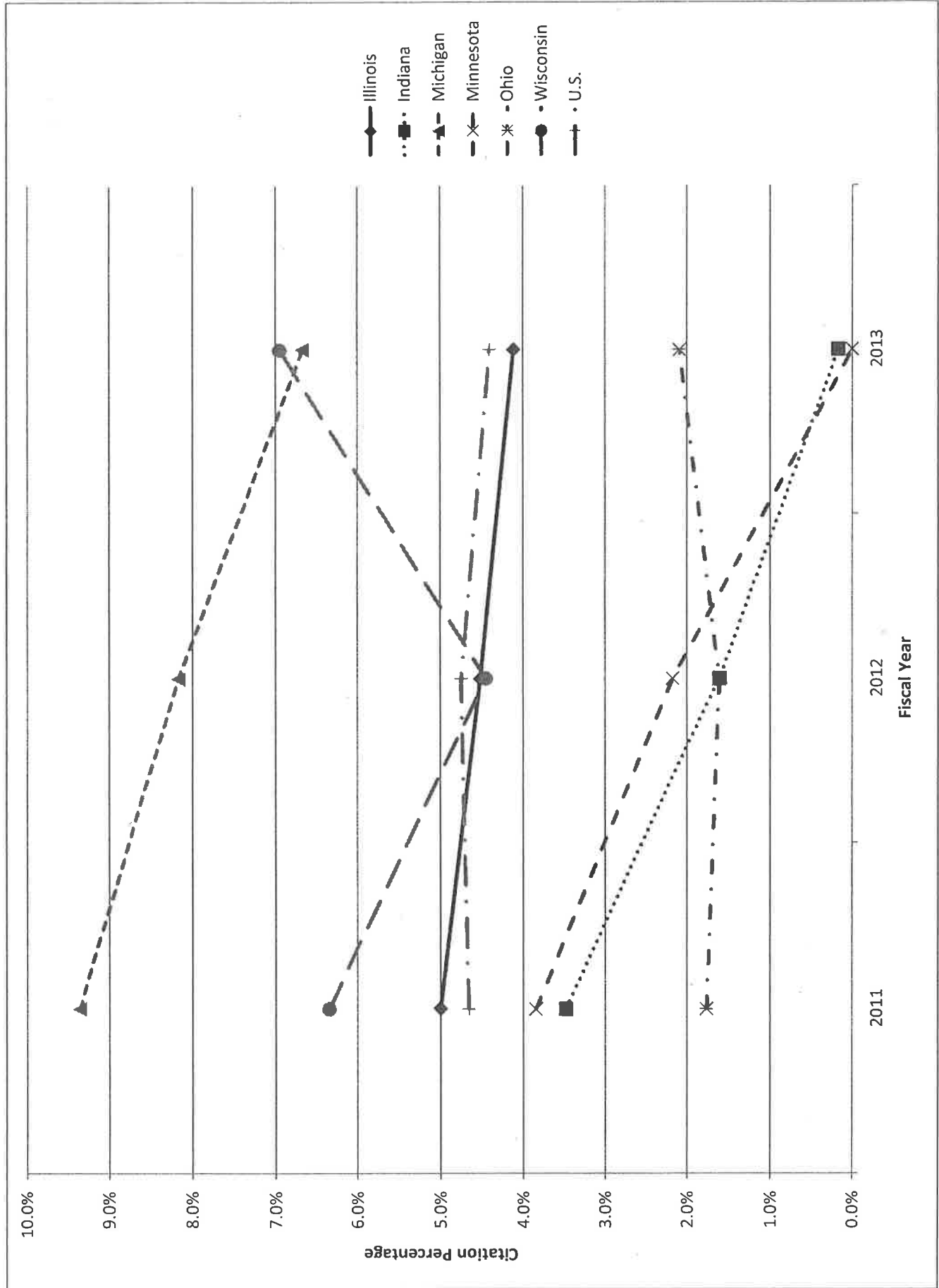
State	Average Number of Deficiencies Cited Per Survey		
	Standard Surveys		Complaint Surveys
Illinois	5.3		0.6
Indiana	6.1		1.0
Michigan	6.3		0.6
Minnesota	6.0		0.4
Ohio	4.3		0.6
Wisconsin	6.5		1.0
U.S.	5.7		0.6

Source: PDQ "Average Number of Deficiencies Report," run  
 November 18, 2013

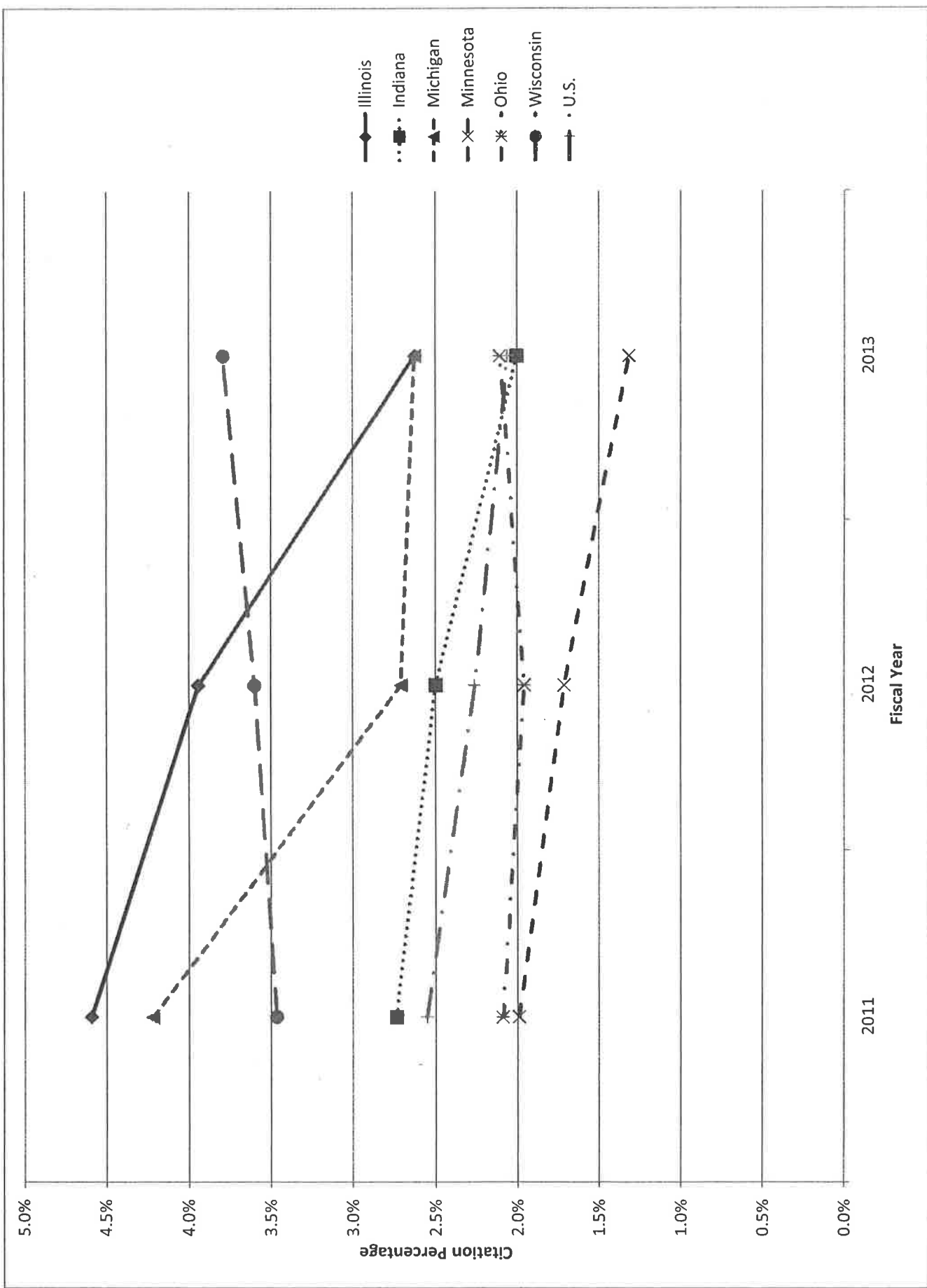
# Percentage of IJ Citations in Standard Surveys



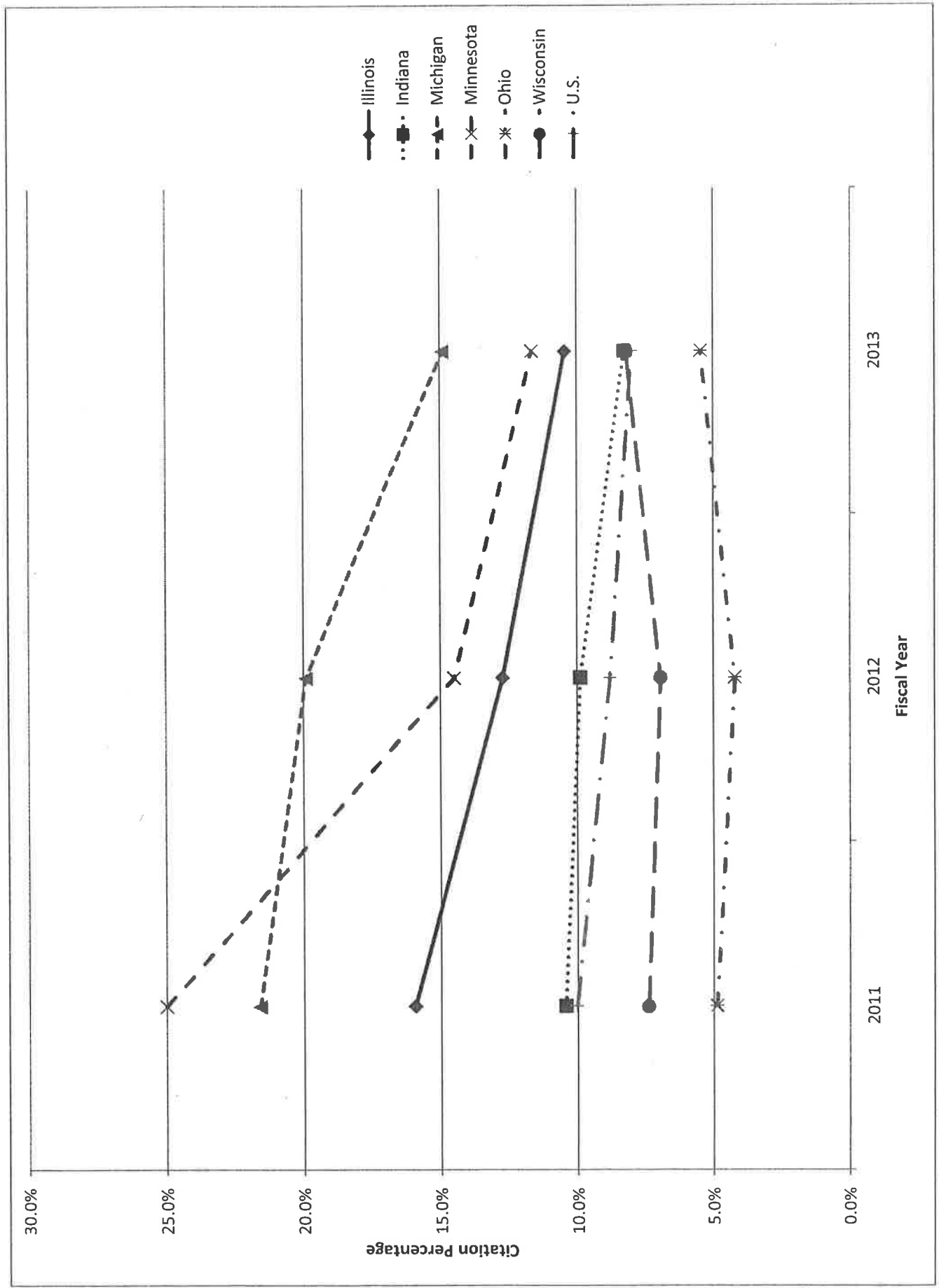
# Percentage of IJ Citations in Complaint Surveys



# Percentage of Harm Citations in Standard Surveys



# Percentage of Harm Citations in Complaint Surveys



Total Deficiencies Cited by Region V States and Nation by Severity Level  
on Standard and Complaint Surveys  
FY 2013

State	Standard Surveys		Complaint Surveys	
	Number Tags Cited	% Distribution	Number Tags Cited	% Distribution
Ohio				
Total deficiencies cited	2945	100.0%	1101	100.0%
Level 4	10	0.3%	23	2.1%
Level 3	62	2.1%	60	5.4%
Level 2	2710	92.0%	982	89.2%
Level 1	163	5.5%	36	3.3%
Wisconsin				
Total deficiencies cited	2242	100.0%	820	100.0%
Level 4	35	1.6%	57	7.0%
Level 3	85	3.8%	67	8.2%
Level 2	1998	89.1%	684	83.4%
Level 1	124	5.5%	12	1.5%
U. S.				
Total deficiencies cited	81713	100.0%	25429	100.0%
Level 4	671	0.8%	1121	4.4%
Level 3	1683	2.1%	2030	8.0%
Level 2	74593	91.3%	21445	84.3%
Level 1	4766	5.8%	833	3.3%

Notes: Level 1 deficiencies only include tags cited at Levels B and C  
Source: PDQ "Deficiency Count Report," run November 18, 2013

Total Deficiencies Cited by Region V States and Nation by Severity Level  
on Standard and Complaint Surveys  
FY 2013

State	Standard Surveys		Complaint Surveys	
	Number Tags Cited	% Distribution	Number Tags Cited	% Distribution
Illinois				
Total deficiencies cited	4117	100.0%	1312	100.0%
Level 4	42	1.0%	54	4.1%
Level 3	108	2.6%	137	10.4%
Level 2	3482	84.6%	1083	82.5%
Level 1	485	11.8%	38	2.9%
Indiana				
Total deficiencies cited	2897	100.0%	1335	100.0%
Level 4	5	0.2%	18	1.3%
Level 3	58	2.0%	110	8.2%
Level 2	2591	89.4%	1176	88.1%
Level 1	243	8.4%	31	2.3%
Michigan				
Total deficiencies cited	2628	100.0%	839	100.0%
Level 4	19	0.7%	56	6.7%
Level 3	69	2.6%	125	14.9%
Level 2	2330	88.7%	657	78.3%
Level 1	210	8.0%	1	0.1%
Minnesota				
Total deficiencies cited	1974	100.0%	103	100.0%
Level 4	9	0.5%	0	0.0%
Level 3	26	1.3%	12	11.7%
Level 2	1816	92.0%	91	88.3%
Level 1	123	6.2%	0	0.0%

Remedies In Effect  
Region V States and Nation  
FY 2013

Per Day CMPs	Total Amount In Effect	Average Amount in Effect	Average Time in Effect (days)	Number of Cases with an Effect Per Day CMP
Illinois	\$1,805,227	\$15,299	28	118
Indiana	\$751,918	\$9,765	27	77
Michigan	\$2,429,047	\$10,796	24	225
Minnesota	\$98,808	\$8,982	42	11
Ohio	\$1,449,599	\$16,288	35	89
Wisconsin	\$1,588,778	\$17,269	26	92
U.S.	\$47,887,820	\$27,601	33	1735

Per Instance CMPs	Total Amount In Effect	Average Amount in Effect	Number of Cases with an Effect Per Instance CMP
Illinois	\$35,125	\$2,509	14
Indiana	\$975	\$975	1
Michigan	\$100,598	\$5,295	19
Minnesota	\$24,740	\$2,062	12
Ohio	\$274,870	\$2,776	99
Wisconsin	\$50,528	\$2,807	18
U.S.	\$2,653,254	\$2,909	912

Denial of Payment for New Admissions (DOPNA)	Total Number In Effect	Number of Mandatory DOPNA In Effect	Number of Discretionary DOPNA In Effect
Illinois	19	8	11
Indiana	4	4	0
Michigan	22	9	13
Minnesota	9	7	2
Ohio	18	12	6
Wisconsin	17	2	15

Source: CMP data: S&C PDQ "Civil Money Penalty (CMP) Report," run 11/25/2013  
DOPNA data: "AEM Nursing Home Denial of Payment Report," run 11/20/2013



Top 10 Citations Cited by Region V States and Nation  
on Standard and Complaint Surveys  
FY 2013

Nation	Standard Surveys		Complaint Surveys	
	Tag #	% Surveys Cited	Tag #	% Surveys Cited
U.S.  # Standard Surveys = 14647  # Complaint Surveys = 45996	F0441	37.5%	F0323	5.7%
	F0371	35.1%	F0309	4.2%
	F0323	29.6%	F0225	2.8%
	F0309	24.4%	F0157	2.8%
	F0329	23.6%	F0441	2.2%
	F0279	21.3%	F0226	2.2%
	F0431	19.5%	F0514	2.2%
	F0241	16.3%	F0281	2.0%
	F0514	15.0%	F0279	1.8%
	F0281	14.1%	F0314	1.7%

NOTE: If more than one deficiency had the same percentage and that percentage was the 10th on the list, all of the deficiencies with that percentage are listed. This may make some States have more than 10 deficiencies listed.

Source: PDQ "Citation Frequency Report" - run for States, November 18, 2013 and for Nation, December 2, 2013

Top 10 Citations Cited by Region V States and Nation  
on Standard and Complaint Surveys  
FY 2013

State	Standard Surveys		Complaint Surveys	
	Tag #	% Surveys Cited	Tag #	% Surveys Cited
Minnesota  # Standard Surveys = 328  # Complaint Surveys = 262	F0371	40.5%	F0226	5.3%
	F0329	37.8%	F0225	5.0%
	F0282	37.5%	F0323	3.1%
	F0441	35.7%	F0157	2.7%
	F0309	31.1%	F0309	2.7%
	F0428	25.6%	F0241	1.9%
	F0323	24.4%	F0315	1.9%
	F0279	22.9%	F0441	1.5%
	F0431	22.9%	F0246	1.1%
	F0226	22.3%	F0279	0.8%
			F0325	0.8%
			F0280	0.8%
			F0166	0.8%
			F0465	0.8%
		F0282	0.8%	
		F0353	0.8%	
Ohio  # Standard Surveys = 684  # Complaint Surveys = 1,836	F0329	33.2%	F0323	5.4%
	F0371	26.5%	F0309	5.3%
	F0309	25.1%	F0157	3.5%
	F0441	24.3%	F0225	3.5%
	F0323	23.4%	F0441	3.3%
	F0279	19.9%	F0514	2.8%
	F0241	16.8%	F0226	2.5%
	F0431	12.1%	F0314	2.2%
	F0314	12.1%	F0279	1.6%
F0514	10.8%	F0329	1.6%	
Wisconsin  # Standard Surveys = 344  # Complaint Surveys = 845	F0441	54.7%	F0225	11.2%
	F0371	48.8%	F0323	7.8%
	F0314	39.2%	F0157	6.5%
	F0323	35.8%	F0309	6.2%
	F0329	32.6%	F0514	4.5%
	F0282	28.5%	F0441	4.4%
	F0315	25.9%	F0314	4.3%
	F0225	23.8%	F0279	3.3%
	F0279	21.8%	F0226	3.2%
F0309	20.3%	F0425	3.1%	

Top 10 Citations Cited by Region V States and Nation  
on Standard and Complaint Surveys  
FY 2013

State	Standard Surveys		Complaint Surveys	
	Tag #	% Surveys Cited	Tag #	% Surveys Cited
Illinois  # Standard Surveys = 780  # Complaint Surveys = 2,327	F0441	47.3%	F0323	8.9%
	F0323	38.3%	F0309	5.2%
	F0371	27.1%	F0225	4.6%
	F0226	22.4%	F0157	4.2%
	F0309	21.7%	F0314	3.3%
	F0329	20.0%	F0226	3.2%
	F0225	20.0%	F0441	2.1%
	F0315	20.0%	F0333	1.6%
	F0314	19.0%	F0246	1.5%
	F0465	15.8%	F0312	1.3%
Indiana  # Standard Surveys = 476  # Complaint Surveys = 1,266	F0282	39.7%	F0309	8.9%
	F0371	35.9%	F0323	8.8%
	F0329	35.5%	F0282	8.5%
	F0441	33.8%	F0157	7.7%
	F0279	33.0%	F0226	5.2%
	F0323	31.1%	F0225	4.6%
	F0309	24.4%	F0514	4.6%
	F0241	20.8%	F0441	4.2%
	F0465	20.0%	F0314	4.1%
F0431	19.5%	F0279	3.1%	
Michigan  # Standard Surveys = 416  # Complaint Surveys = 1,462	F0441	49.3%	F0323	12.2%
	F0323	45.4%	F0309	4.7%
	F0371	40.6%	F0223	3.4%
	F0329	37.0%	F0241	3.2%
	F0465	25.7%	F0225	2.8%
	F0314	25.2%	F0281	2.7%
	F0279	22.6%	F0226	2.5%
	F0309	22.4%	F0157	2.3%
	F0226	18.3%	F0224	2.1%
F0431	17.5%	F0425	1.5%	

List of Top Citations on Top 10 Report for Region V and Nation  
on Standard and Complaint Surveys  
FY 2013

Tag #	Description
F0157	INFORM OF ACCIDENTS/SIG CHANGES/TRANSFER/ETC
F0166	PROMPT EFFORTS TO RESOLVE GRIEVANCES
F0223	RESIDENTS RIGHT TO BE FREE FROM ABUSE
F0224	PROHIBIT MISTREATMENT/NEGLECT/MISAPPROPRIATION
F0225	NOT EMPLOY PERSONS GUILTY OF ABUSE
F0226	POLICIES, PROCEDURES PROHIBIT ABUSE, NEGLECT
F0241	DIGNITY
F0246	REASONABLE ACCOMMODATION OF NEEDS/PREFERENCES
F0279	DEVELOP COMPREHENSIVE CARE PLANS
F0280	PARTICIPATE IN PLANNING CARE AND TREATMENT OR CHANGES IN SUCH
F0281	SERVICES PROVIDED MEET PROFESSIONAL STANDARDS
F0282	SERVS BY QUALIFIED PERSONS IN ACCORD W/ CARE PLAN
F0309	PROVIDE NECESS CARE FOR HIGHEST PRAC WELL BEING
F0312	ADL CARE PROVIDED FOR DEPENDENT RESIDENTS
F0314	PROPER TREATMENT TO PREVENT/HEAL PRESSURE SORES
F0315	RES NOT CATHETERIZED UNLESS UNAVOIDABLE
F0323	FACILITY IS FREE OF ACCIDENT HAZARDS
F0325	MAINTAIN NUTRITIONAL STATUS UNLESS UNAVOIDABLE
F0329	DRUG REGIMEN IS FREE FROM UNNECESSARY DRUGS
F0333	RESIDENTS FREE FROM SIGNIFICANT MED ERRORS
F0353	SUFFICIENT NURSING STAFF
F0371	STORE/PREPARE/DISTRIB FOOD UNDER SANITARY CONDS
F0425	FACILITY PROVIDES DRUGS & BIOLOGICALS
F0428	DRUG REGIMEN REVIEW, REPORT IRREGULAR, ACT ON
F0431	PROPER LABELING OF DRUGS & BIOLOGICALS
F0441	FACILITY ESTABLISHES INFECTION CONTROL PROG
F0465	SAFE/FUNCTIONAL/SANITARY/COMFORTABLE ENVIRONMENT
F0514	CLINICAL RECORDS MEET PROFESSIONAL STANDARDS

# **Top Ten Health Deficiencies and Helpful Hints to Avoid Them** **(Deficiency numbers for RO V from FY13)**

## **1. F323 FREE OF ACCIDENT HAZARDS/SUPERVISION/DEVICES**

- Failure to provide the necessary care and services to prevent falls. This includes failure to implement safety interventions, provide adequate supervision and/or safety devices to provide for safe transfers, modifying interventions as necessary and training of staff.
- Failure to prevent resident elopement.
- Failure to provide supervision to prevent resident accessibility to hazardous chemicals.
- Failure to maintain safe water temperatures.
- Failure to assess a resident's capability to smoke safely and to provide appropriate supervision or other safety measures.
- Failure to assess side rail safety.
- Failure to supervise residents to prevent altercations.

## **2. F441 INFECTION CONTROL, PREVENT SPREAD/LINENS**

- Failure to follow current standards of practice related to proper hand hygiene.
- Failure to implement and maintain an effective Infection Control Surveillance Program.
- Failure to properly disinfect glucometer between resident use.
- Failure to follow proper isolation precautions.
- Failure to implement proper infection control practices during resident care such as wound or catheter care.

## **3. F309 PROVIDE CARE/SERVICES FOR HIGHEST WELL BEING**

- Failure to properly manage resident's pain.
- Failure to provide the necessary care and services for non-pressure related skin ulcers and/or wound, end-of-life (hospice) services and dialysis.

## **4. F 371 SANITARY CONDITIONS**

- Failure to label and date opened foods in the refrigerator and freezer.
- Failure to monitor dishwasher temperatures, refrigerator and freezer temperatures.
- Failure to maintain appropriate sanitizing solution used in the kitchen.
- Failure to air dry pots and pans prior to storage.

- Failure to maintain safe serving temperatures of foods on the tray line.
- Failure to use proper hand hygiene during preparation and serving of food.
- Failure to wear proper hair restraint in the kitchen.

## 5. F 329 UNNECESSARY DRUGS

- Failure to ensure residents are free from:
  - Excessive dose (includes duplicative therapy),
  - Excessive duration,
  - Without adequate monitoring,
  - Without adequate indication for use,
  - In the presence of adverse consequences which indicate dosage should be reduced or discontinued.
- Failure to adequately monitor behaviors during the time a resident is receiving psychoactive medication(s) (antipsychotics, hypnotics, antidepressants, mood stabilizers and anxiolytics.)
- Failure to ensure that residents are not given antipsychotic medication unless antipsychotic drug therapy is necessary to treat a specific diagnosed condition.
- Failure to attempt periodic gradual dose reductions (for any medication.)
- Failure to initiate non-pharmacological interventions prior to or in conjunction with medication use.
- Failure to monitor antibiotic therapy.
- Failure to monitor anticoagulant therapy.
- Failure to monitor for excessive dosage of Acetaminophen.

### F225

## 6. ABUSE PREVENTION

- Failure to report alleged violations of abuse including injuries of unknown source, misappropriation of resident property, resident-to-resident or staff to resident altercations.
- Failure to conduct a thorough and timely investigation of any allegation of abuse.
- Failure to *immediately* report allegations of abuse to the Administrator and State Agency. This includes failure to report *prior* to the facility conducting its investigation.

## 7. F314 PRESSURE ULCERS

- Failure to assess pressure ulcer risk and implement appropriate preventive measures.
- Failure to promote healing of pressure ulcers and prevent new pressure ulcers from developing. This includes failure to conduct timely and thorough assessments, have

appropriate treatment orders and implement individualized pressure ulcer prevention plans.

- Failure to properly and consistently implement physician orders for wound care.
- Failure to turn and reposition the resident according to their individualized assessment.
- Failure to prevent infection or deterioration of existing pressure ulcers.

#### **8. F 279 Comprehensive Care Plans**

- Failure to develop a comprehensive care plan based on the resident's RAI. Examples include (but are not limited to) pressure ulcers, falls or manage behaviors.

#### **9. F 226 ABUSE (DEVELOPMENT AND OPERATIONALIZATION OF POLICY)**

- Failure to operationalize the facility's abuse policy.
- Failure to operationalize the requirements of the Elder Justice Act ("Reasonable Suspicion of a Crime") including the required posting and training of staff.
- Failure to develop and operationalize an abuse policy that specifies "immediate" reporting.

#### **10. F282 SERVICES BY QUALIFIED PERSONS**

- Failure to follow individualized interventions as specified in resident's plans of care.
- Failure to provide qualified staff to implement the residents' plan of care.
- Failure to follow physician orders in accordance with the residents plan of care