

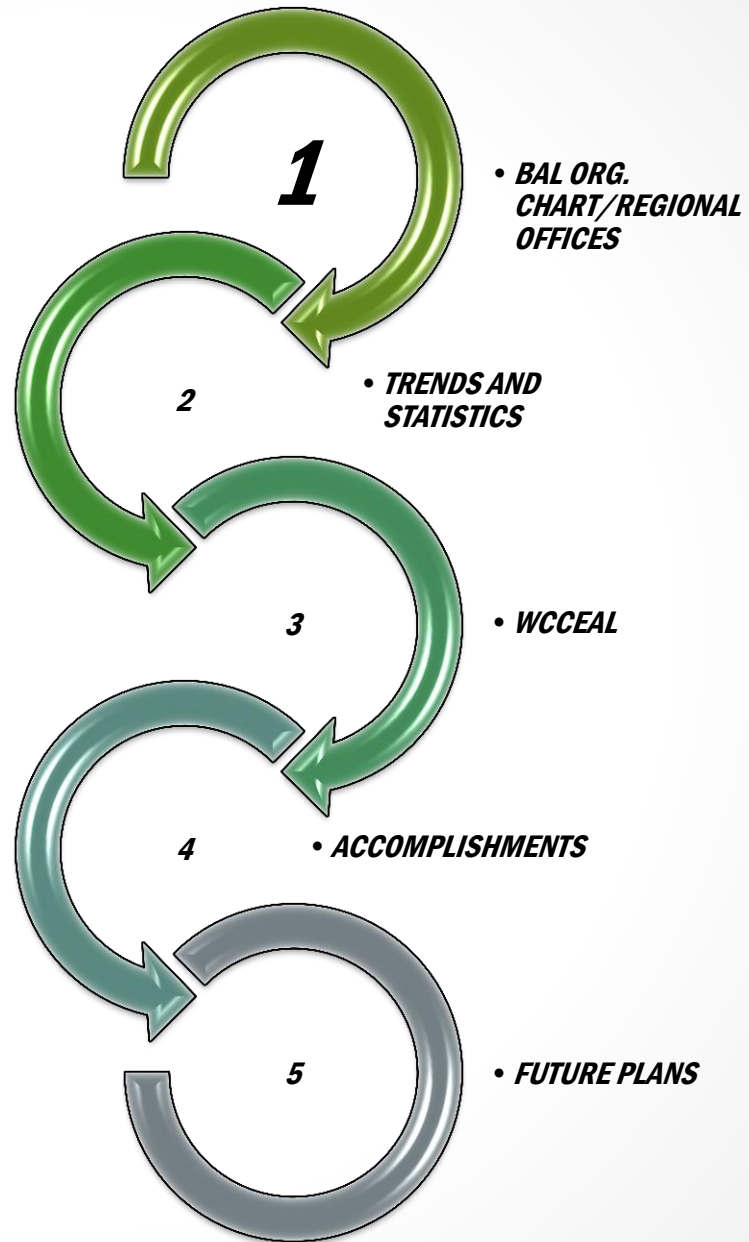


# **STATE OF ASSISTED LIVING**

*January 2014-June 2014*

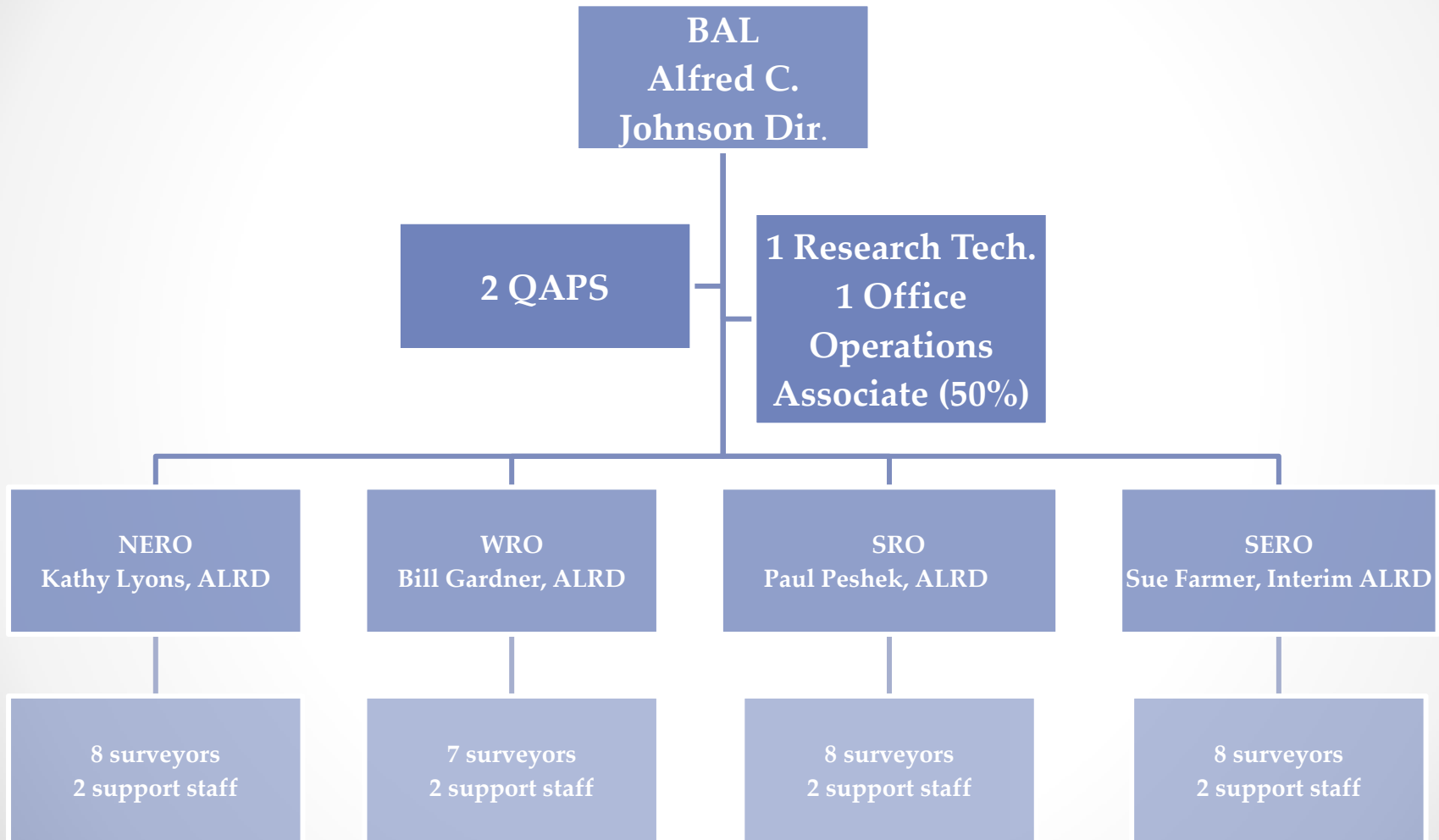


# AGENDA





# BAL Org. Chart





# 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

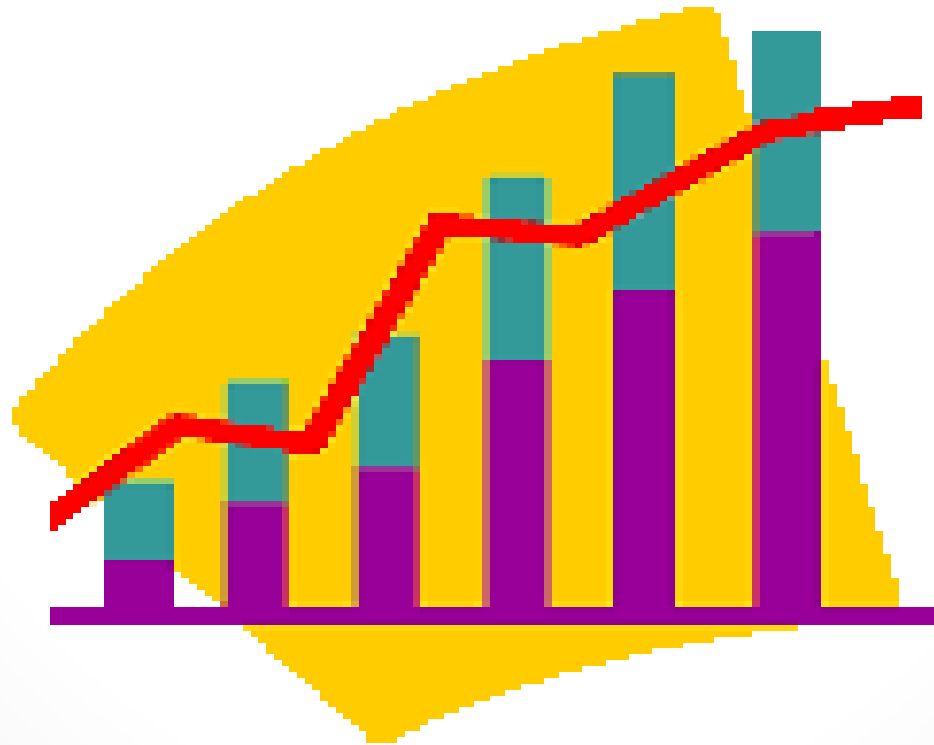
- Columbia, Crawford, Dane, Dodge, Grant, Green, Iowa, Jefferson, Lafayette, Richland, Rock, Sauk, Walworth, Waukesha

## 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



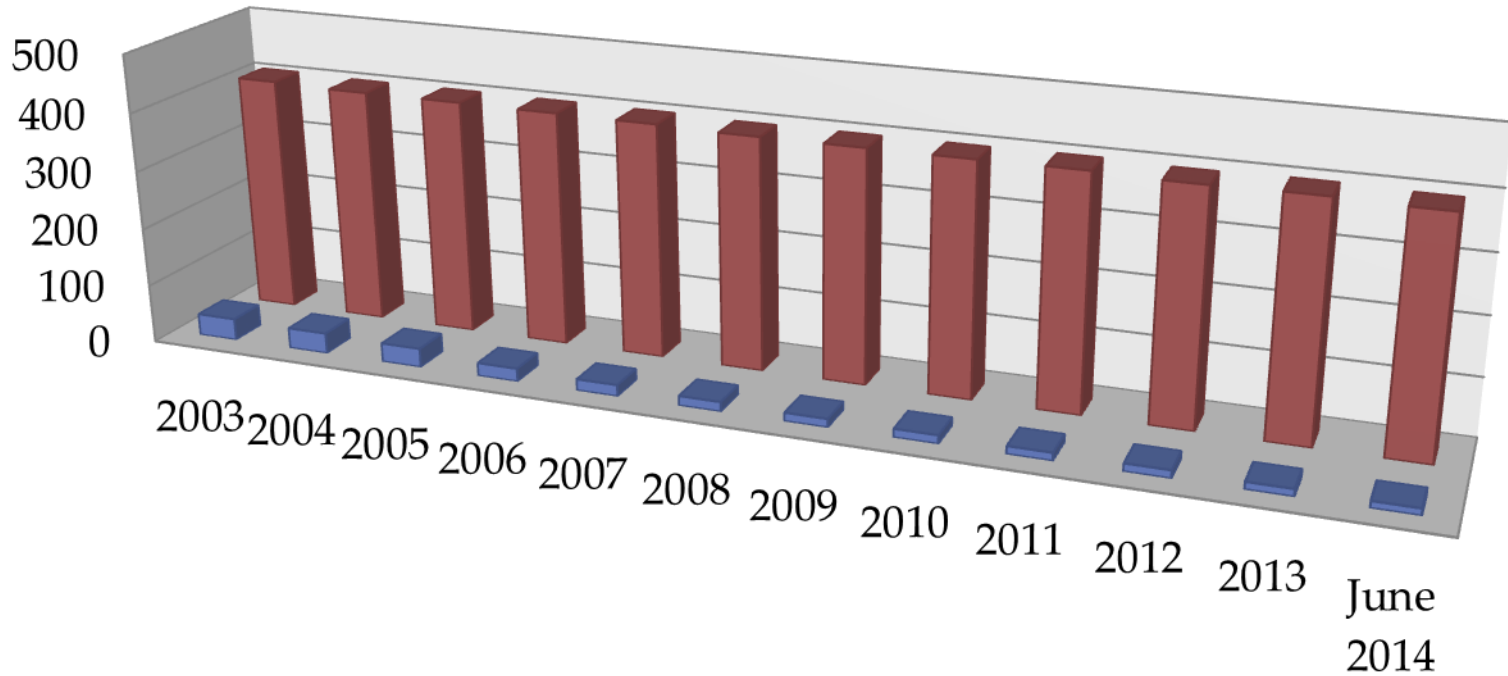
# Trends & Statistics





# Nursing Home & FDDs

## Trend in Number of Facilities

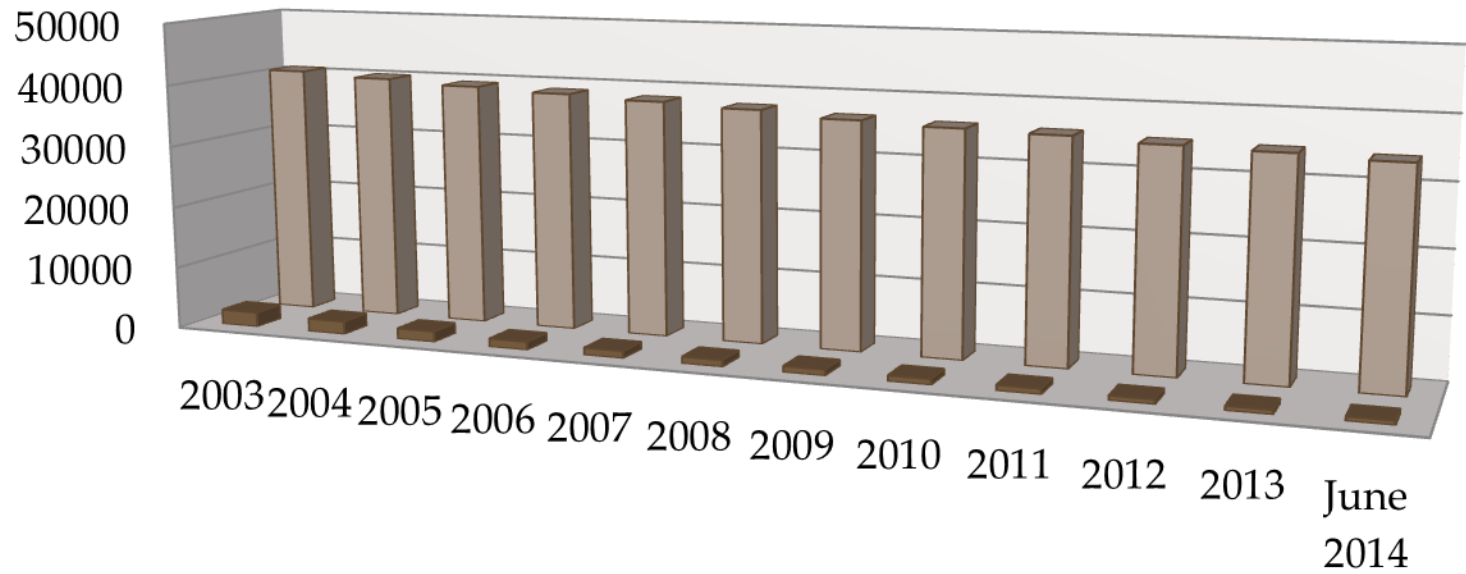


	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	June 2014
FDDs	37	35	32	22	19	16	14	14	13	13	12	11
NHs	407	404	404	403	402	399	399	399	400	397	399	396



# Nursing Home & FDD

## Trend in Capacity for Residents



	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	June 2014
FDDs	2391	2115	1734	1354	1190	1102	989	939	908	768	720	689
NHs	40661	39959	39276	38700	38106	37494	36557	36022	35661	34992	34639	34071



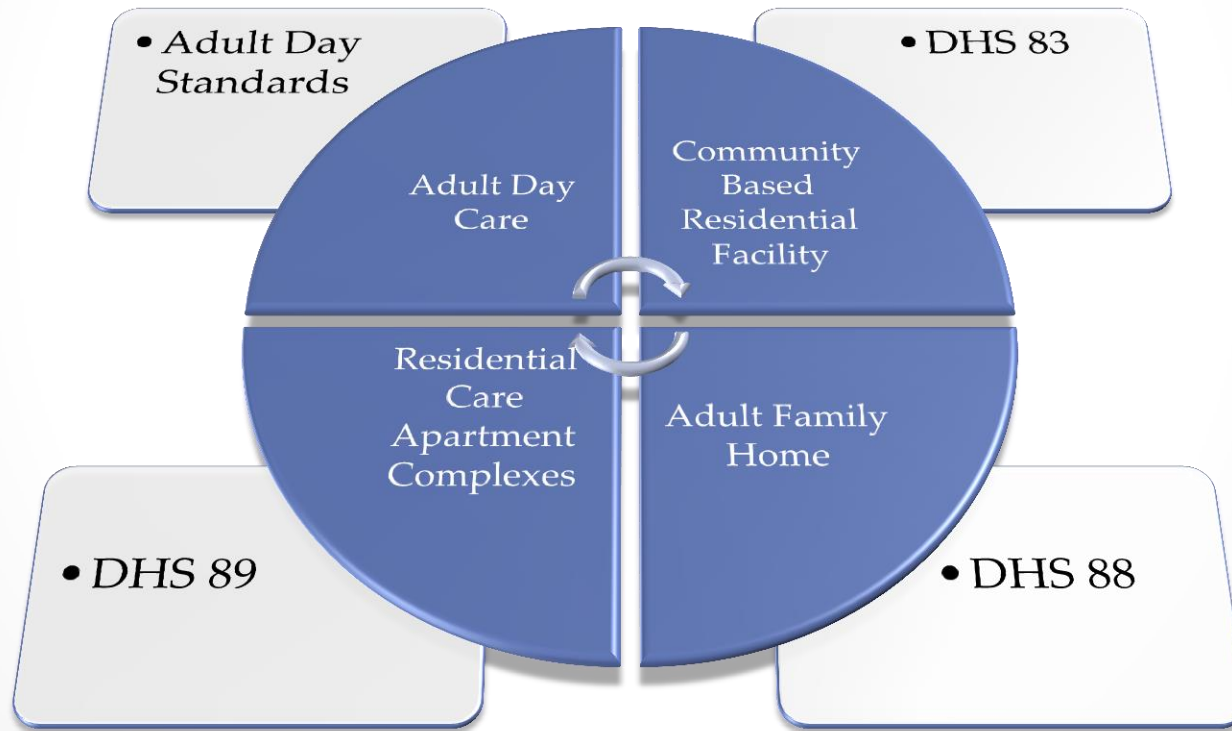
# Wisconsin Assisted Living 35<sup>th</sup> Consecutive Year of Growth!!







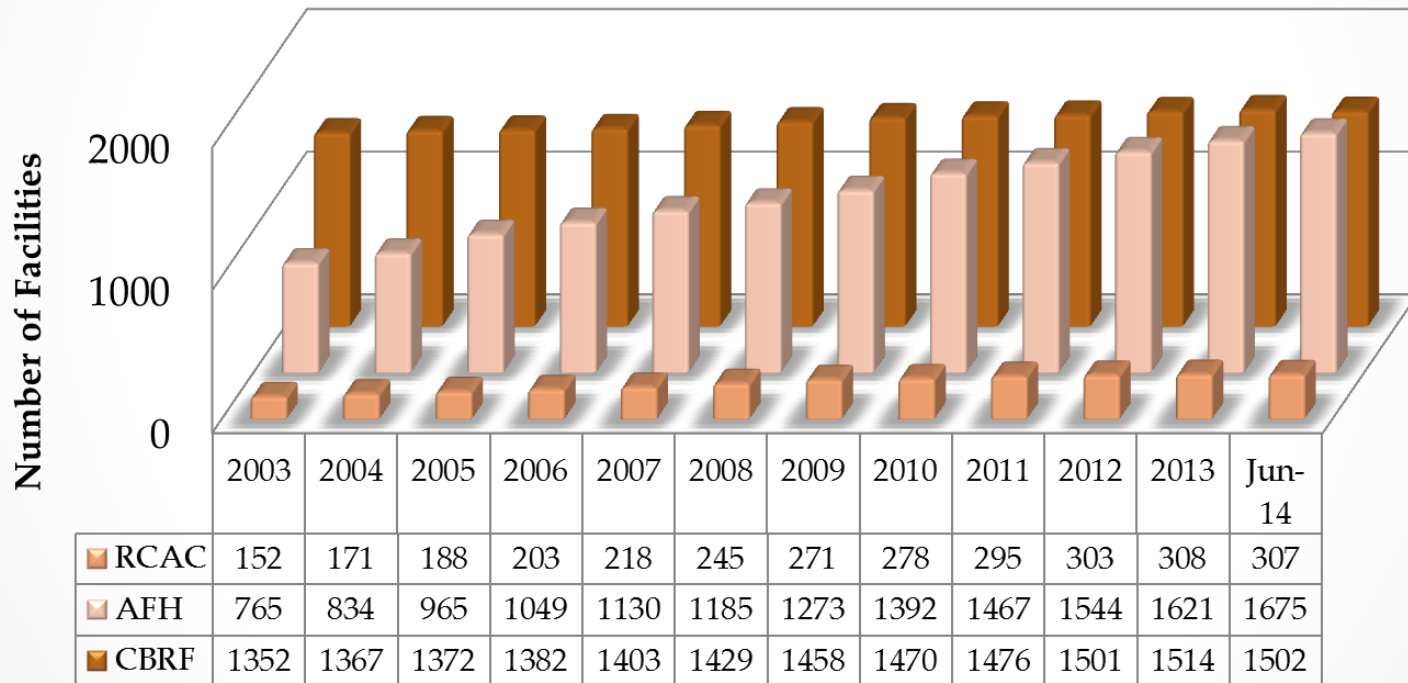
# Wisconsin Assisted Living Communities





# Assisted Living

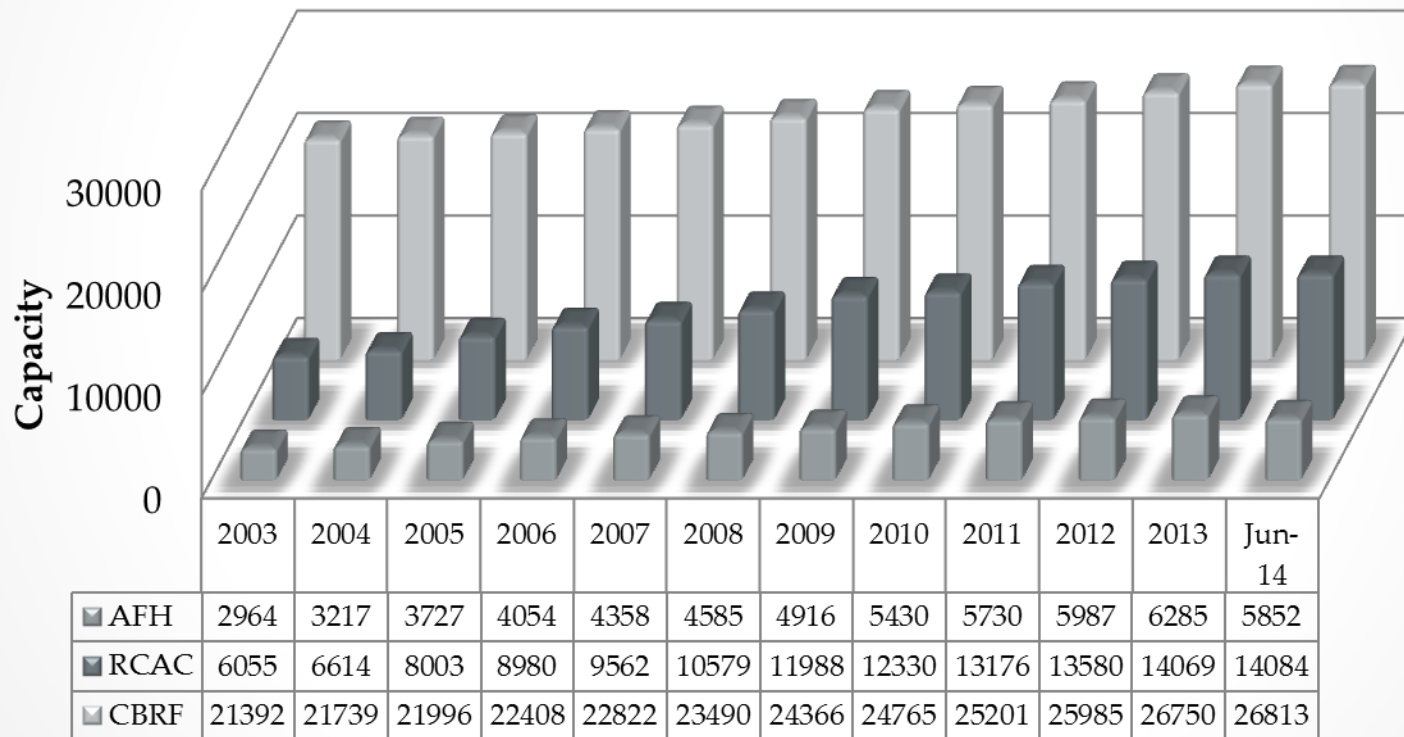
## Trend in Number of Facilities





# Assisted Living

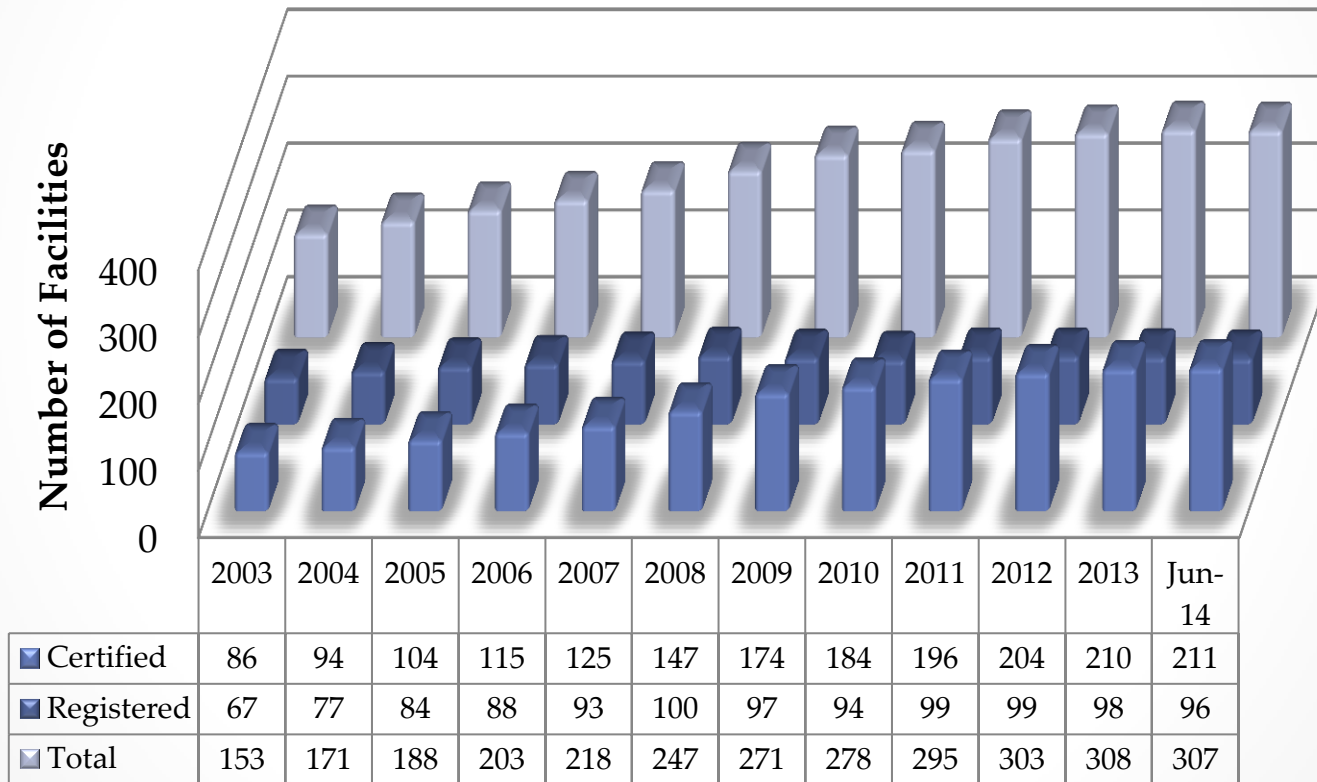
## Trend in Assisted Living Capacity





# RCACs

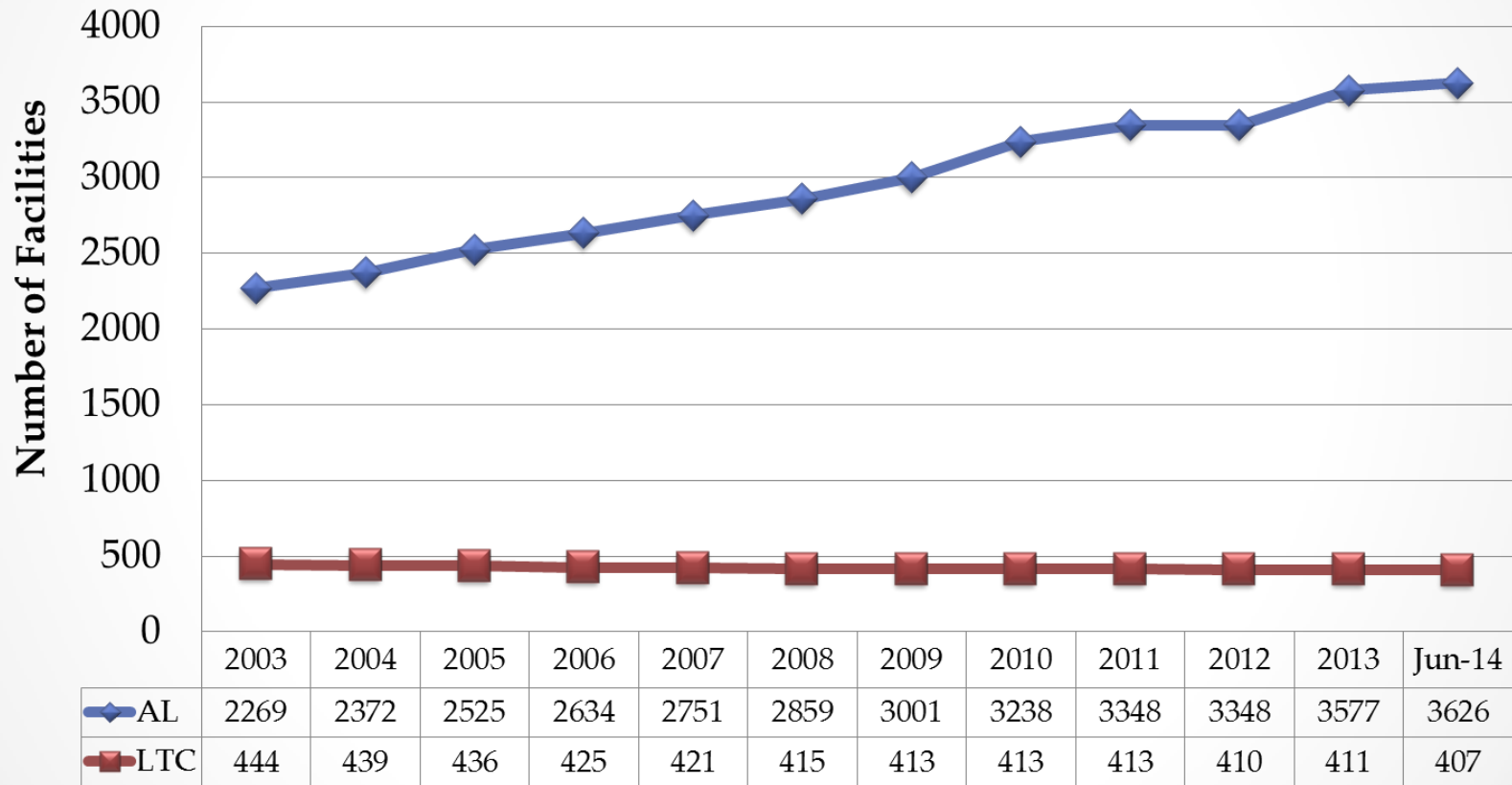
## Certified vs. Registered





# AL vs. LTC

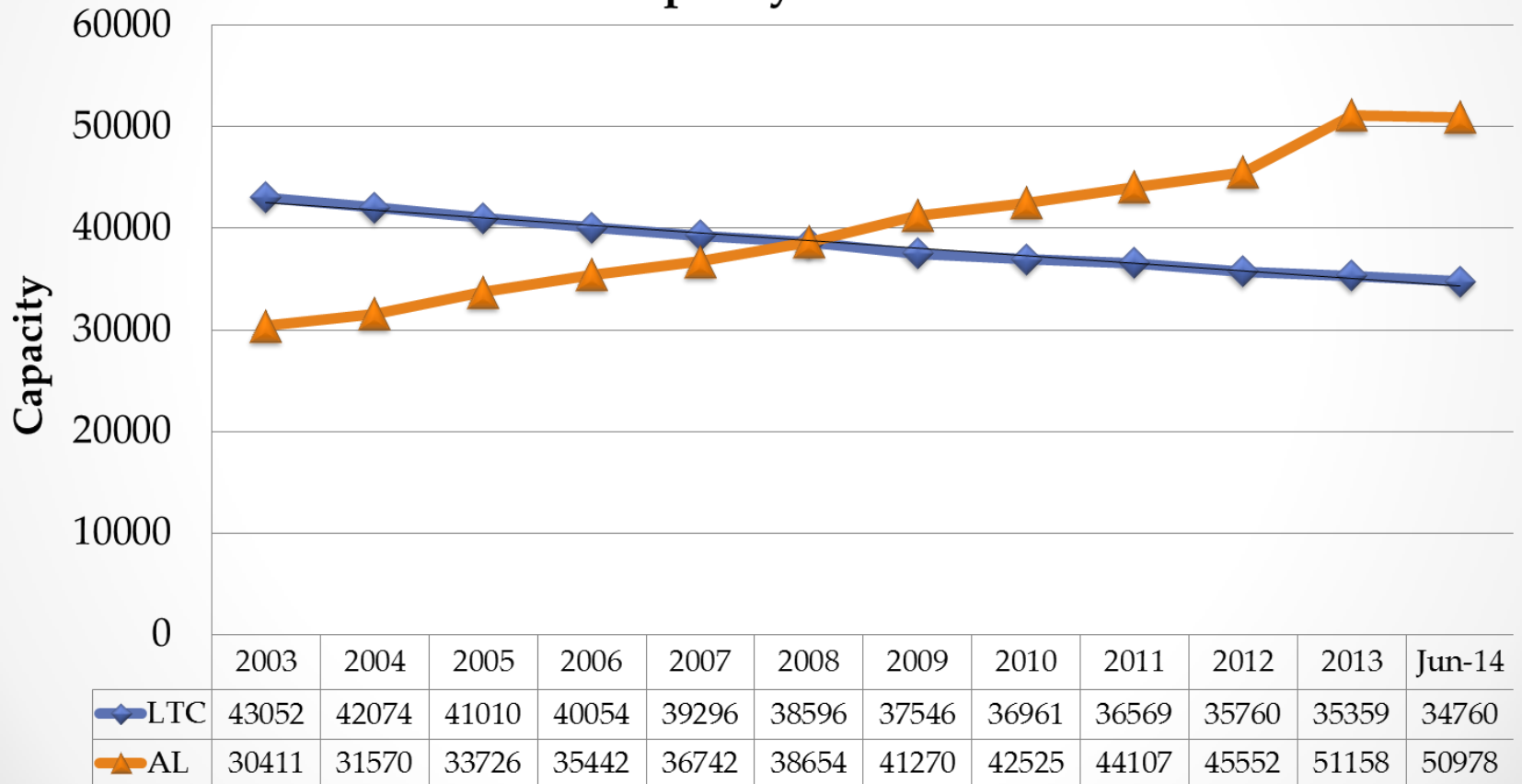
## Trend in Number of Facilities





# AL vs. LTC

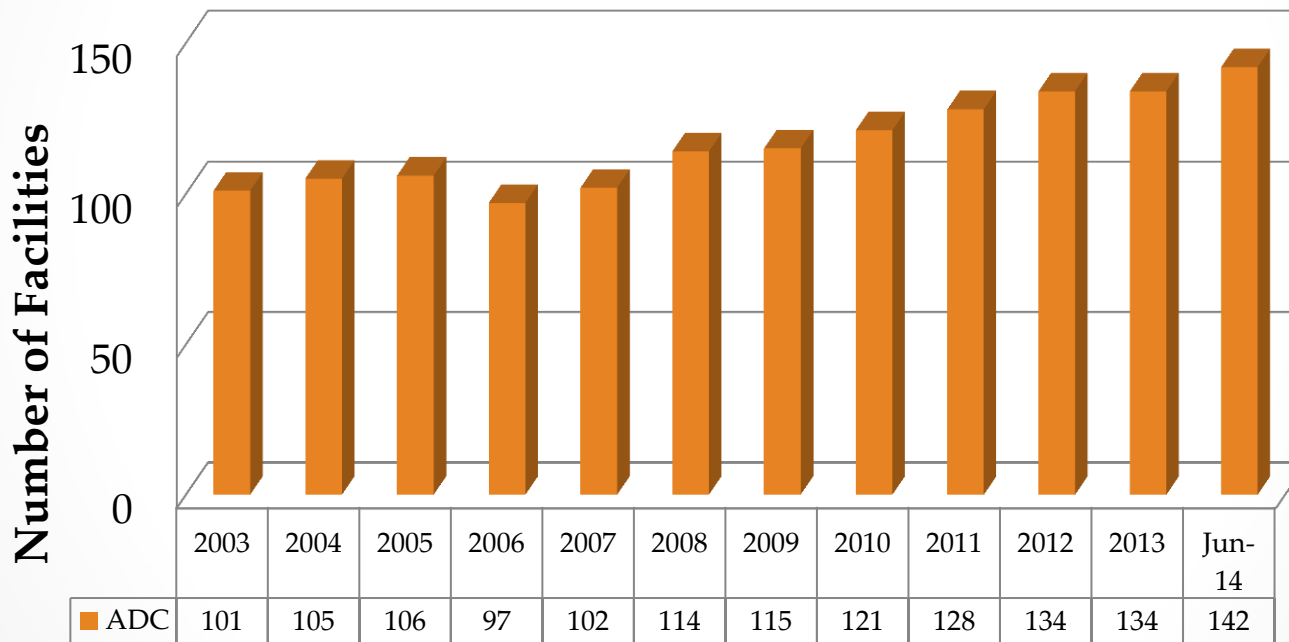
## Trend in Capacity for Residents





# Adult Day Care Facilities

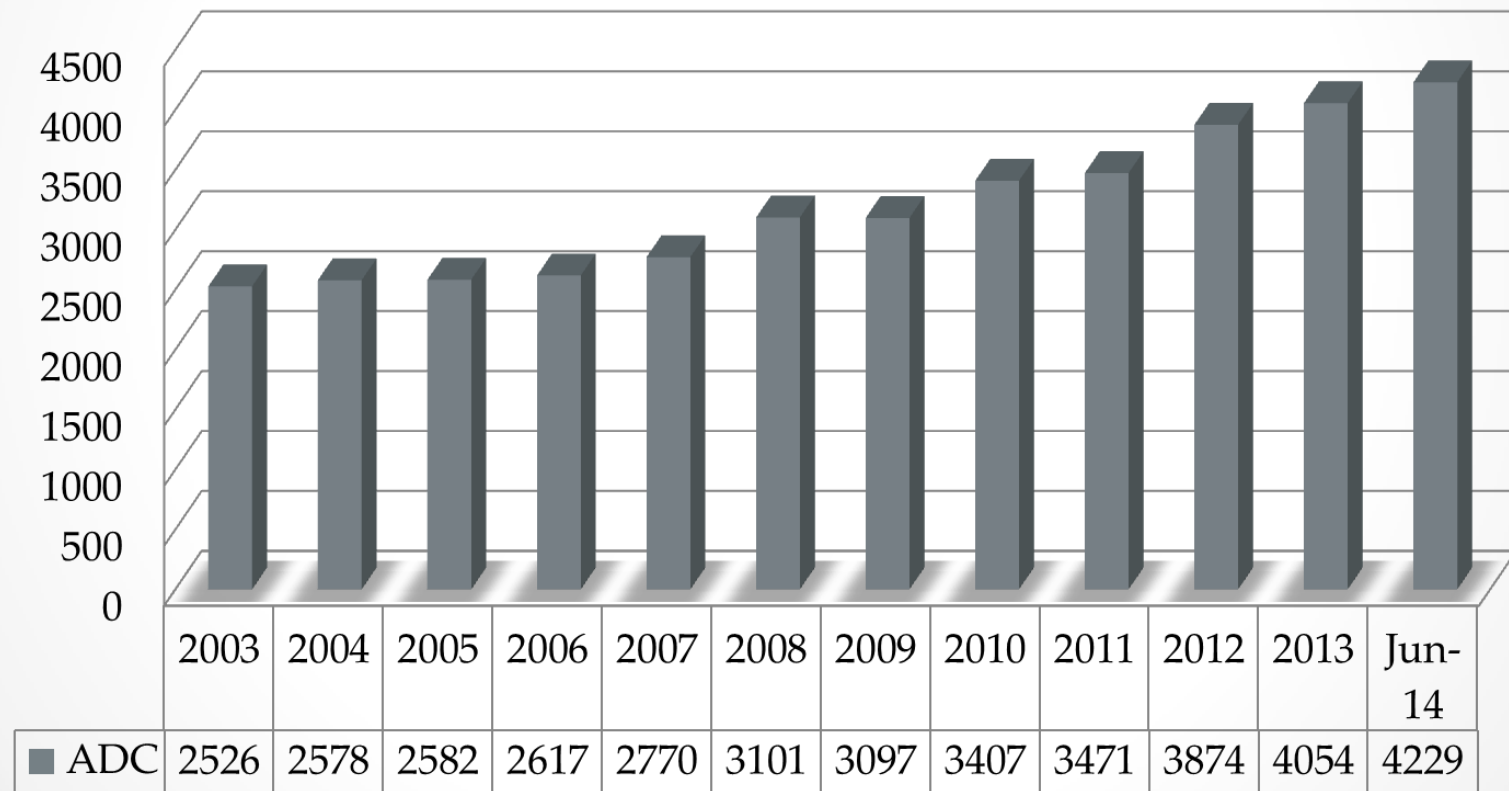
## Trend in Number of Facilities





# Adult Day Care Facilities

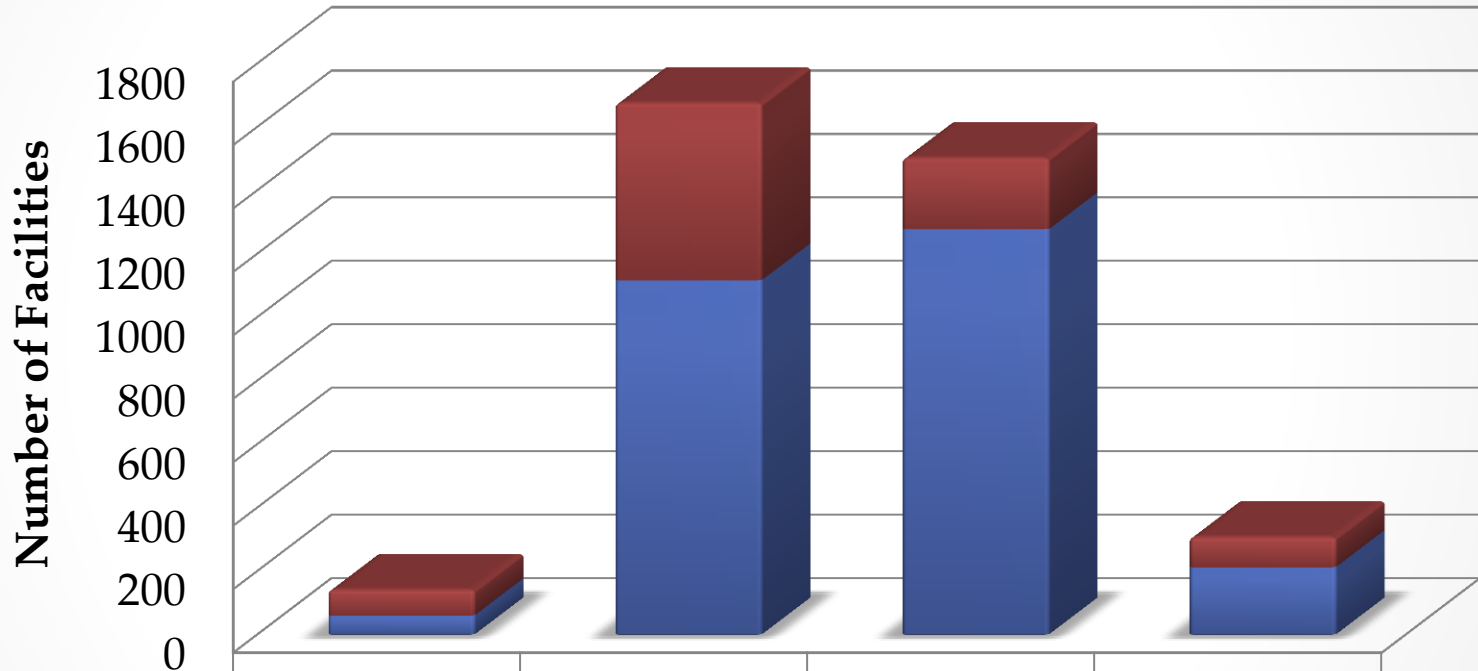
## Trend in the Capacity for Participants







# Assisted Living Facilities by Affiliation



■ Independent

■ Affiliated

ADC

AFH

CBRF

RCAC

81

559

225

95

60

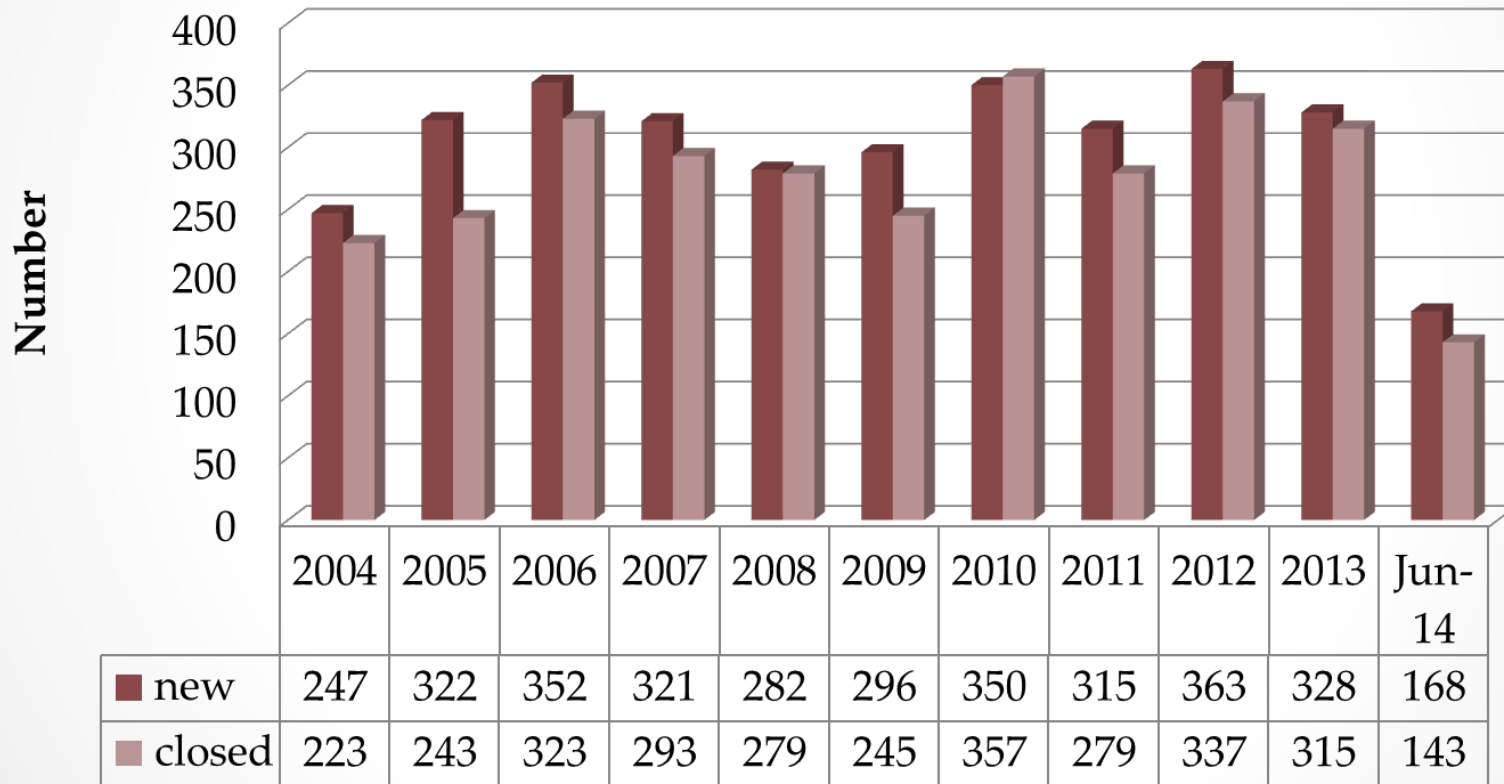
1116

1277

212

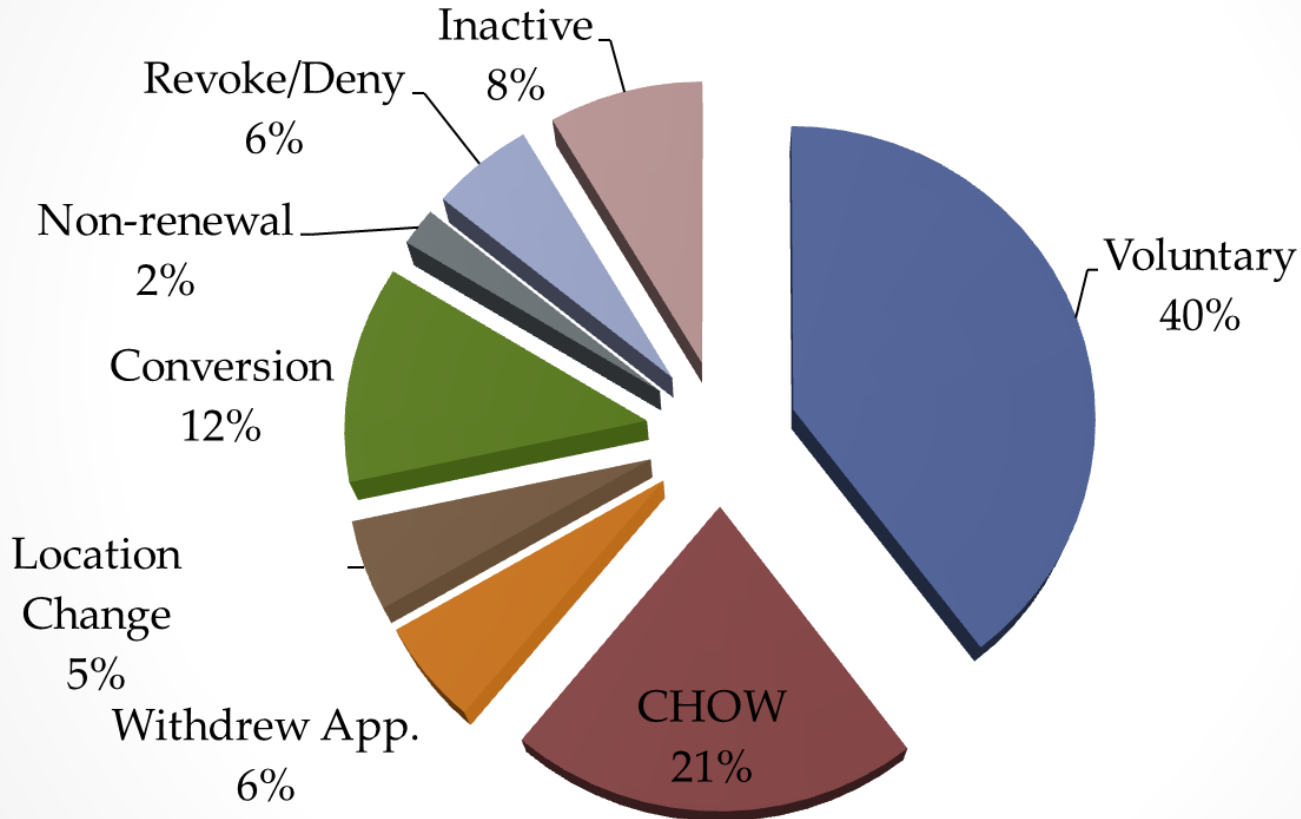


# New AL vs. Closed AL





# Why Facilities Closed June 2014





# Post Survey Questionnaire



- Jun 2014 – 32 respondents
- Satisfaction with survey tasks  
95.00 %
- On Site - 4.60
  - Knowledgeable - 4.64
  - Professional - 4.69
  - Respectful - 4.68
- SOD – 4.21

1 = strongly disagree  
5 = strongly agree





**An effective enforcement process can help move an industry to improved quality...**





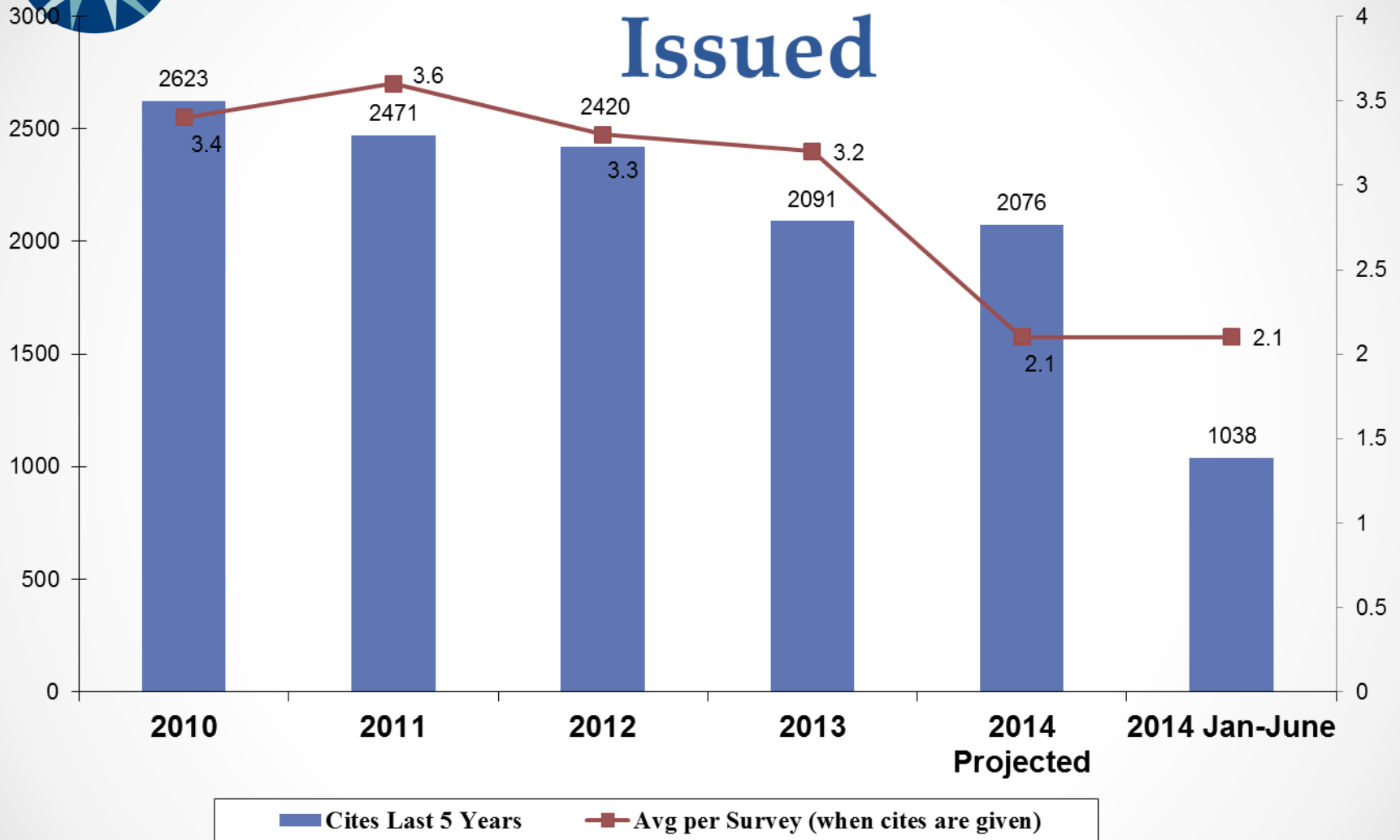
# BAL Enforcement Philosophy

**Use enforcement to help move the industry to quality**

1. Use sanctions that can improve systemic concerns so communities can correct and sustain compliance
2. Progressive sanctions
3. Aggressive action against the communities with persistent or serious noncompliance
4. Collaborate with other agencies, including Advocates, OCQ, DSPS, OIG, Counties, MCOs and Department of Justice and Attorney General



# Assisted Living Citations Issued





# Top Ten Cites w/ forfeiture – CBRF 2014 Jan - June

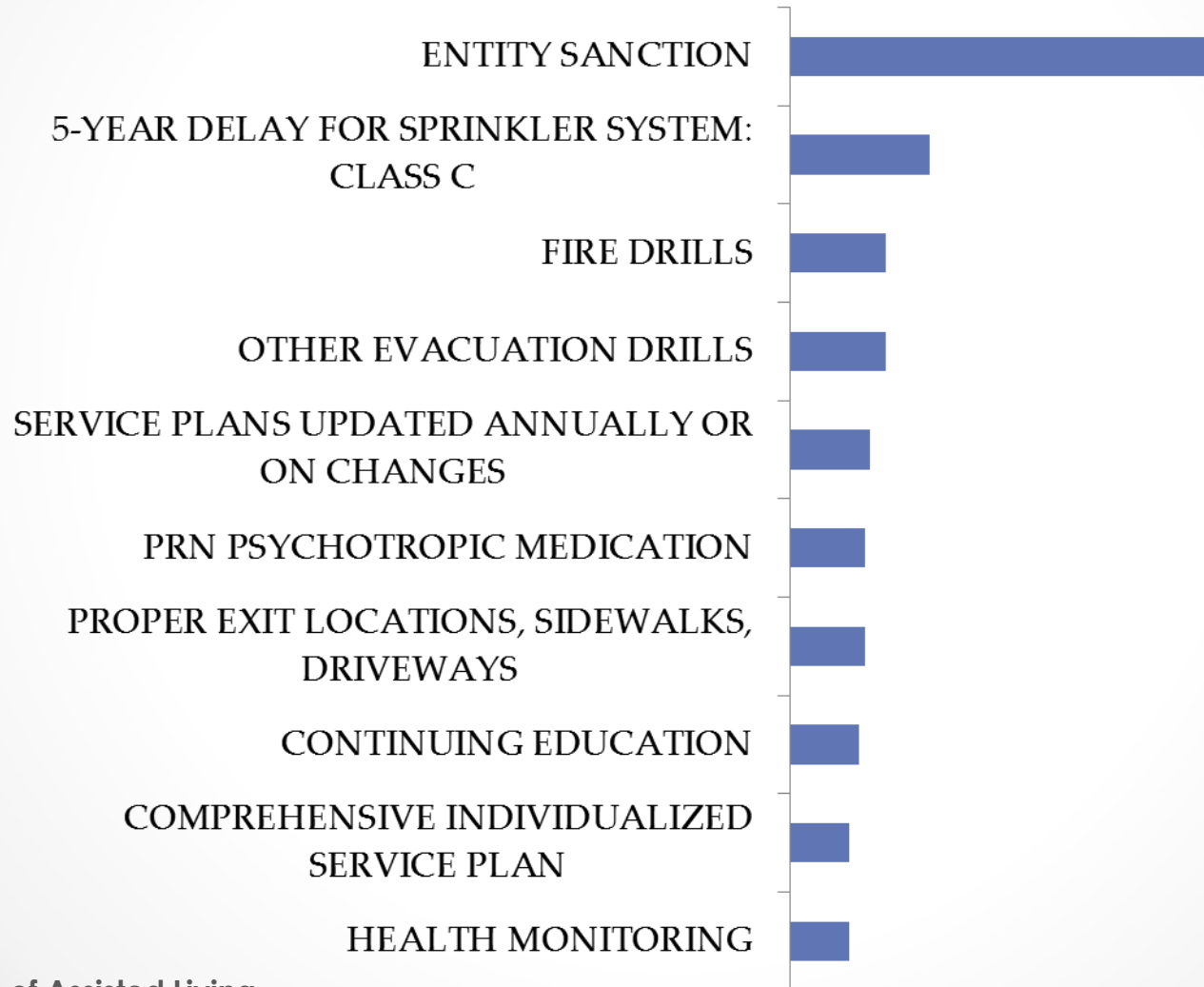




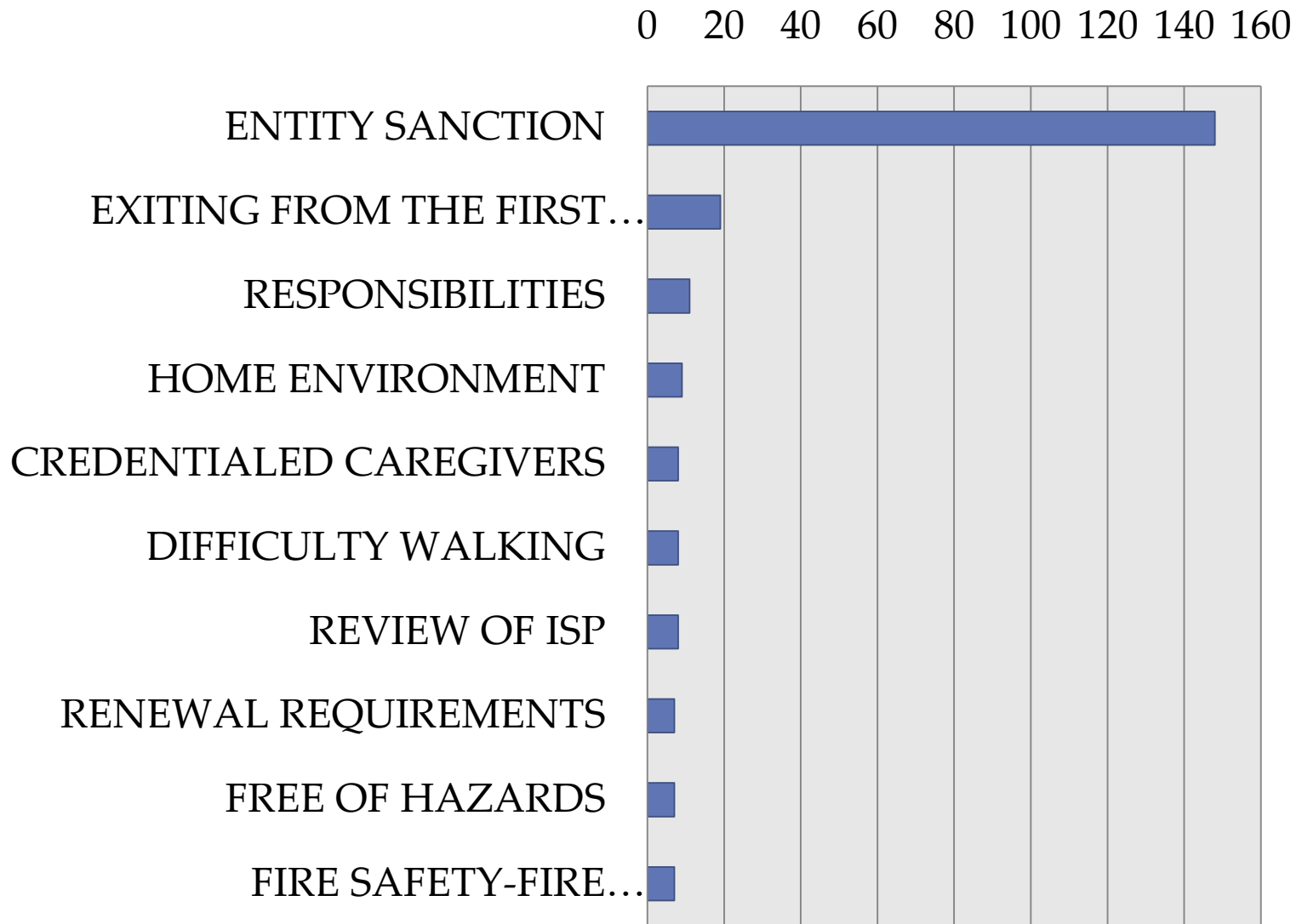


# Top Ten Citations – CBRF

## 2014 Jan – June

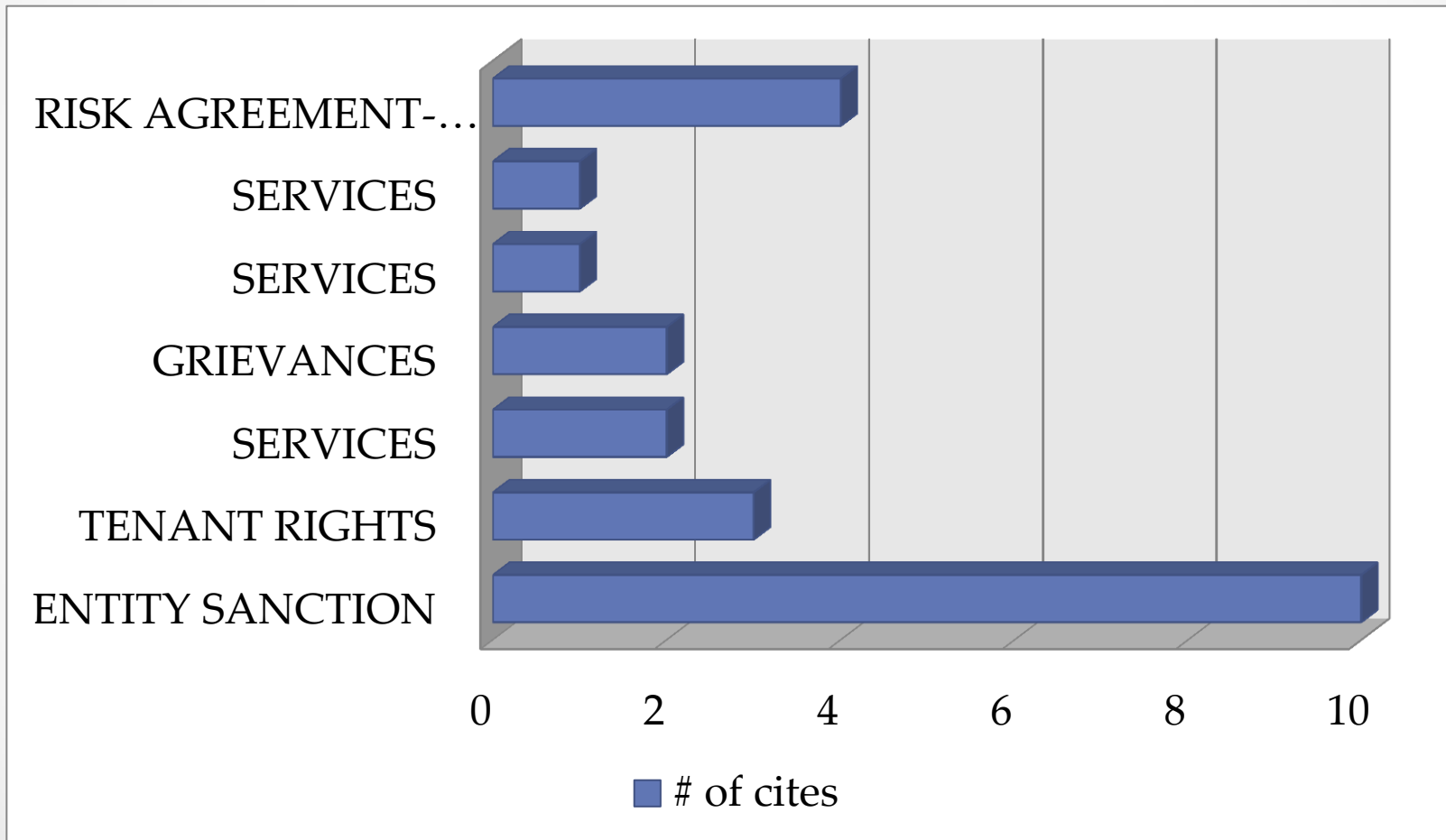


## Top Citations – AFH



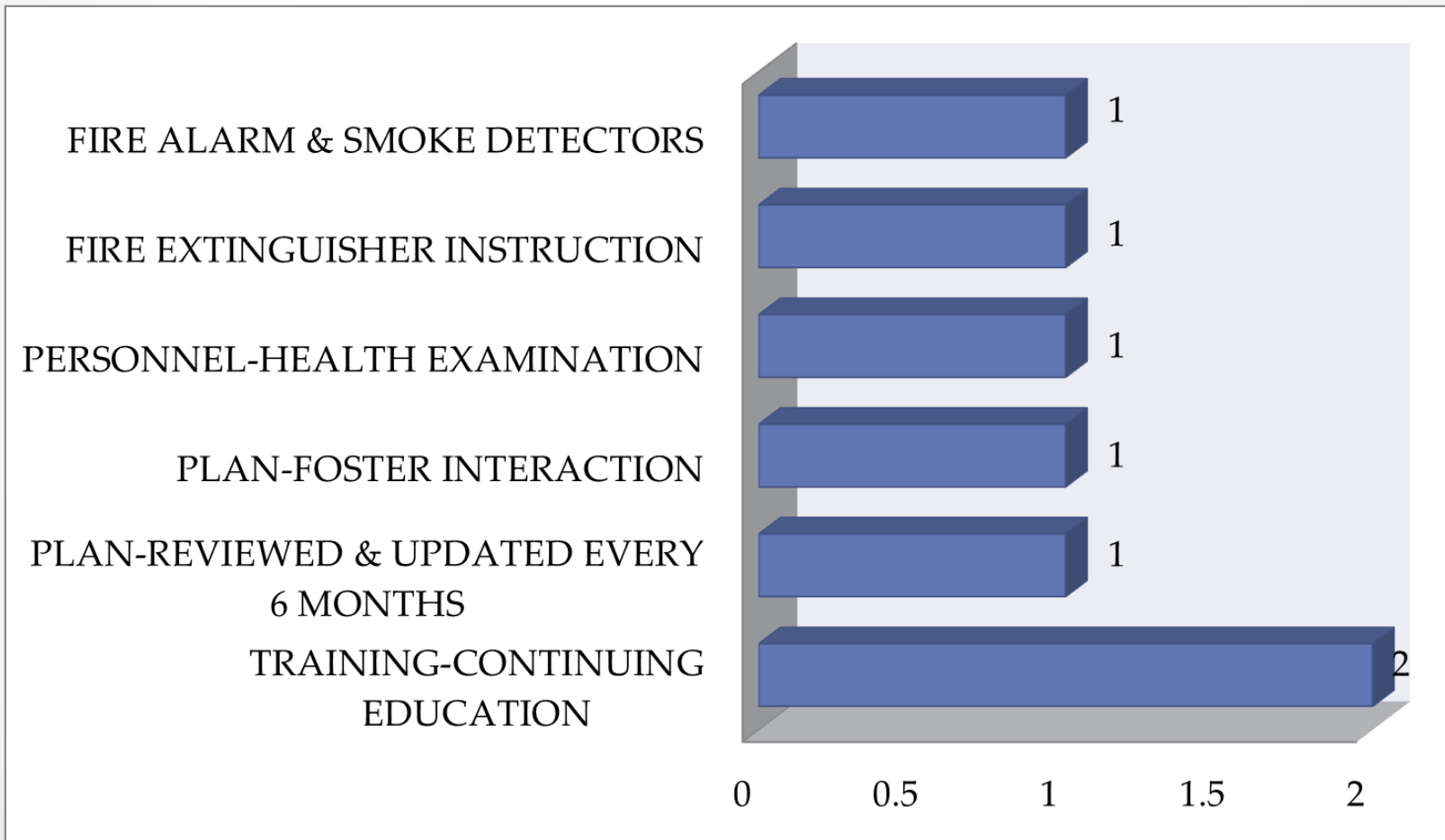


# Top RCAC Citations



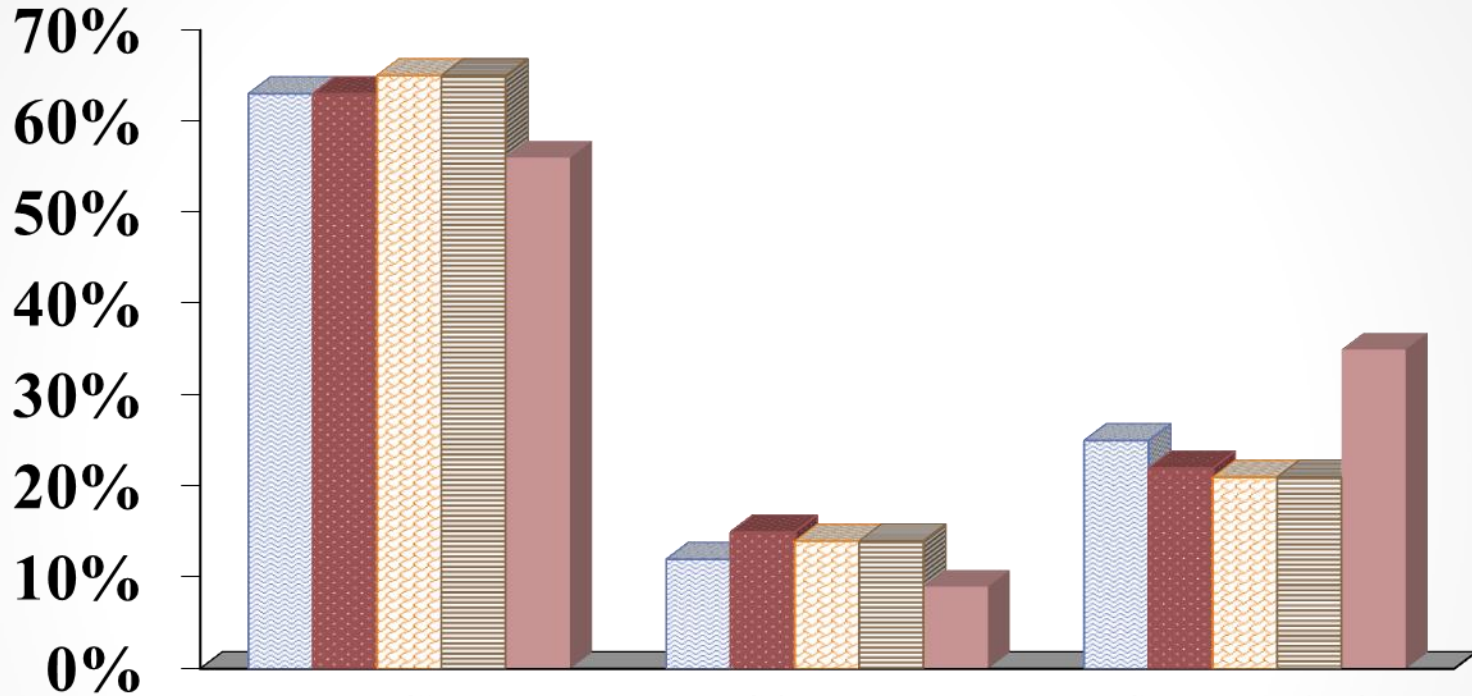


# Top ADC Citations





# Survey Results - Statewide

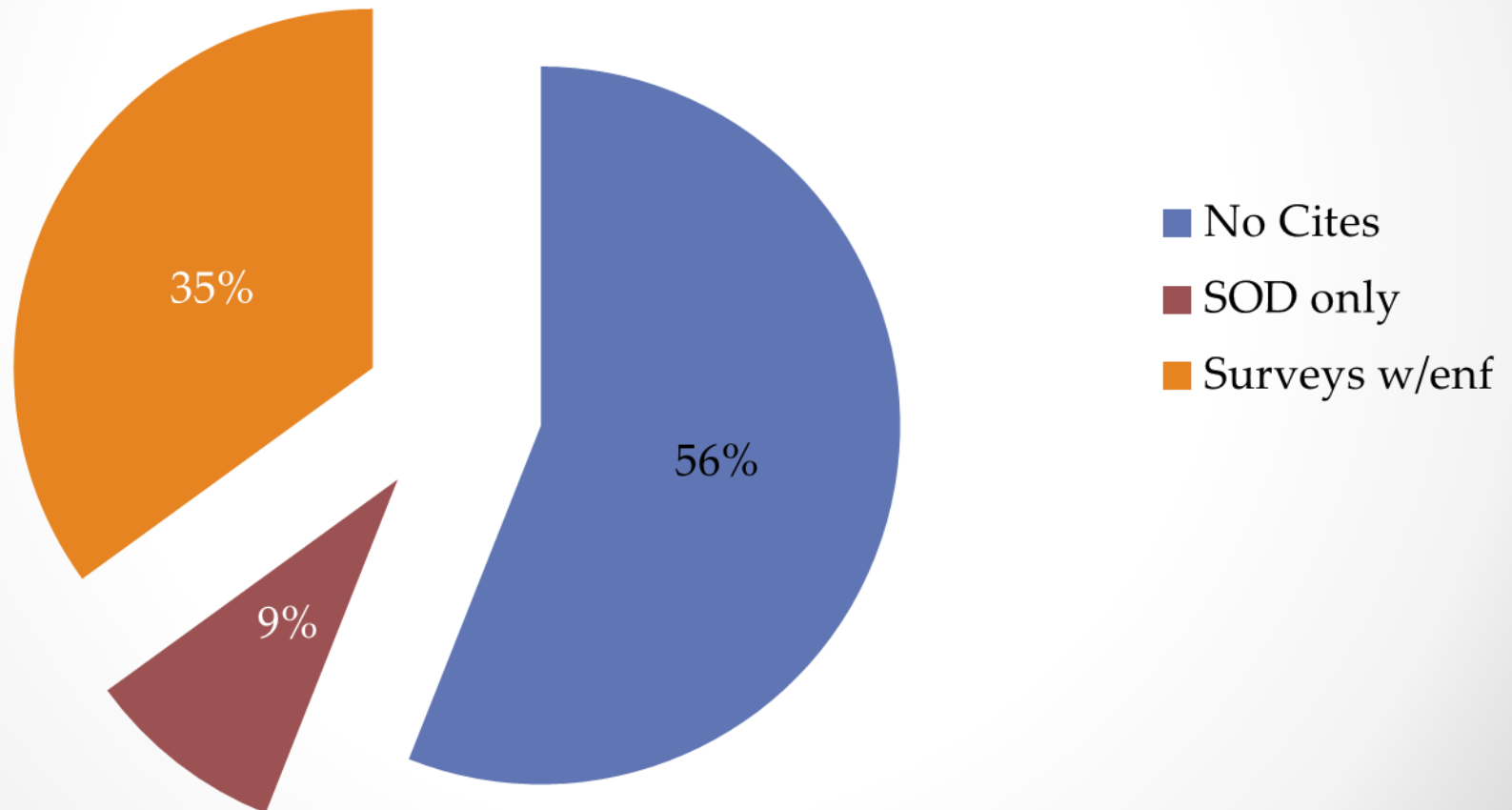


	<b>No Cites</b>	<b>SOD only</b>	<b>Surveys w/enf</b>
2010	63%	12%	25%
2011	63%	15%	22%
2012	65%	14%	21%
2013	65%	14%	21%
2014 Jan-June	56%	9%	35%



# Survey Results

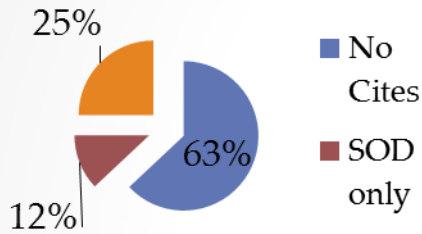
## Jan thru June 2014



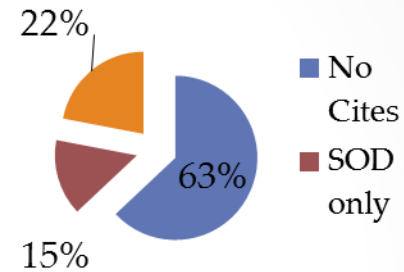


# Historical Survey Results

**2010**

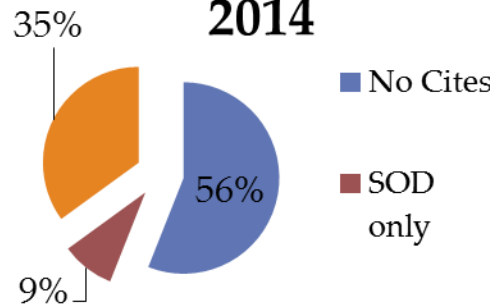


**2011**

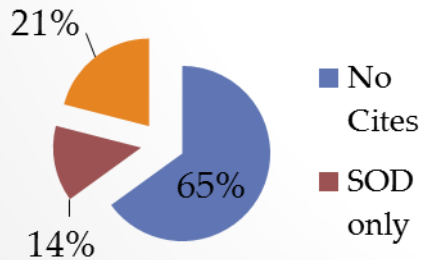


**Jan thru June**

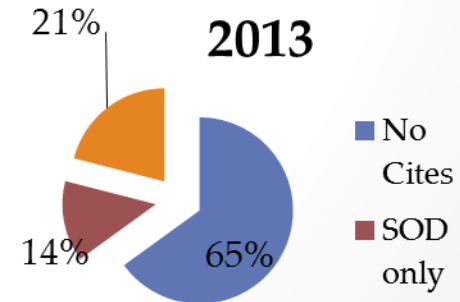
**2014**



**2012**

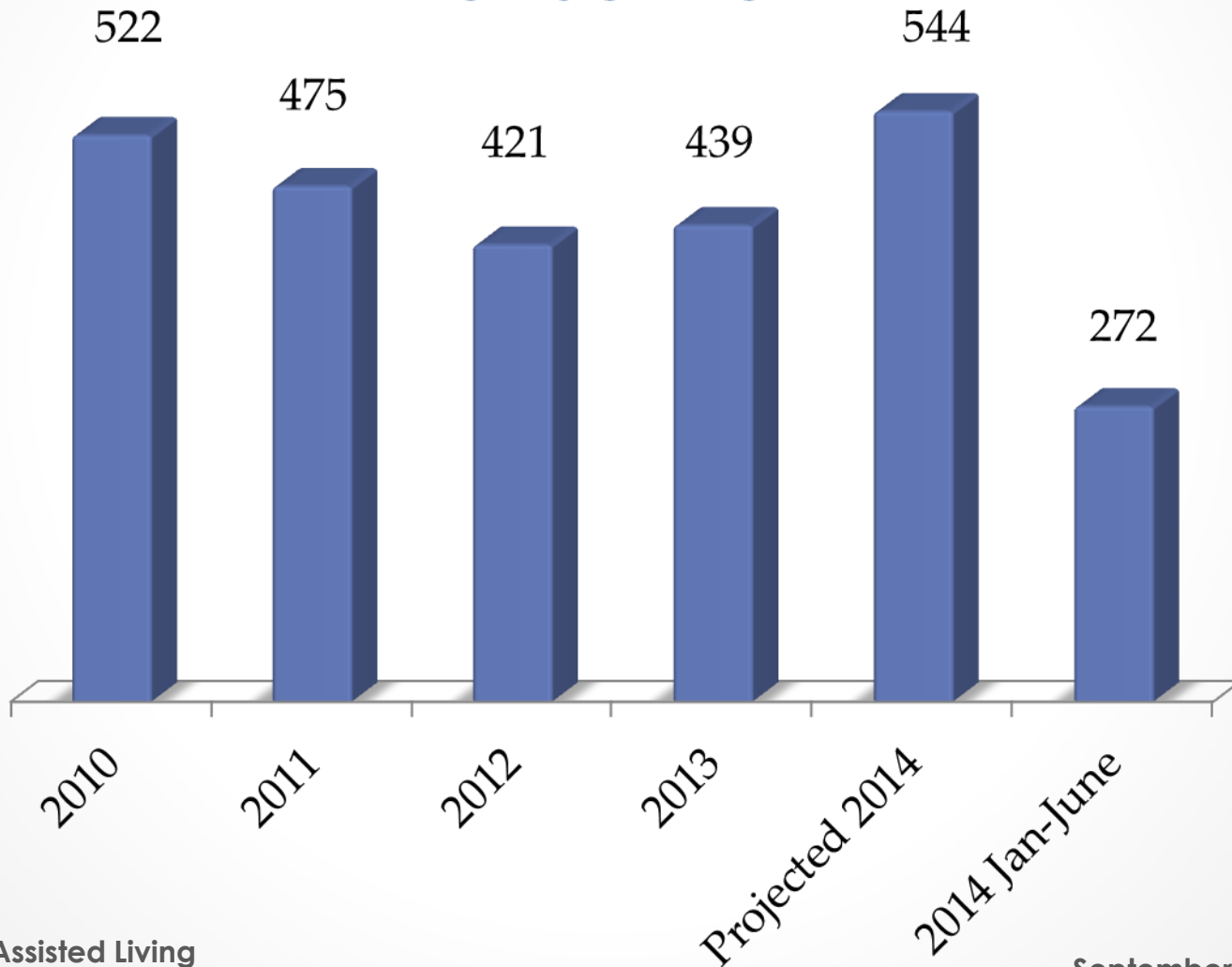


**2013**





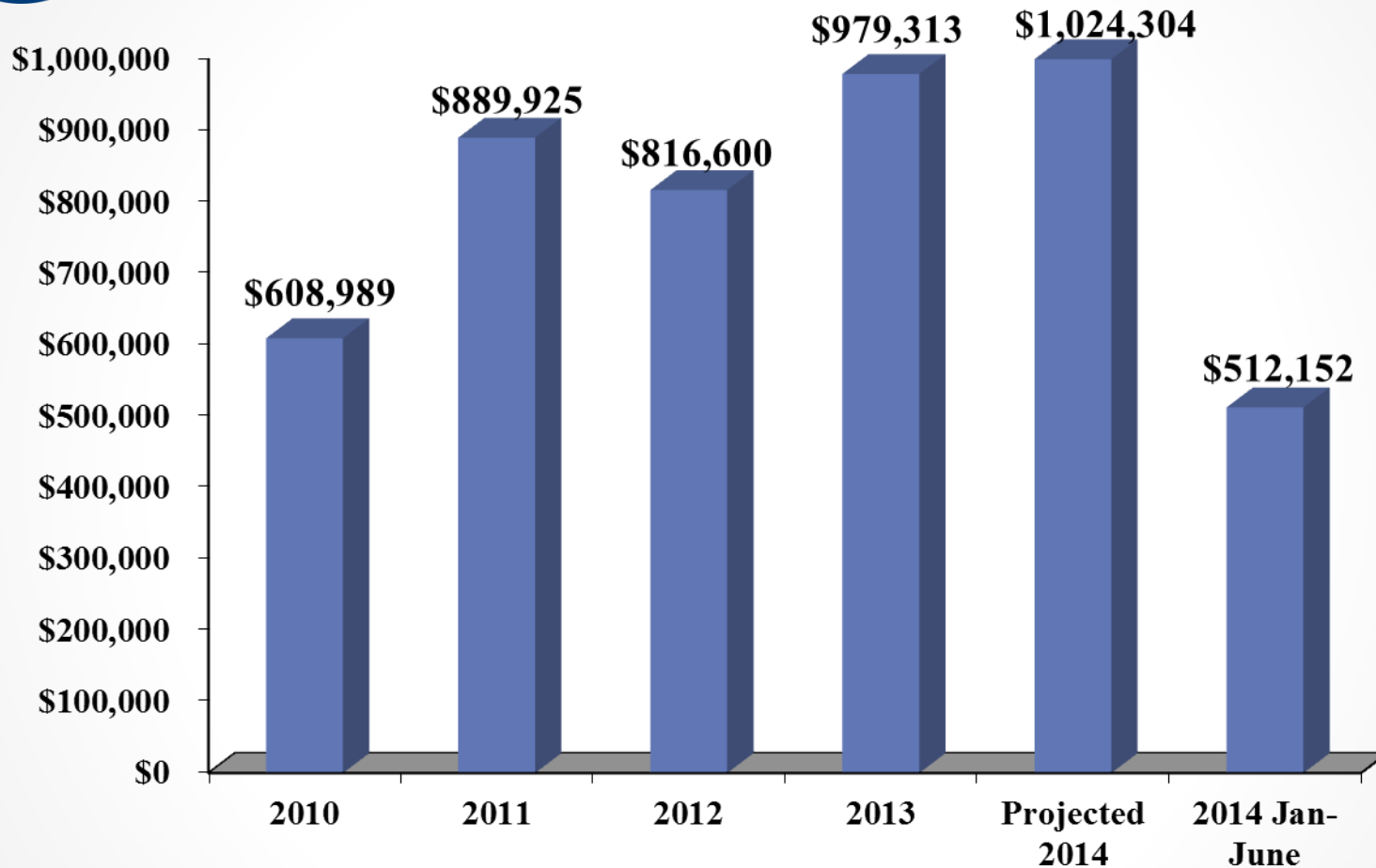
# AL Surveys with Enforcement





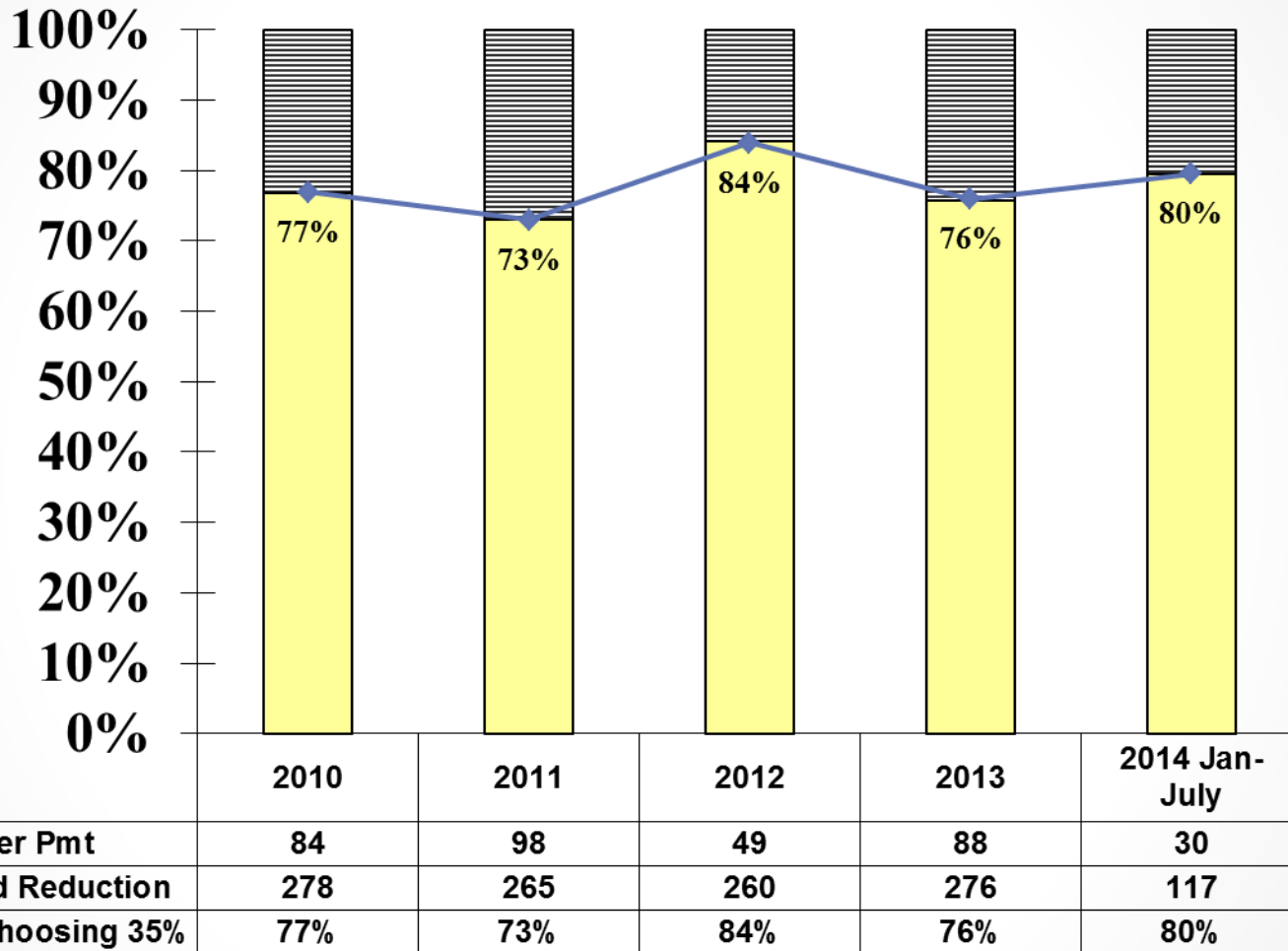


# Forfeiture Assessments



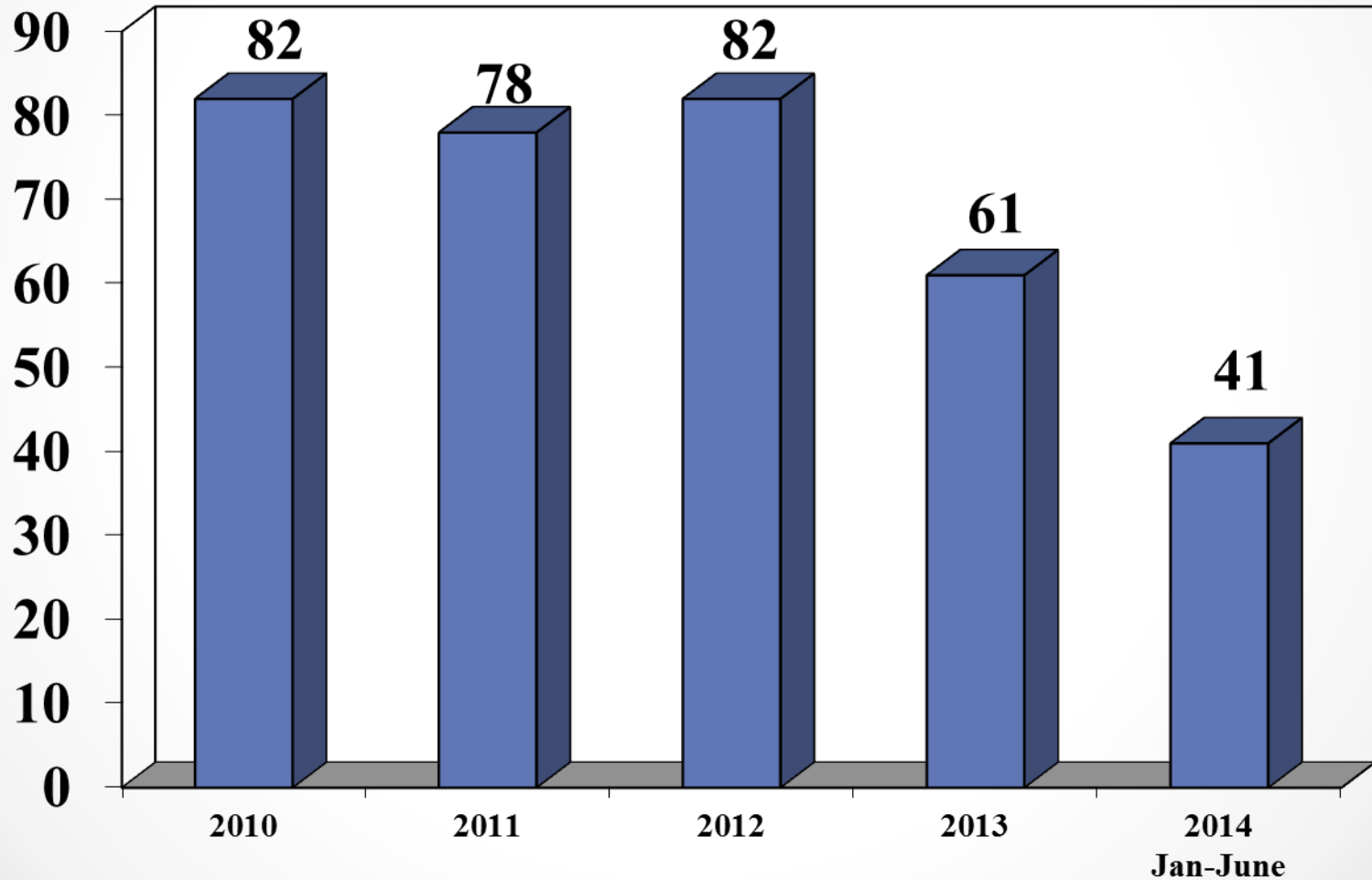


# 35% Forfeiture Reduction



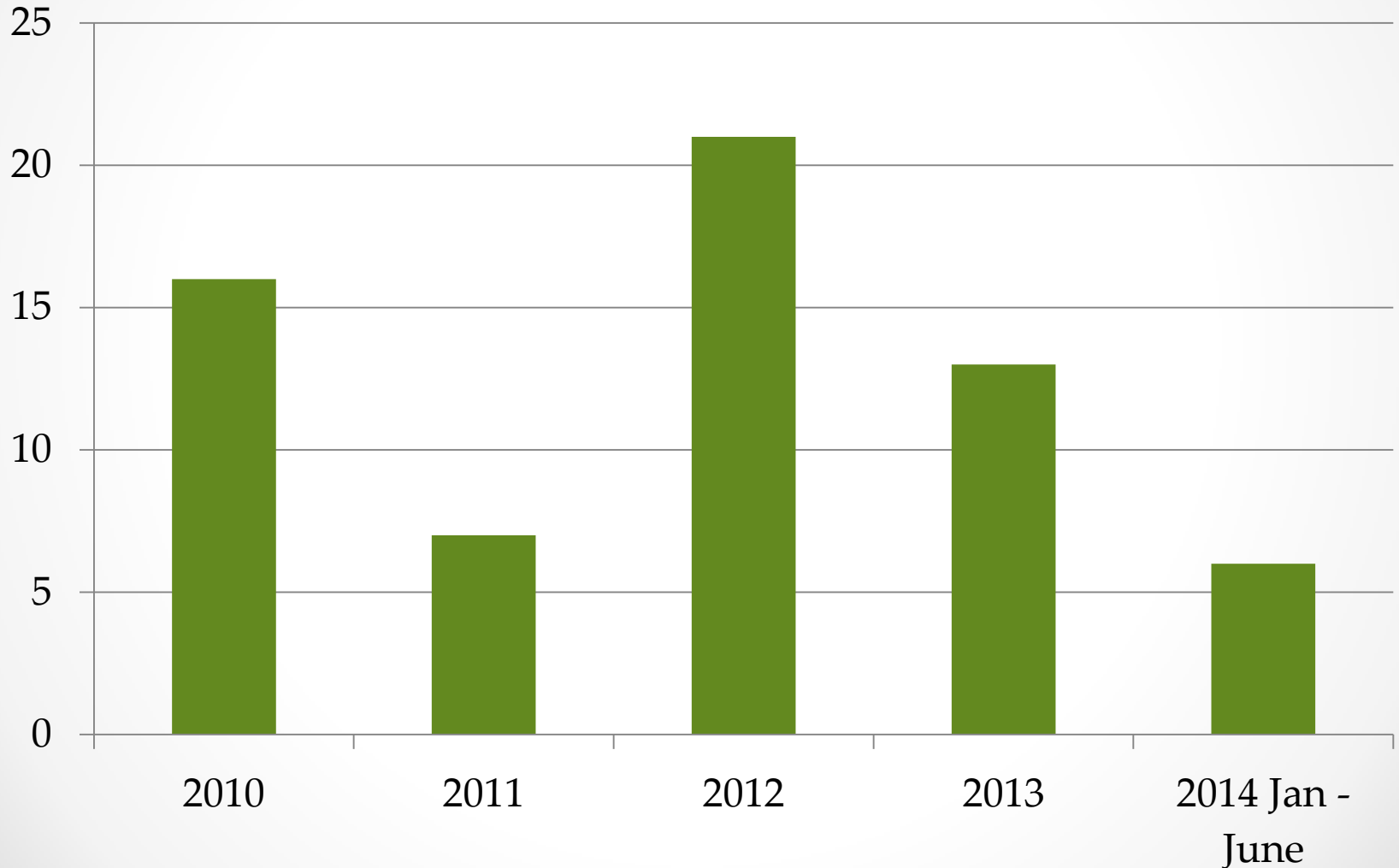


# Assisted Living No New Admission Orders



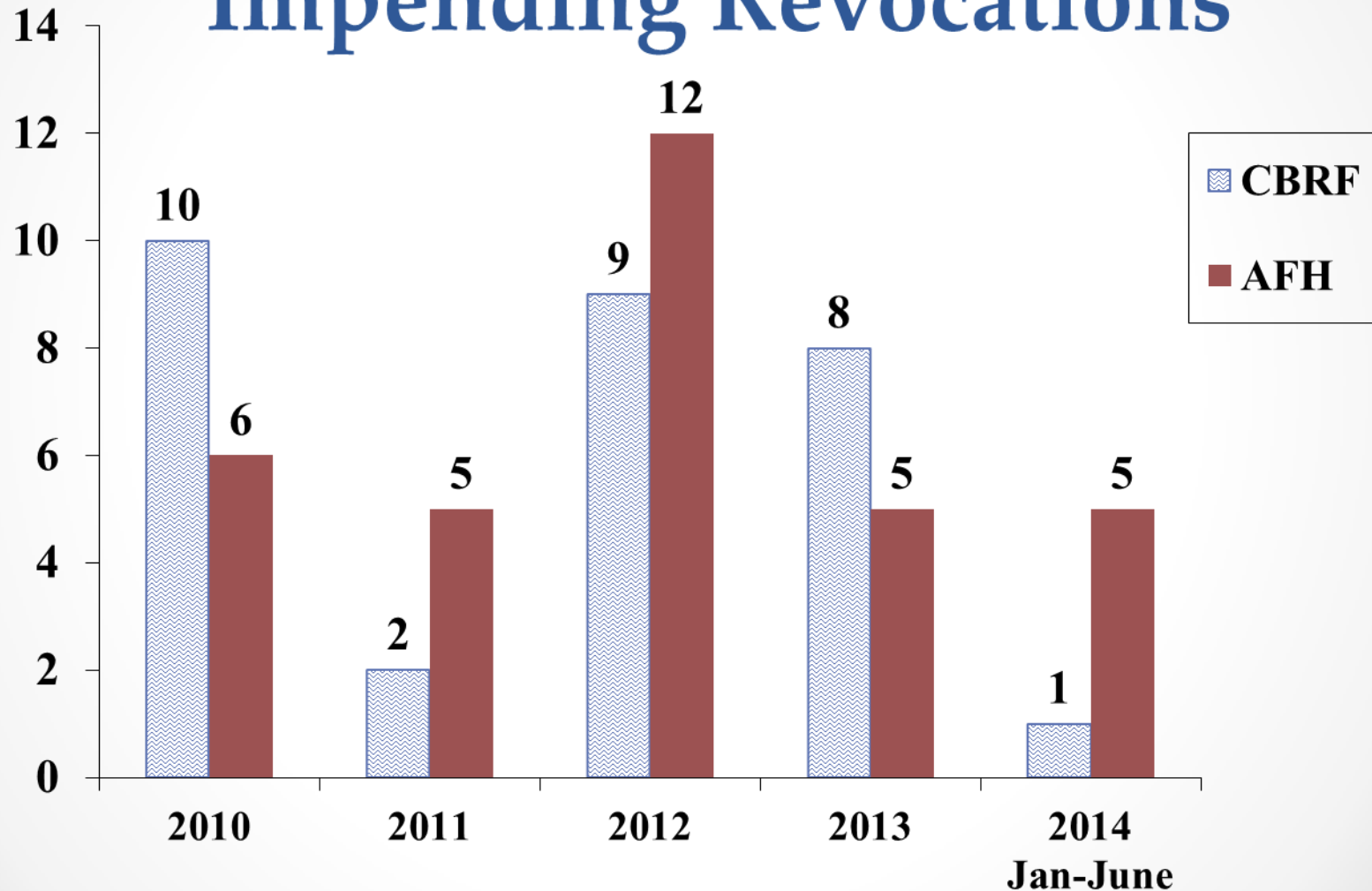


# Assisted Living Impending Revocations Issued



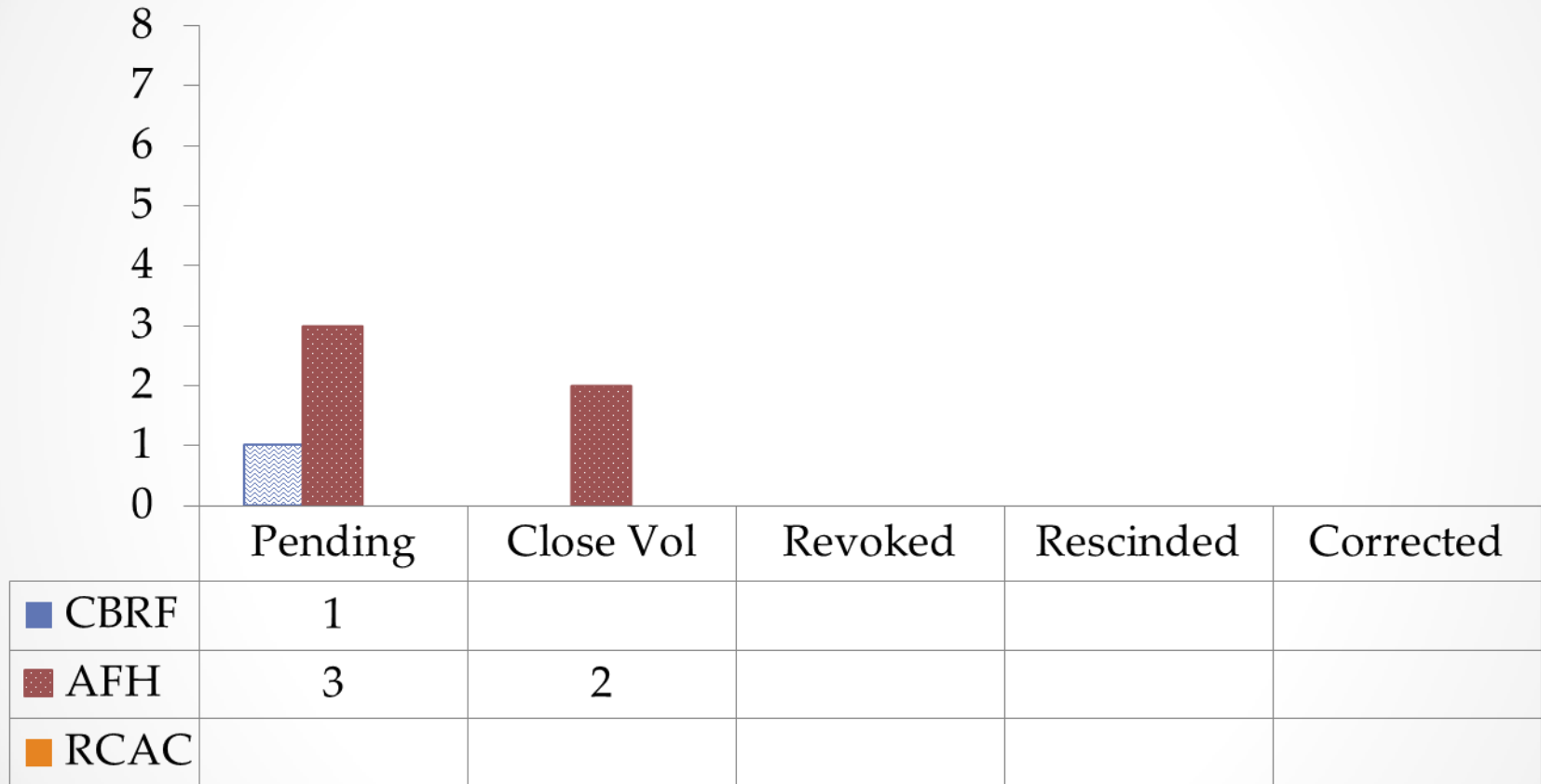


# Assisted Living Impending Revocations



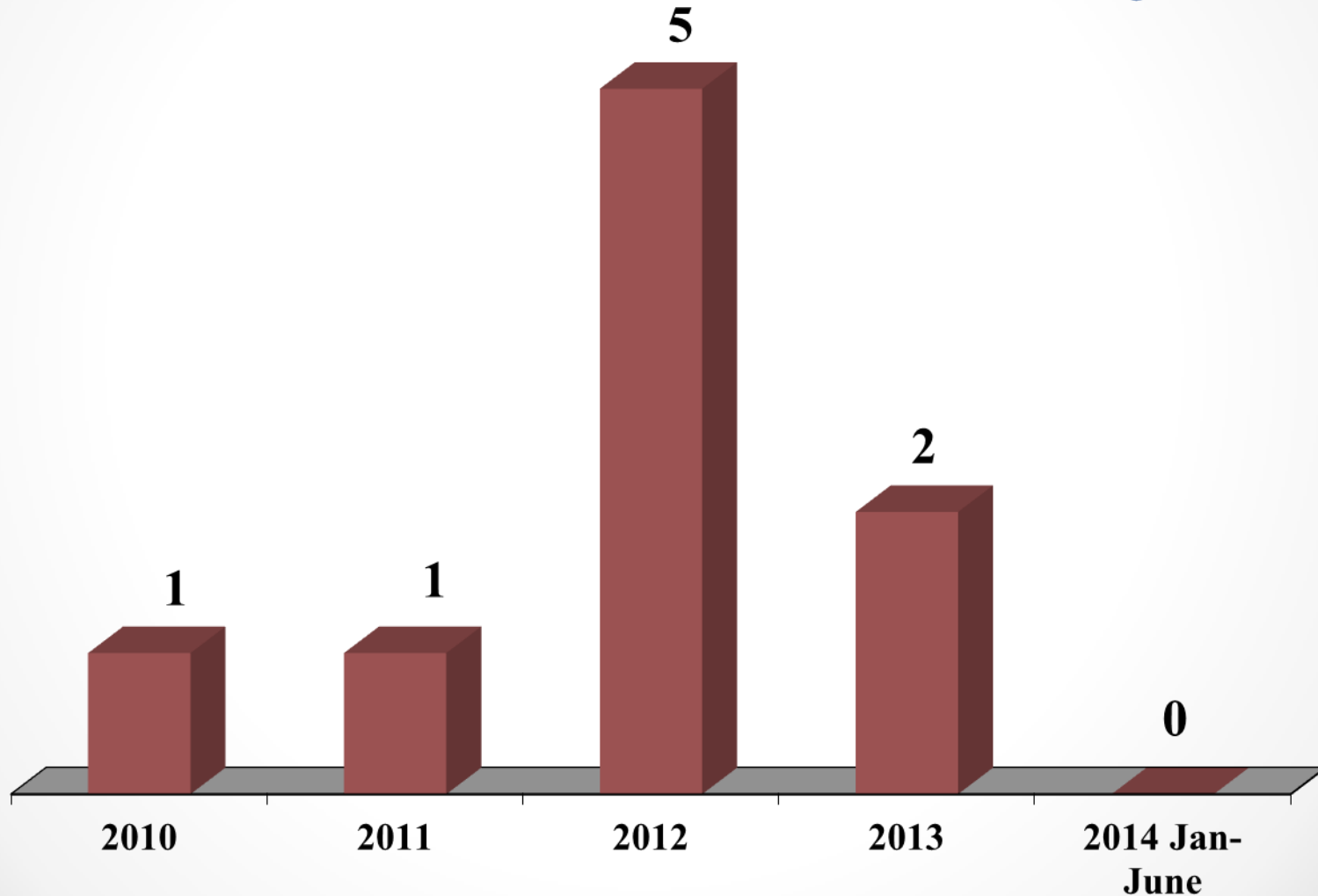


# Impending Revocations – 2014 January thru June



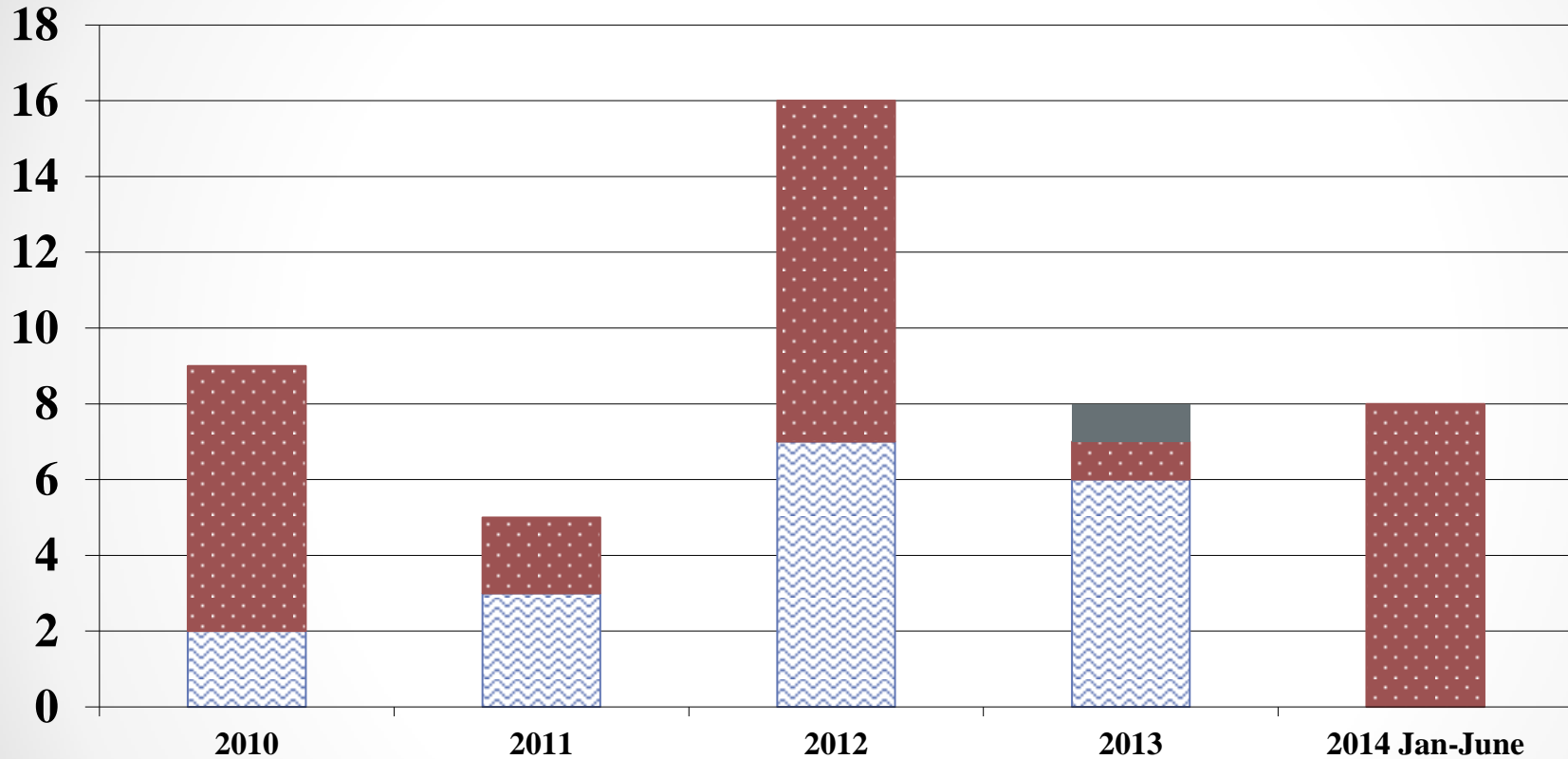


# Cease & Desist Orders Unlicensed Entity





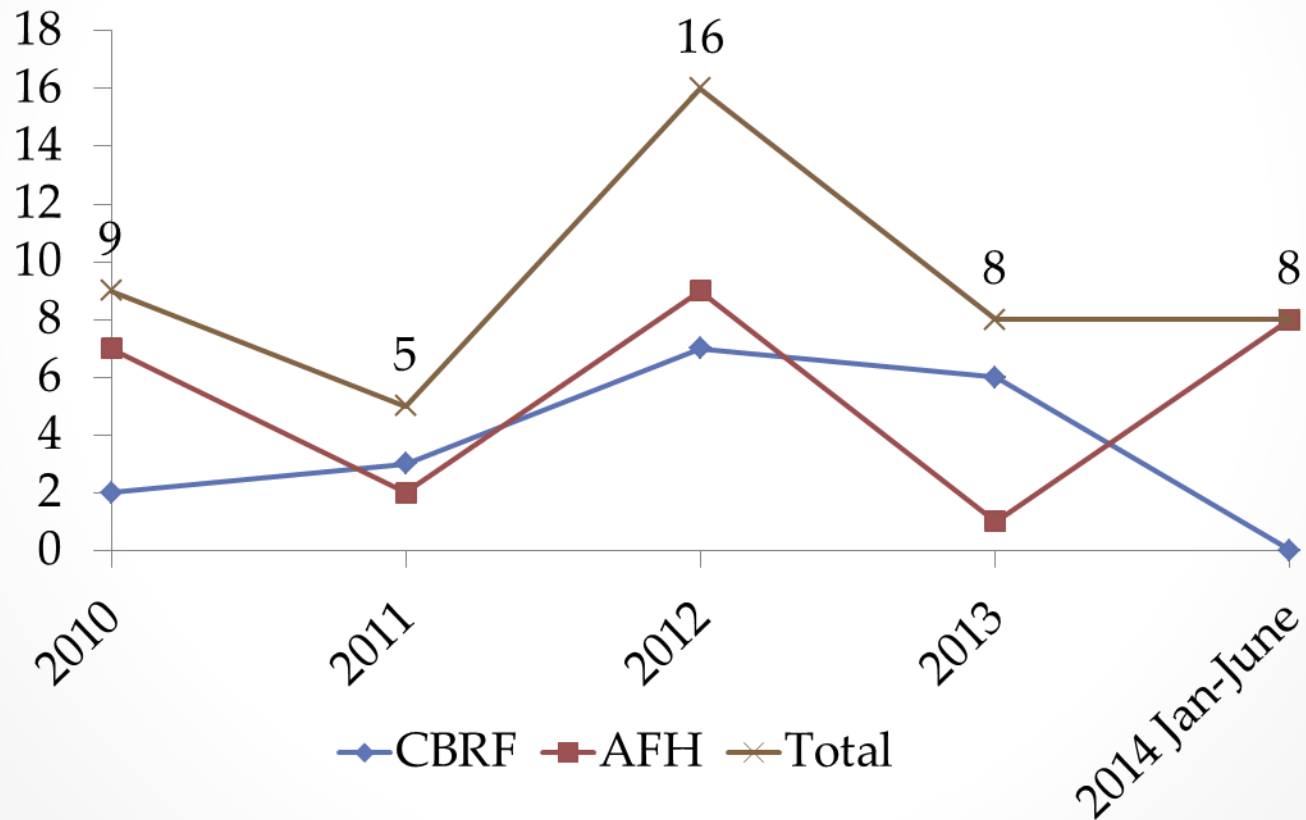
# Revocations





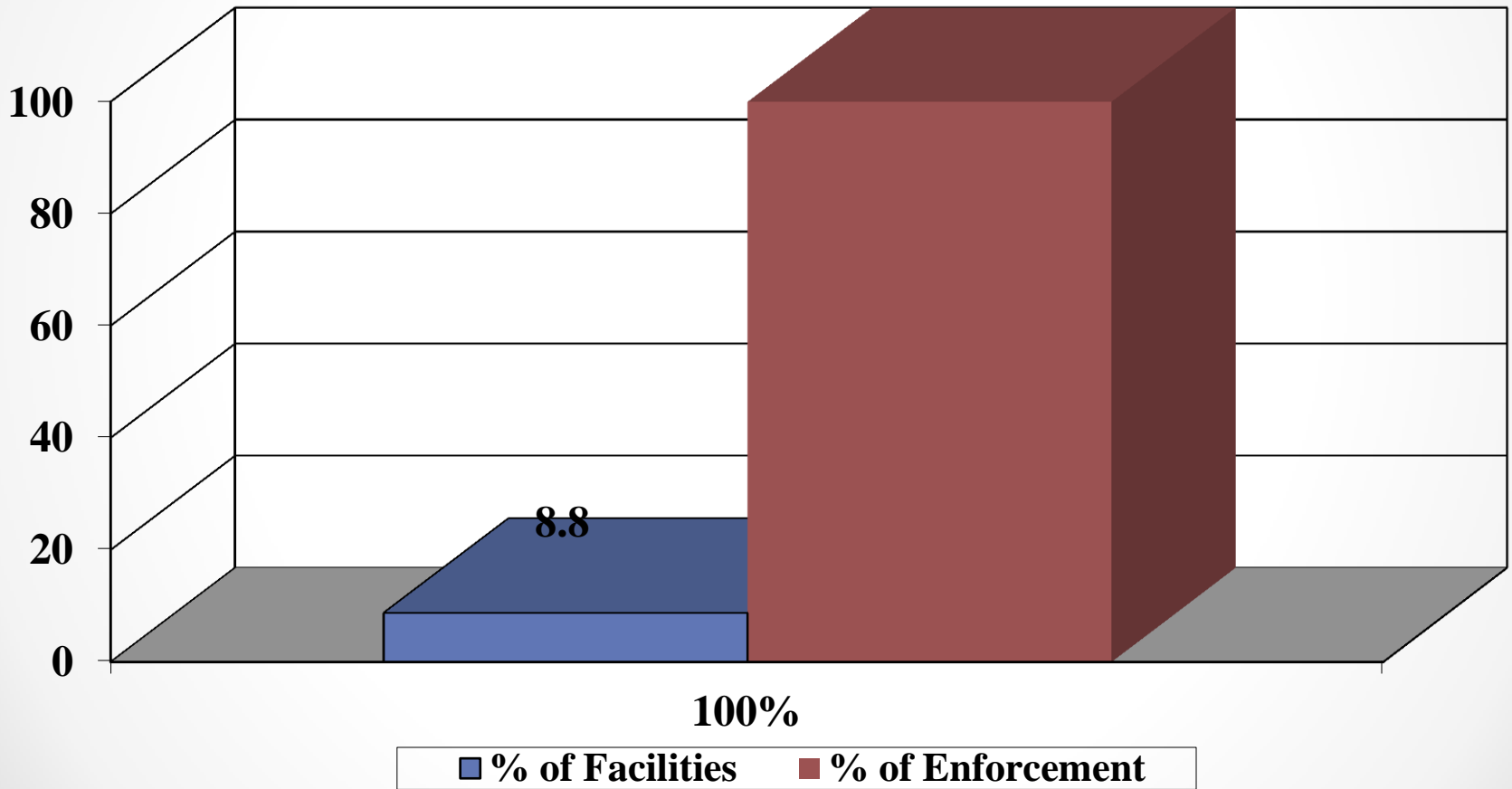


# Revocations Issued 2010 – 2014 Jan thru June



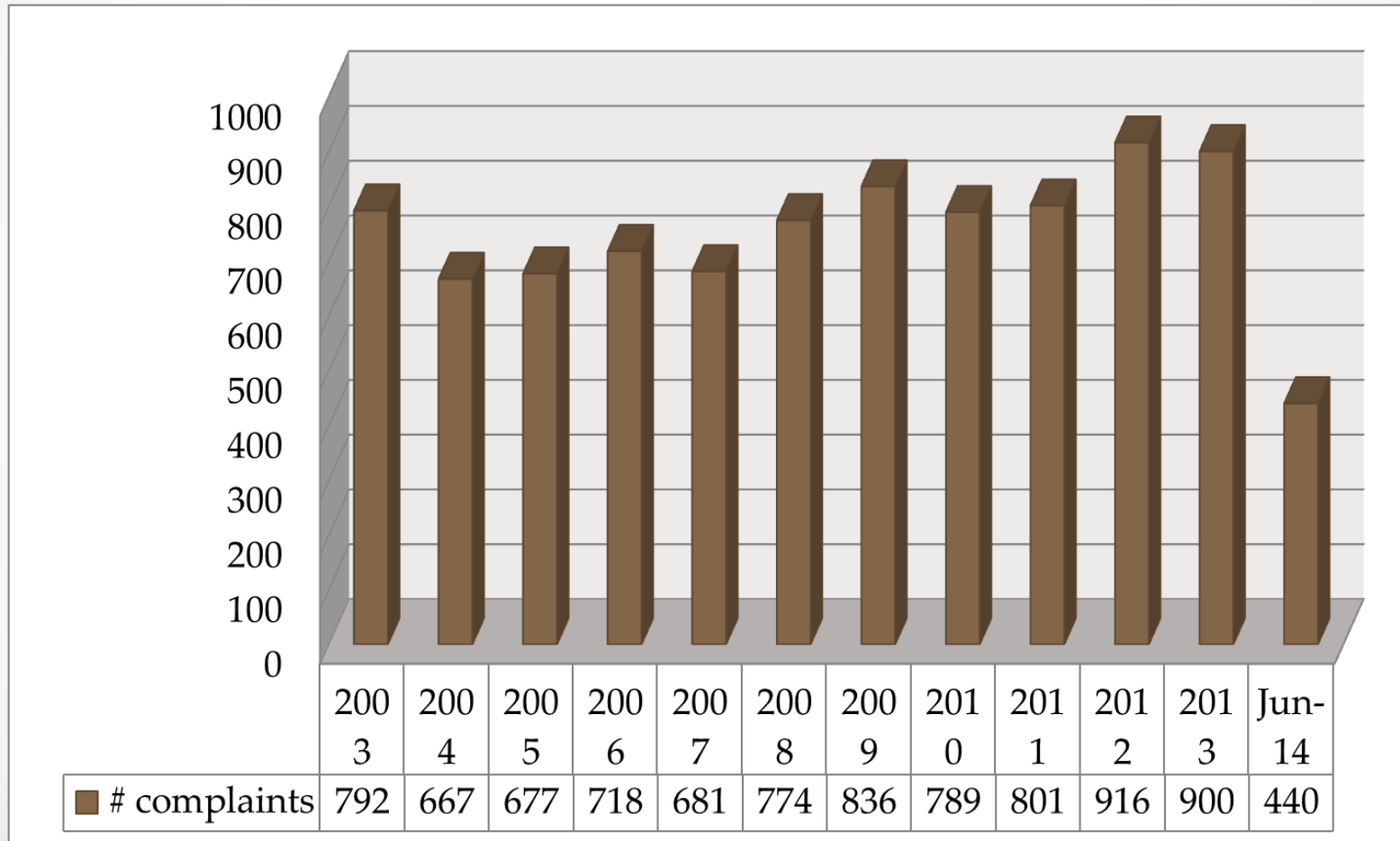


# Percent of Facilities Making Up a Percentage of Enforcements Jun 2014



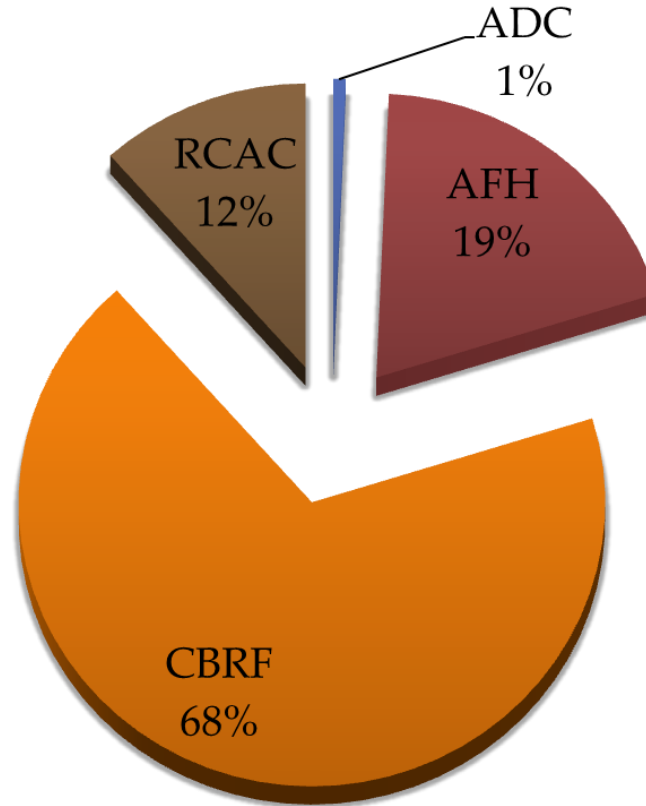


# Complaints Received





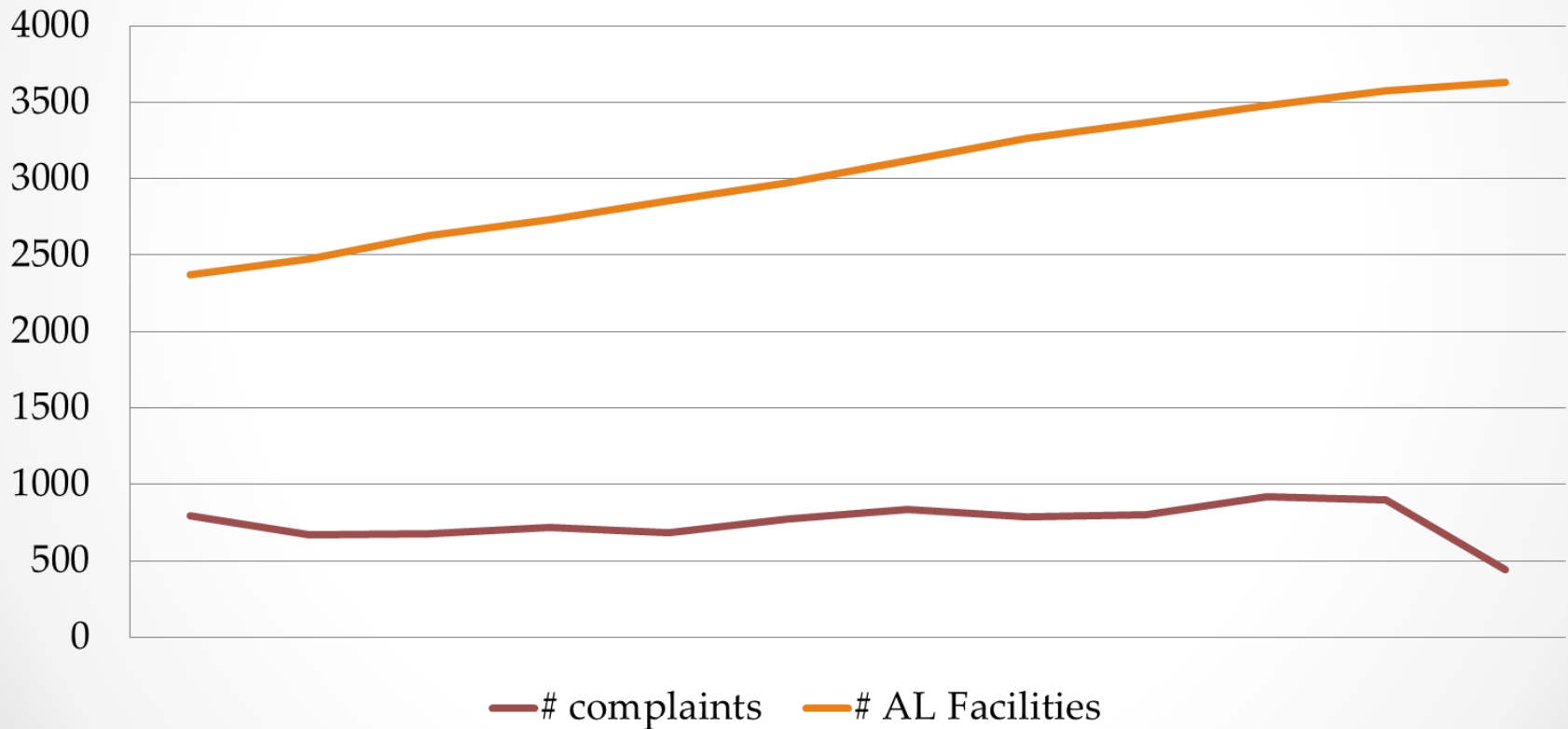
# Complaints Received CY 2013





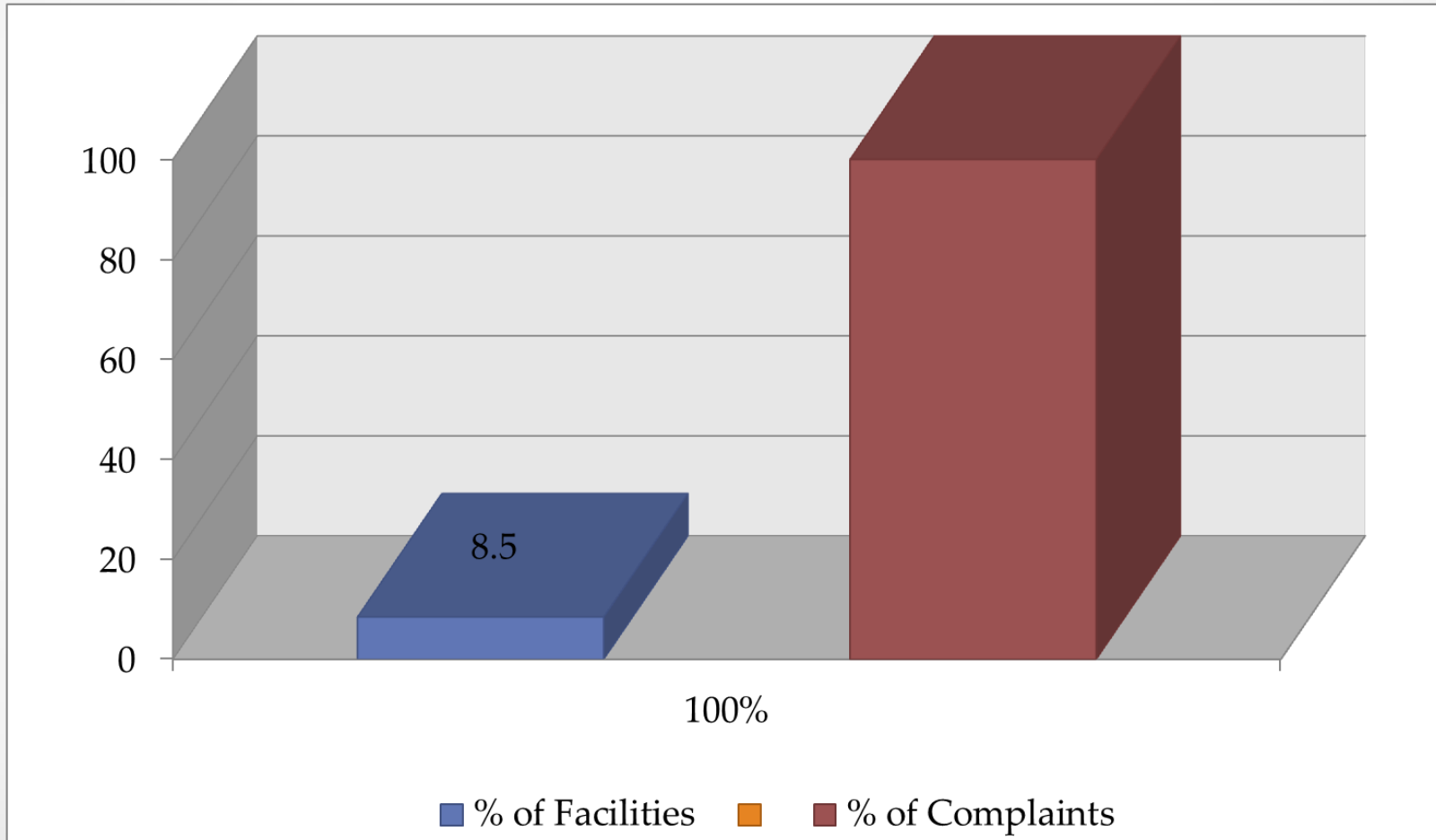
# Complaints vs. Growth

2003- Jun 2014



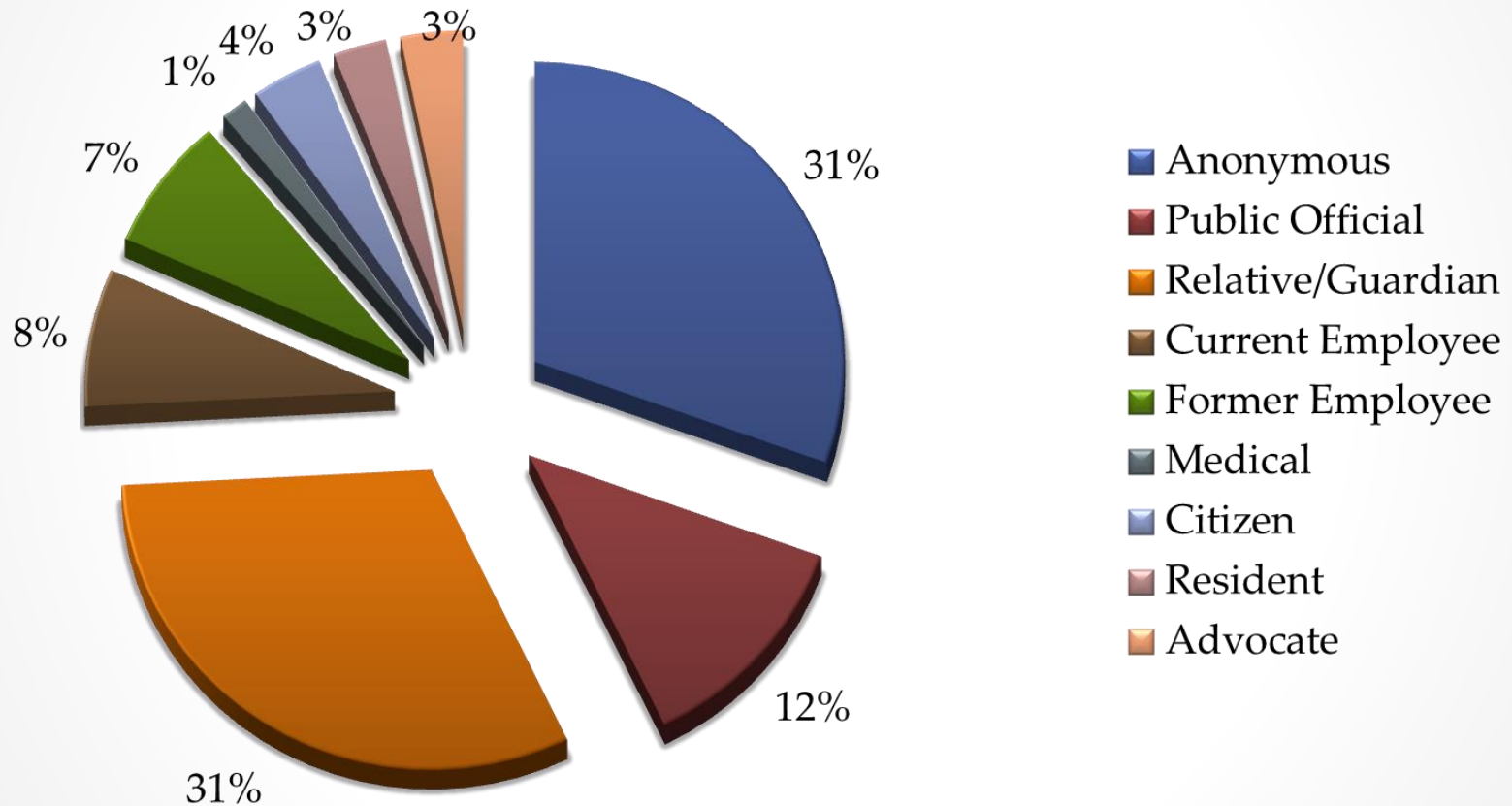


# Percent of Facilities Making up a Percent of Complaints





# Source of Complaint Jun 2014





# Ranking – Subject Areas of Complaint Investigations

	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Jun 2014</b>
Administration	2	2	2	1
Medications	3	3	3	5
Resident Rights	1	1	1	2
Program Services	5	5	4	3
Nutrition & Food	4	4	7	7
Staff Adequacy	7	7	8	2
Supervision	8	8	6	4
Staff Training	6	6	5	6



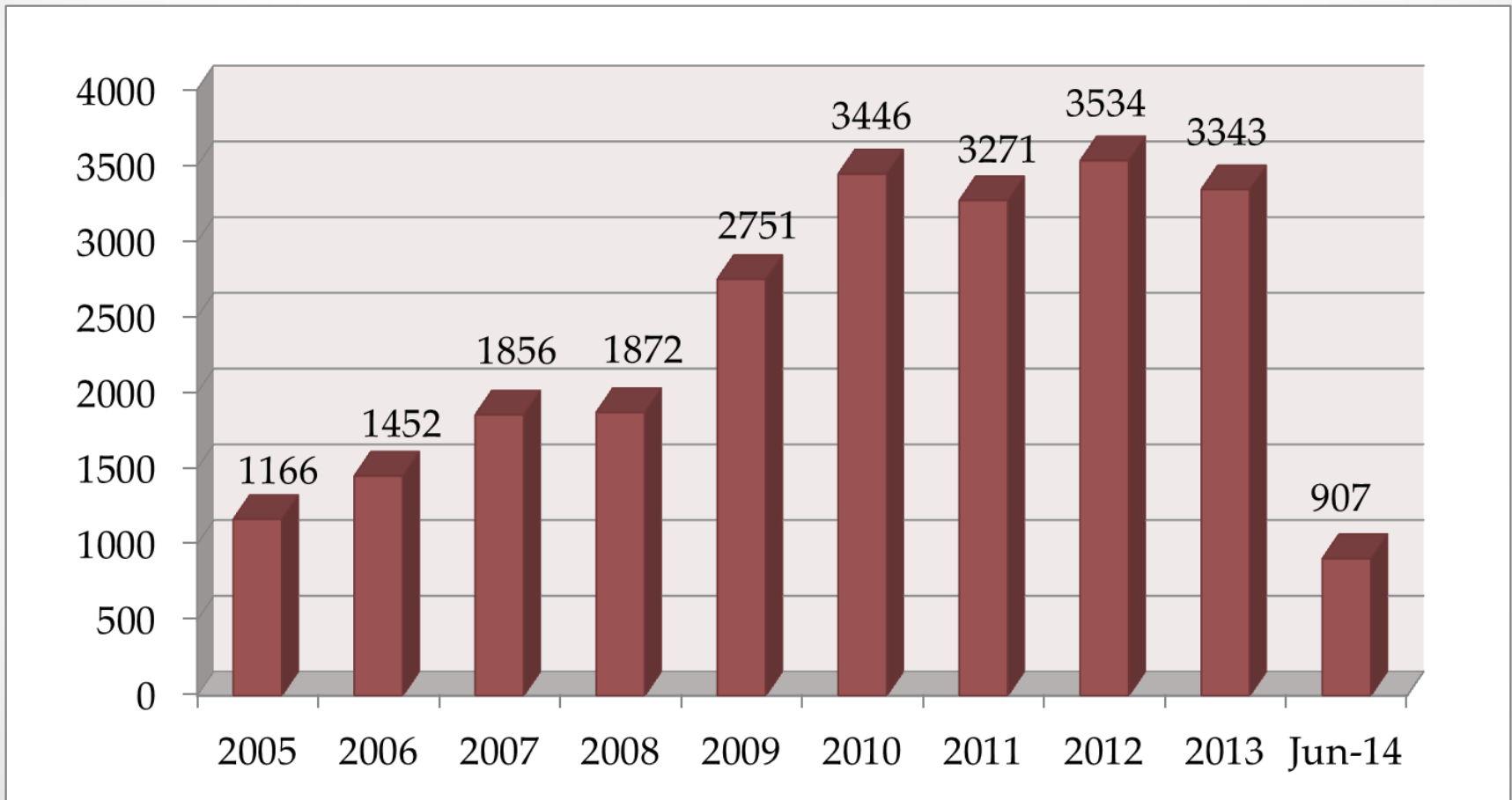


# Ranking – Subject Areas of Complaint Investigations (continued)

	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Jun 2014</b>
Abuse	12	12	12	14
Homelike environment	10	10	9	8
Physical Plant & Hazards	11	11	11	12
Res. Behavior/ Facility practice	13	13	10	11
Quality of Life	9	9	13	10
Admission/ Discharge	14	14	14	9
License capacity or class	15	15	15	13
Restraints	16	16	16	15

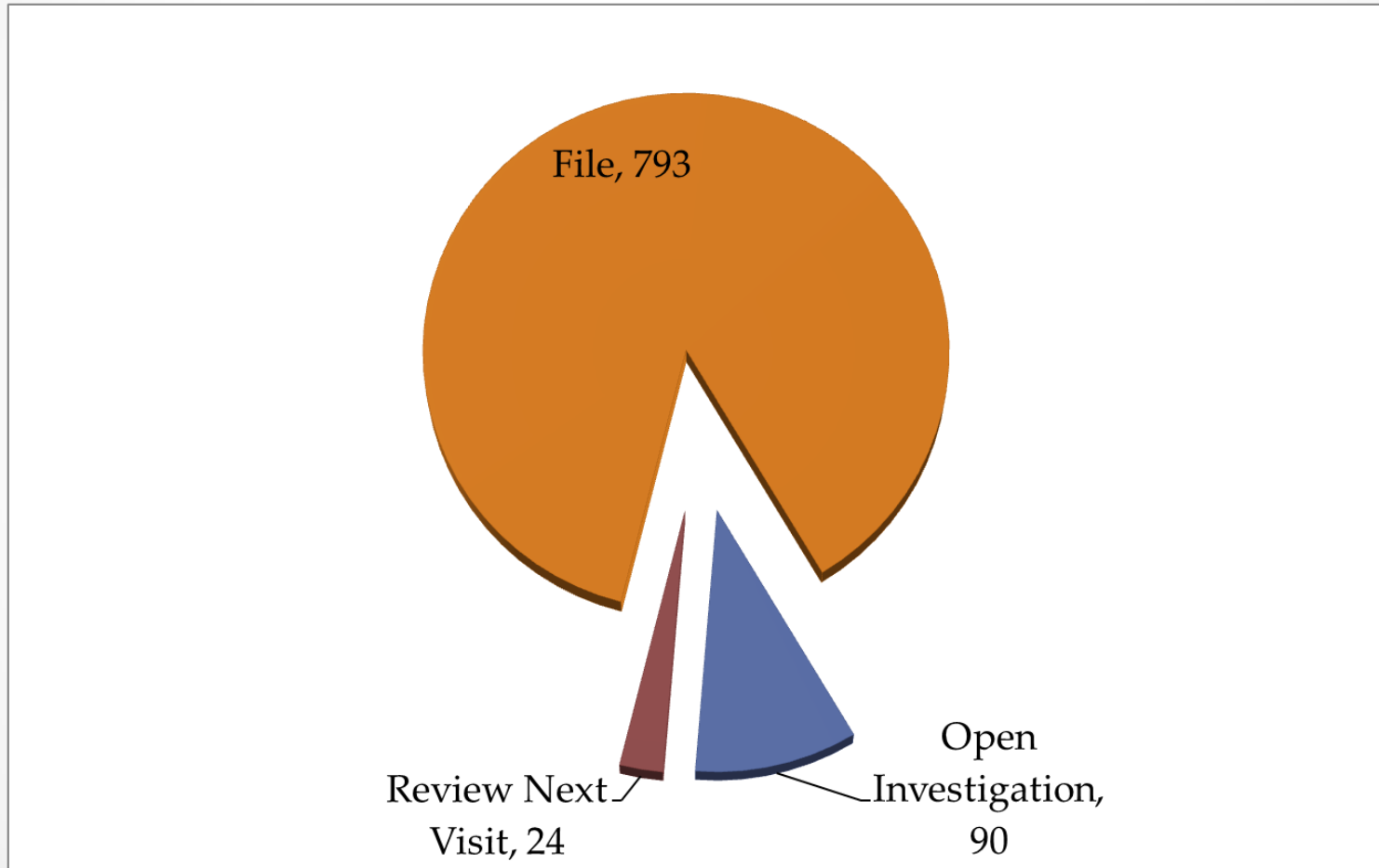


# Self Reports Received



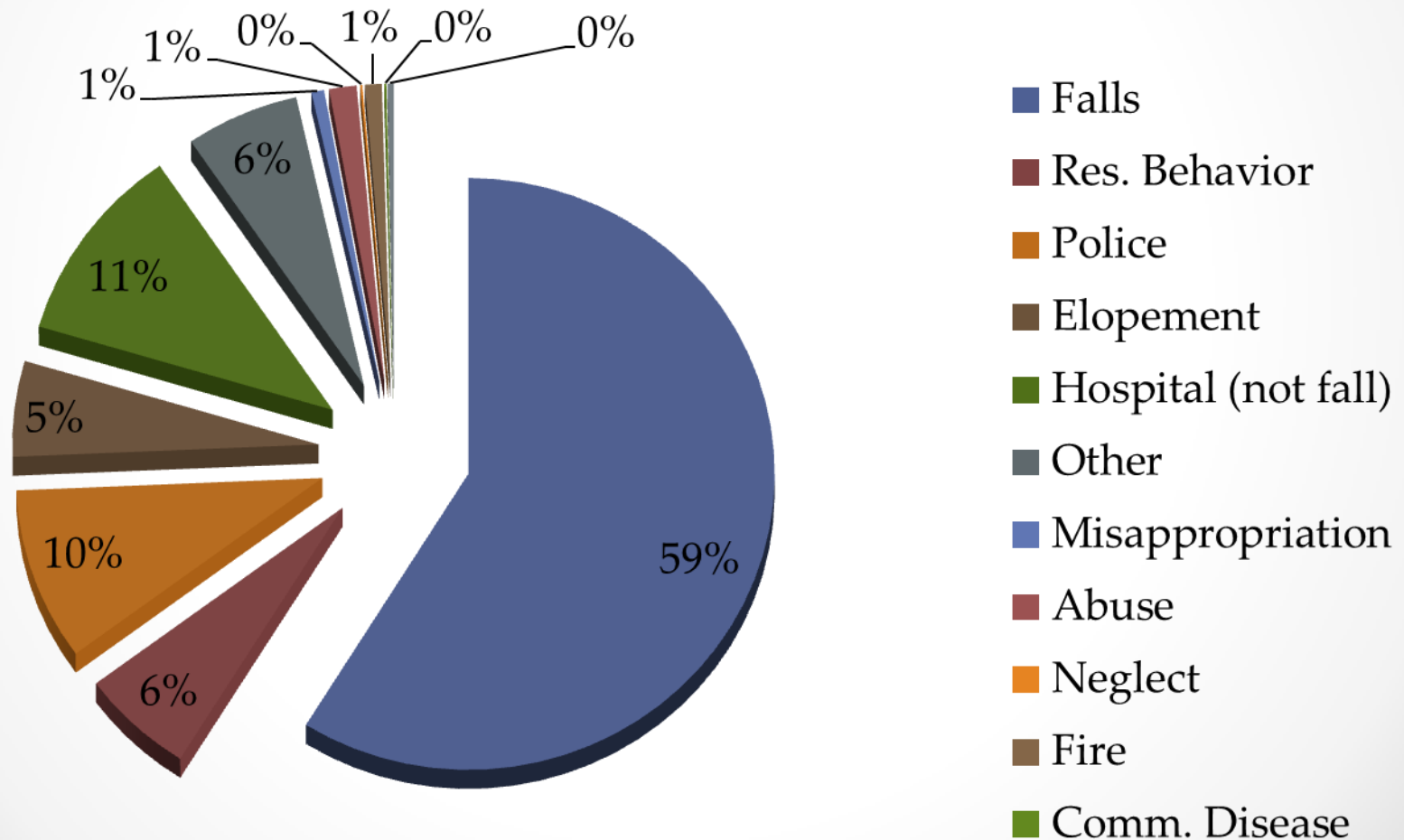


# Self Reports Received Jun 2014 (907)



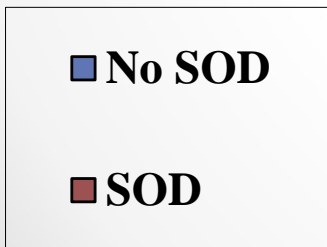
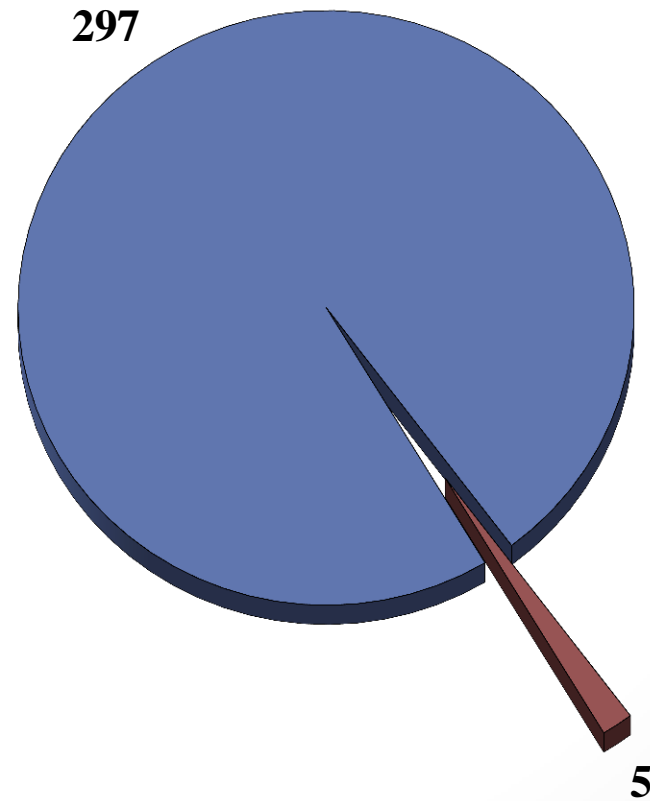


# Number of Self Reports by Subject Area Jun 2014





# Self Reports Investigated – Jun 2014 (302)



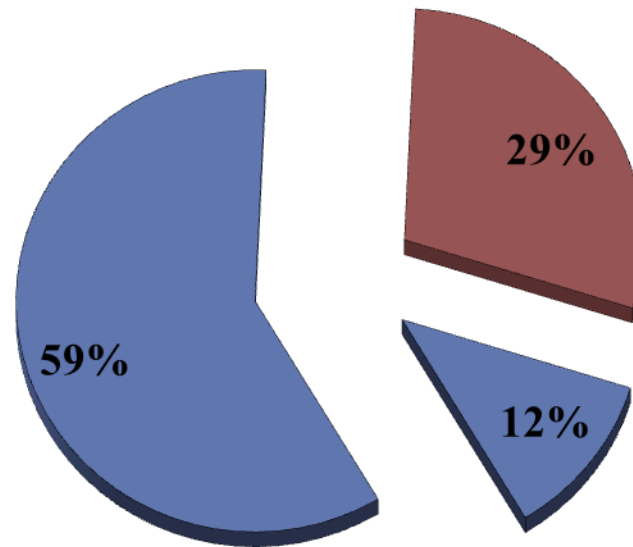


# Assisted Living Regulatory Activity Jun 2014





# Abbreviated Surveys Results Jun 2014 (137)



■ No SOD   ■ SOD   ■ Enforcement Action



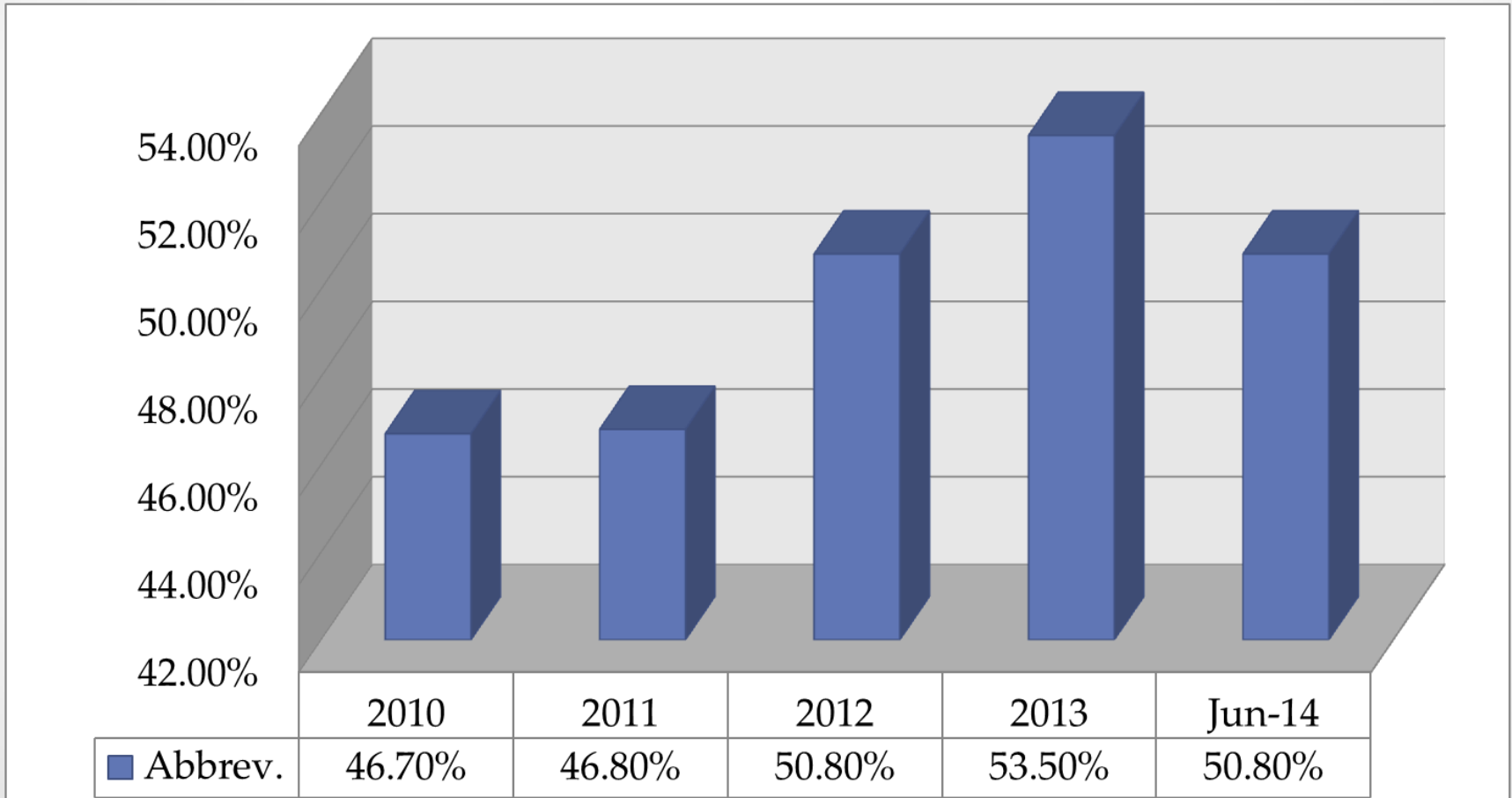
# Facilities Qualifying for Abbreviated Surveys – Jun 2014

• Adult Day Care	60.6%
• Adult Family Homes	50.9%
• Community Based Residential Facility	48.6%
• Residential Care Apartment Complex	<u>48.2%</u>
• Statewide	50.8%





# Facilities Qualifying for an Abbreviated Survey





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



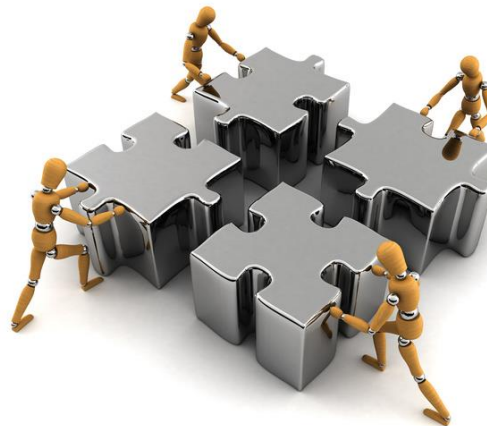
# Internal Quality Assurance

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





**CHSRA**  
Center for Health Systems Research & Analysis



**LeadingAge™**  
Wisconsin  
Better Services for Better Aging

**WHCA / WiCAL**  
Wisconsin Health Care Association      Wisconsin Center for Assisted Living



**ALFA**  
Creating the Future of Senior Living

**NCAL**  
NATIONAL CENTER FOR ASSISTED LIVING

**LeadingAge™**

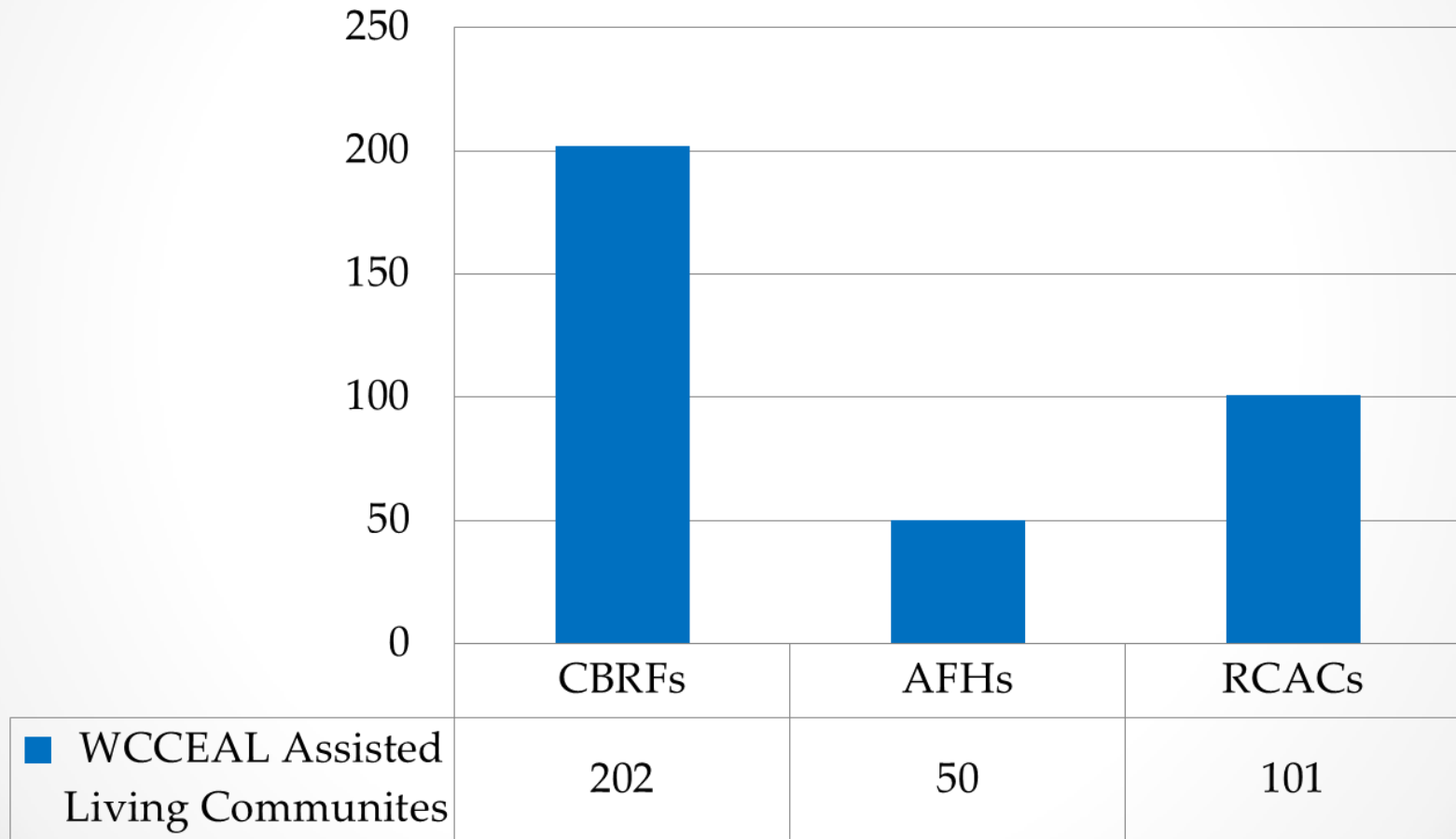


# WCCEAL Regulatory Data Jun 2014





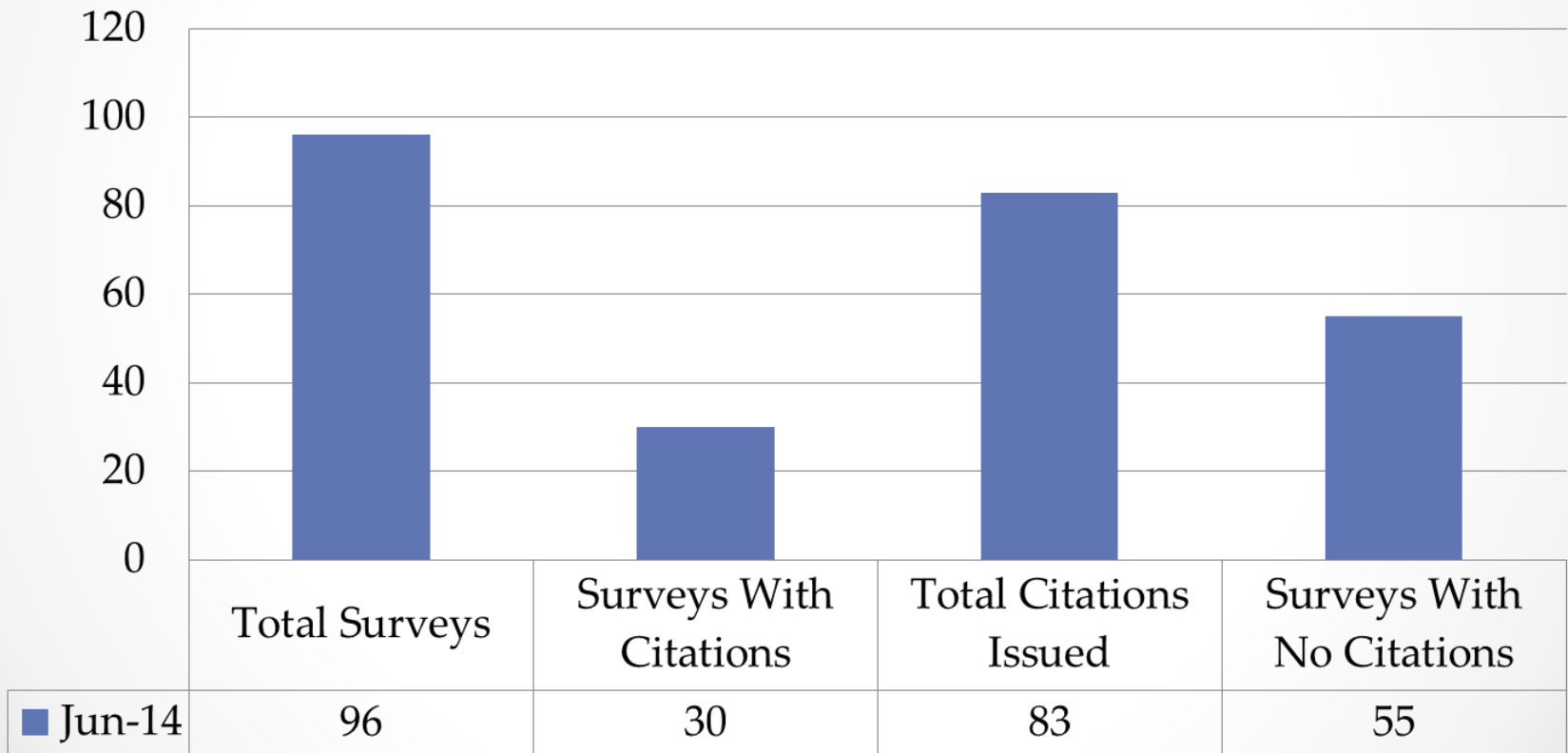
# WCCEAL Regulated Communities Jun 2014





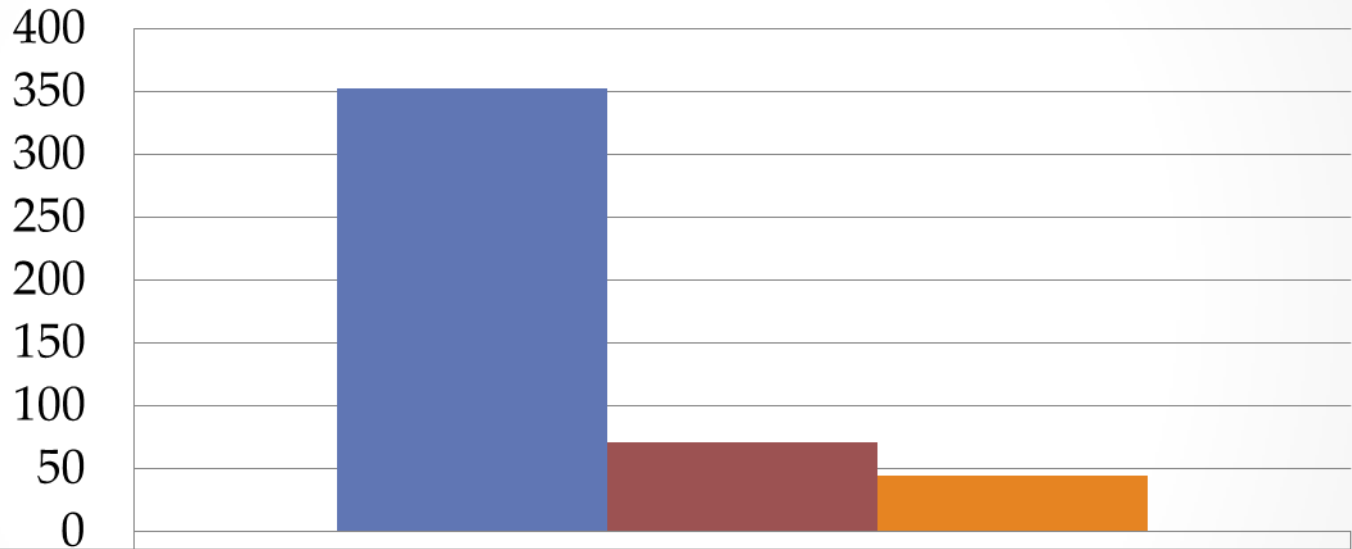
# WCCEAL Regulated Communities Surveys Conducted

Jun 2014





# WCCEAL Members Complaints Jun 2014

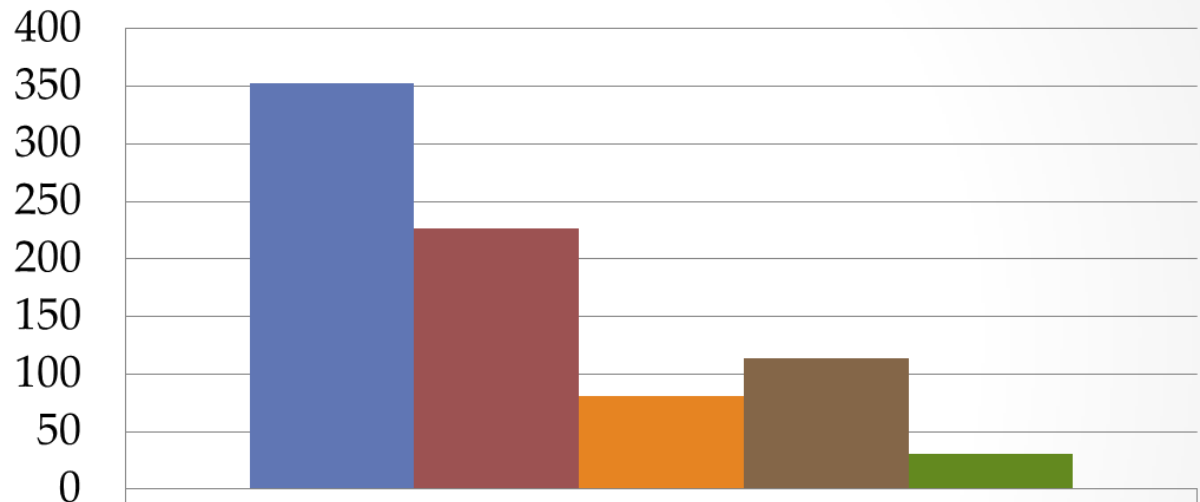


■ Total Facilities	353
■ total Complaints	71
■ Facilities With Complaints	45





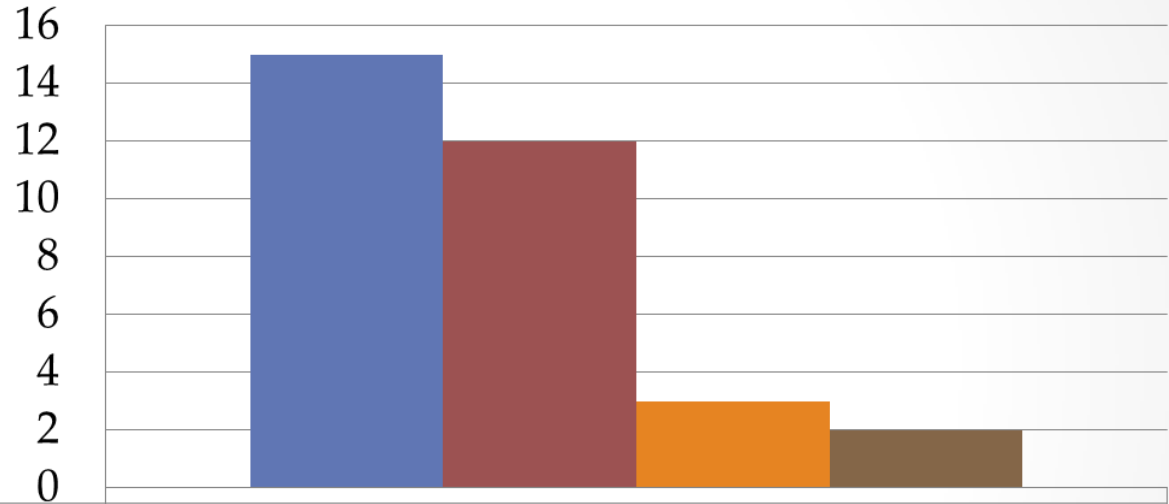
# WCCEAL Regulated Communities Qualifying for Abbreviated Surveys Jun 2014



■ Total Number of Facilities	353
■ Qualifying Facilities	226
■ RCAC	81
■ CBRF	114
■ AFH	31



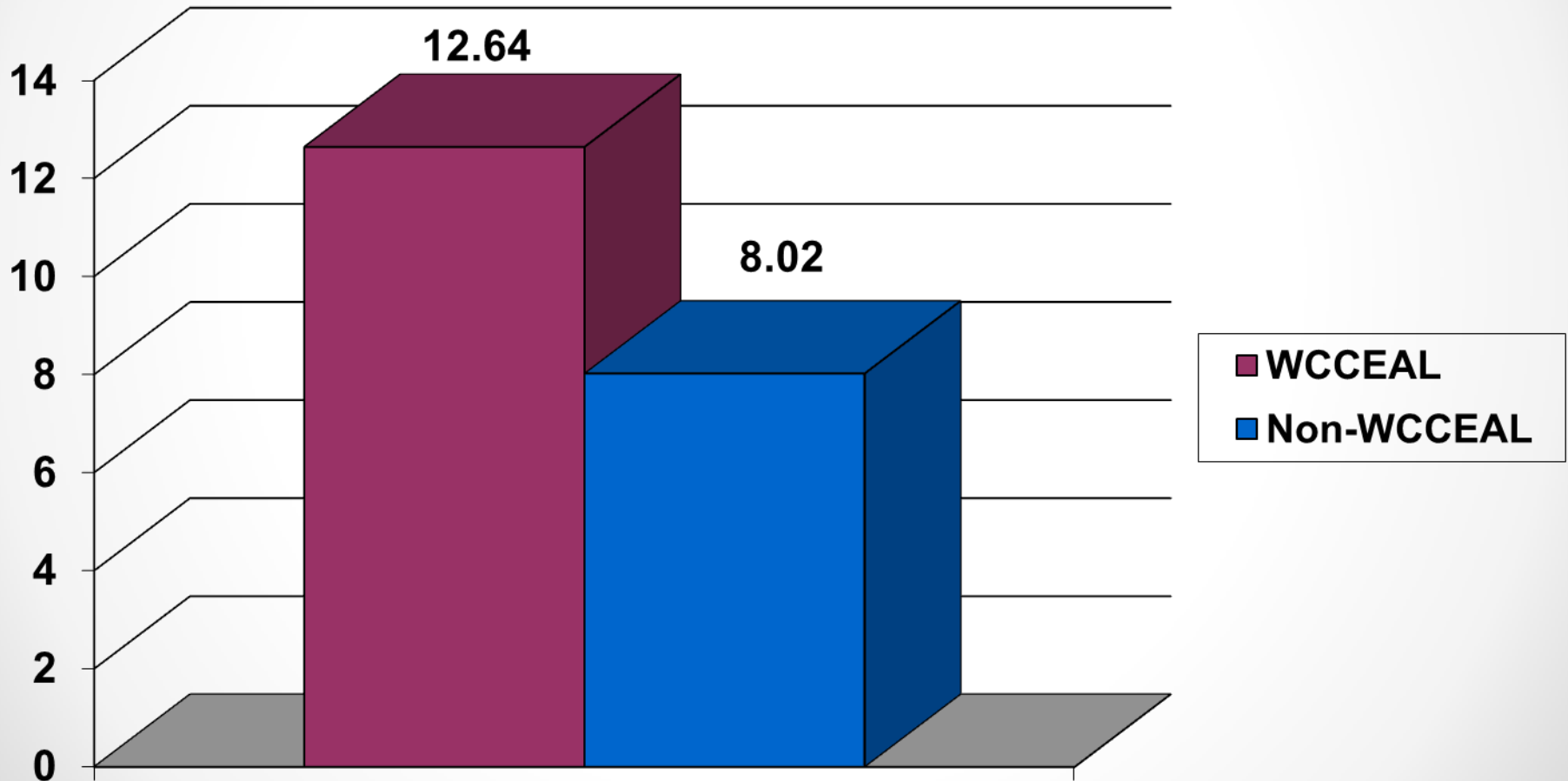
# WCCEAL Regulated Communities Abbreviated Survey Results Jun 2014



■ Total Abbreviated Surveys	15
■ Surveys with no citations	12
■ Surveys with citations only	3
■ Enforcement Action	2

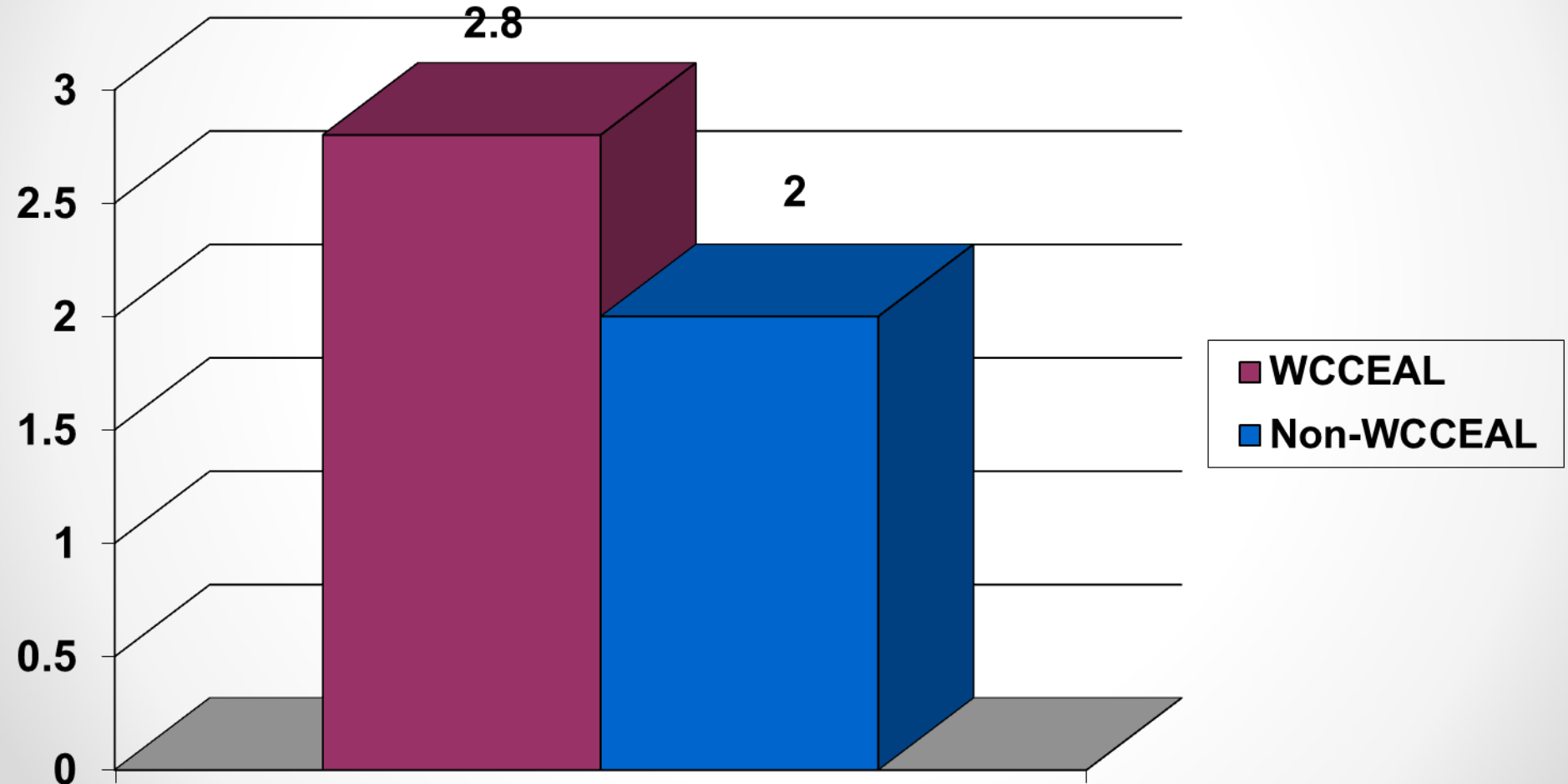


# Percent Making Up Percent of Complaints Jun 2014





# Average Citation Per Survey Jun 2014





# Accomplishments





# Future Plans



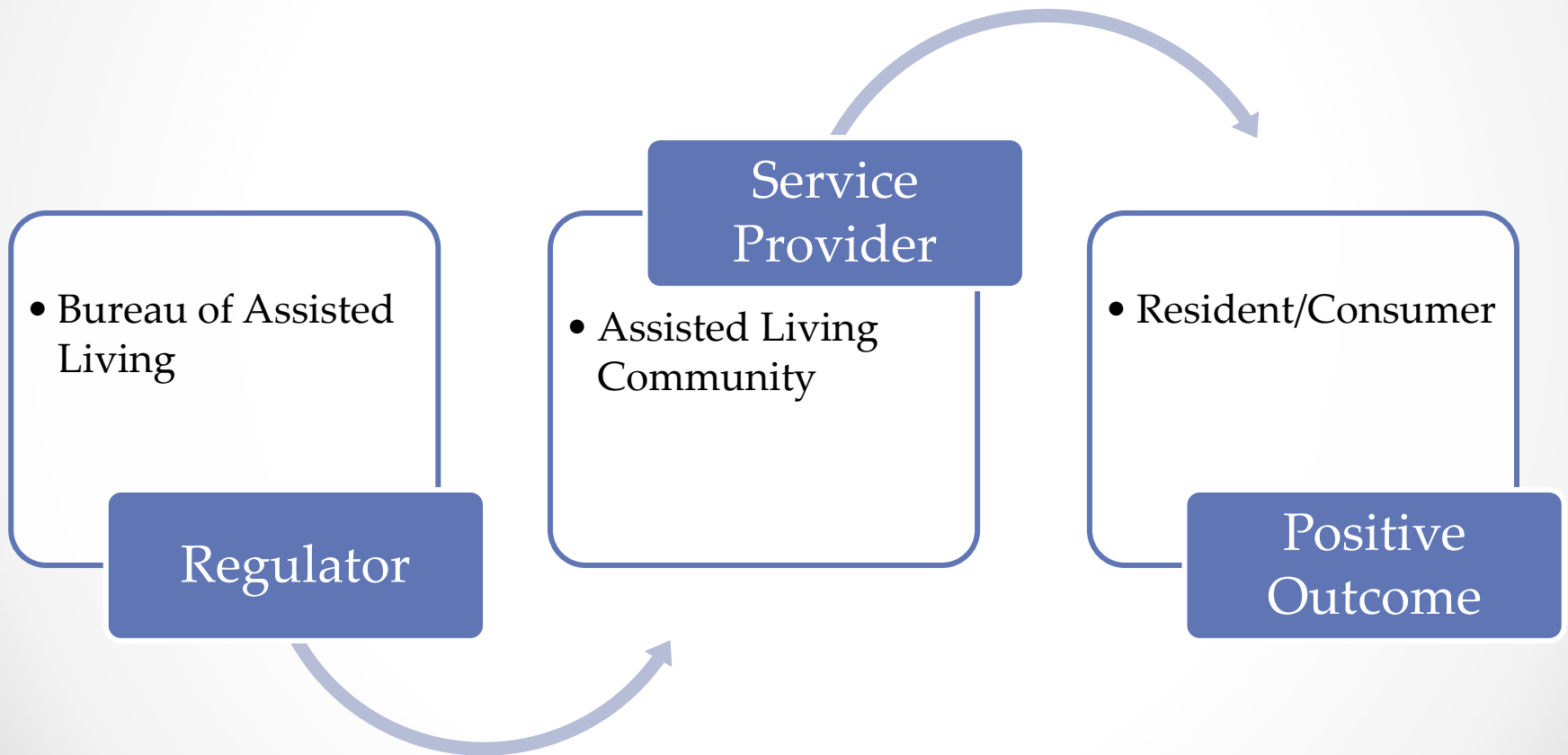


# Bureau of Assisted Living Vision

- Reasonable and consistent
- Promote public health and safety
- Foster quality of life
- Promote provider responsibility
- Promote regulatory agency responsibility
- Foster collaboration
- Support consumer awareness, responsibility and satisfaction
- Promote consumer independence and choice
- Protect vulnerable adults



# Our Focus







# Regulatory Stories





# 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)**