

Average Number of Deficiencies Cited Per Survey by  
Region V States and Nation  
on Standard and Complaint Surveys  
FY 2016

State	Average Number of Deficiencies Cited Per Survey		
	Standard Surveys		Complaint Surveys
Illinois	5.3		0.5
Indiana	5.5		0.8
Michigan	7.3		0.6
Minnesota	6.6		0.4
Ohio	4.2		0.6
Wisconsin	6.6		1.1
U.S.	5.9		0.6

Source: PDQ "Average Number of Deficiencies Report," run  
November 22, 2016

Top 10 Citations Cited by Region V States and Nation  
on Standard and Complaint Surveys  
FY 2016

State	Standard Surveys		Complaint Surveys	
	Tag #	% Surveys Cited	Tag #	% Surveys Cited

Illinois  # Standard Surveys = 758  # Complaint Surveys = 4,203	F0441	51.8%	F0323	6.8%
	F0371	35.5%	F0309	3.6%
	F0323	34.3%	F0157	3.4%
	F0315	25.3%	F0226	2.8%
	F0309	21.6%	F0225	2.8%
	F0314	19.7%	F0314	2.8%
	F0312	19.5%	F0312	2.6%
	F0465	19.1%	F0441	1.7%
	F0431	16.8%	F0246	1.5%
	F0226	13.7%	F0315	1.3%
	F0280	13.7%		

Indiana  # Standard Surveys = 474  # Complaint Surveys = 1,523	F0371	39.0%	F0323	8.3%
	F0441	33.1%	F0282	6.6%
	F0323	30.0%	F0309	6.4%
	F0282	29.5%	F0157	5.4%
	F0329	28.7%	F0226	4.1%
	F0465	28.3%	F0514	3.9%
	F0309	24.9%	F0225	3.7%
	F0279	23.6%	F0314	2.6%
	F0431	20.7%	F0312	2.6%
		F0241	16.9%	F0465

Michigan  # Standard Surveys = 436  # Complaint Surveys = 2,264	F0441	56.4%	F0323	7.8%
	F0371	52.1%	F0309	4.9%
	F0323	44.7%	F0226	3.9%
	F0309	33.0%	F0225	3.4%
	F0431	32.8%	F0241	1.9%
	F0465	29.4%	F0312	1.7%
	F0329	25.7%	F0223	1.6%
	F0226	21.8%	F0157	1.6%
	F0314	21.8%	F0441	1.5%
	F0279	18.1%	F0314	1.5%
		F0281	1.5%	

Top 10 Citations Cited by Region V States and Nation  
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State	Standard Surveys		Complaint Surveys	
	Tag #	% Surveys Cited	Tag #	% Surveys Cited

Minnesota	F0282	48.4%	F0323	4.8%	
	F0441	41.2%	F0309	3.8%	
	# Standard Surveys = 374	F0309	38.0%	F0226	2.9%
		F0329	30.5%	F0225	2.9%
		F0465	26.5%	F0157	2.4%
		F0279	25.4%	F0314	2.1%
	# Complaint Surveys = 373	F0314	24.6%	F0333	1.9%
		F0323	24.3%	F0282	1.9%
		F0431	24.1%	F0312	1.6%
		F0312	23.8%	F0441	1.3%
			F0315	1.3%	

Ohio	F0441	25.9%	F0323	4.7%	
	F0371	25.0%	F0309	3.9%	
	# Standard Surveys = 817	F0329	24.8%	F0225	3.4%
		F0323	22.4%	F0226	3.2%
		F0309	21.8%	F0514	2.9%
		F0278	13.7%	F0157	2.6%
	# Complaint Surveys = 3211	F0279	13.7%	F0441	2.4%
		F0241	11.8%	F0312	2.0%
		F0431	11.4%	F0425	1.8%
		F0514	11.4%	F0314	1.7%
			F0241	1.7%	

Wisconsin	F0371	49.4%	F0225	11.1%
	F0441	49.1%	F0323	10.0%
# Standard Surveys = 336	F0314	39.3%	F0309	8.5%
	F0323	38.4%	F0157	6.4%
	F0225	29.5%	F0425	5.2%
	F0329	25.6%	F0514	5.1%
	F0315	25.0%	F0314	4.8%
# Complaint Surveys = 732	F0309	24.7%	F0441	3.7%
	F0425	24.4%	F0226	3.6%
	F0226	18.8%	F0353	3.4%

List of Top Citations on Top 10 Report for Region V and Nation  
on Standard and Complaint Surveys  
FY 2016

Tag #	Description
F0157	NOTIFY OF CHANGES (INJURY/DECLINE/ROOM, ETC)
F0223	FREE FROM ABUSE/INVOLUNTARY SECLUSION
F0225	INVESTIGATE/REPORT ALLEGATIONS/INDIVIDUALS
F0226	DEVELOP/IMPLEMENT ABUSE, NEGLECT, ETC POLICIES
F0241	DIGNITY AND RESPECT OF INDIVIDUALITY
F0246	REASONABLE ACCOMMODATION OF NEEDS/PREFERENCES
F0278	ASSESSMENT ACCURACY/COORDINATION/CERTIFIED
F0279	DEVELOP COMPREHENSIVE CARE PLANS
F0280	RIGHT TO PARTICIPATE IN PLANNING CARE - REVISE CARE PLAN
F0281	SERVICES PROVIDED MEET PROFESSIONAL STANDARDS
F0282	SERVICES BY QUALIFIED PERSONS IN ACCORDANCE WITH CARE PLAN
F0309	PROVIDE CARE/SERVICES FOR HIGHEST WELL BEING
F0312	ADL CARE PROVIDED FOR DEPENDENT RESIDENTS
F0314	TREATMENT/SERVICES TO PREVENT/HEAL PRESSURE ULCERS
F0315	NO CATHETER, PREVENT UTI, RESTORE BLADDER
F0323	FREE OF ACCIDENT HAZARDS/SUPERVISION/DEVICES
F0329	DRUG REGIMEN IS FREE FROM UNNECESSARY DRUGS
F0333	RESIDENTS FREE FROM SIGNIFICANT MED ERRORS
F0353	SUFFICIENT 24-HR NURSING STAFF PER CARE PLANS
F0371	FOOD PROCURE, STORE/PREPARE/SERVE - SANITARY
F0425	PHARMACEUTICAL SERVICES - ACCURATE PROCEDURES, REGISTERED PHARMACIST
F0431	DRUG RECORDS, LABEL/STORE DRUGS & BIOLOGICALS
F0441	INFECTION CONTROL, PREVENT SPREAD, LINENS
F0465	SAFE/FUNCTIONAL/SANITARY/COMFORTABLE ENVIRONMENT
F0514	RESIDENT RECORDS - COMPLETE/ACCURATE/ACCESSIBLE

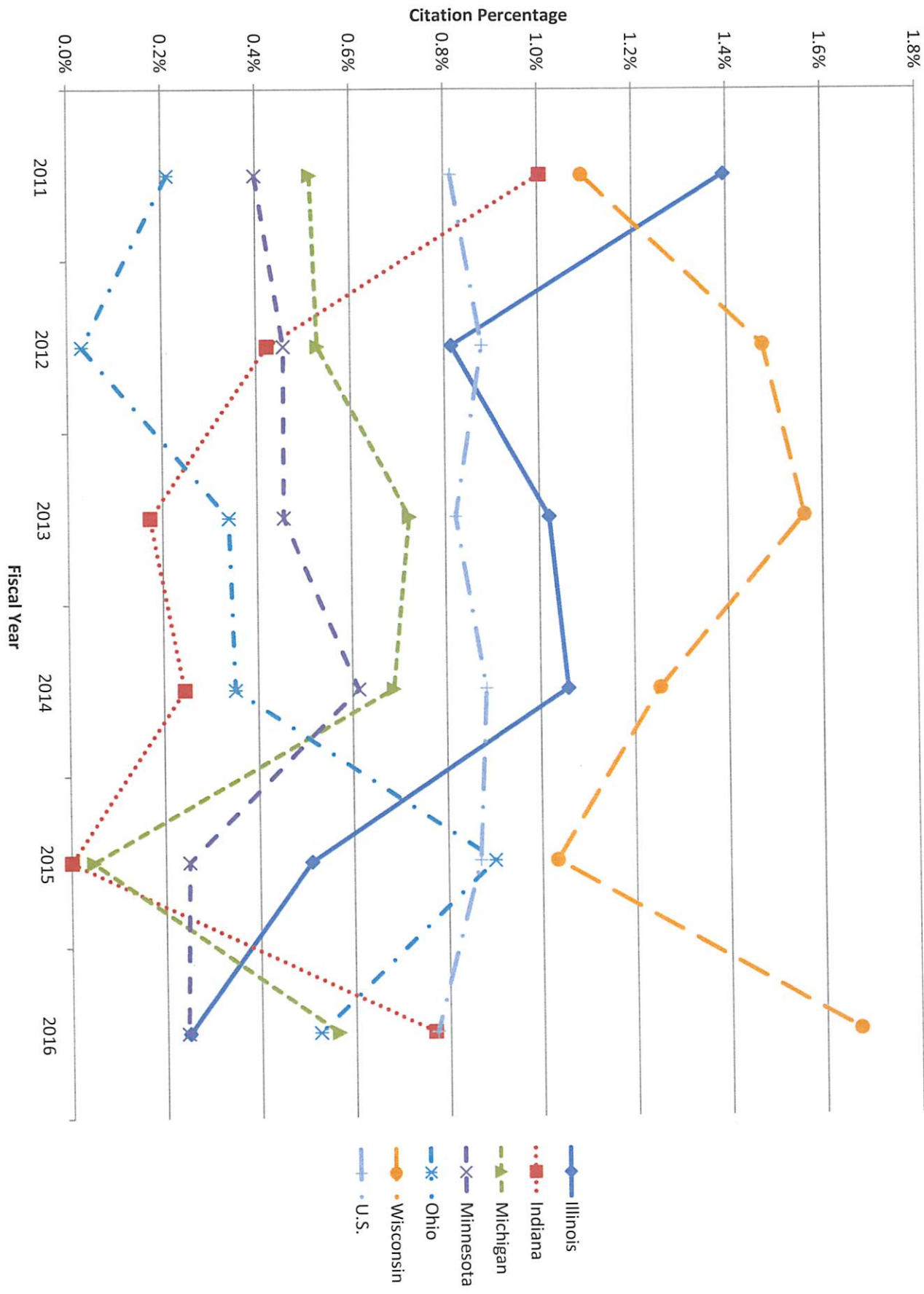
Top 10 Citations Cited by Region V States and Nation  
on Standard and Complaint Surveys  
FY 2016

Nation	Standard Surveys		Complaint Surveys	
	Tag #	% Surveys Cited	Tag #	% Surveys Cited
U.S.  # Standard Surveys = 14,390  # Complaint Surveys = 52,112	F0441	39.0%	F0323	5.5%
	F0371	37.6%	F0309	4.5%
	F0323	28.3%	F0225	3.0%
	F0309	25.2%	F0226	2.5%
	F0431	21.8%	F0157	2.4%
	F0329	21.2%	F0514	2.3%
	F0279	20.0%	F0441	2.1%
	F0241	15.8%	F0279	1.8%
	F0514	15.6%	F0314	1.6%
	F0282	13.6%	F0281	1.6%
			F0312	1.6%

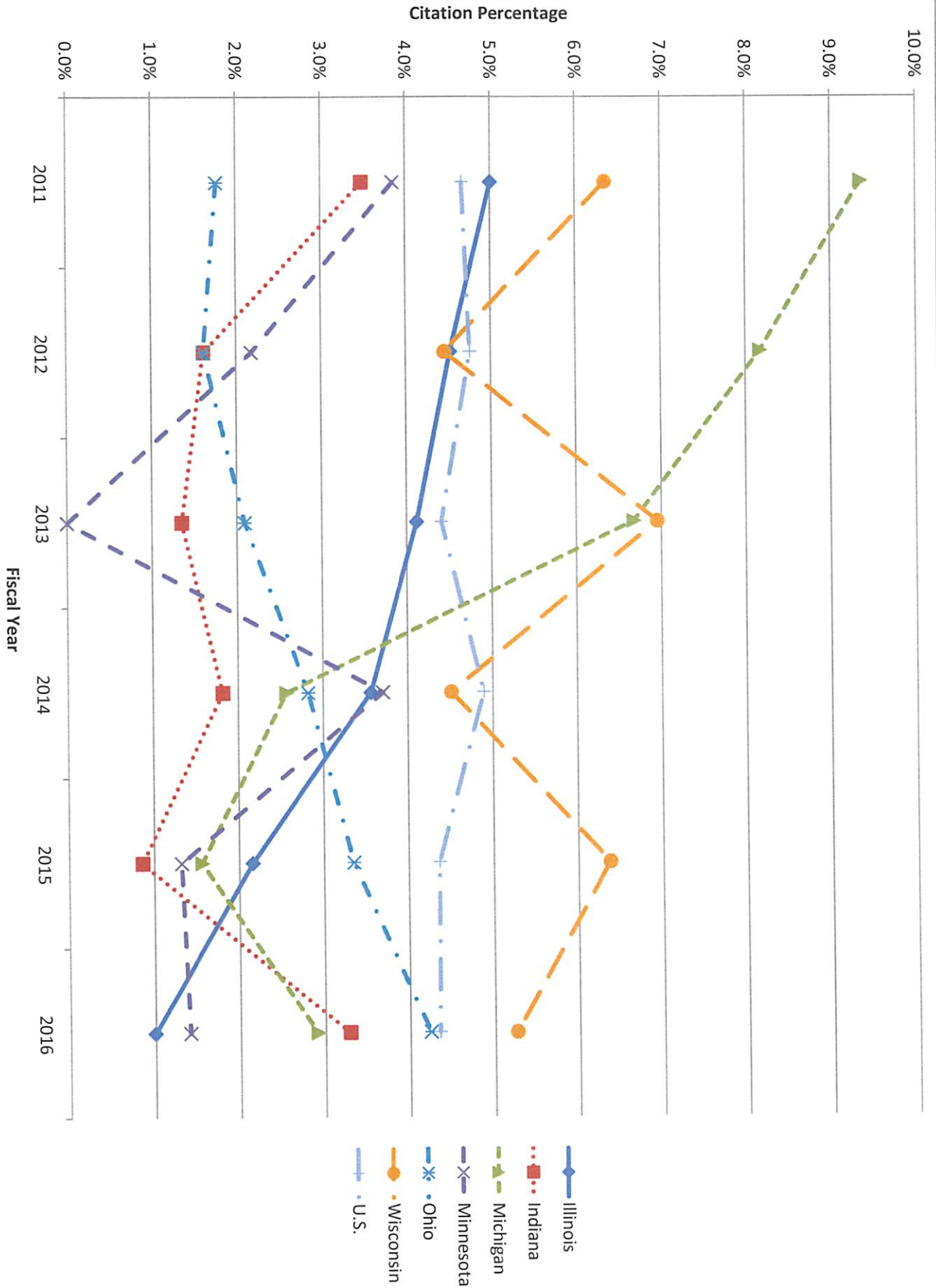
NOTE: If more than one deficiency had the same percentage, all of the deficiencies with that percentage are listed. This may make some jurisdictions have more than 10 deficiencies listed.

Source: PDQ "Citation Frequency Report", run November 22, 2016

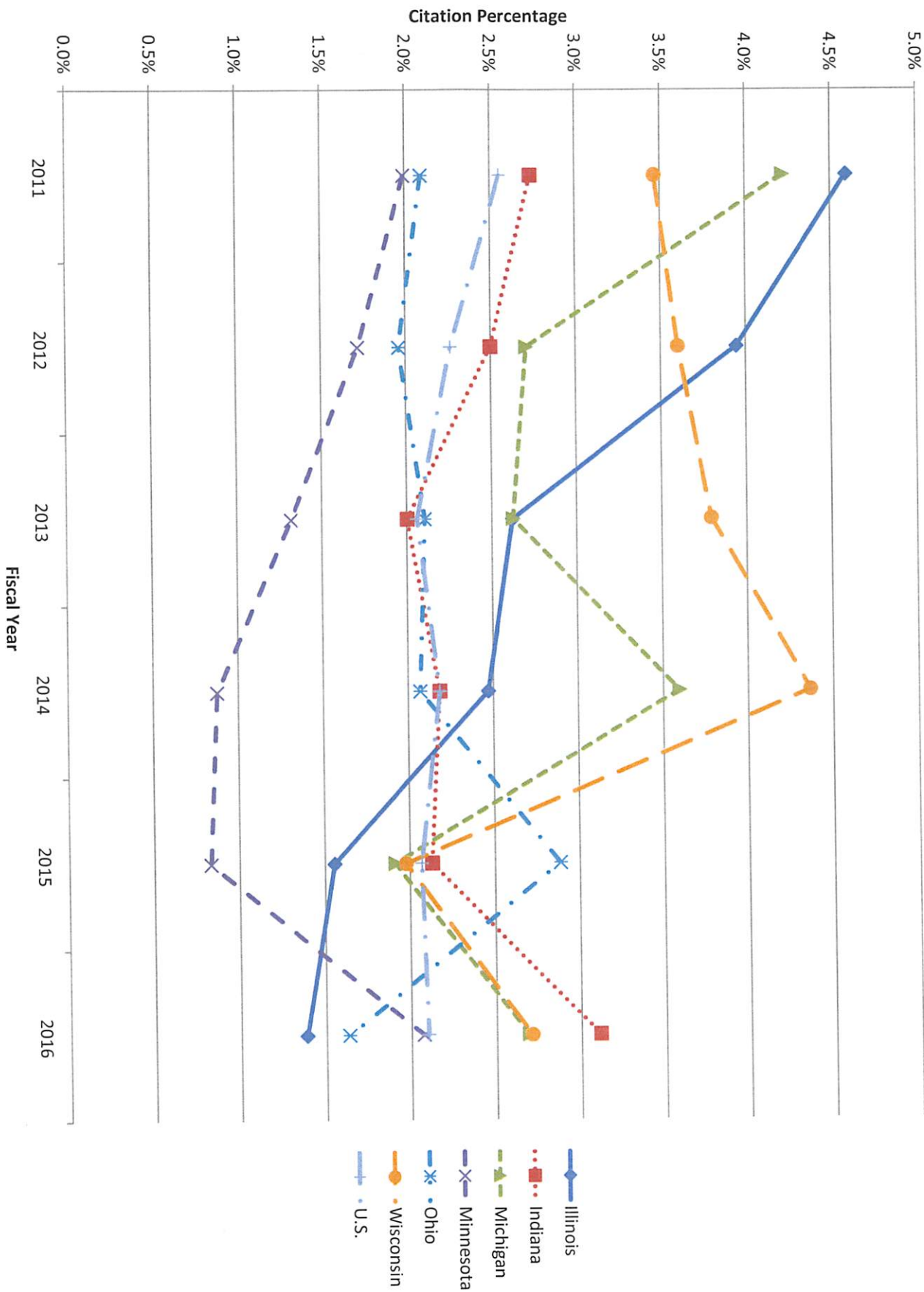
# Percentage of IJ Citations in Standard Surveys



# Percentage of IJ Citations in Complaint Surveys

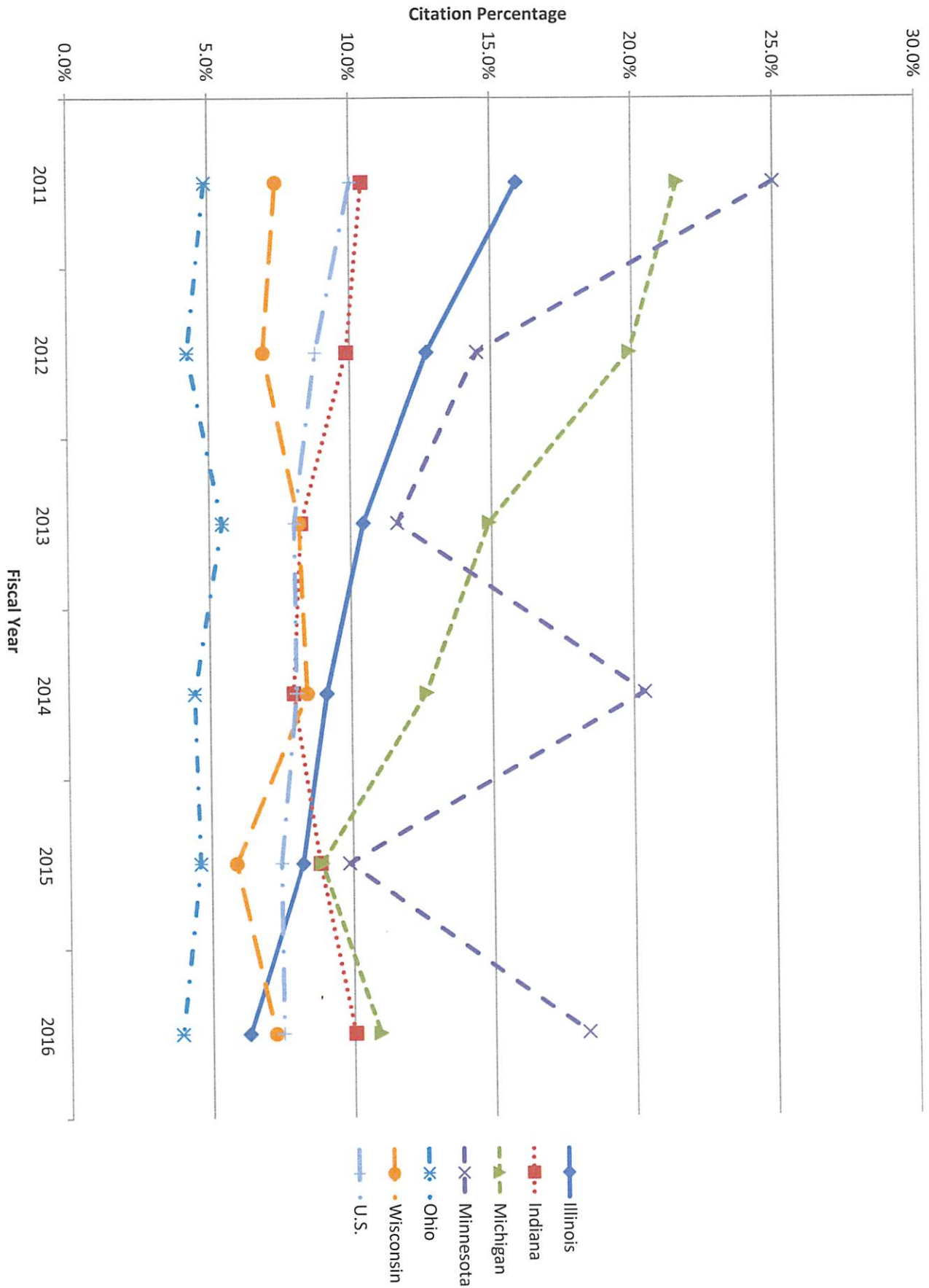


# Percentage of Harm Citations in Standard Surveys





# Percentage of Harm Citations in Complaint Surveys



Remedies In Effect  
Region V States and Nation  
FY 2016

Per Day CMPs	Total Amount In Effect	Average Amount in Effect	Average Time in Effect (days)	Number of Cases with an In Effect Per Day CMP
Illinois	\$2,330,464	\$43,971	44	53
Indiana	\$1,567,976	\$22,084	38	71
Michigan	\$2,275,258	\$24,465	39	93
Minnesota	\$249,362	\$20,780	41	12
Ohio	\$4,950,034	\$61,875	54	80
Wisconsin	\$2,435,265	\$45,098	44	54
U.S.	\$75,151,728	\$53,261	54	1411

Per Instance CMPs	Total Amount In Effect	Average Amount in Effect	Number of Cases with an In Effect Per Instance CMP
Illinois	\$59,690	\$2,713	22
Indiana	\$63,471	\$4,534	14
Michigan	\$192,106	\$6,003	32
Minnesota	\$55,816	\$5,074	11
Ohio	\$425,144	\$4,251	100
Wisconsin	\$82,585	\$4,129	20
U.S.	\$2,511,368	\$3,257	771

Denial of Payment for New Admissions (DOPNA)	Total Number In Effect	Number of Mandatory DOPNA In Effect	Number of Discretionary DOPNA In Effect
Illinois	18	8	10
Indiana	4	4	0
Michigan	33	21	12
Minnesota	5	4	1
Ohio	19	13	6
Wisconsin	19	2	17

Source: CMP data: S&C PDQ "Civil Money Penalty (CMP) Report," run November 22, 2016  
DOPNA data: "AEM Nursing Home Denial of Payment Report," run November 29, 2016

Source: Federal CMS, Dec. 2016  
Posted By LeadingAge Wisconsin

Total Deficiencies Cited by Region V States and Nation by Severity Level  
on Standard and Complaint Surveys  
FY 2016

State	Standard Surveys		Complaint Surveys	
	Number Tags Cited	% Distribution	Number Tags Cited	% Distribution
Illinois				
Total deficiencies cited	4,039	100.0%	2,111	100.0%
Level 4	10	0.2%	21	1.0%
Level 3	56	1.4%	133	6.3%
Level 2	3,590	88.9%	1,884	89.2%
Level 1	383	9.5%	73	3.5%
Indiana				
Total deficiencies cited	2,603	100.0%	1,216	99.9%
Level 4	20	0.8%	40	3.3%
Level 3	81	3.1%	122	10.0%
Level 2	2,432	93.4%	1,050	86.3%
Level 1	70	2.7%	4	0.3%
Michigan				
Total deficiencies cited	3,194	100.1%	1,236	99.9%
Level 4	18	0.6%	36	2.9%
Level 3	86	2.7%	135	10.9%
Level 2	2,915	91.3%	1,051	85.0%
Level 1	175	5.5%	14	1.1%
Minnesota				
Total deficiencies cited	2,461	100.0%	142	100.0%
Level 4	6	0.2%	2	1.4%
Level 3	51	2.1%	26	18.3%
Level 2	2,291	93.1%	114	80.3%
Level 1	113	4.6%	0	0.0%

Total Deficiencies Cited by Region V States and Nation by Severity Level  
on Standard and Complaint Surveys  
FY 2016

State	Standard Surveys		Complaint Surveys	
	Number Tags Cited	% Distribution	Number Tags Cited	% Distribution
Ohio				
Total deficiencies cited	3,428	100.0%	1,863	99.9%
Level 4	18	0.5%	79	4.2%
Level 3	56	1.6%	73	3.9%
Level 2	3,201	93.4%	1,664	89.3%
Level 1	153	4.5%	47	2.5%
Wisconsin				
Total deficiencies cited	2,214	100.0%	817	100.0%
Level 4	37	1.7%	43	5.3%
Level 3	60	2.7%	59	7.2%
Level 2	2,018	91.1%	696	85.2%
Level 1	99	4.5%	19	2.3%
U. S.				
Total deficiencies cited	84,557	100.0%	30,712	100.0%
Level 4	654	0.8%	1,336	4.4%
Level 3	1,775	2.1%	2,302	7.5%
Level 2	78,494	92.8%	26,294	85.6%
Level 1	3,634	4.3%	780	2.5%

Notes: Level 1 deficiencies only include tags cited at Levels B and C  
Source: PDQ "Deficiency Count Report," run November 22, 2016

**FY16 LSC Deficiency Count**

Region	B	C	D	E	F	G	H	I	J	K	L	Total
(I) Boston	311	353	523	194	189	0	0	0	0	0	3	1,573
(II) New York	210	38	1,057	1,190	64	0	0	0	0	1	1	2,561
(III) Philadelphia	211	769	1,284	3,214	834	0	0	0	0	0	0	6,312
(IV) Atlanta	23	170	3,824	2,056	1,169	0	0	0	3	1	0	7,246
(V) Chicago	91	830	1,830	8,201	5,917	0	0	0	0	0	4	16,873
Illinois	0	202	251	3,495	3,094	0	0	0	0	0	4	7,046
Indiana	70	273	375	1,195	479	0	0	0	0	0	0	2,392
Michigan	2	9	419	750	691	0	0	0	0	0	0	1,871
Minnesota	7	173	534	304	352	0	0	0	0	0	0	1,370
Ohio	12	71	93	1,611	1,008	0	0	0	0	0	0	2,795
Wisconsin	0	102	158	846	293	0	0	0	0	0	0	1,399
(VI) Dallas	81	1,140	417	2,869	2,688	0	0	0	0	1	1	7,197
(VII) Kansas City	1	6	1,320	1,948	2,995	0	0	0	0	1	3	6,274
(VIII) Denver	31	69	1,417	704	364	0	0	0	0	0	0	2,585
(IX) San Francisco	30	339	4,121	1,430	386	0	0	0	0	0	0	6,306
(X) Seattle	5	33	561	261	503	0	0	0	2	0	2	1,367
National Total	994	3,747	16,354	22,067	15,109	0	0	0	5	4	14	58,294

RO V Top Ten			
2012	2000	Description	% surveys cited
K0353	K62	Sprinkler System - Maintenance and Testing	28.50%
K0914	K144	Electrical Systems - Maintenance and Testing	27.20%
K0712	K50	Fire Drills	26.60%
K0372	K25	Subdivision of Building Spaces - Smoke Barrie	25.30%
K0379	K25	Smoke Barrier Door Glazing	22.20%
K0351	K56	Sprinkler System - Installation	18.50%
K0363	K18	Corridor - Doors	17.40%
K0345	K52	Fire Alarm System - Testing and Maintenance	17.20%
K0321	K29	Hazardous Areas - Enclosure	17.20%
K0511	K147	Utilities - Gas and Electric	14.80%

IL Top Ten			
2012	2000	Description	% surveys cited
K0511	K147	Utilities - Gas and Electric	60.30%
K0353	K62	Sprinkler System - Maintenance and Testing	56.00%
K0363	K18	Corridor - Doors	54.70%
K0914	K144	Electrical Systems - Maintenance and Testing	50.10%
K0345	K52	Fire Alarm System - Testing and Maintenance	38.90%
K0321	K29	Hazardous Areas - Enclosure	38.80%
K0901	K145	Fundamentals - Building System Categories	38.00%
K0712	K50	Fire Drills	35.60%
K0372	K25	Subdivision of Building Spaces - Smoke Barrie	33.60%
K0379	K25	Smoke Barrier Door Glazing	33.10%

IN Top Ten			
2012	2000	Description	% surveys cited
K0353	K62	Sprinkler System - Maintenance and Testing	39.20%
K0372	K25	Subdivision of Building Spaces - Smoke Barrie	35.80%
K0379	K25	Smoke Barrier Door Glazing	35.60%
K0321	K29	Hazardous Areas - Enclosure	34.30%
K0511	K147	Utilities - Gas and Electric	33.30%
K0914	K144	Electrical Systems - Maintenance and Testing	28.30%
K0712	K50	Fire Drills	27.60%
K0363	K18	Corridor - Doors	21.10%
K0271	K38	Discharge from Exits	18.50%
K0291	K46	Emergency Lighting	15.00%

MI Top Ten			
2012	2000	Description	% surveys cited
K0353	K62	Sprinkler System - Maintenance and Testing	34.10%
K0271	K38	Discharge from Exits	33.20%
K0321	K29	Hazardous Areas - Enclosure	32.30%
K0511	K147	Utilities - Gas and Electric	32.00%
K0372	K25	Subdivision of Building Spaces - Smoke Barrie	26.80%
K0379	K25	Smoke Barrier Door Glazing	23.60%
K0351	K56	Sprinkler System - Installation	21.50%
K0923	K76	Gas Equipment - Cylinder and Container Storag	21.30%
K0914	K144	Electrical Systems - Maintenance and Testing	19.20%
K0341	K51	Fire Alarm System - Installation	17.80%

MN Top Ten			
2012	2000	Description	% surveys cited
K0353	K62	Sprinkler System - Maintenance and Testing	28.50%
K0914	K144	Electrical Systems - Maintenance and Testing	27.20%
K0712	K50	Fire Drills	26.60%
K0372	K25	Subdivision of Building Spaces - Smoke Barrie	25.30%
K0379	K25	Smoke Barrier Door Glazing	22.20%
K0351	K56	Sprinkler System - Installation	18.50%
K0363	K18	Corridor - Doors	17.40%
K0345	K52	Fire Alarm System - Testing and Maintenance	17.20%
K0321	K29	Hazardous Areas - Enclosure	17.20%
K0511	K147	Utilities - Gas and Electric	14.80%

OH Top Ten			
2012	2000	Description	% surveys cited
K0271	K38	Discharge from Exits	24.60%
K0353	K62	Sprinkler System - Maintenance and Testing	24.10%
K0914	K144	Electrical Systems - Maintenance and Testing	21.60%
K0511	K147	Utilities - Gas and Electric	21.60%
K0321	K29	Hazardous Areas - Enclosure	17.30%
K0712	K50	Fire Drills	16.70%
K0372	K25	Subdivision of Building Spaces - Smoke Barrie	16.60%
K0379	K25	Smoke Barrier Door Glazing	15.40%

K0351	K56	Sprinkler System - Installation	15.00%
K0363	K18	Corridor - Doors	14.80%

WI Top Ten			
2012	2000	Description	% surveys cited
K0353	K62	Sprinkler System - Maintenance and Testing	45.70%
K0511	K147	Utilities - Gas and Electric	32.80%
K0712	K50	Fire Drills	25.90%
K0345	K52	Fire Alarm System - Testing and Maintenance	21.60%
K0321	K29	Hazardous Areas - Enclosure	19.80%
K0363	K18	Corridor - Doors	19.50%
K0351	K56	Sprinkler System - Installation	19.30%
K0914	K144	Electrical Systems - Maintenance and Testing	18.40%
K0271	K38	Discharge from Exits	18.10%
K0379	K25	Smoke Barrier Door Glazing	17.20%