



# **“State of Assisted Living”**

Calendar Year 2013

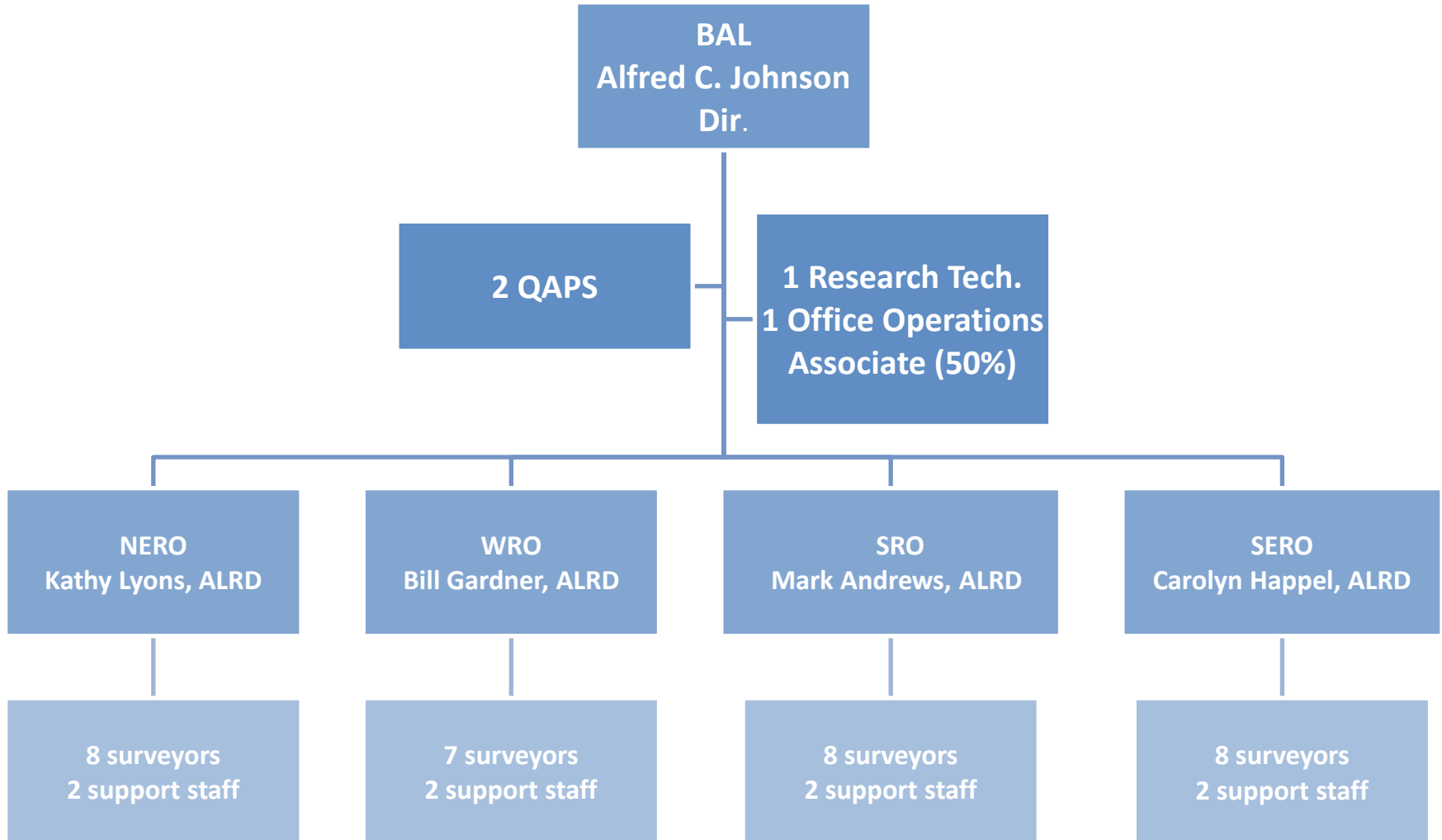


# Agenda

1. Organizational Chart/Regional Office Locations
2. Trends and Statistics
  - AL Capacity
  - Affiliation/Ownership Trends
  - Enforcement Trends
  - Citations/Sanctions
  - Complaints
  - Self-Reports
  - Abbreviated Surveys
3. WCCEAL
4. Looking Ahead
5. Regulatory Stories
6. Wrap-up

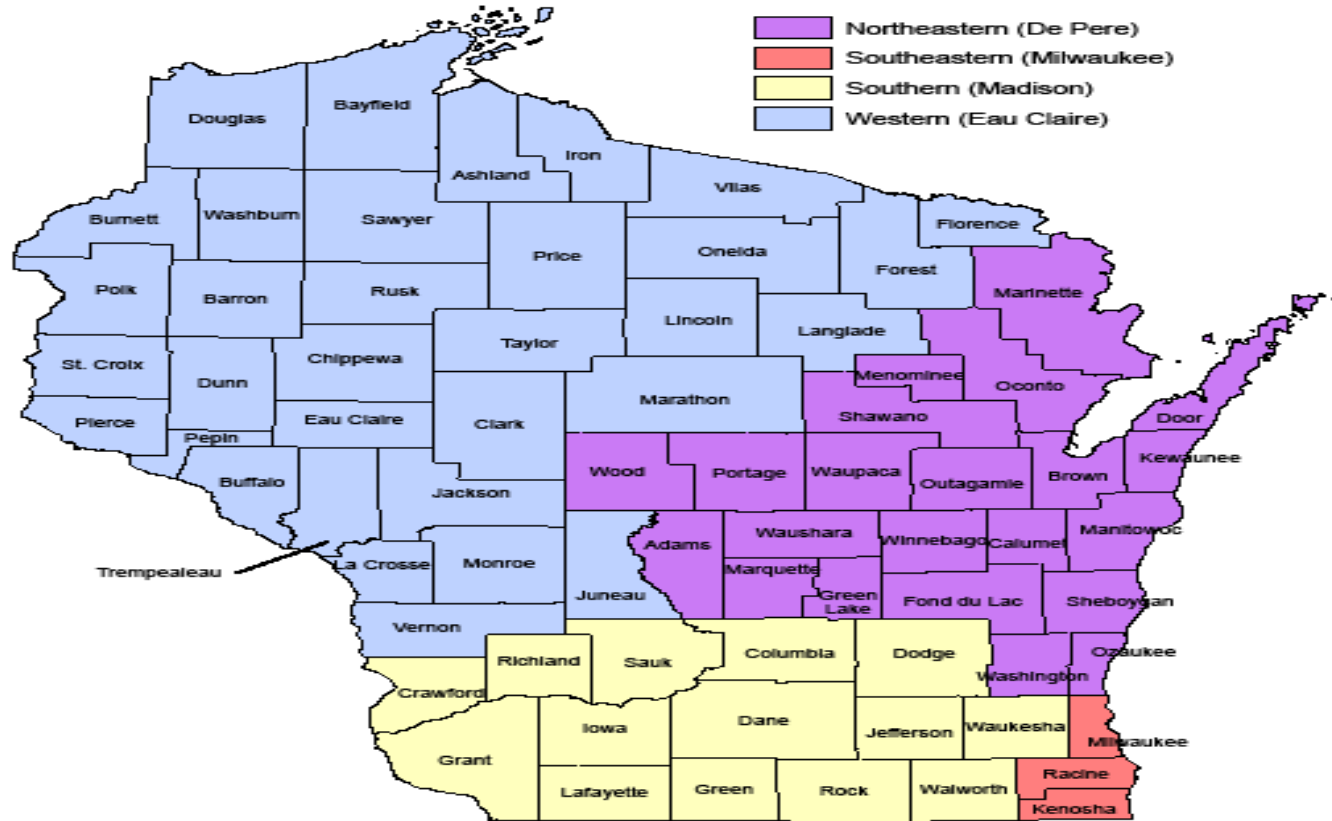


# BAL Org. Chart



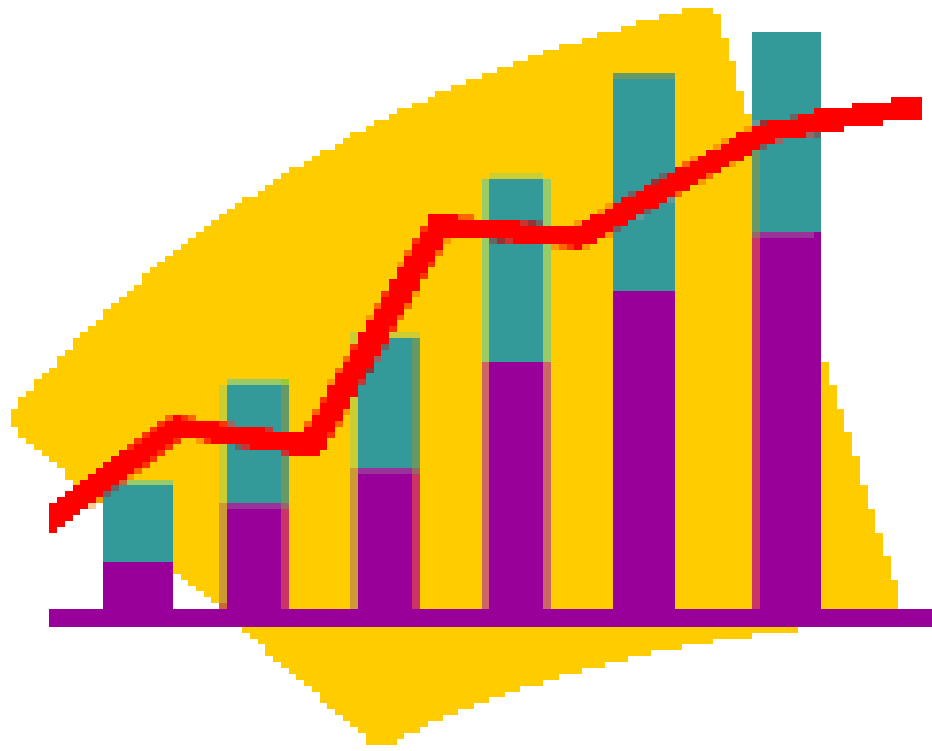


### Bureau of Assisted Living Regional Assignments April 2009





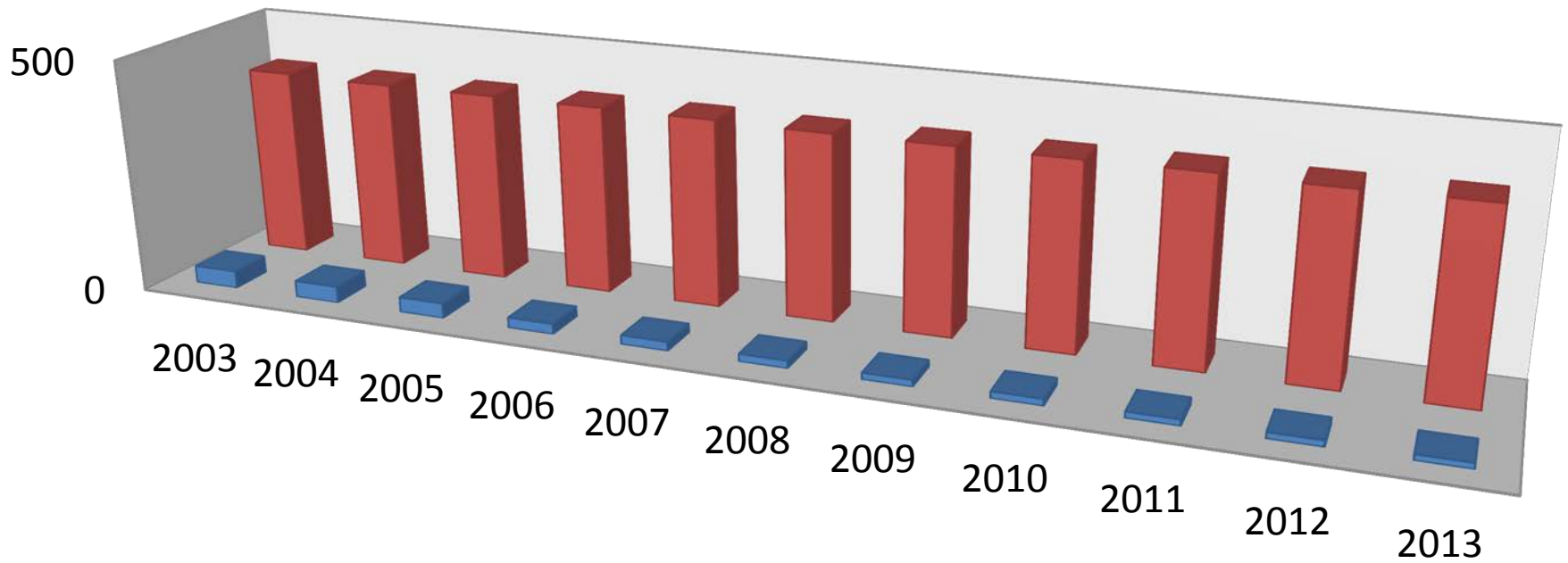
# Trends & Statistics





# Nursing Home & FDDS

## Trend in Number of Facilities

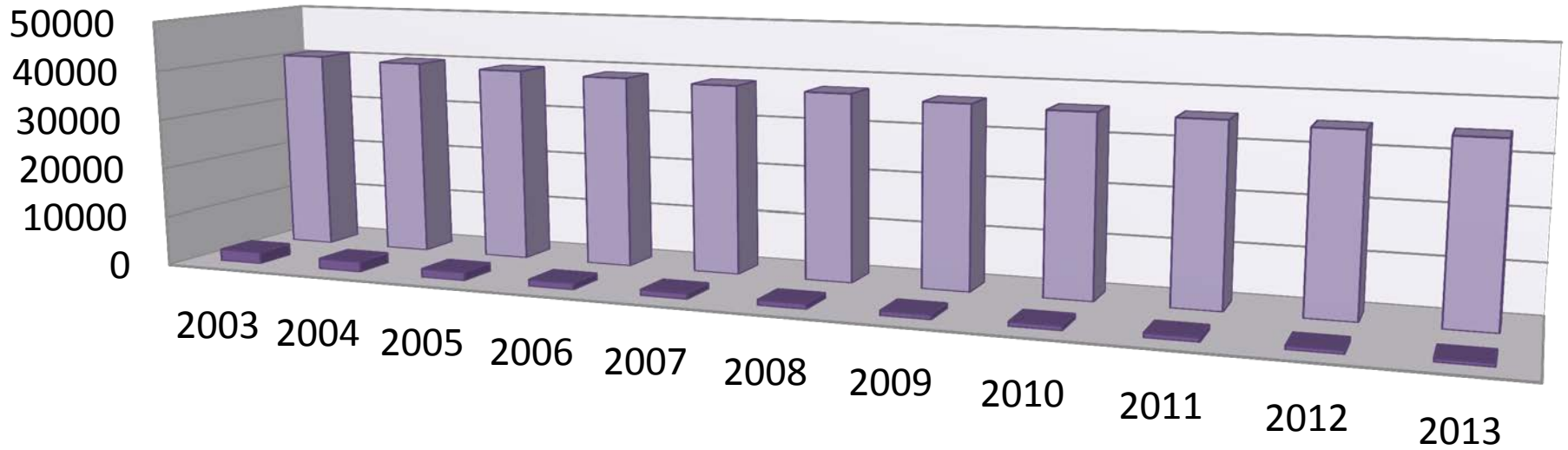


	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
<span style="color: blue;">■</span> FDDS	37	35	32	22	19	16	14	14	13	13	12
<span style="color: red;">■</span> NHs	407	404	404	403	402	399	399	399	400	397	399



# Nursing Home & FDD

## Trend in Capacity for Residents



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



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

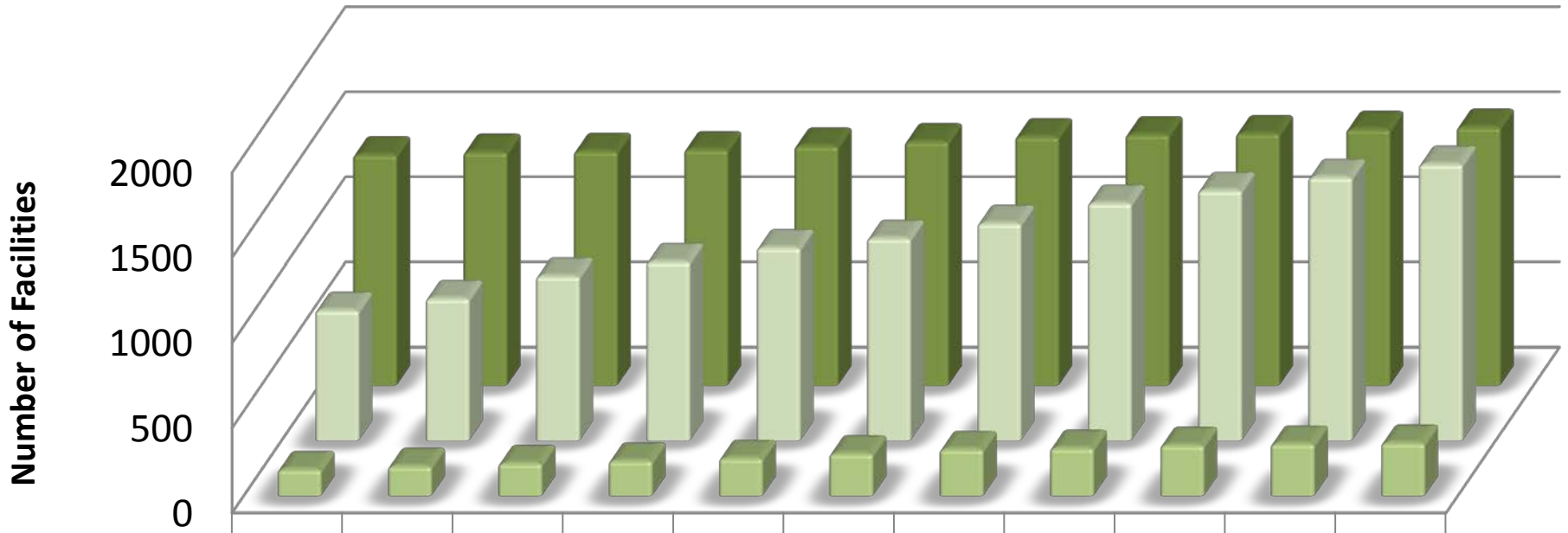






# Assisted Living

## Trend in Number of Facilities

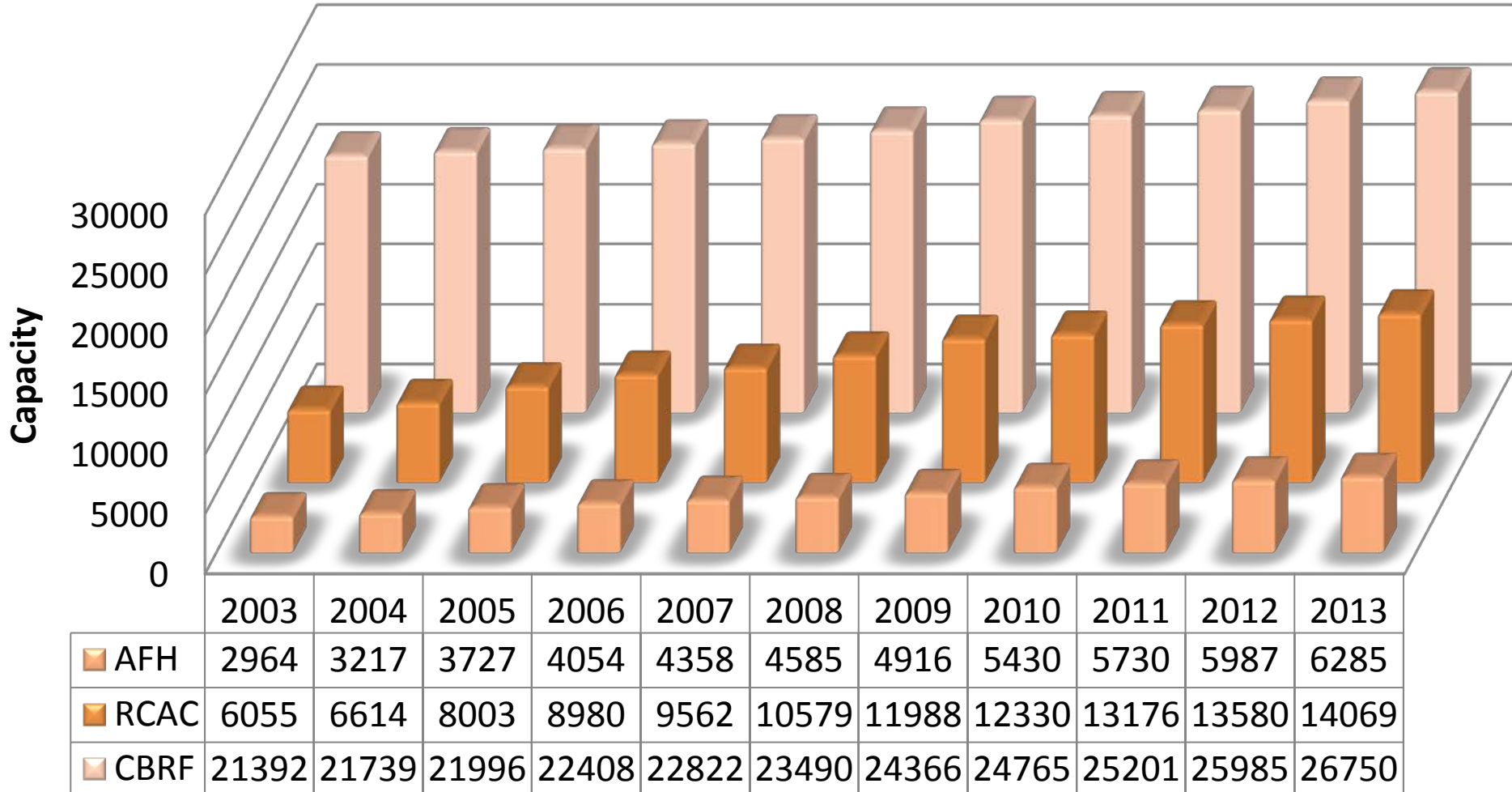


	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
RCAC	152	171	188	203	218	245	271	278	295	303	308
AFH	765	834	965	1049	1130	1185	1273	1392	1467	1544	1621
CBRF	1352	1367	1372	1382	1403	1429	1458	1470	1476	1501	1514



# Assisted Living

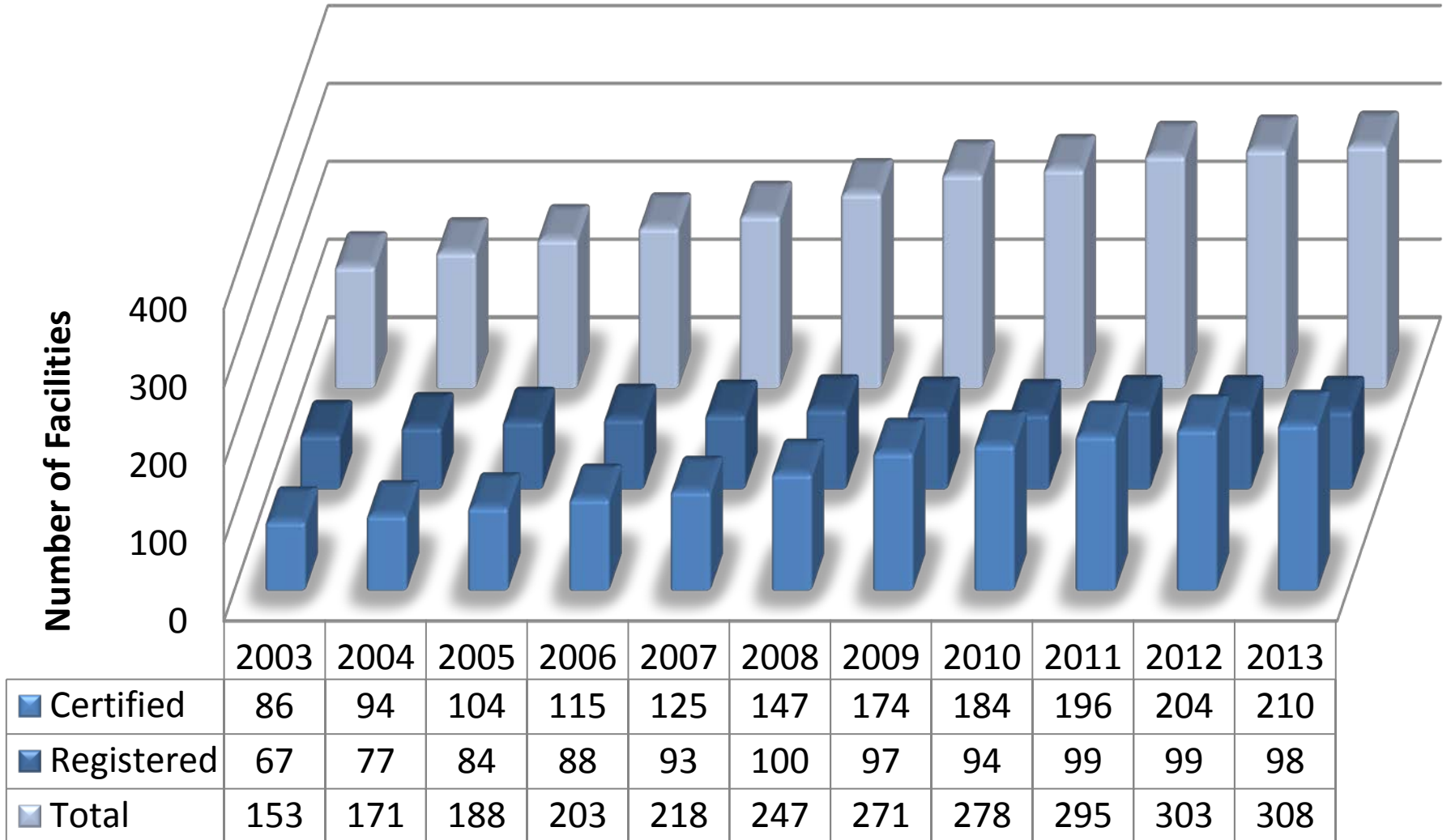
## Trend in Assisted Living Capacity





# RCACs

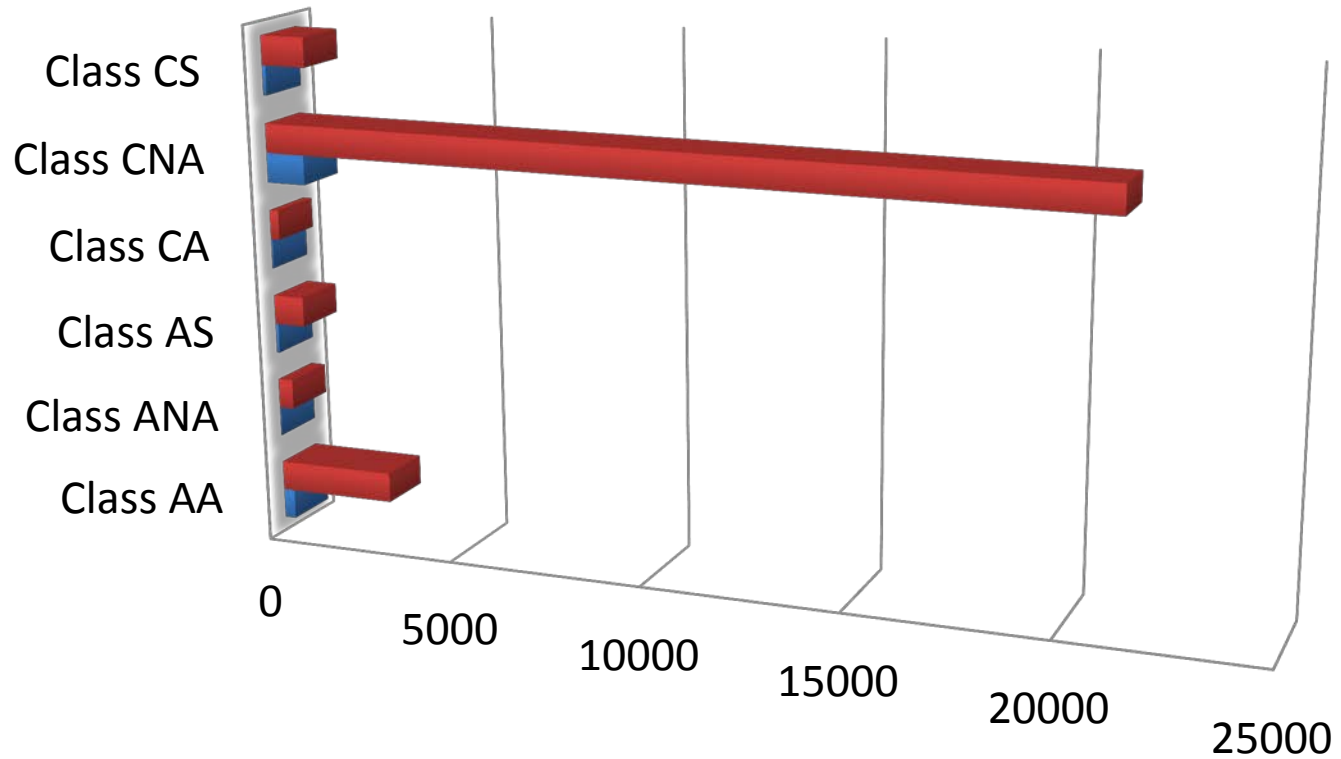
## Certified vs. Registered





# CBRF

## Capacity Report

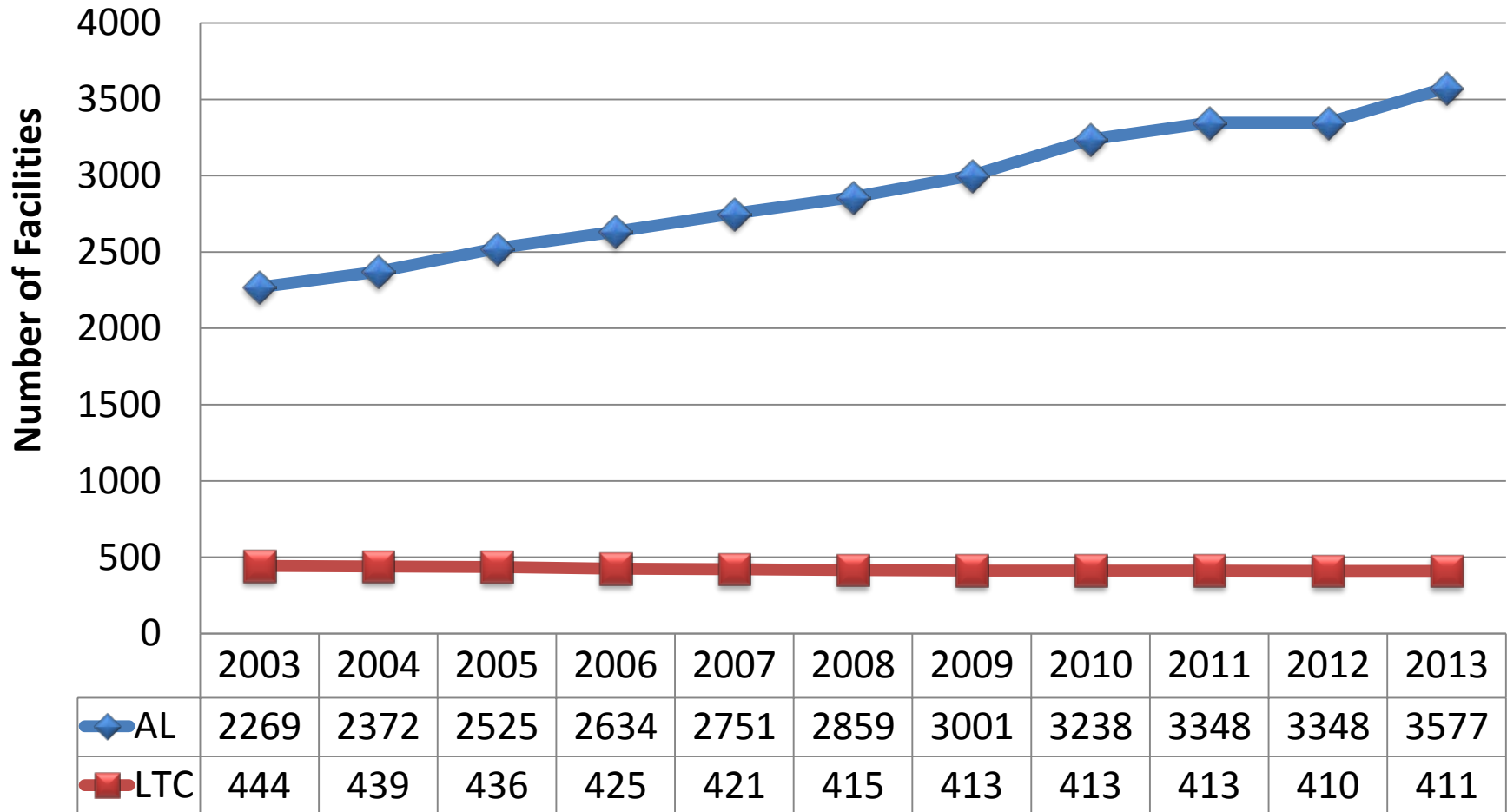


	Class AA	Class ANA	Class AS	Class CA	Class CNA	Class CS
■ Capacity	2993	385	801	233	21223	1155
■ Number of facilities	288	16	75	34	1011	93



# AL vs. LTC

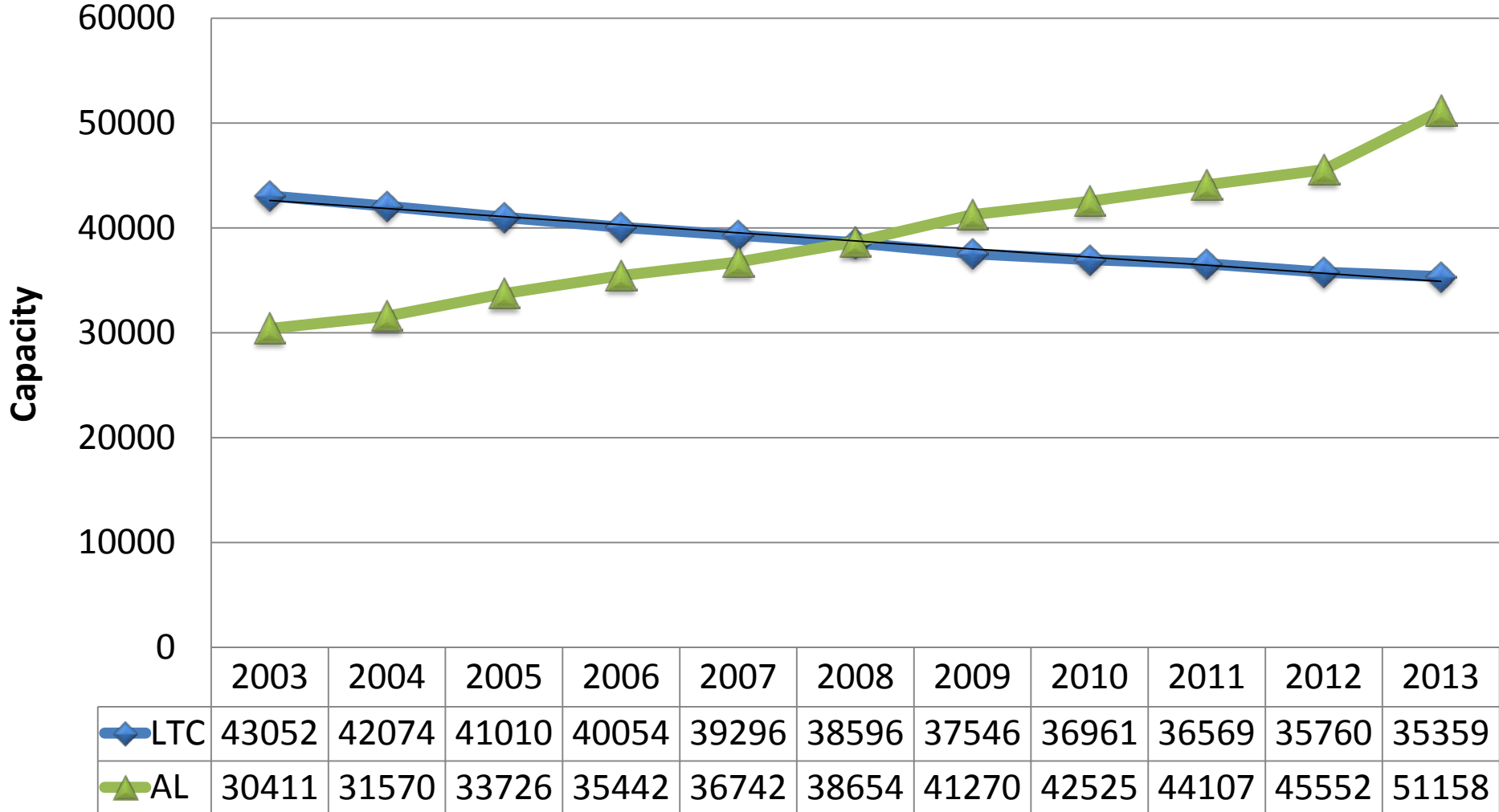
## Trend in Number of Facilities





# AL vs. LTC

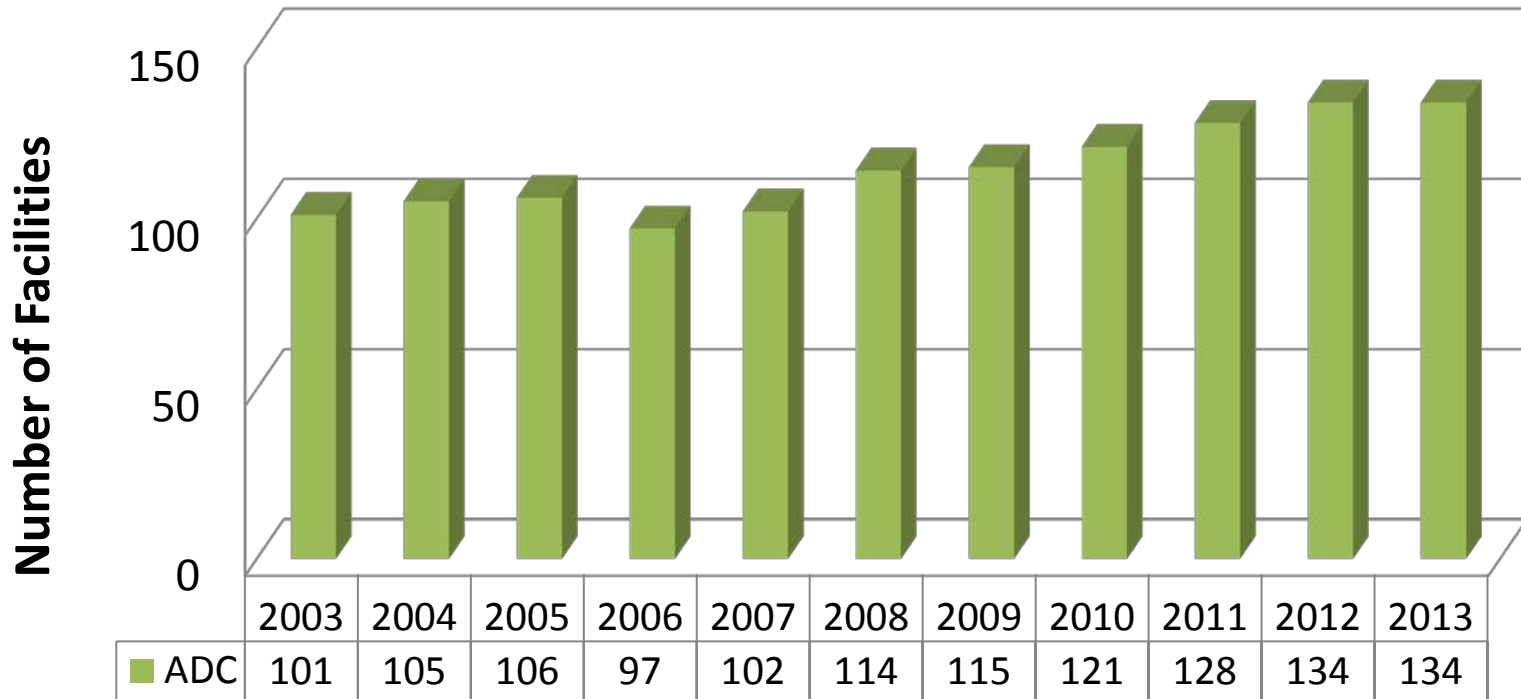
## Trend in Capacity for Residents





# Adult Day Care Facilities

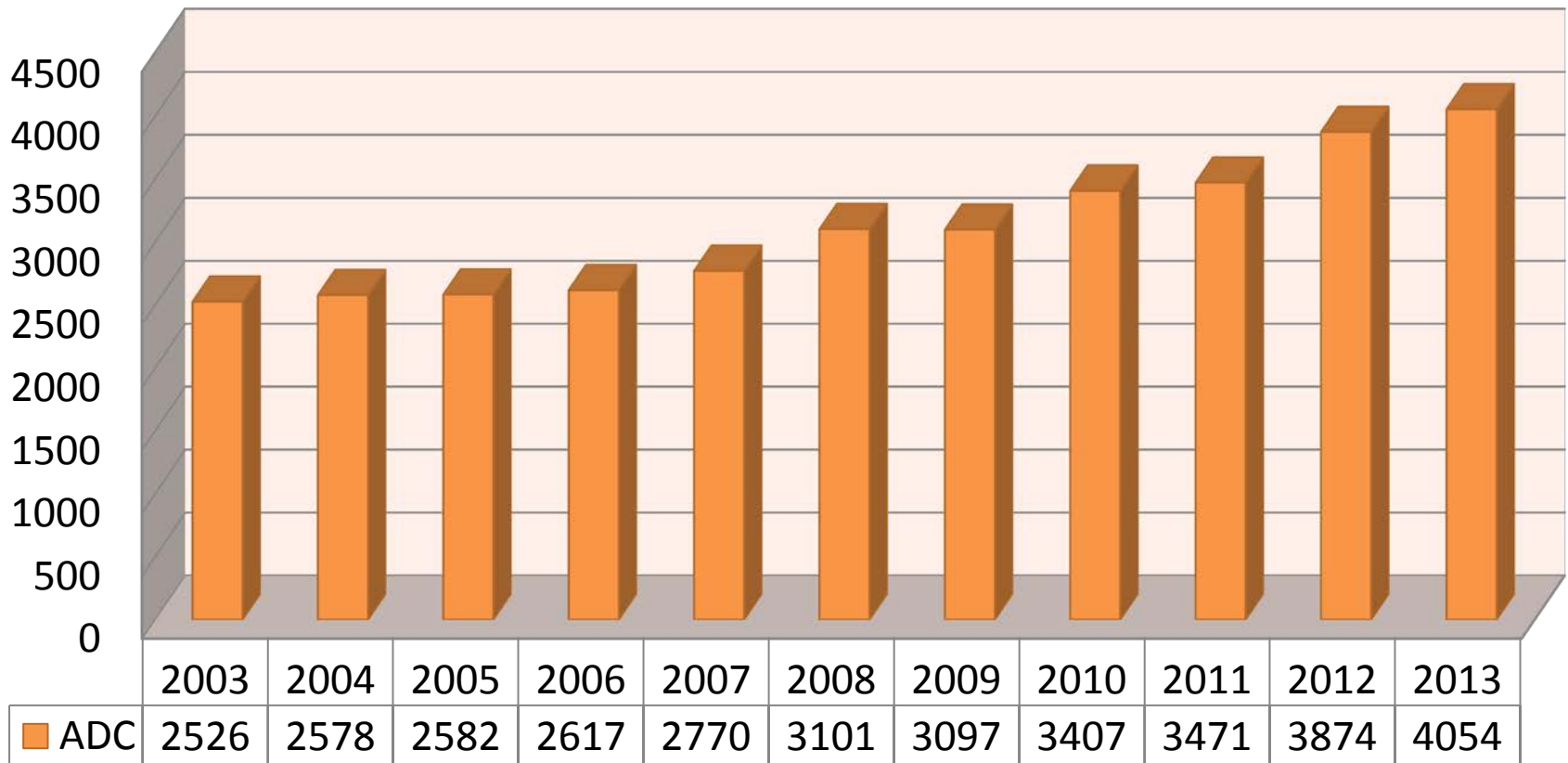
## Trend in Number of Facilities





# Adult Day Care Facilities

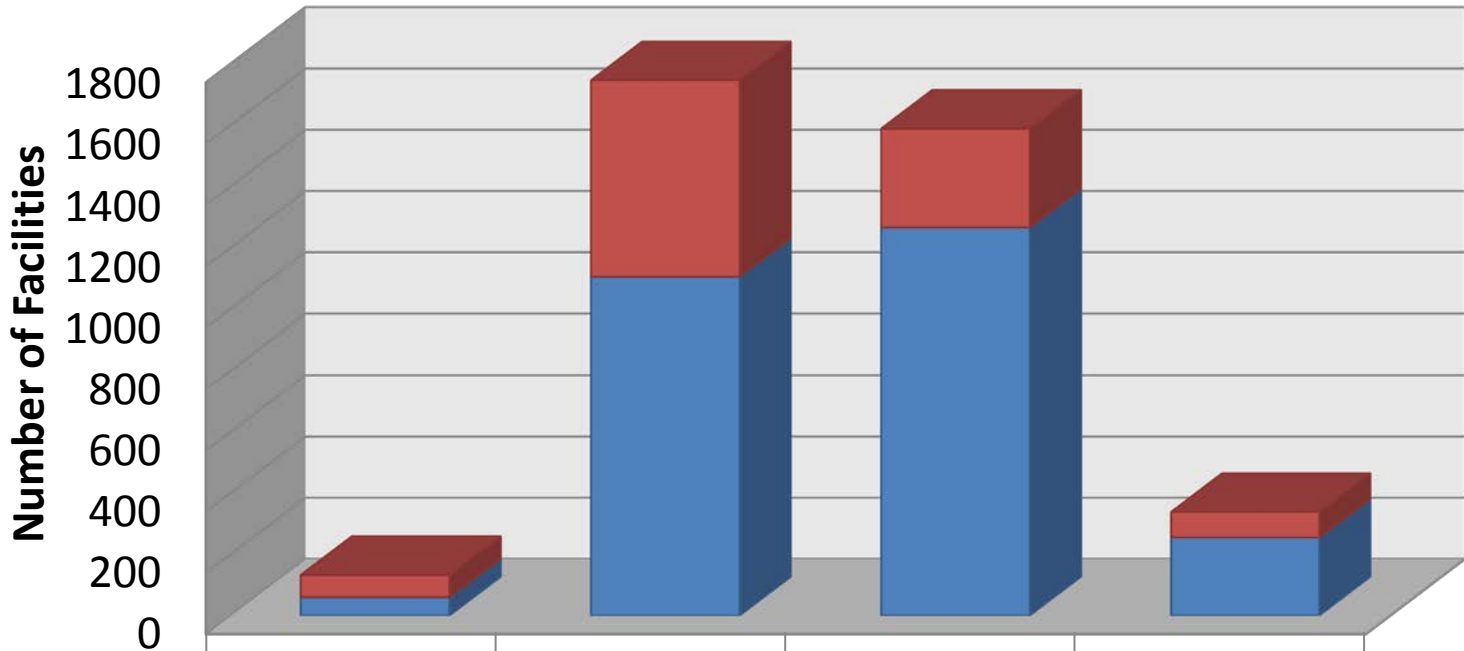
**Trend in the Capacity for Participants**







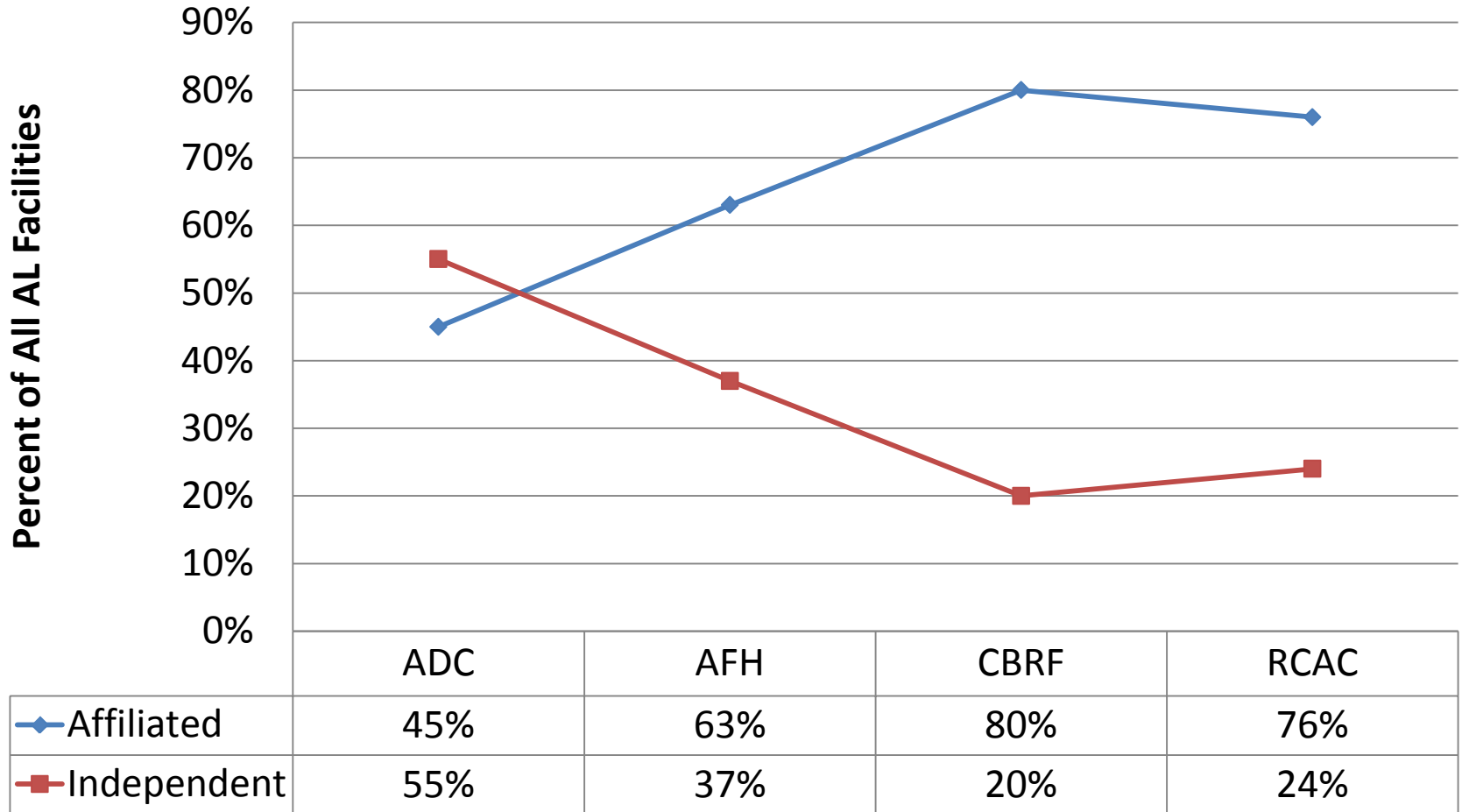
# Assisted Living Facilities by Affiliation



	ADC	AFH	CBRF	RCAC
Independent	73	641	322	83
Affiliated	60	1106	1267	256

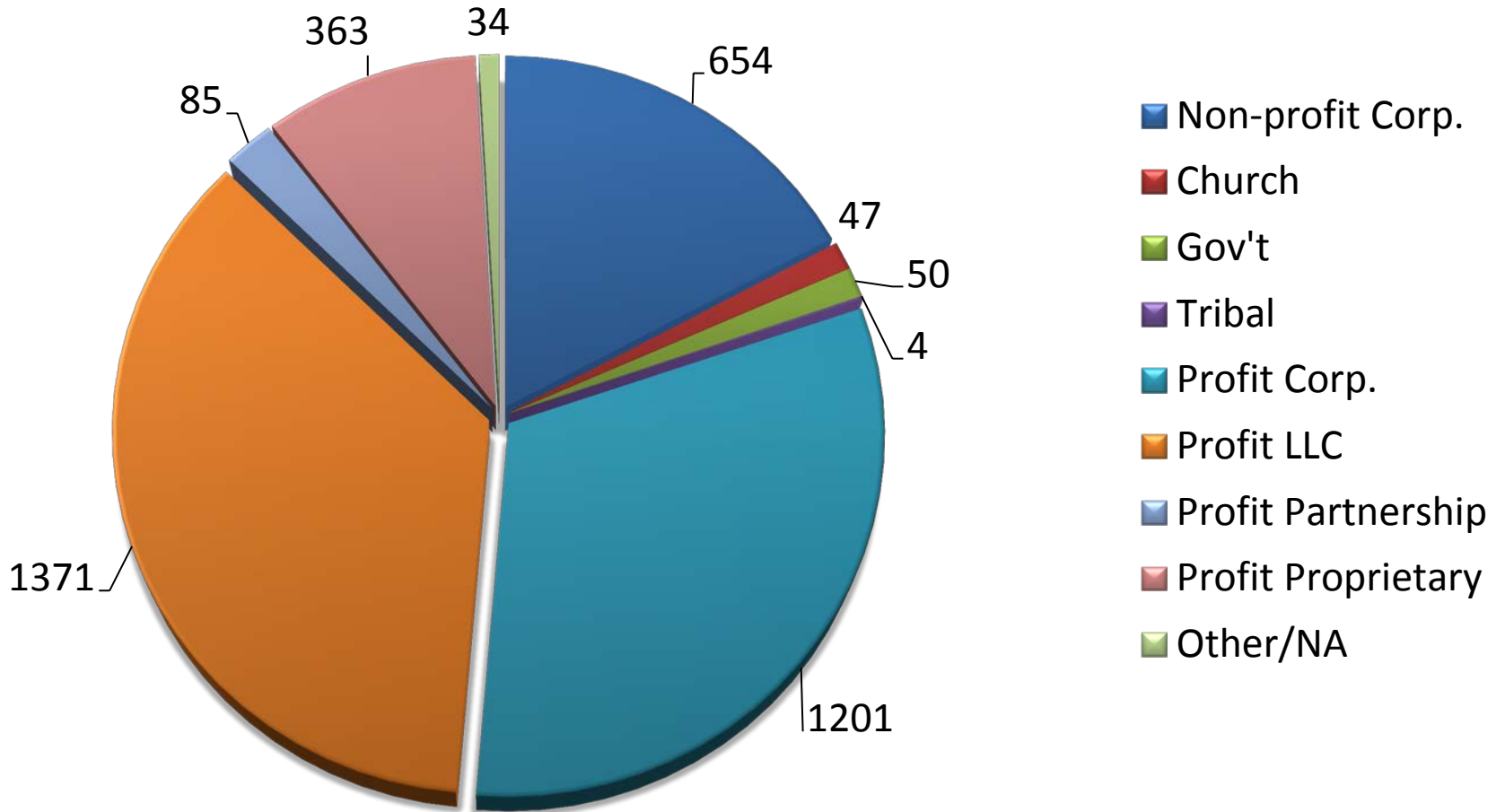


# Percent of Facility Types Affiliated 2013



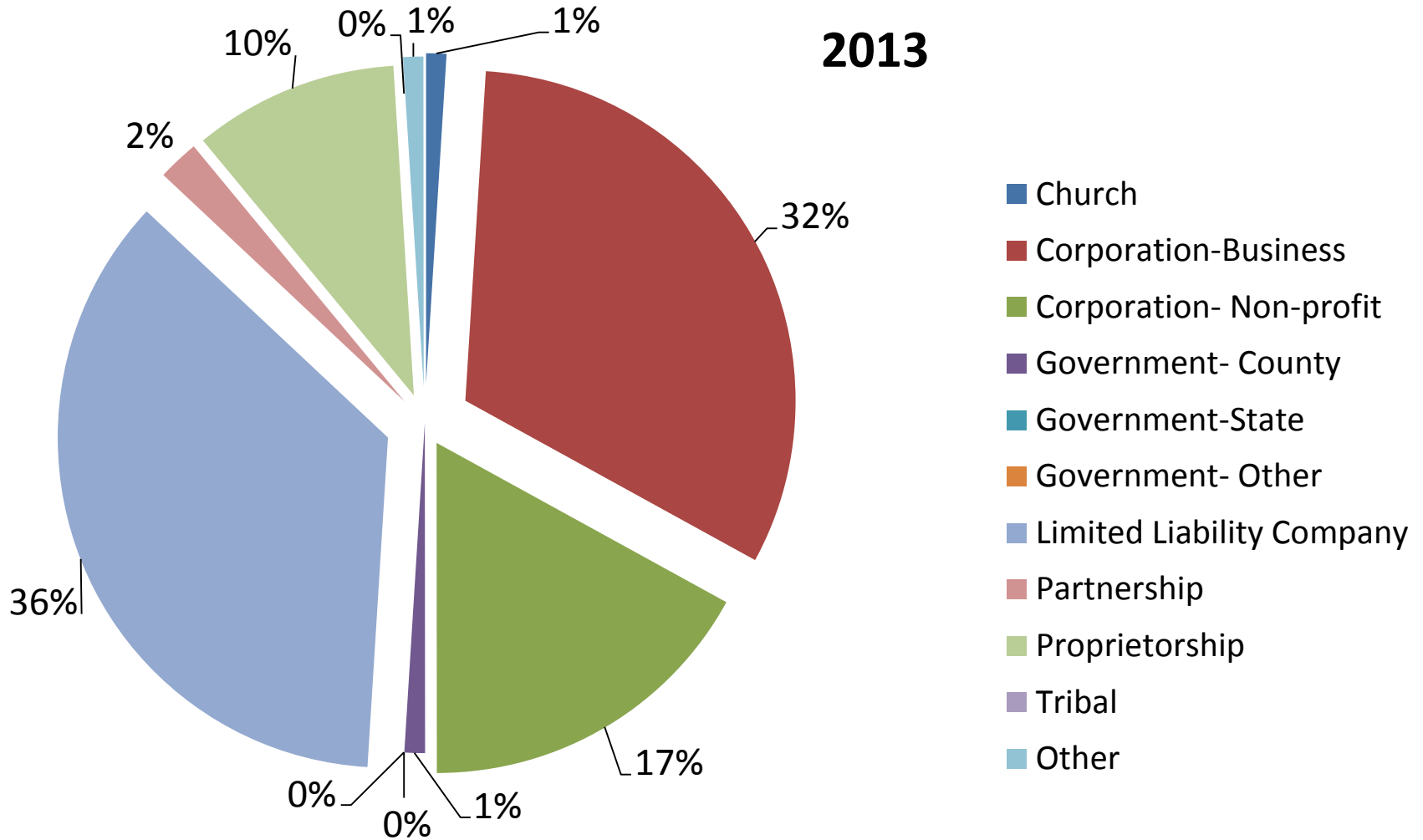


# Ownership by Count – All CY 2013



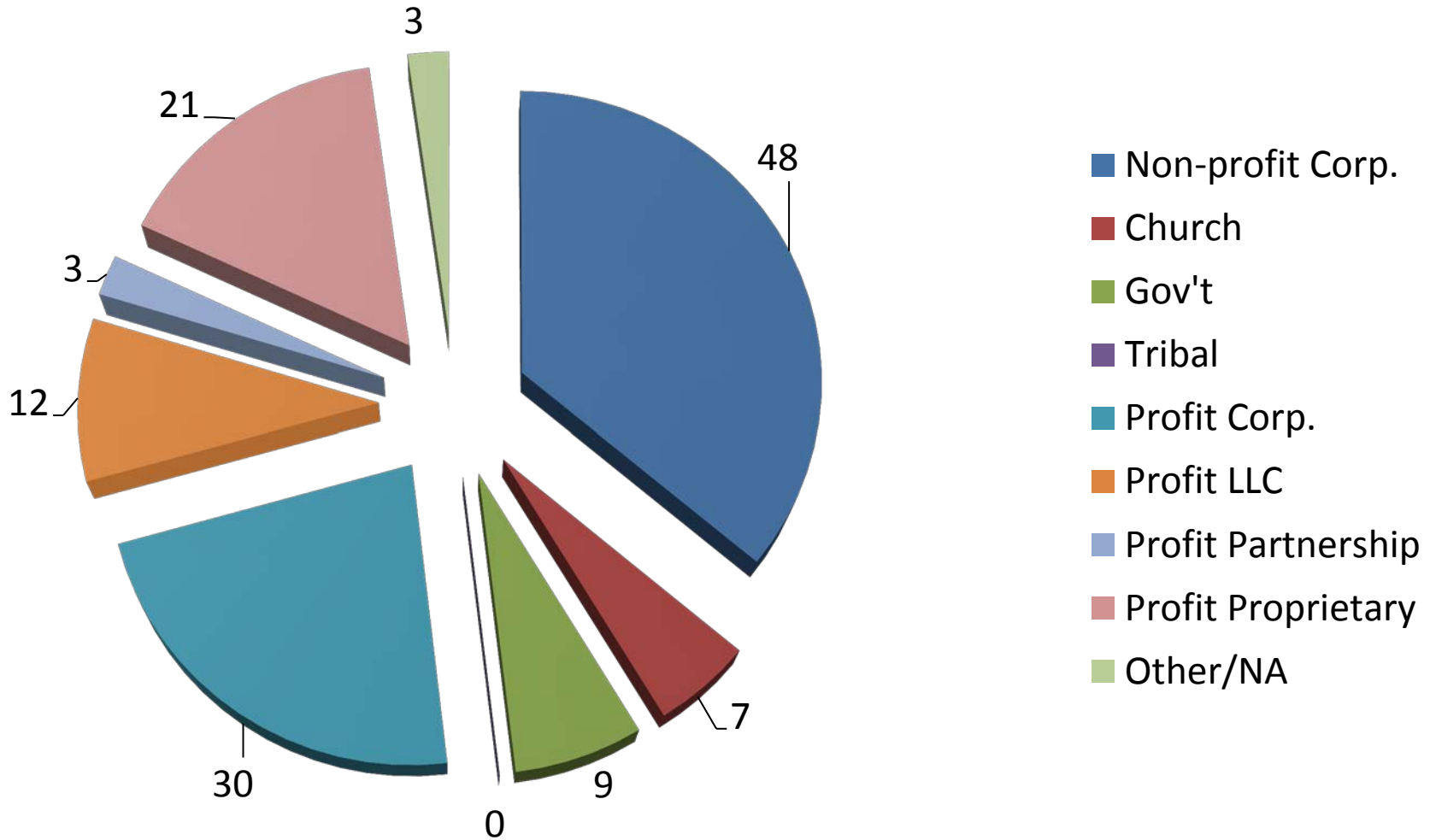


# Ownership by Percentage



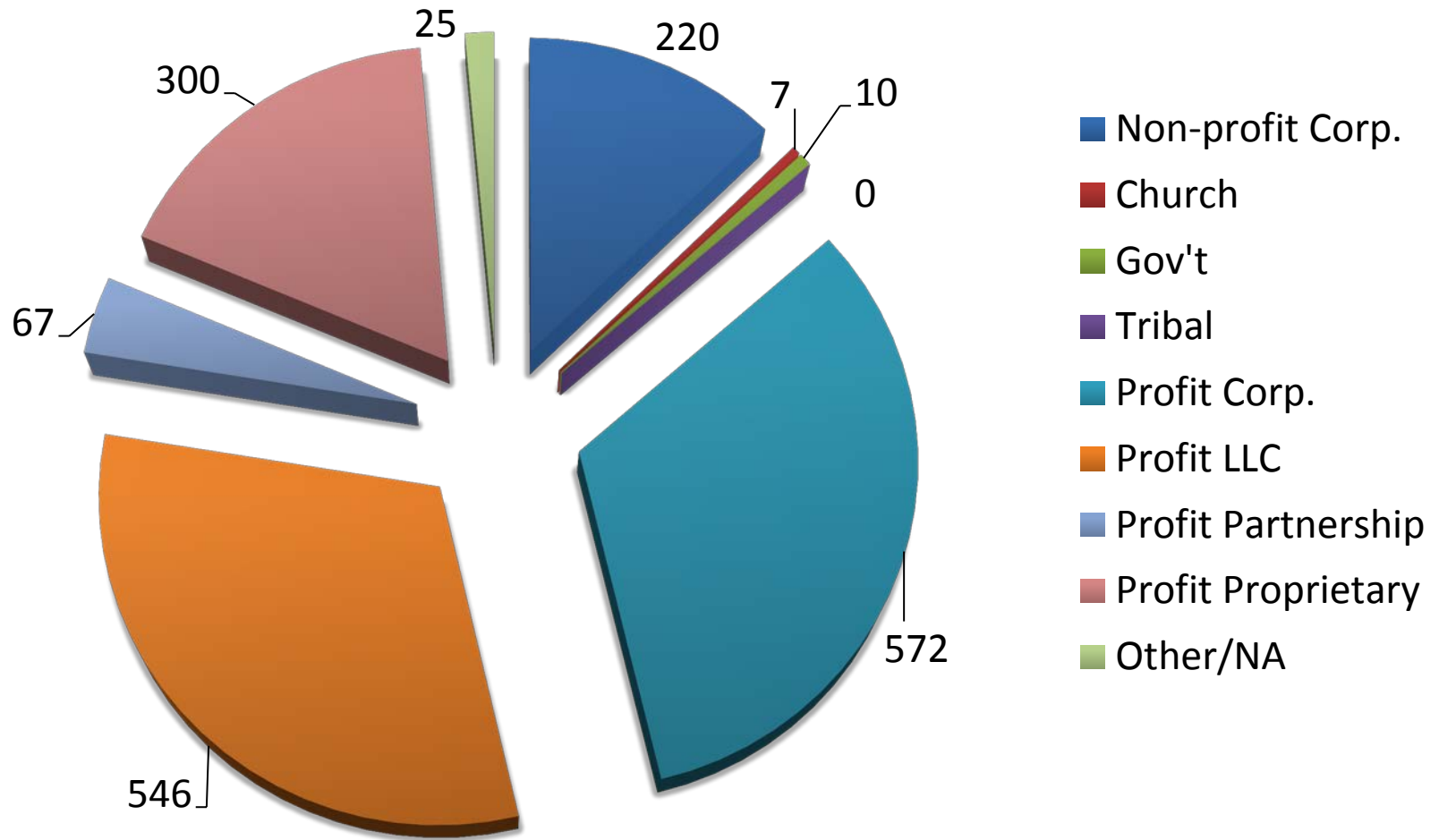


# Ownership – ADC CY 2013



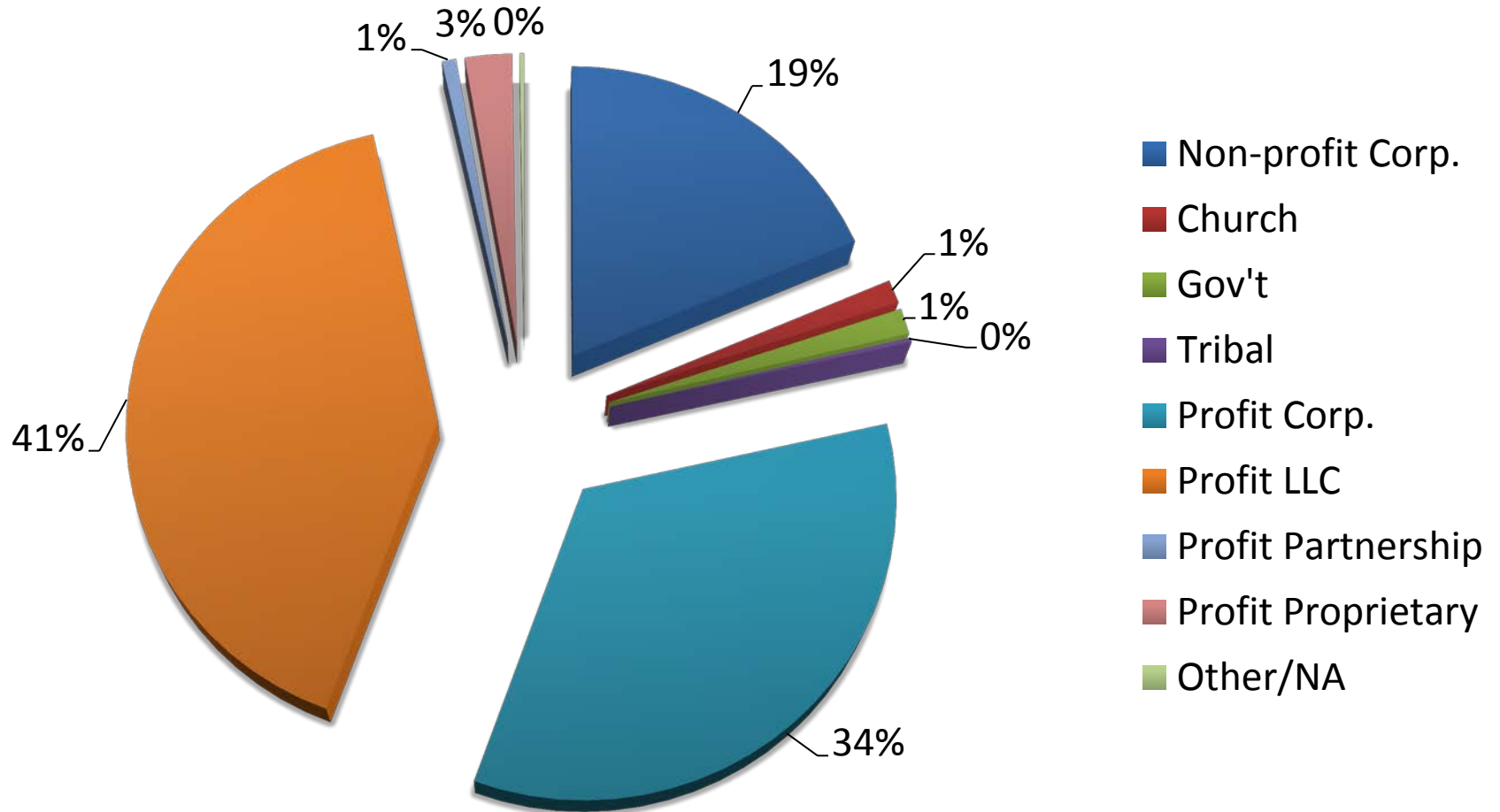


# Ownership – AFH CY 2013



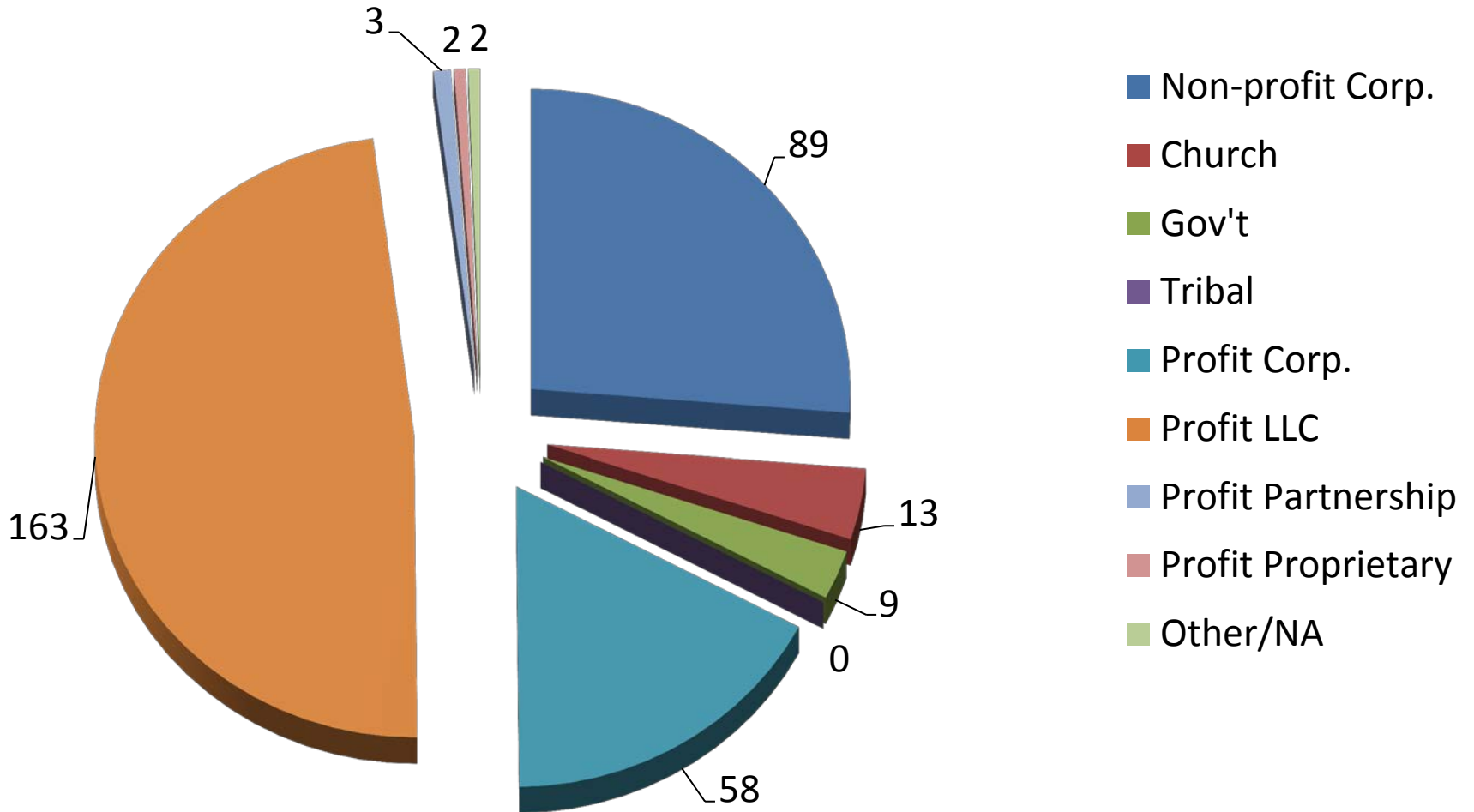


# Ownership – CBRF CY 2013





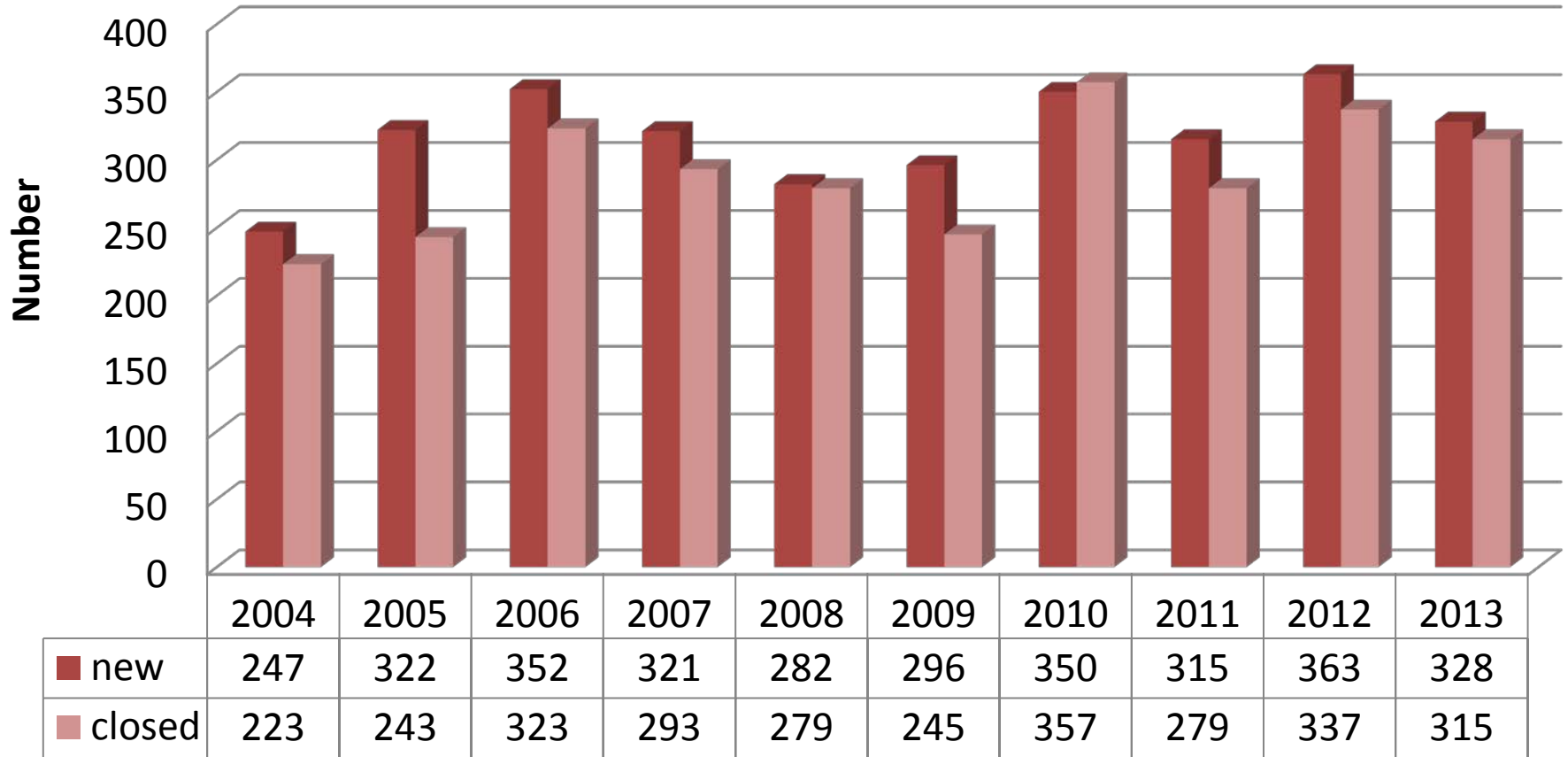
# Ownership – RCAC CY 2013





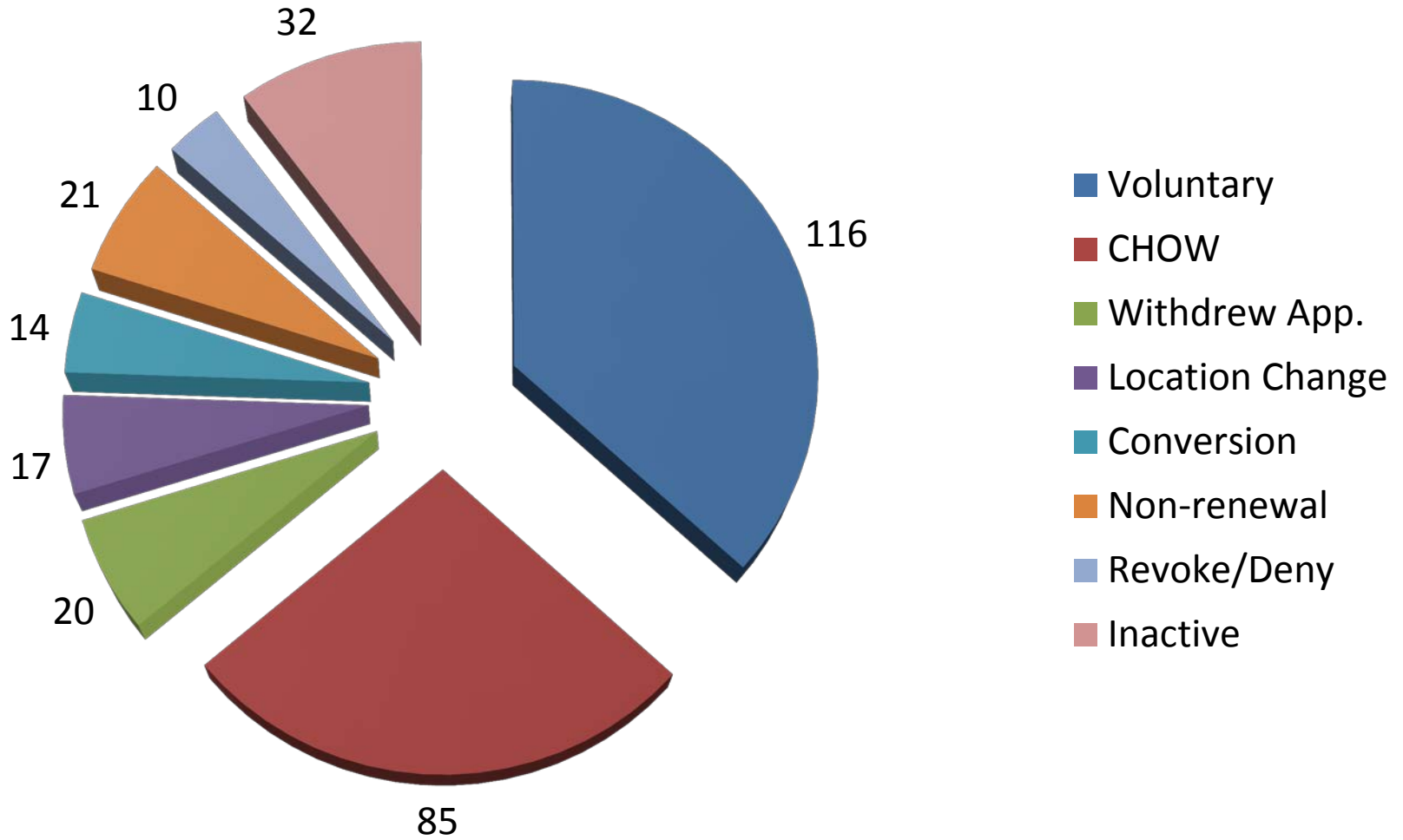


# New AL vs. Closed AL





# Why Facilities Closed 2013





# Post Survey Questionnaire



- 2013 – 68 respondents
- Satisfaction with survey tasks  
97.40 %
- On Site - 4.64
  - Knowledgeable - 4.63
  - Professional - 4.71
  - Respectful - 4.73
- SOD – 4.22

1 = strongly disagree

5 = strongly agree





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





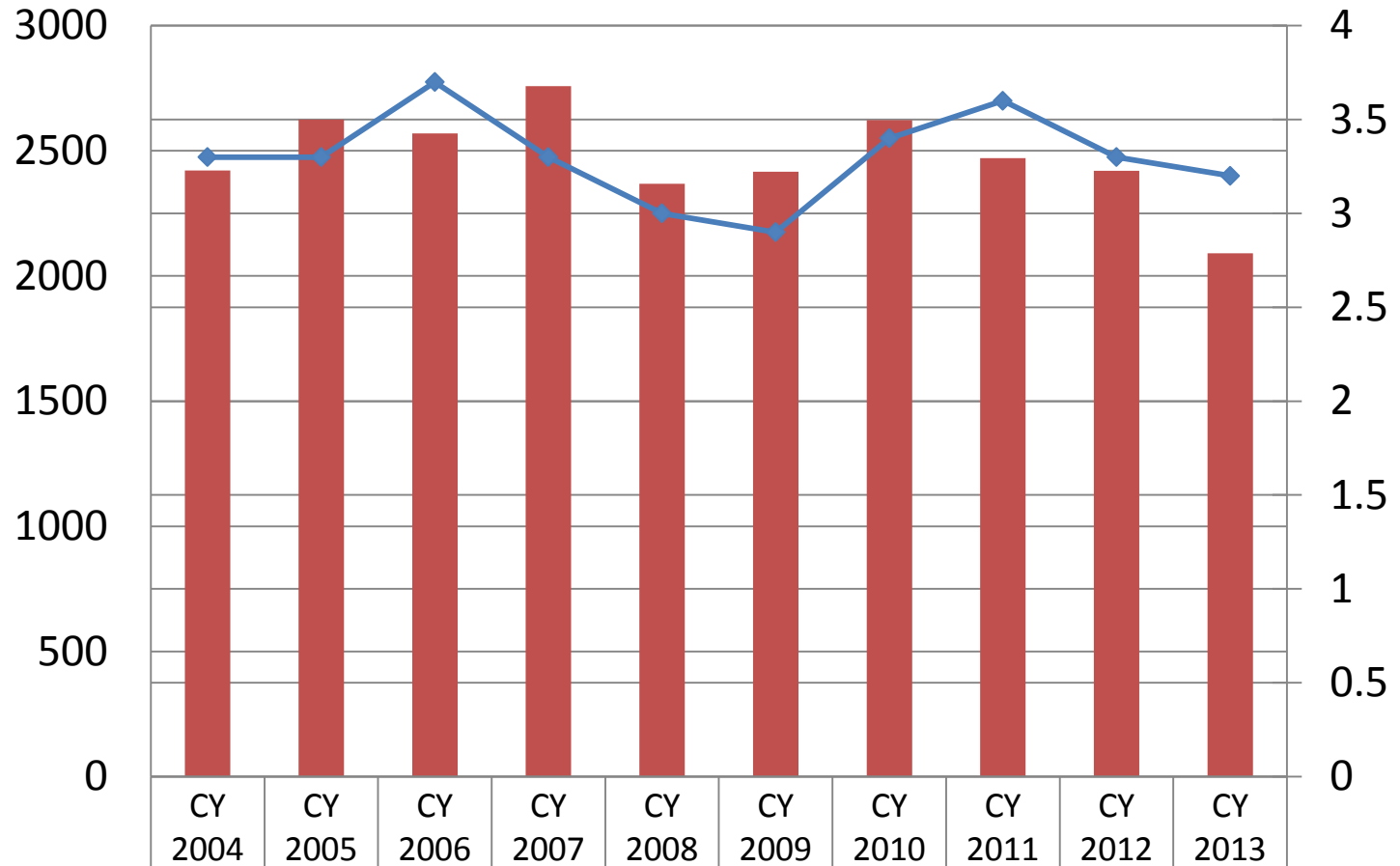
# Enforcement Philosophy

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



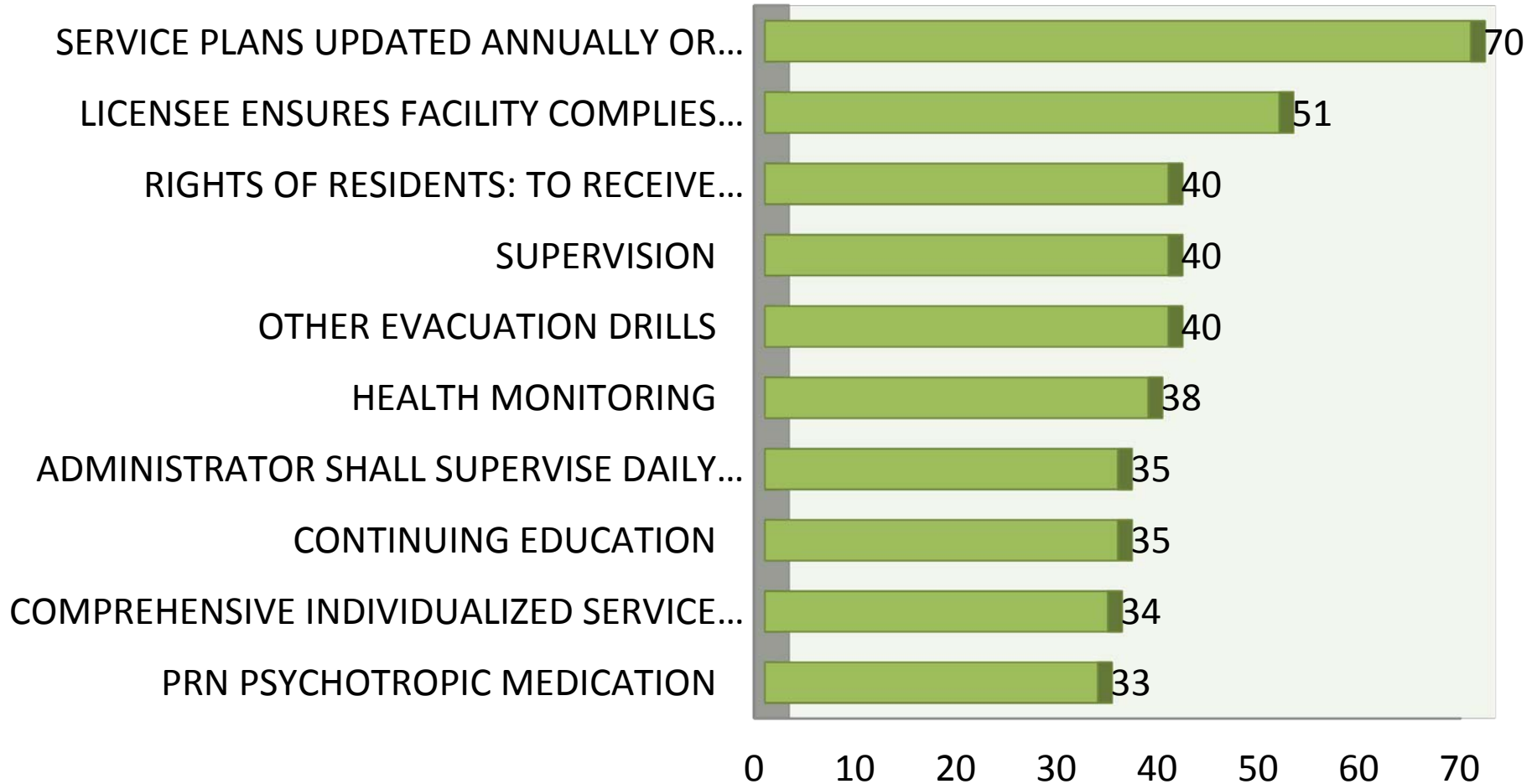
# AL Citations Issued



■ Total Cites	2421	2625	2569	2759	2369	2417	2623	2471	2420	2091
◆ Ave per Survey (when cites are given)	3.3	3.3	3.7	3.3	3.0	2.9	3.4	3.6	3.3	3.2

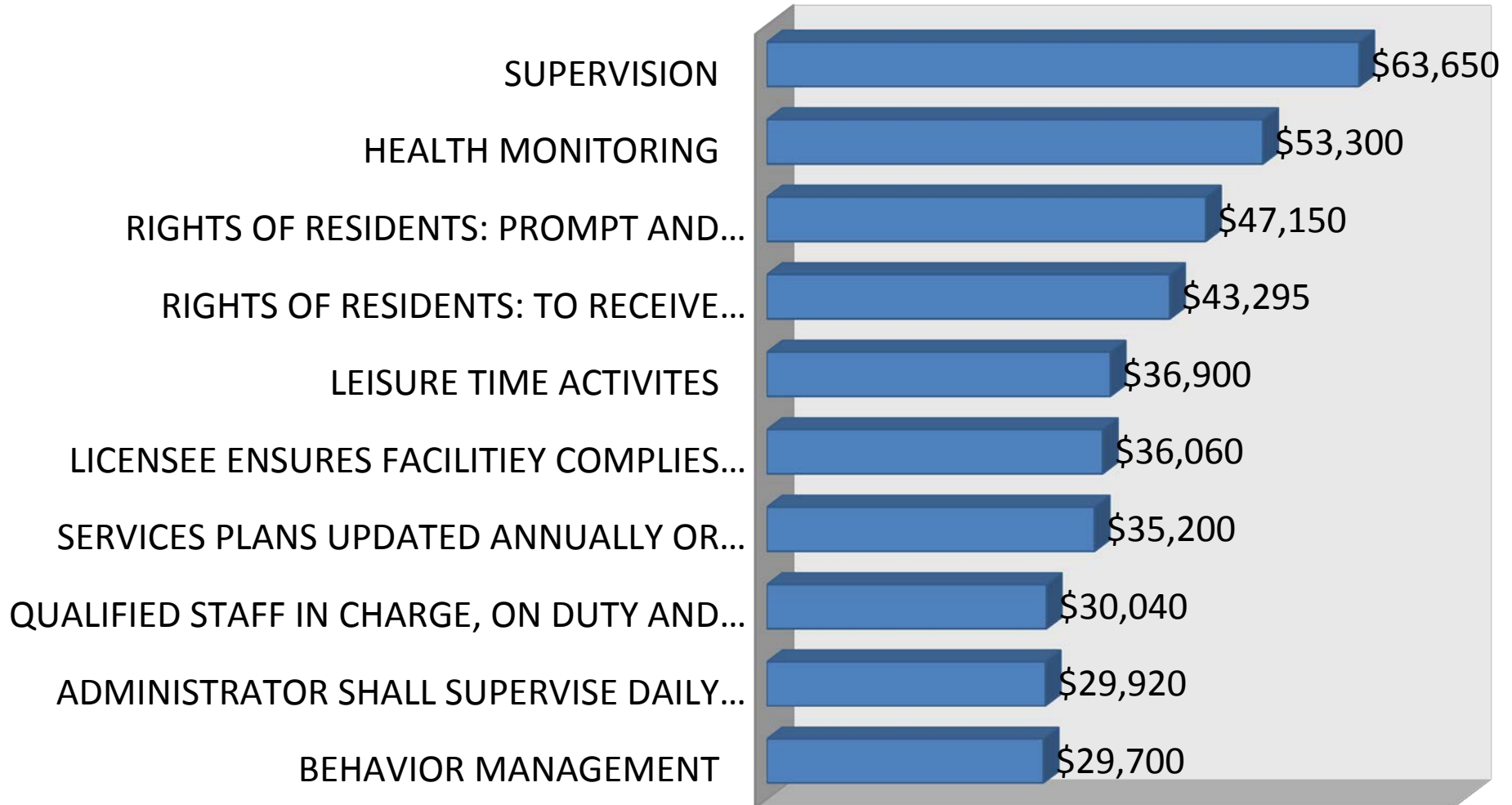


# Top Ten CBRF Citations





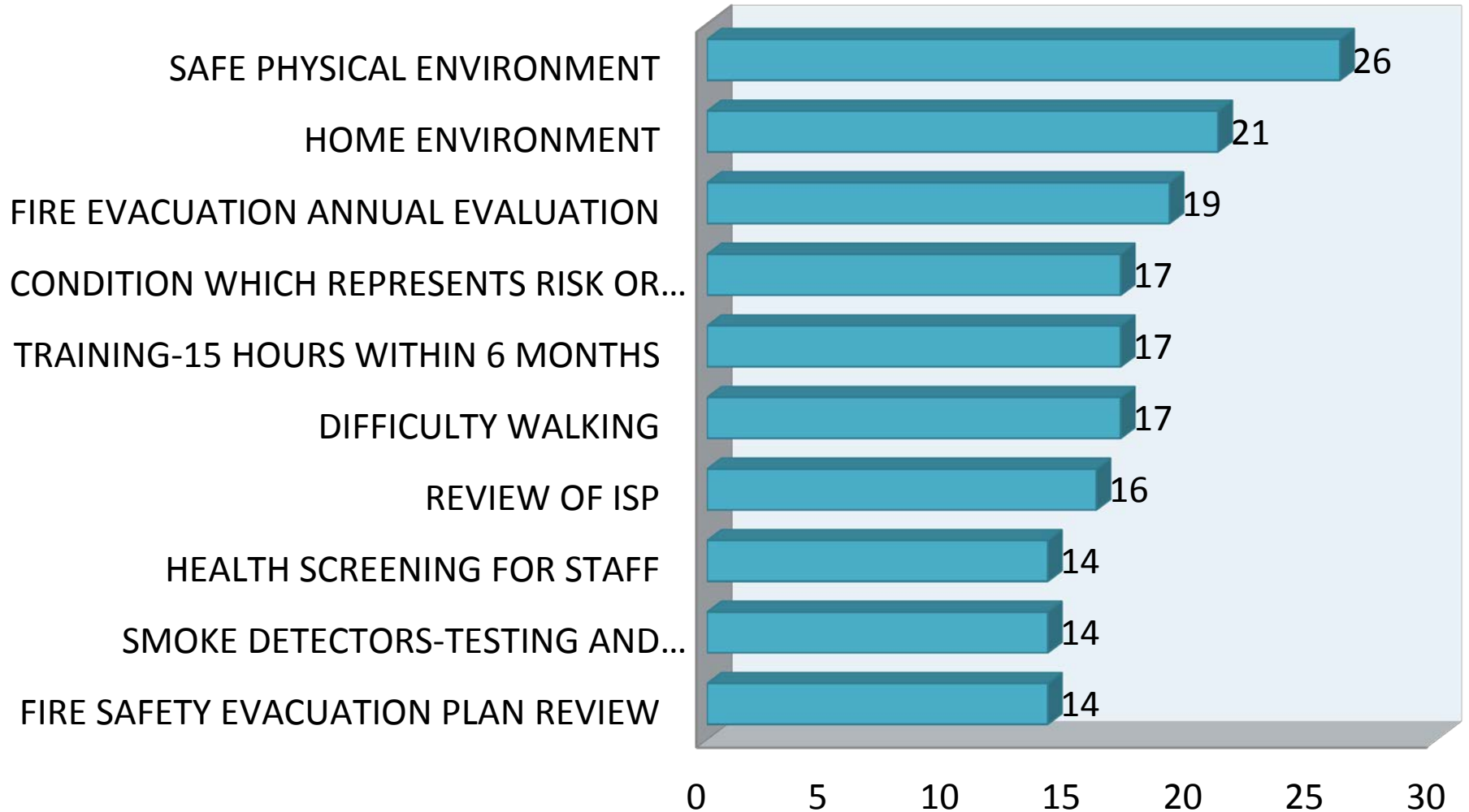
# Top Ten Cites with Forfeiture CBRF 2013







# Top Ten AFH Citations



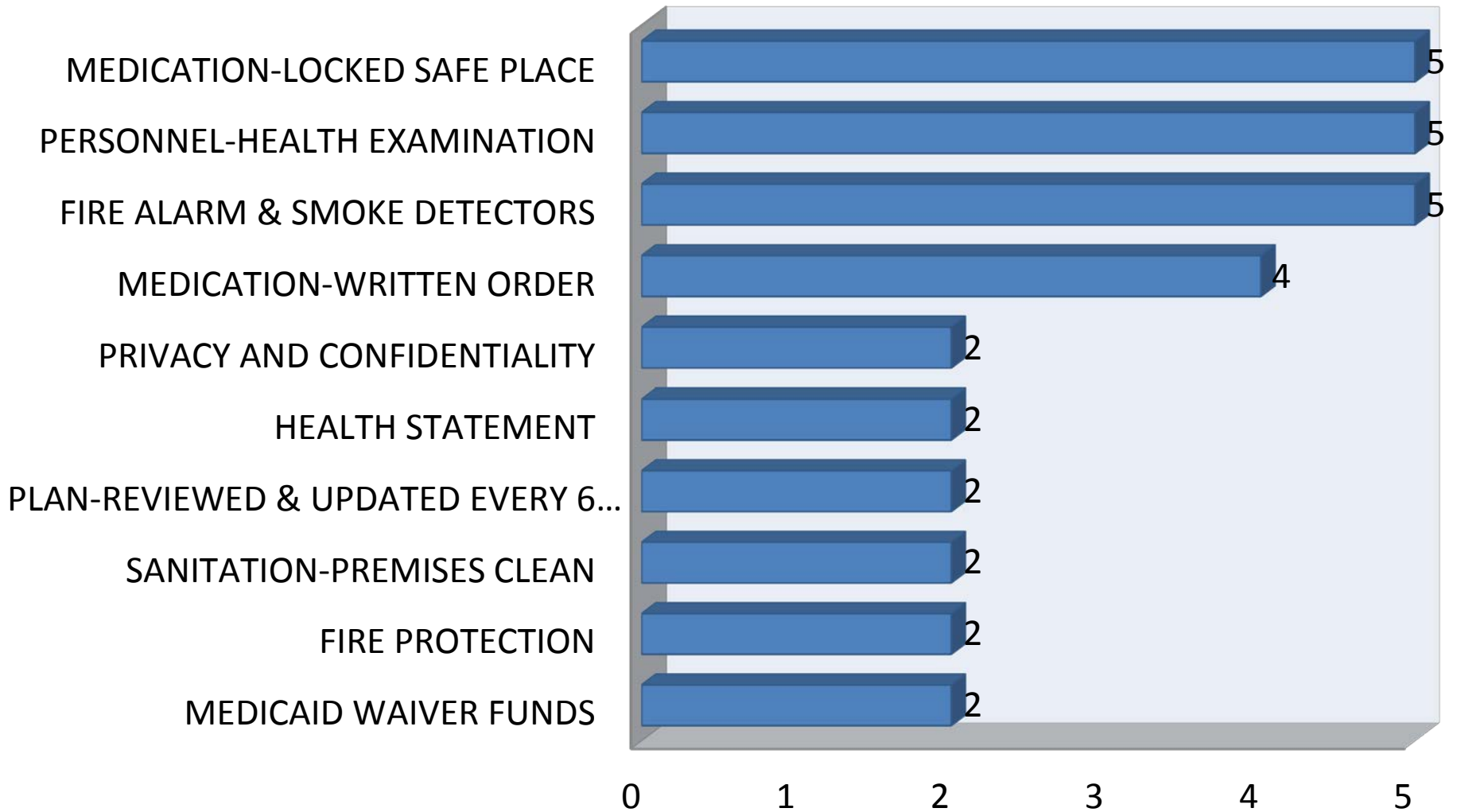


# Top Ten RCAC Citations



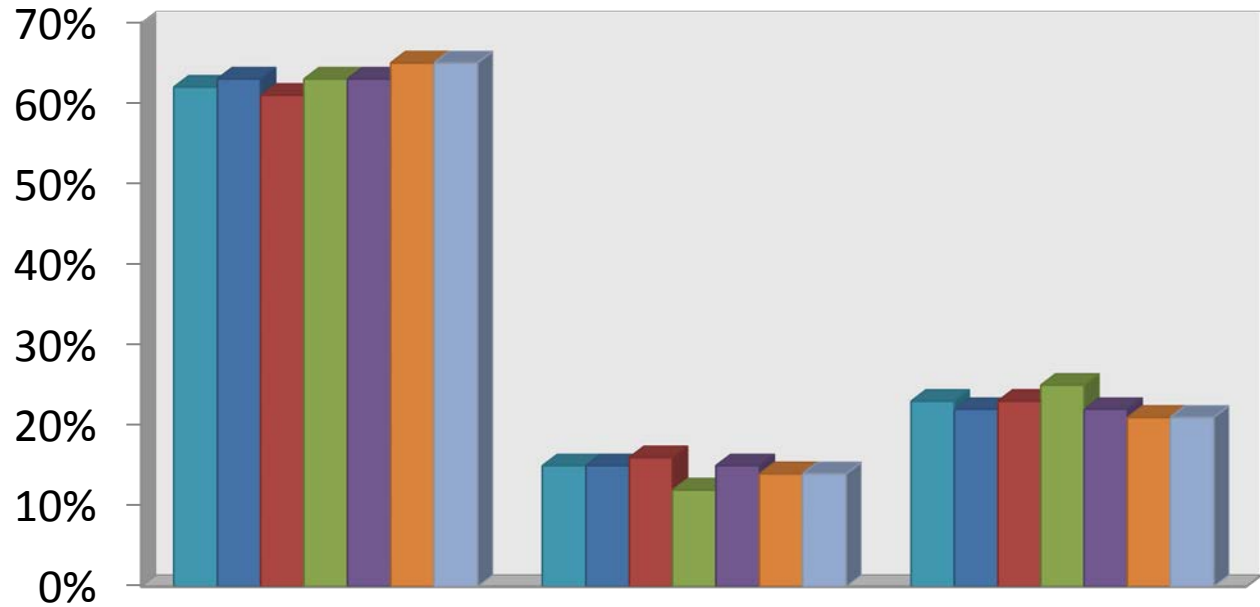


# Top Ten ADC Citations





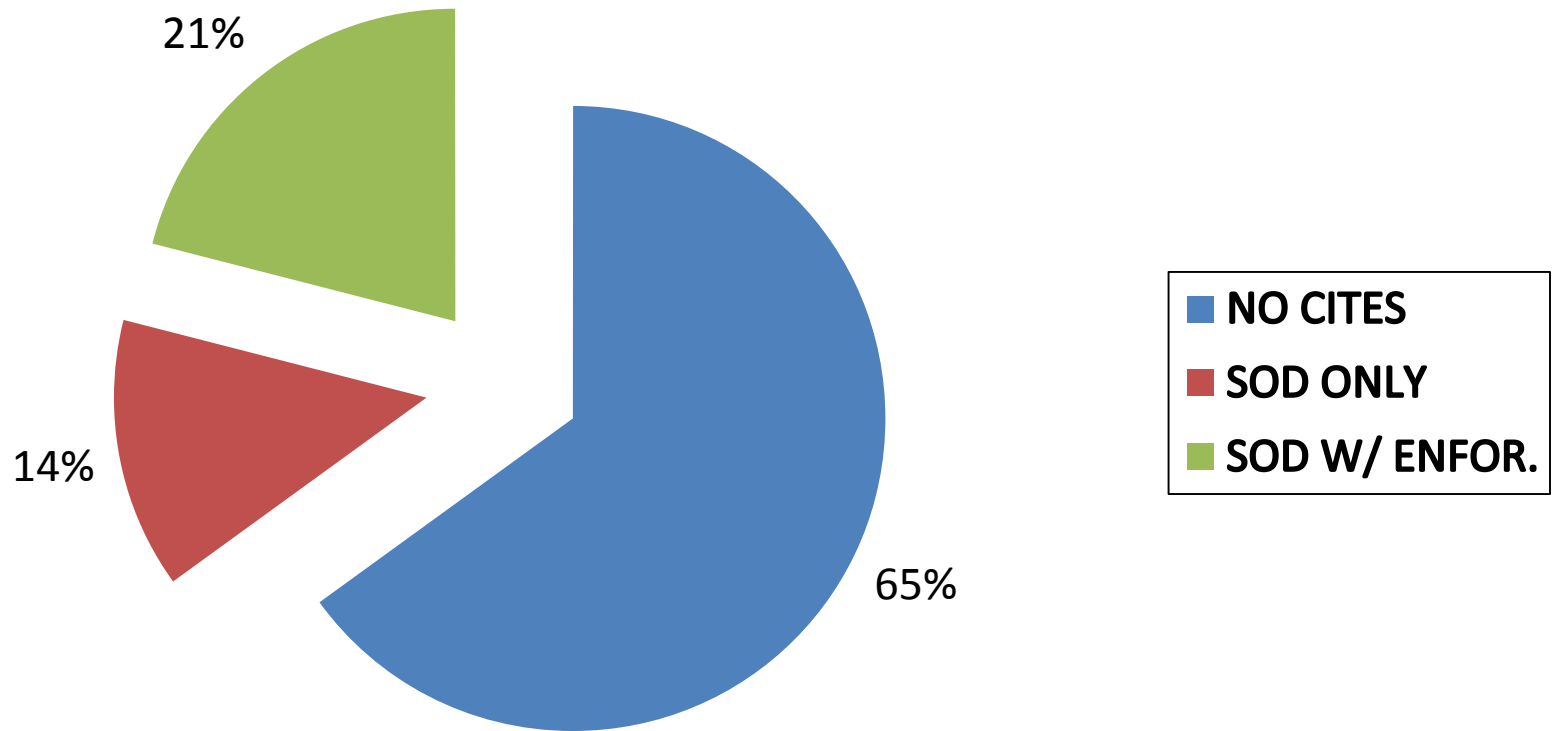
# Survey Results – Statewide



	No Cites	SOD Only	Surveys w/ Enf
2007	62%	15%	23%
2008	63%	15%	22%
2009	61%	16%	23%
2010	63%	12%	25%
2011	63%	15%	22%
2012	65%	14%	21%
2013	65%	14%	21%

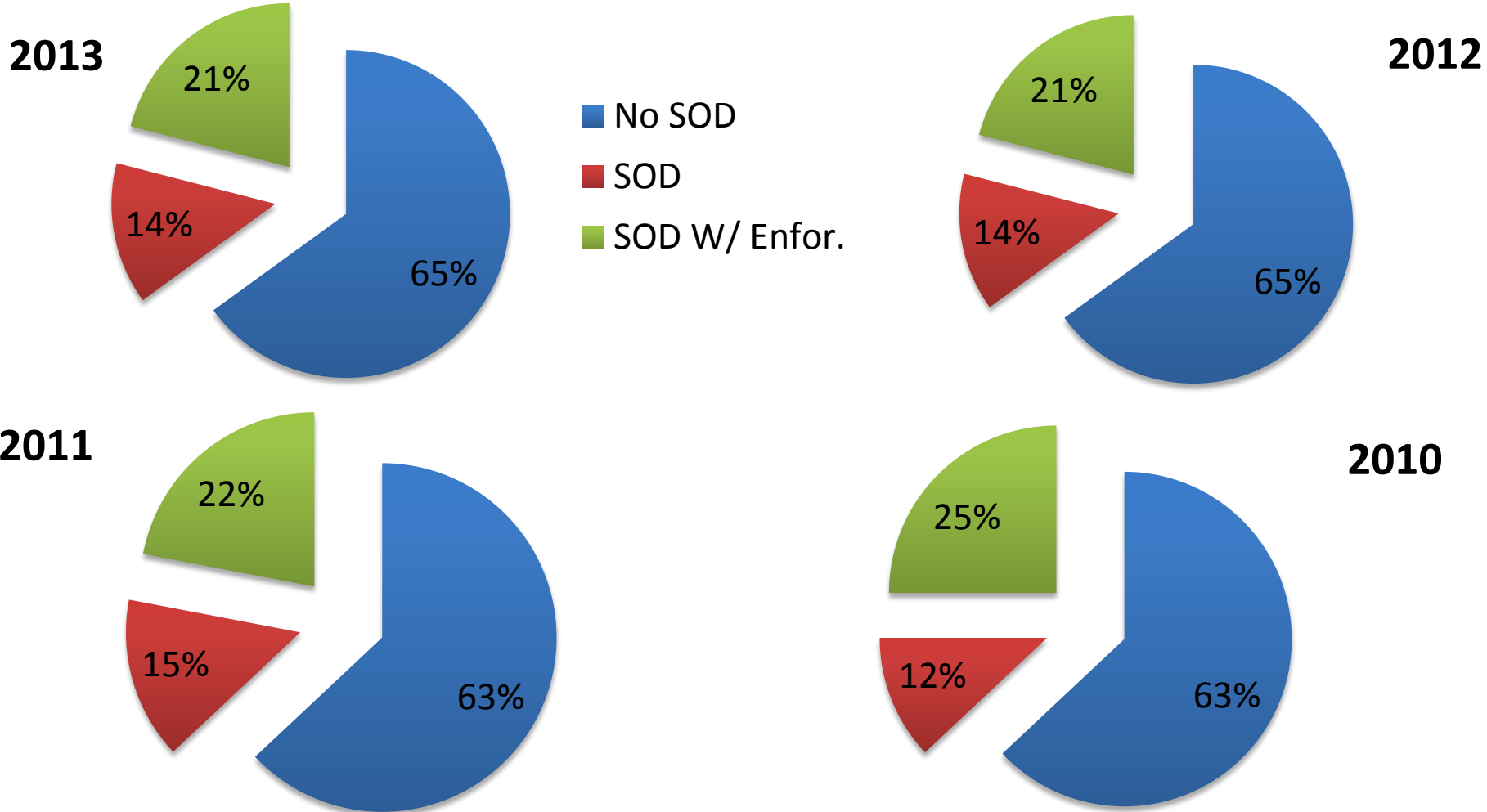


# Survey Results 2013



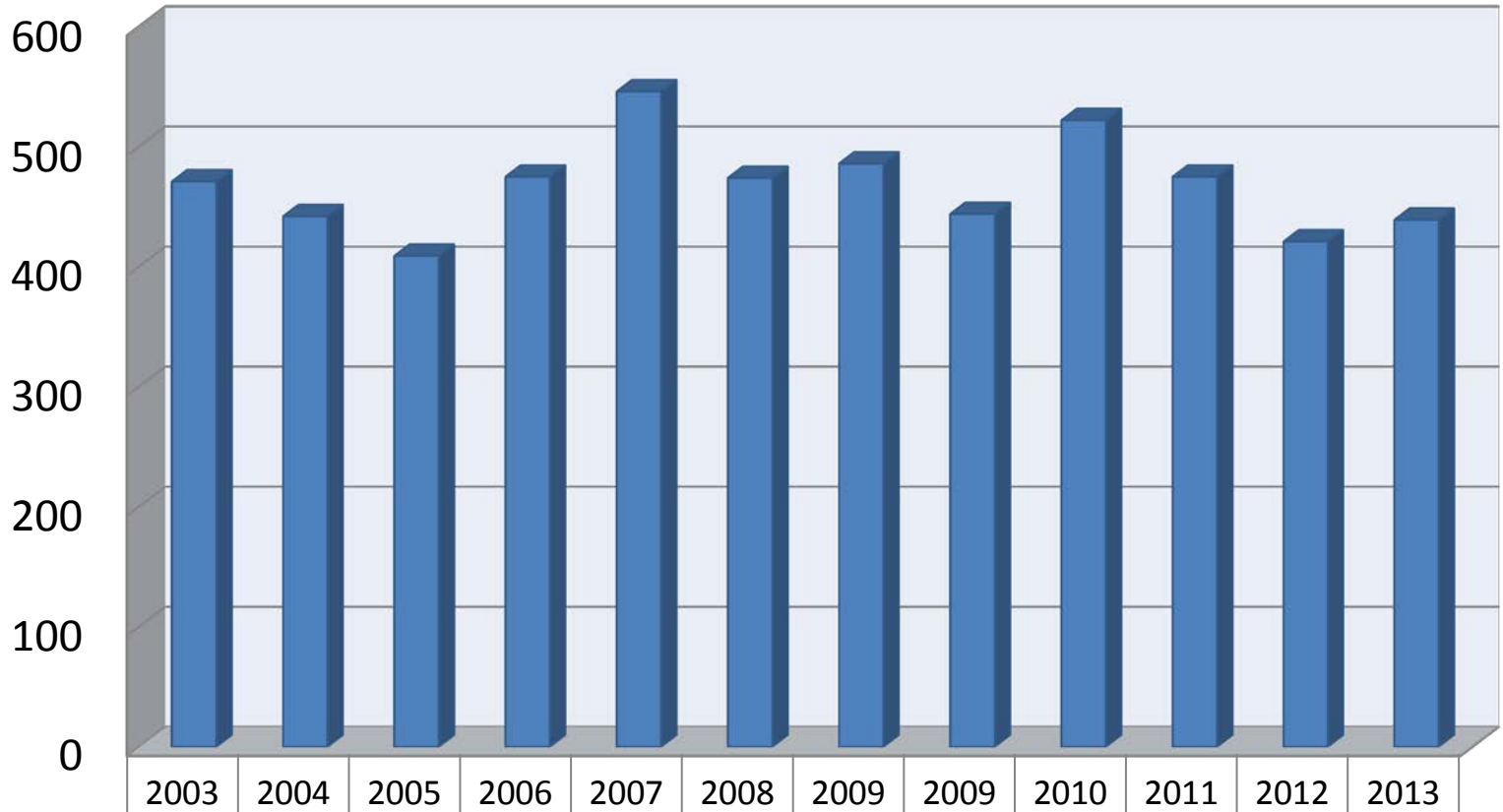


# 2013 Survey Results





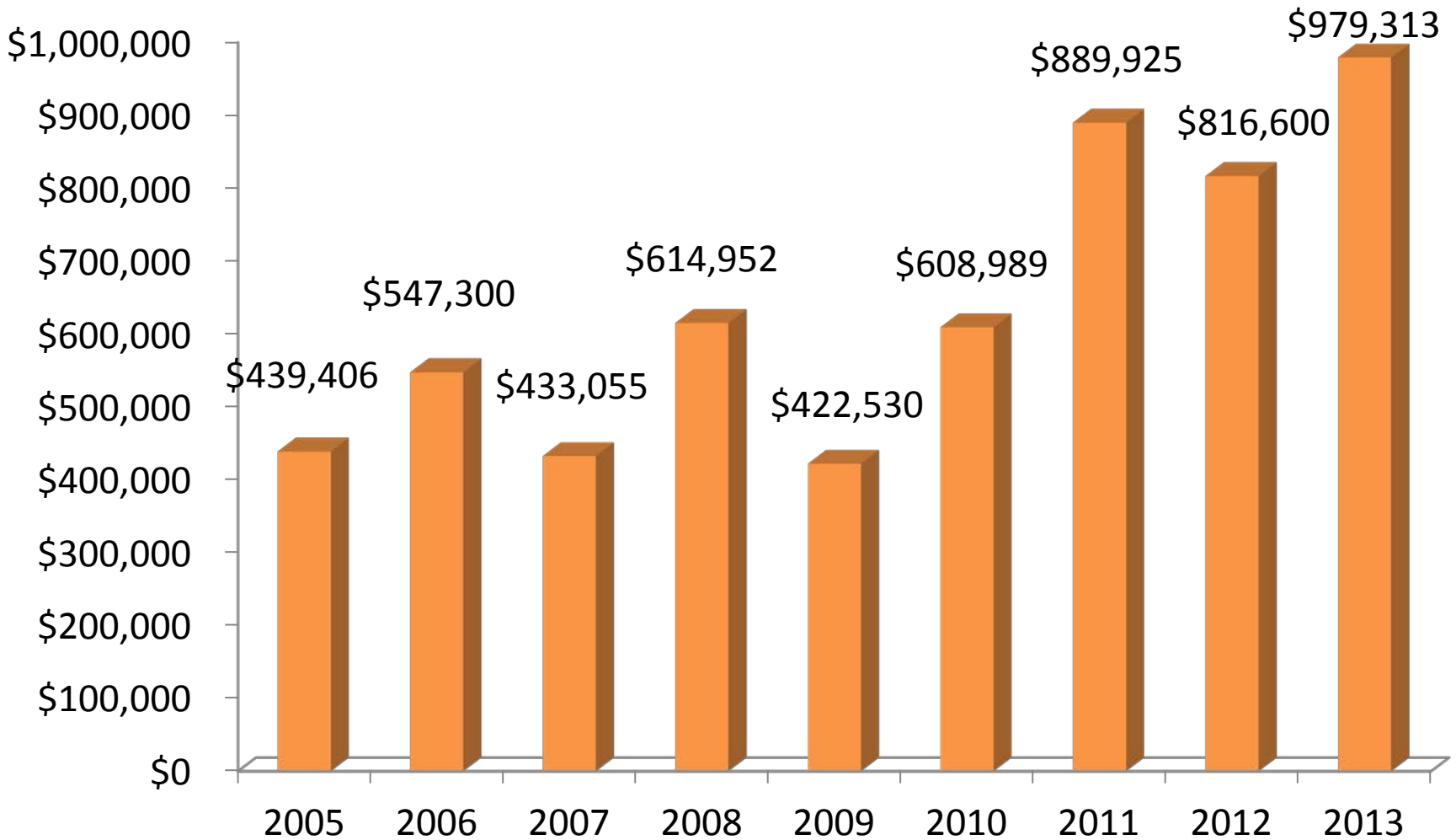
# AL Surveys with Enforcement



	2003	2004	2005	2006	2007	2008	2009	2009 minus 4 yr entity	2010	2011	2012	2013
■ Enforcements	471	442	409	475	546	474	486	444	522	475	421	439



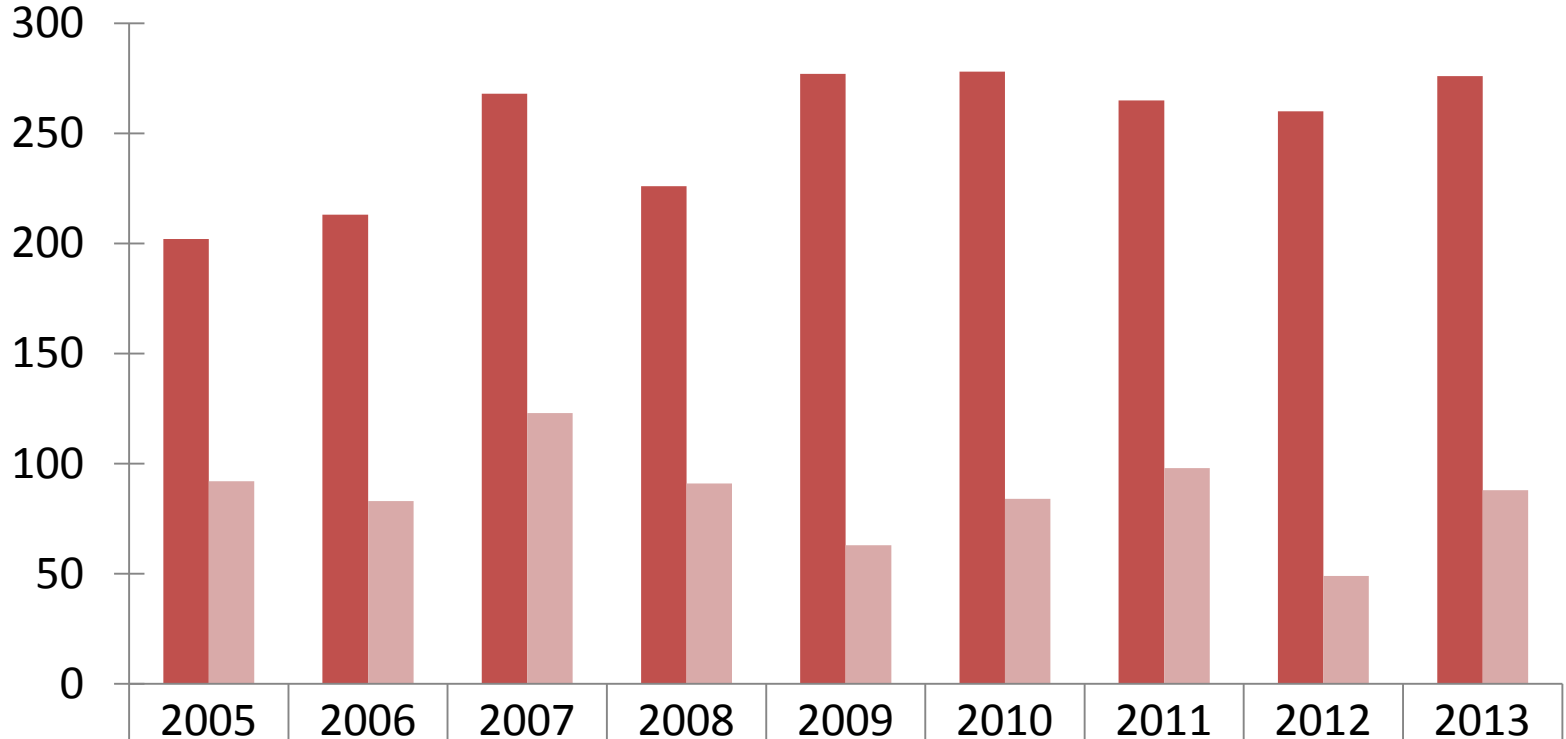
# Forfeiture Assessments







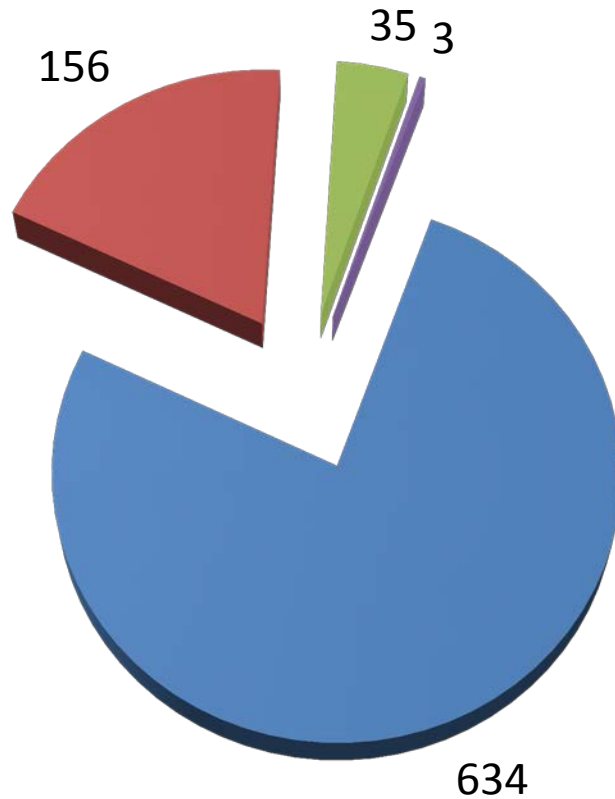
# 35% Forfeiture Reduction



# Pd Reduction	202	213	268	226	277	278	265	260	276
Other Pmt	92	83	123	91	63	84	98	49	88
% choosing 35%	68%	72%	69%	71%	77%	77%	73%	84%	76%



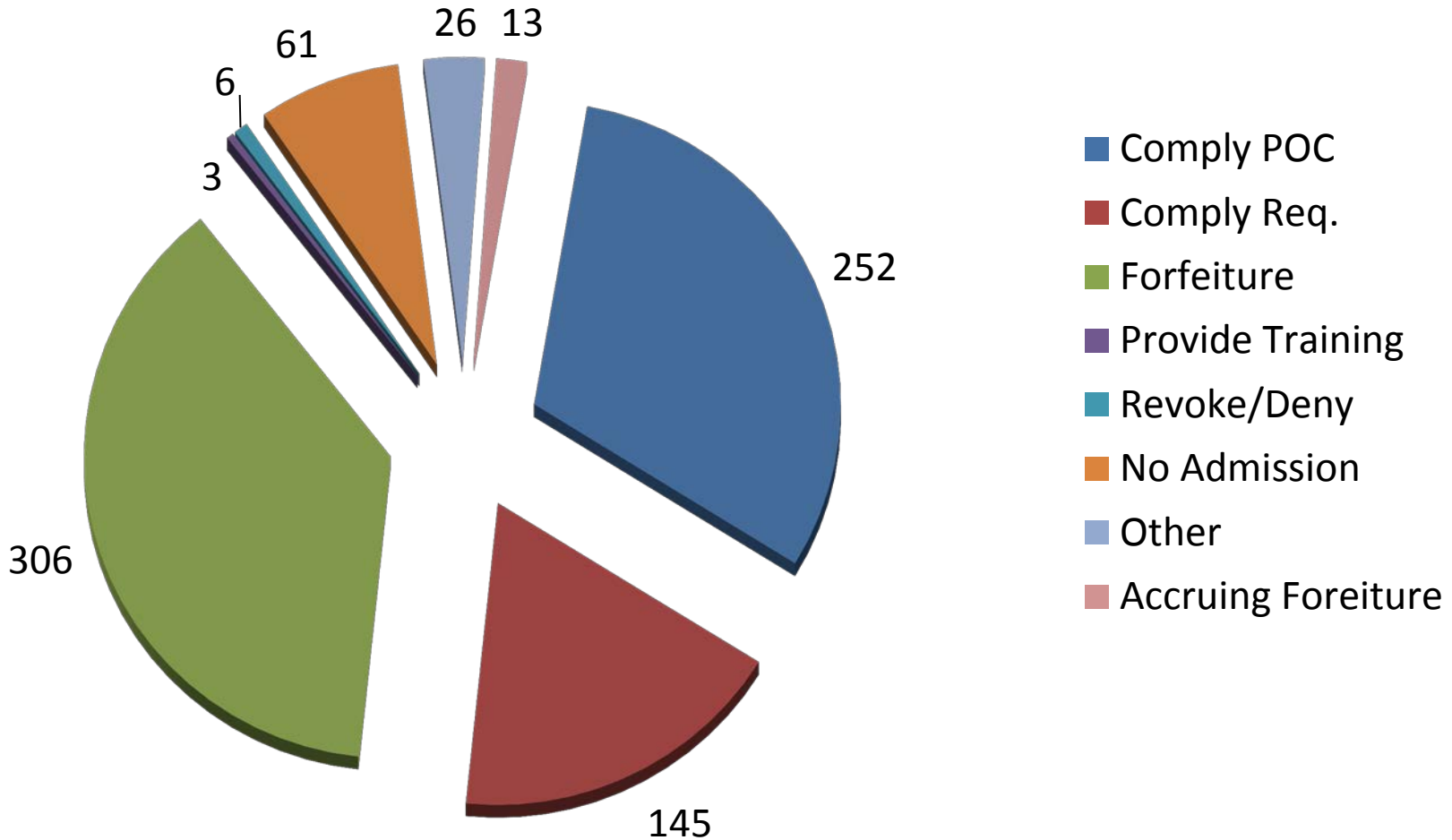
# Sanctions Imposed (828) CY 2013



■ CBRF ■ AFH ■ RCAC ■ ADC

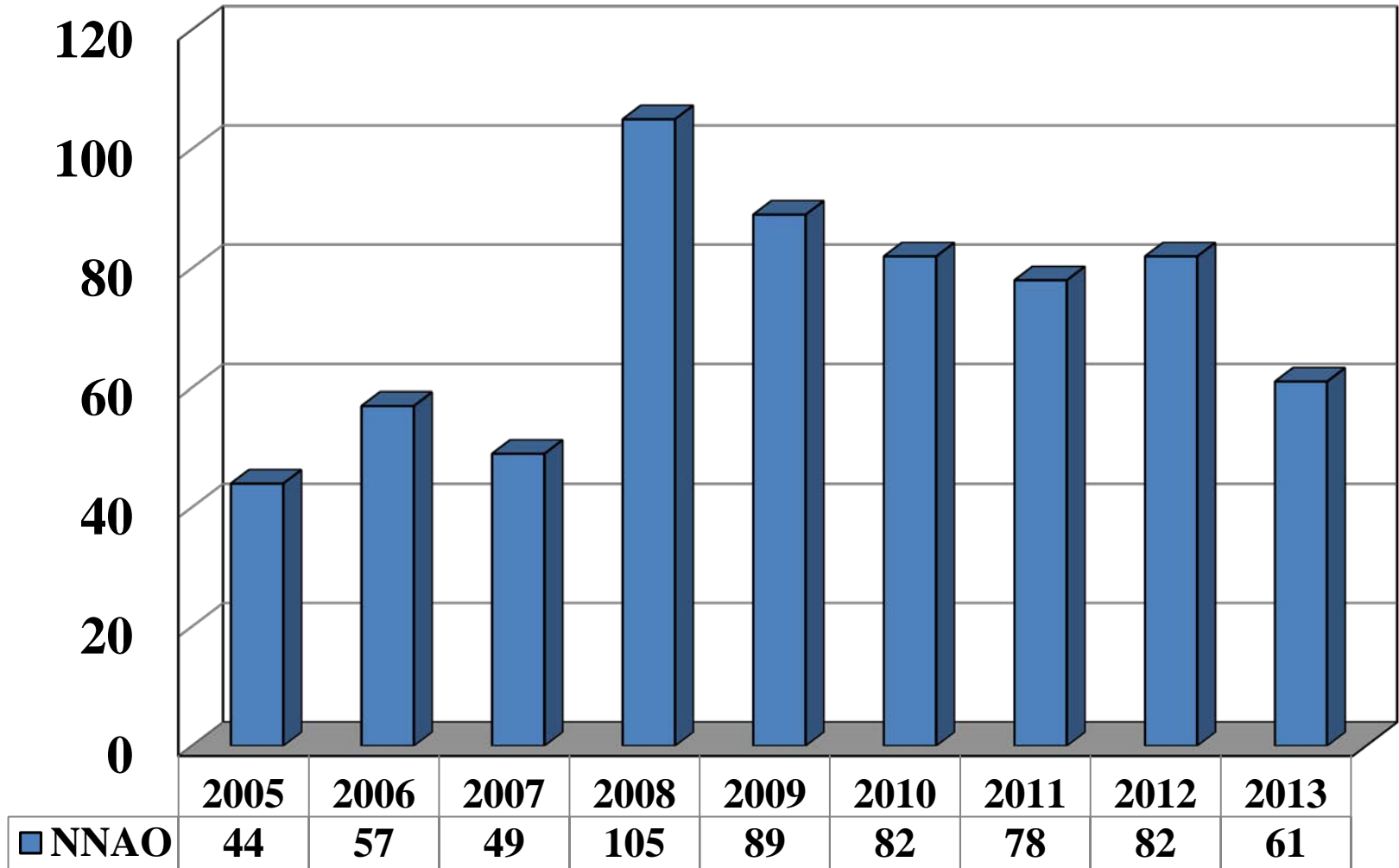


# Type of Sanctions per Survey CY 2013



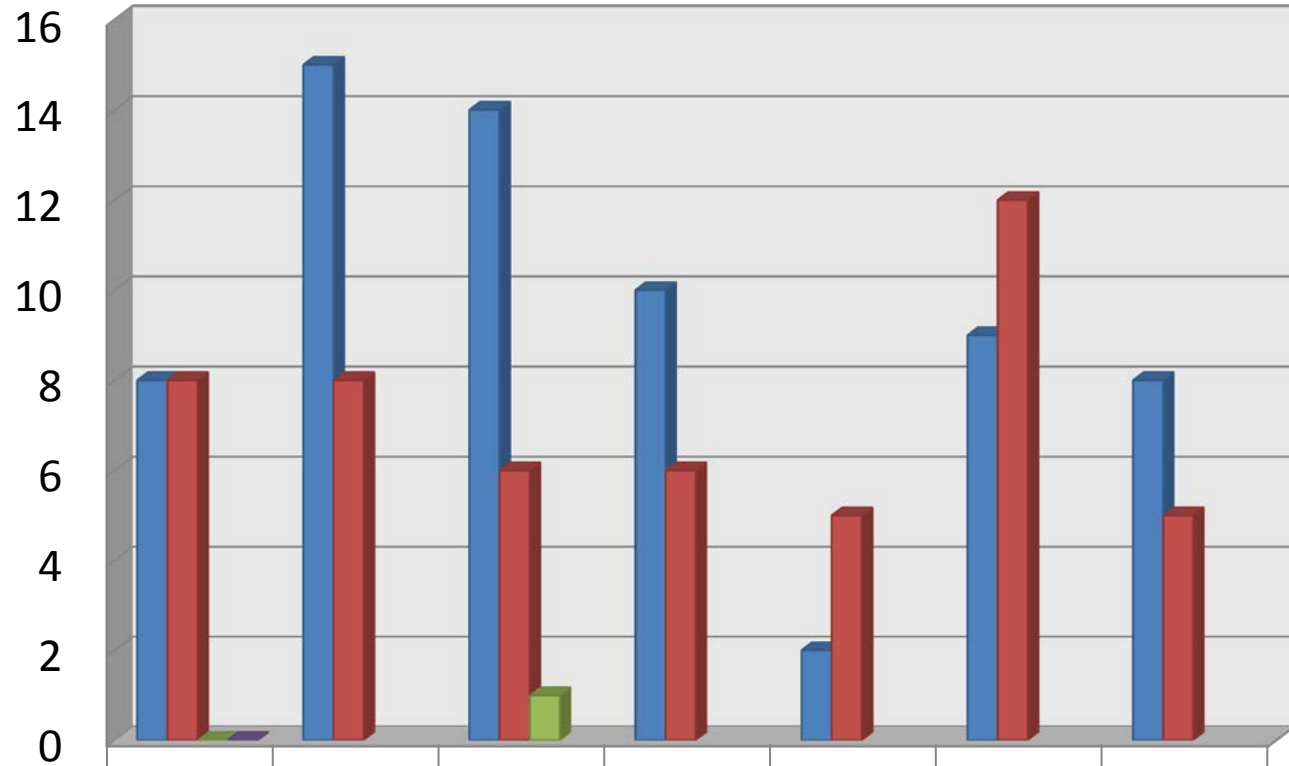


# No New Admission Orders





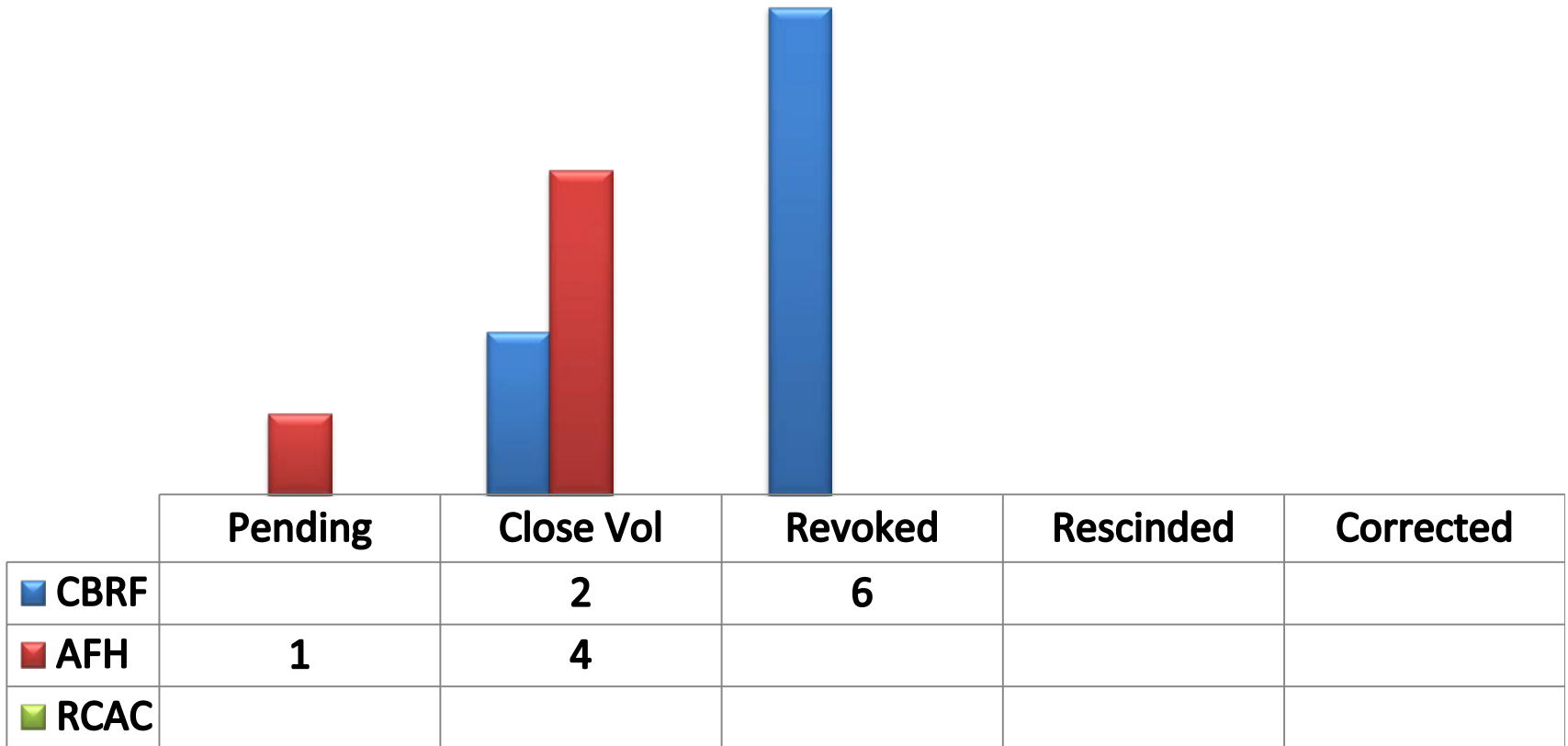
# Impending Revocations



	2007	2008	2009	2010	2011	2012	2013
■ CBRF	8	15	14	10	2	9	8
■ AFH	8	8	6	6	5	12	5
■ RCAC	0		1				
■ ADC	0						

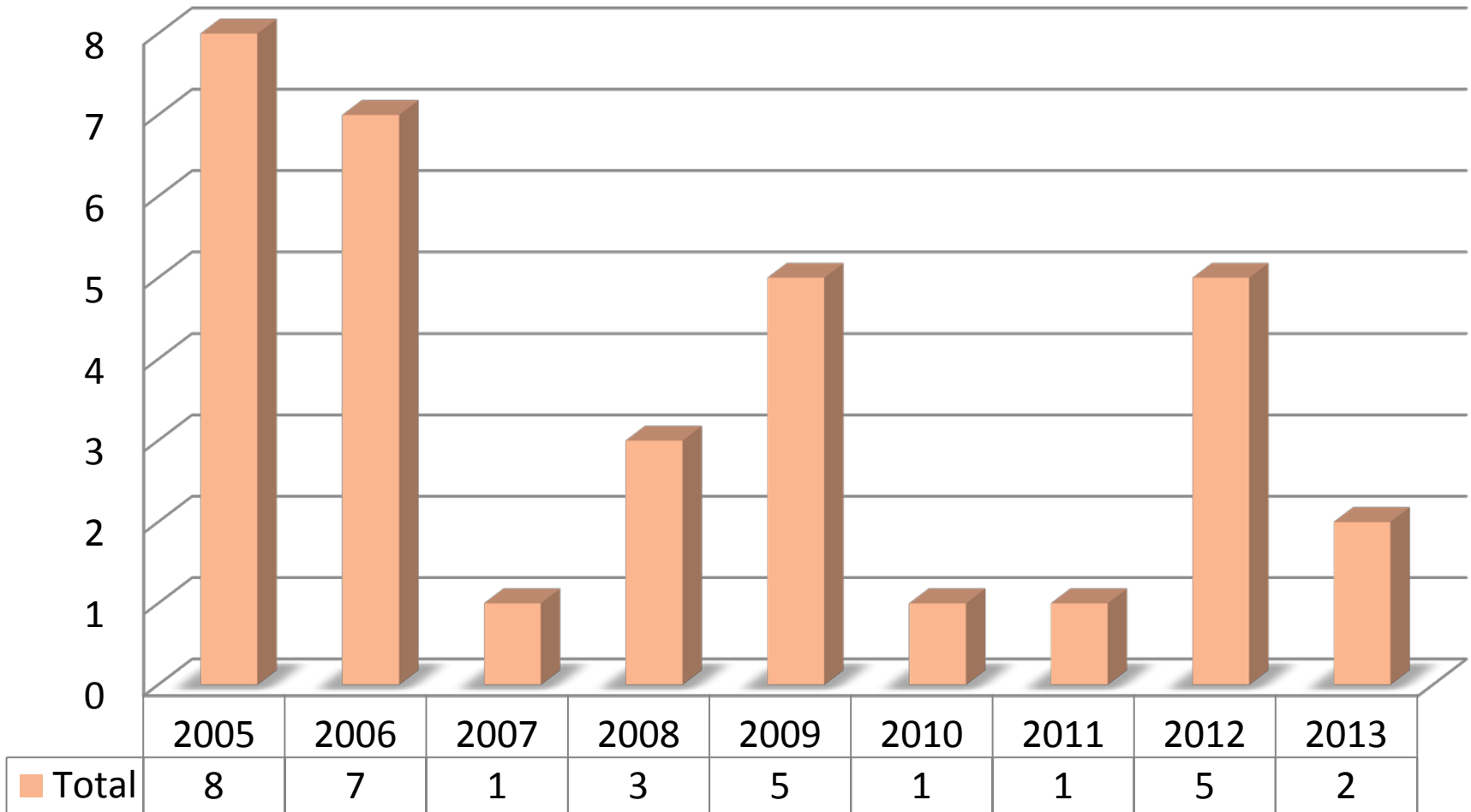


# Impending Revocations CY 2013



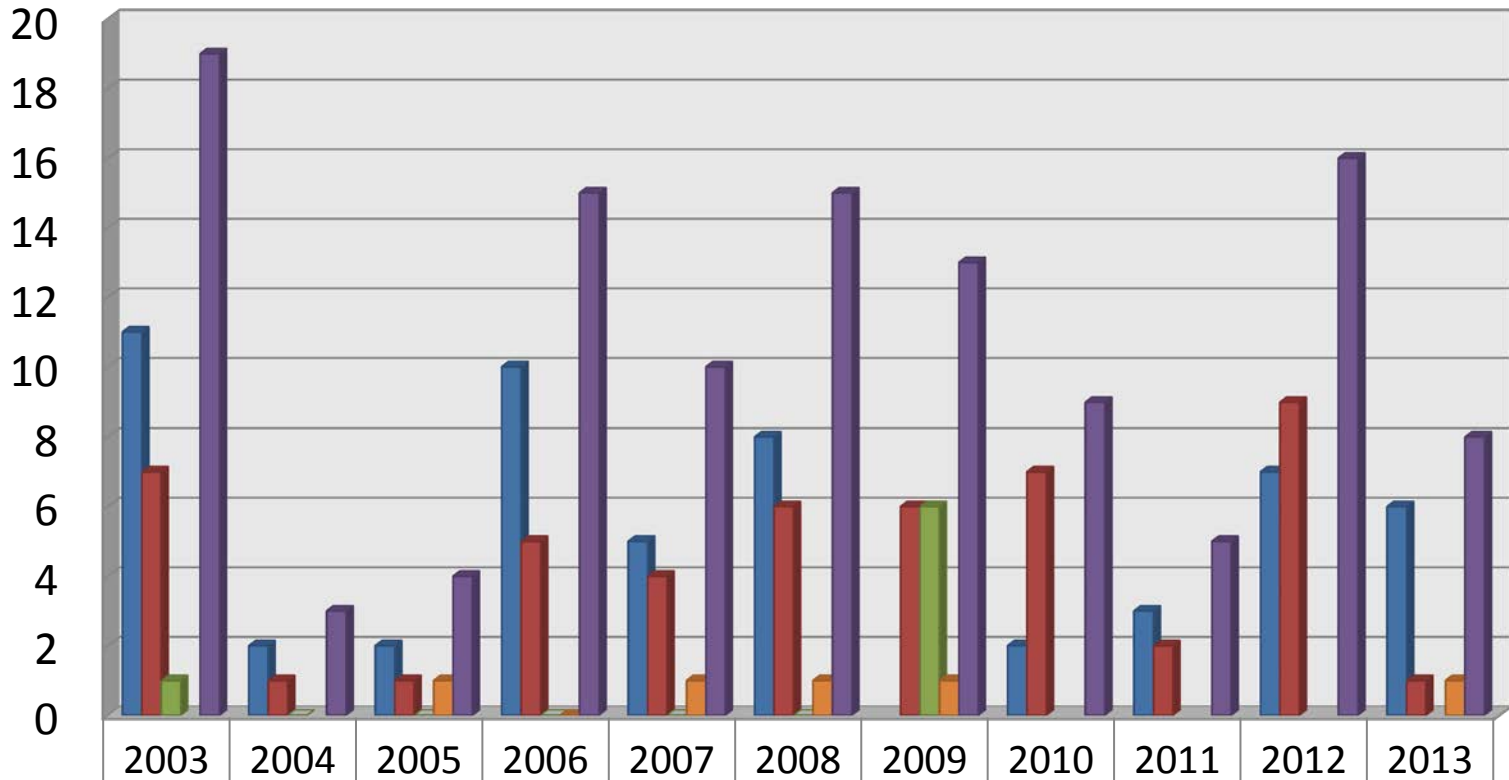


# Cease & Desist Orders Unlicensed Entity





# Revocations

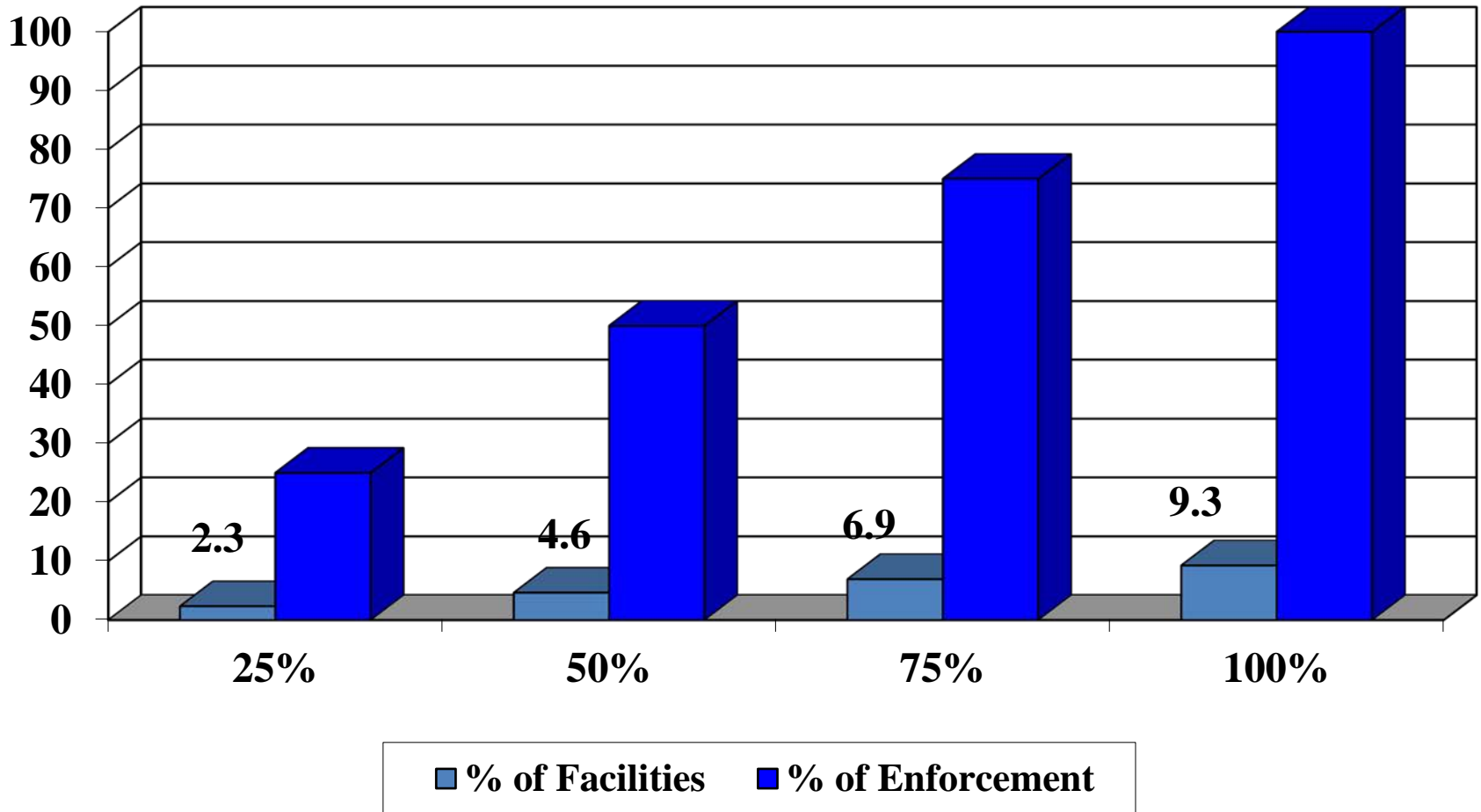


	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
■ CBRF	11	2	2	10	5	8		2	3	7	6
■ AFH	7	1	1	5	4	6	6	7	2	9	1
■ RCAC	1	0	0	0	0	0	6				
■ ADC			1	0	1	1	1				1
■ Total	19	3	4	15	10	15	13	9	5	16	8



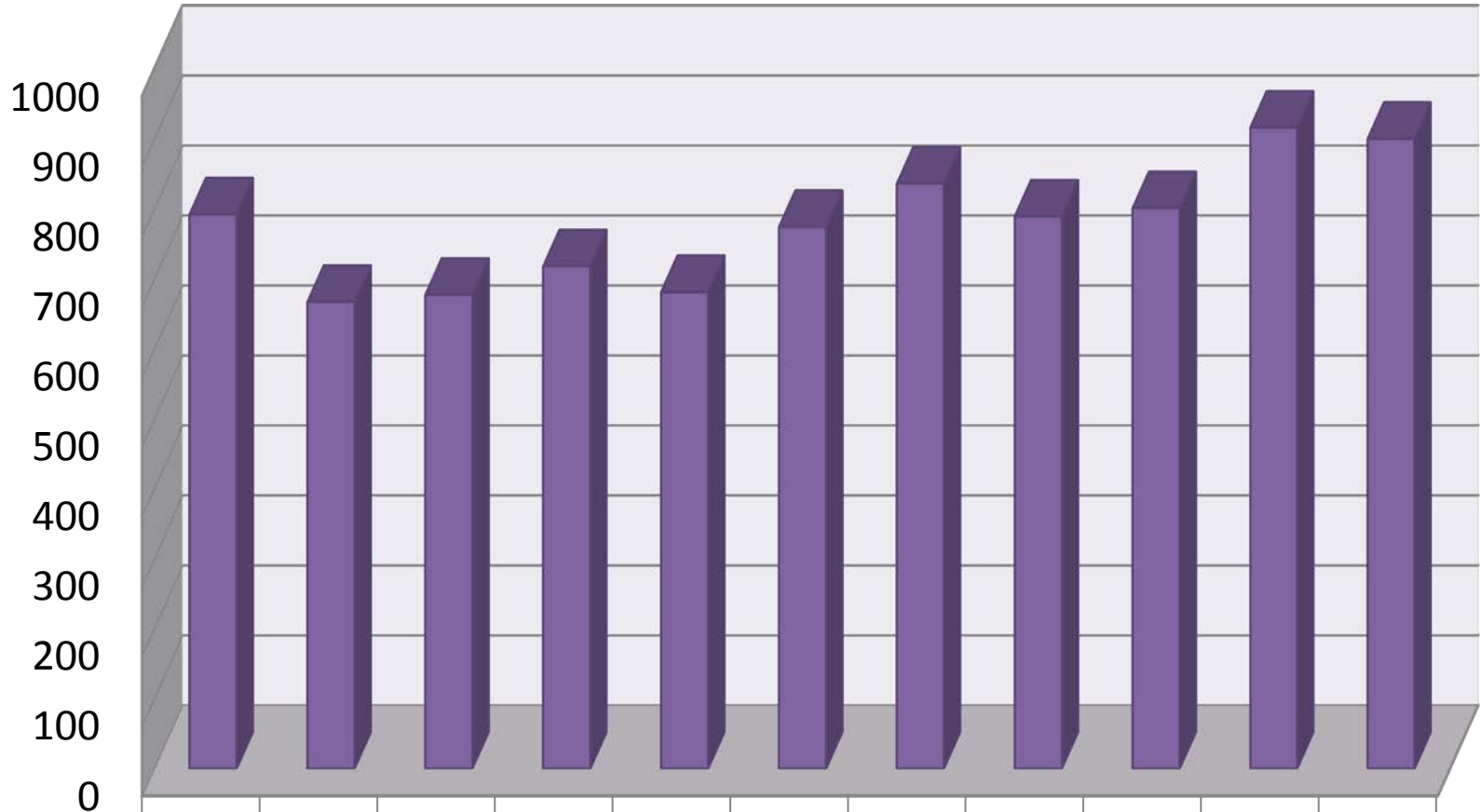


# Percent of Facilities Making Up a Percentage of Enforcements CY 2013





# Complaints Received

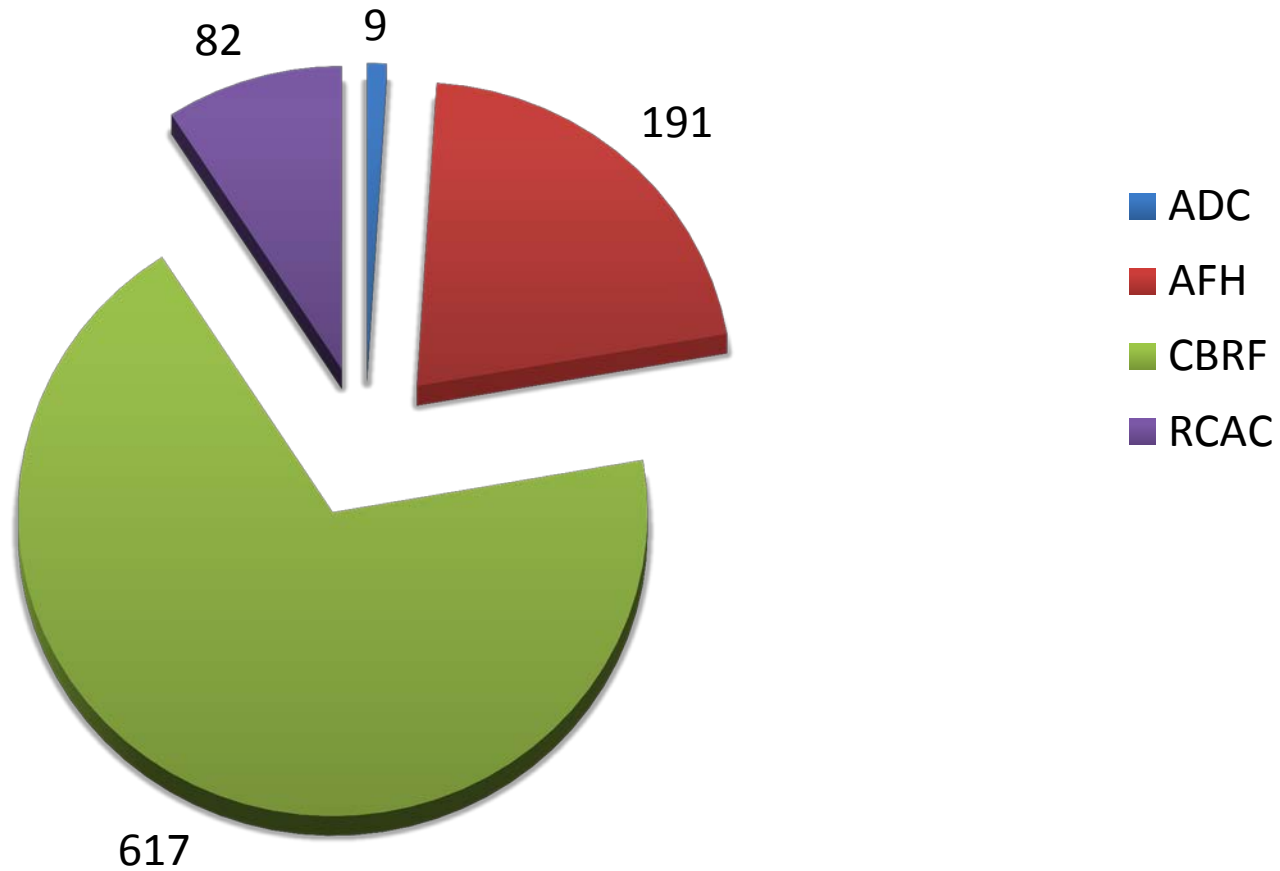


■ # complaints

2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
792	667	677	718	681	774	836	789	801	916	900



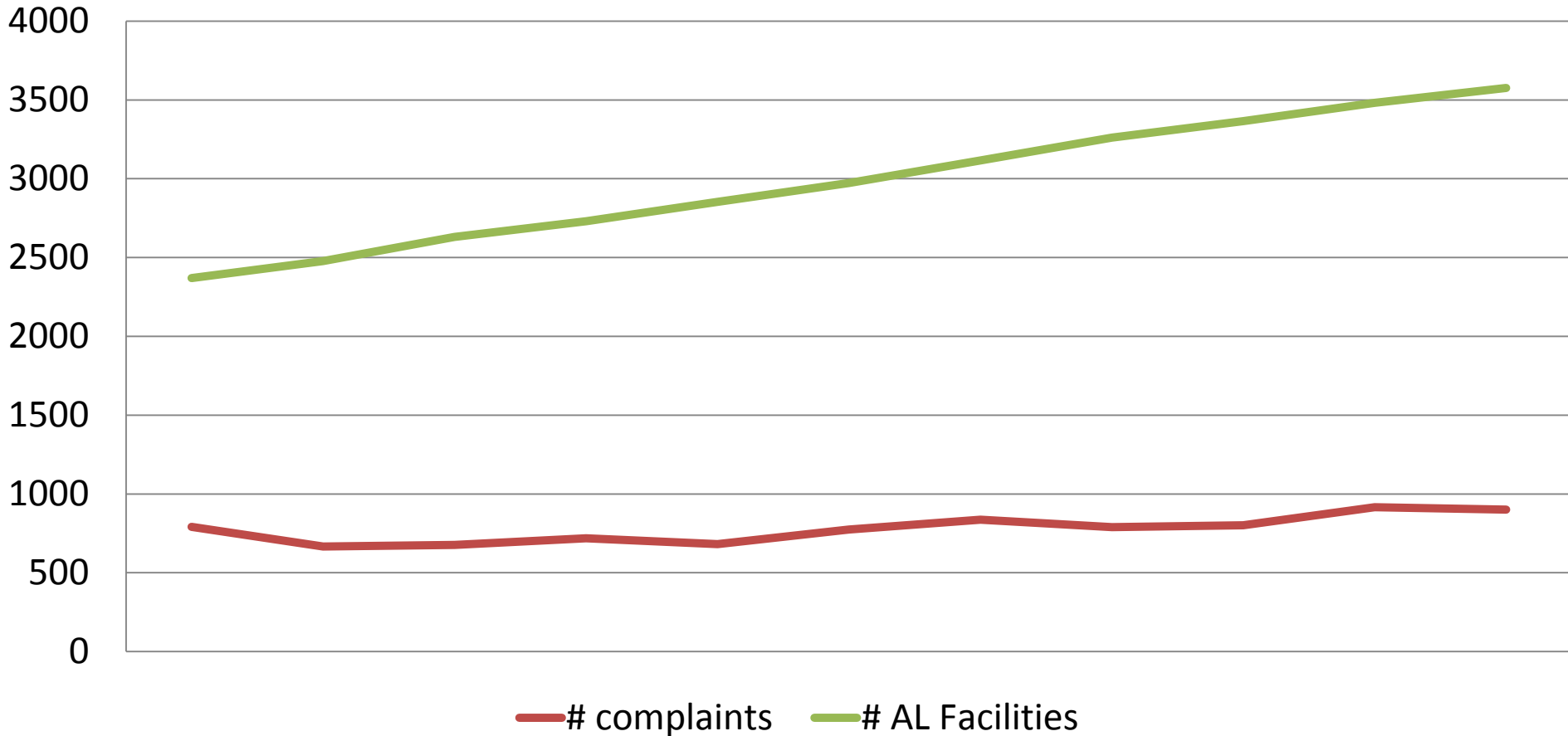
# Complaints Received CY 2013





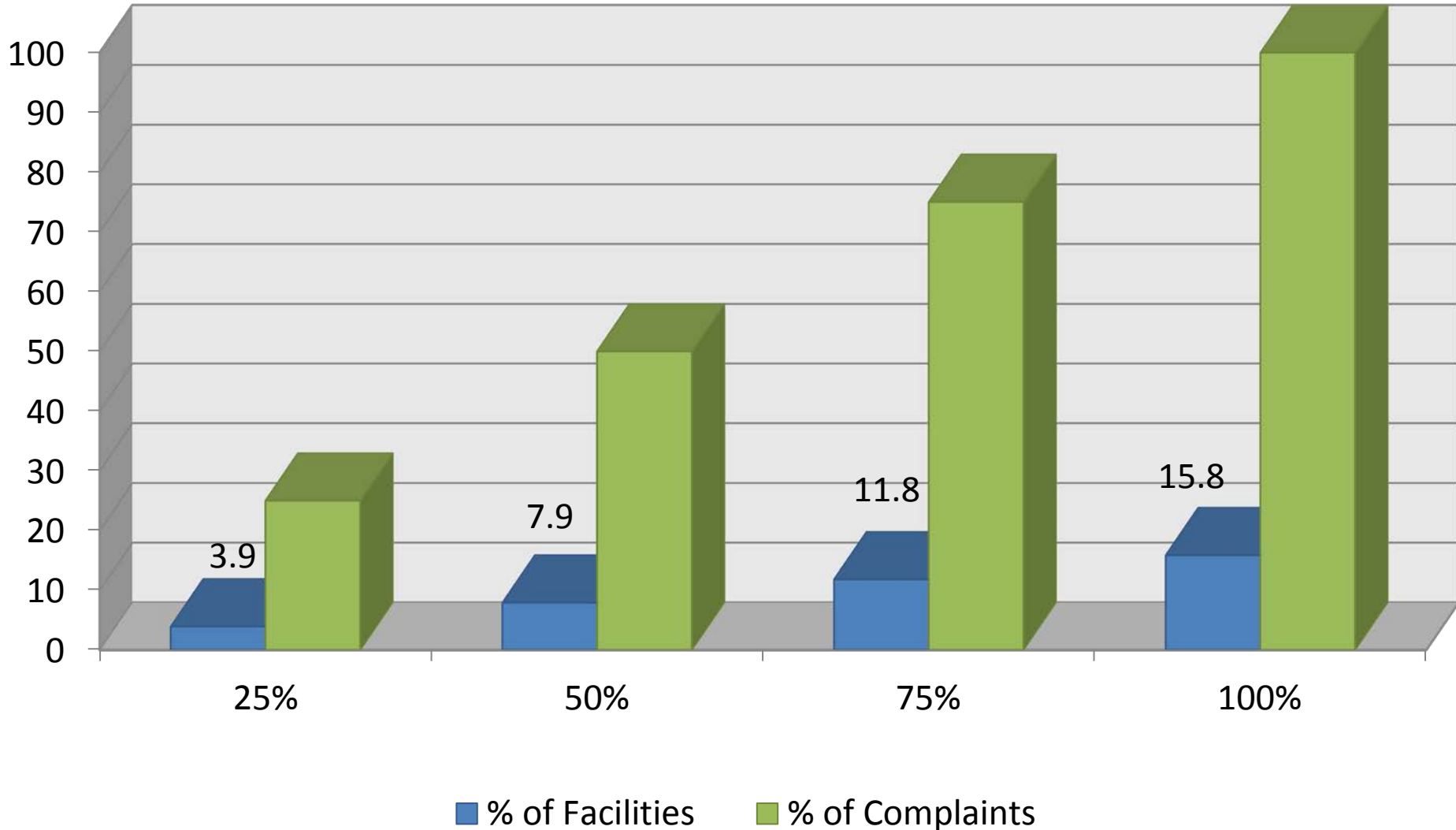
# Complaints vs. Growth

2003- 2013



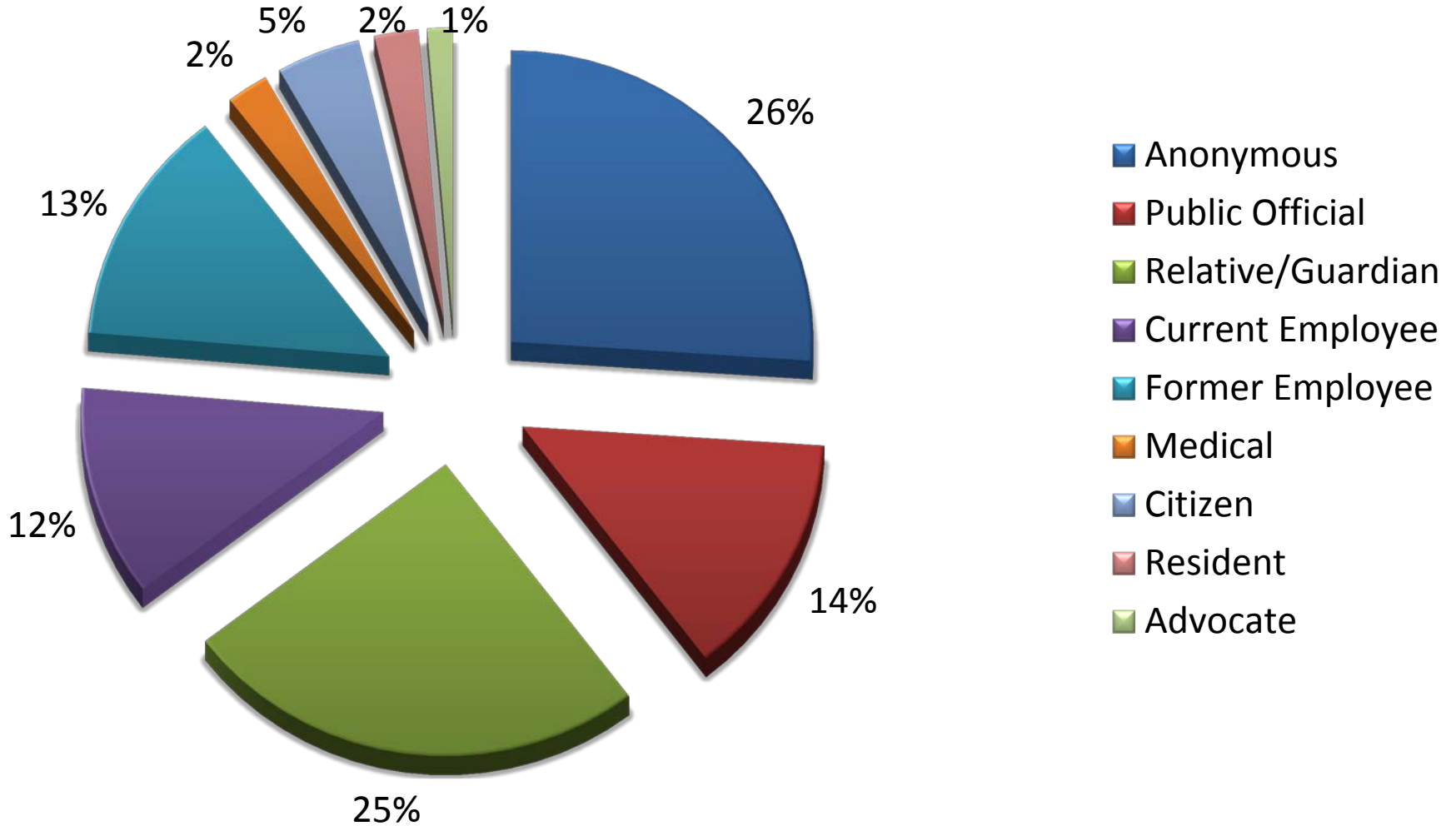


# Percent of Facilities Making up a Percent of Complaints





# Source of Complaint CY 2013





# Ranking – Subject Areas of Complaint Investigations

	2007	2008	2009	2010	2011	2012	2013
Administration	2	2	1	1	2	2	2
Medications	3	1	3	3	3	3	3
Resident Rights	1	3	2	2	1	1	1
Program Services	4	4	4	4	5	5	4
Nutrition & Food	8	6	6	8	4	4	7
Staff Adequacy	7	5	8	6	7	7	8
Supervision	6	8	5	5	8	8	6
Staff Training	11	9	7	7	6	6	5



# Ranking – Subject Areas of Complaint Investigations (continued)

	2007	2008	2009	2010	2011	2012	2013
Abuse	5	7	9	11	12	12	12
Homelike environment	9	10	10	10	10	10	9
Physical Plant & Hazards	12	13	11	12	11	11	11
Res. Behavior/ Facility practice	10	11	13	13	13	13	10
Quality of Life	13	12	12	9	9	9	13
Admission/ Discharge	14	14	14	14	14	14	14
License capacity or class	16	15	15	15	15	15	15
Restraints	15	16	16	16	16	16	16



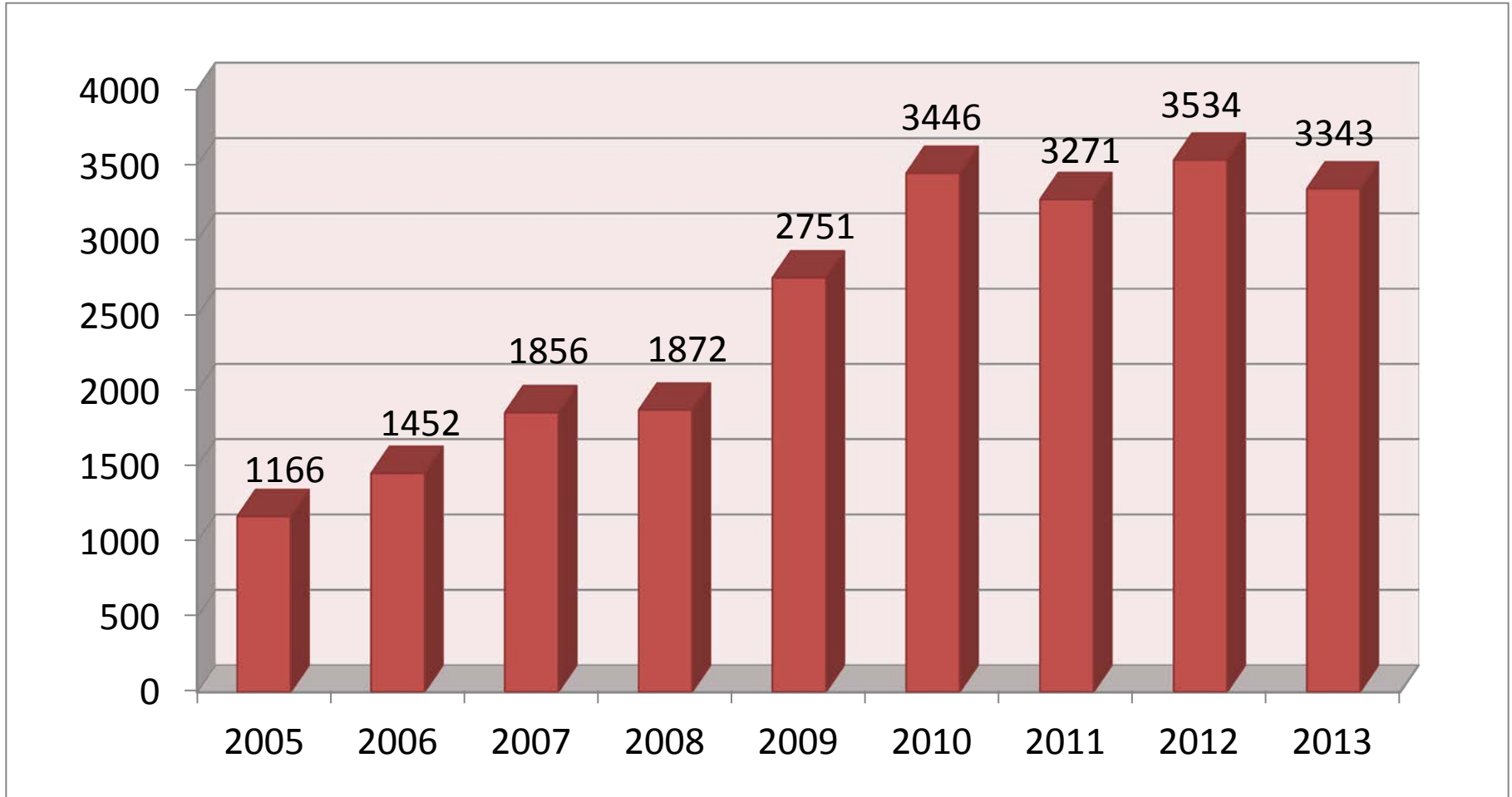


# Source of Complaint vs. Substantiation CY 2013

<u>Source</u>	<u>% rec. &amp; Inv.</u>	<u>% substantiated</u>
Anonymous	26	25
Public Official	14	48
Relative/Guardian	25	32
Current Employee	12	27
Former Employee	13	30
Advocate	01	63
Citizen	05	20
Medical	02	44
Resident	<u>02</u>	<u>19</u>
	<b>100%</b>	<b>31%</b>

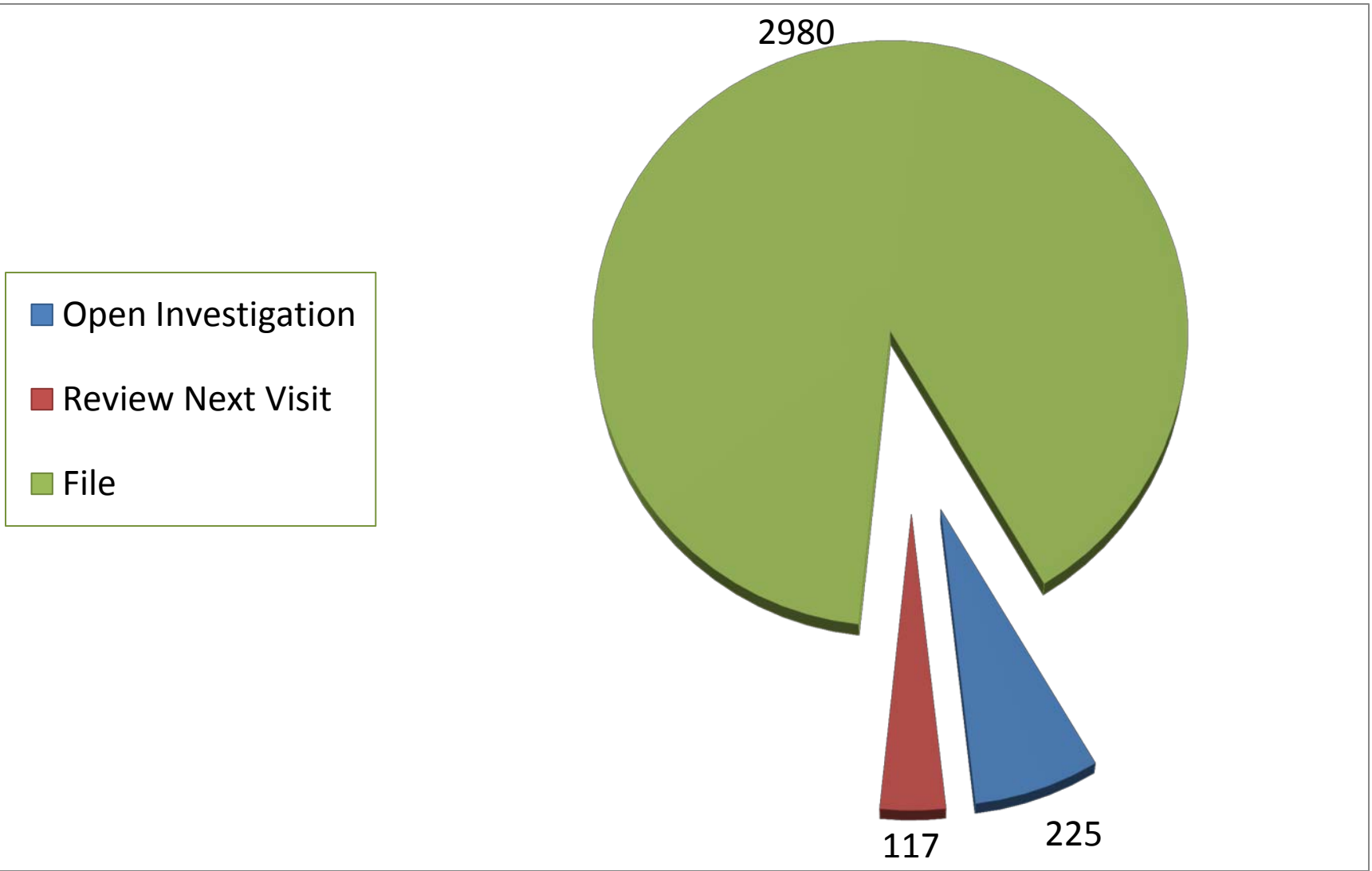


# Self Reports Received



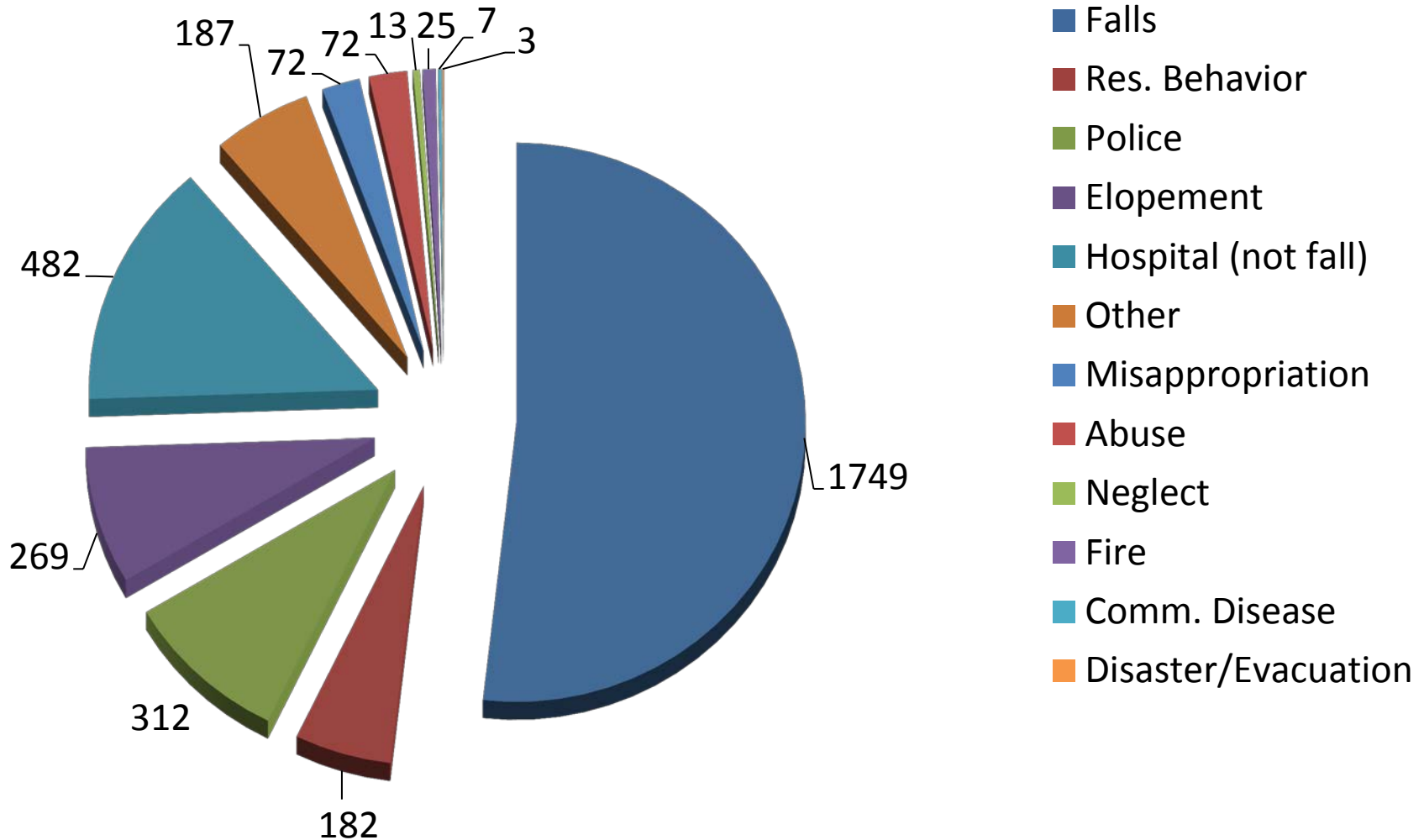


# Self Reports Received CY 2013 (3,343)



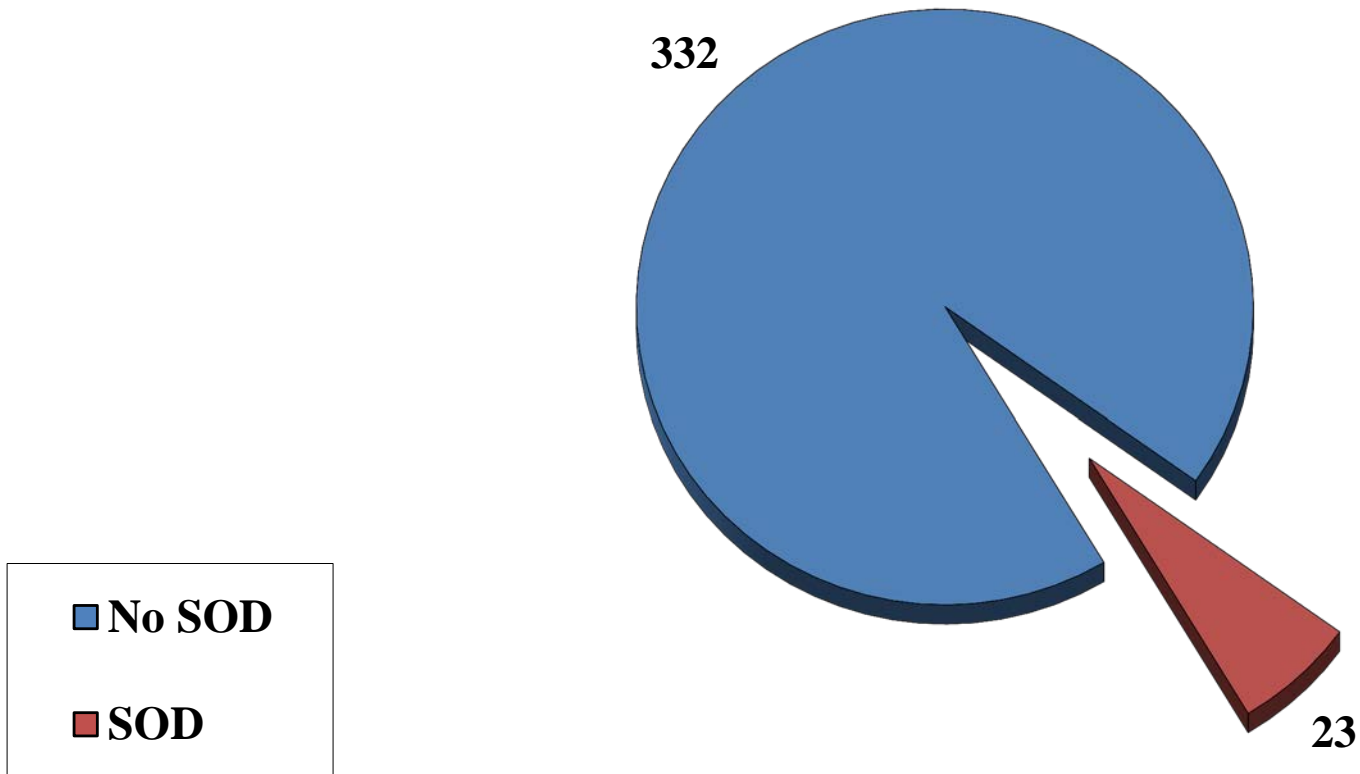


# Number of Self Reports by Subject Area CY 2013





# Self Reports Investigated – CY 2013 (355)





# Assisted Living Regulatory Activity CY 2013

- Standard Surveys 486
- Initial Surveys 323
- Abbreviated 408
- Other (Enf. VV & Complaint) 879





# Abbreviated Surveys CY 2013

- No Deficiency Survey - 64%
- Statement of Deficiency - 36%





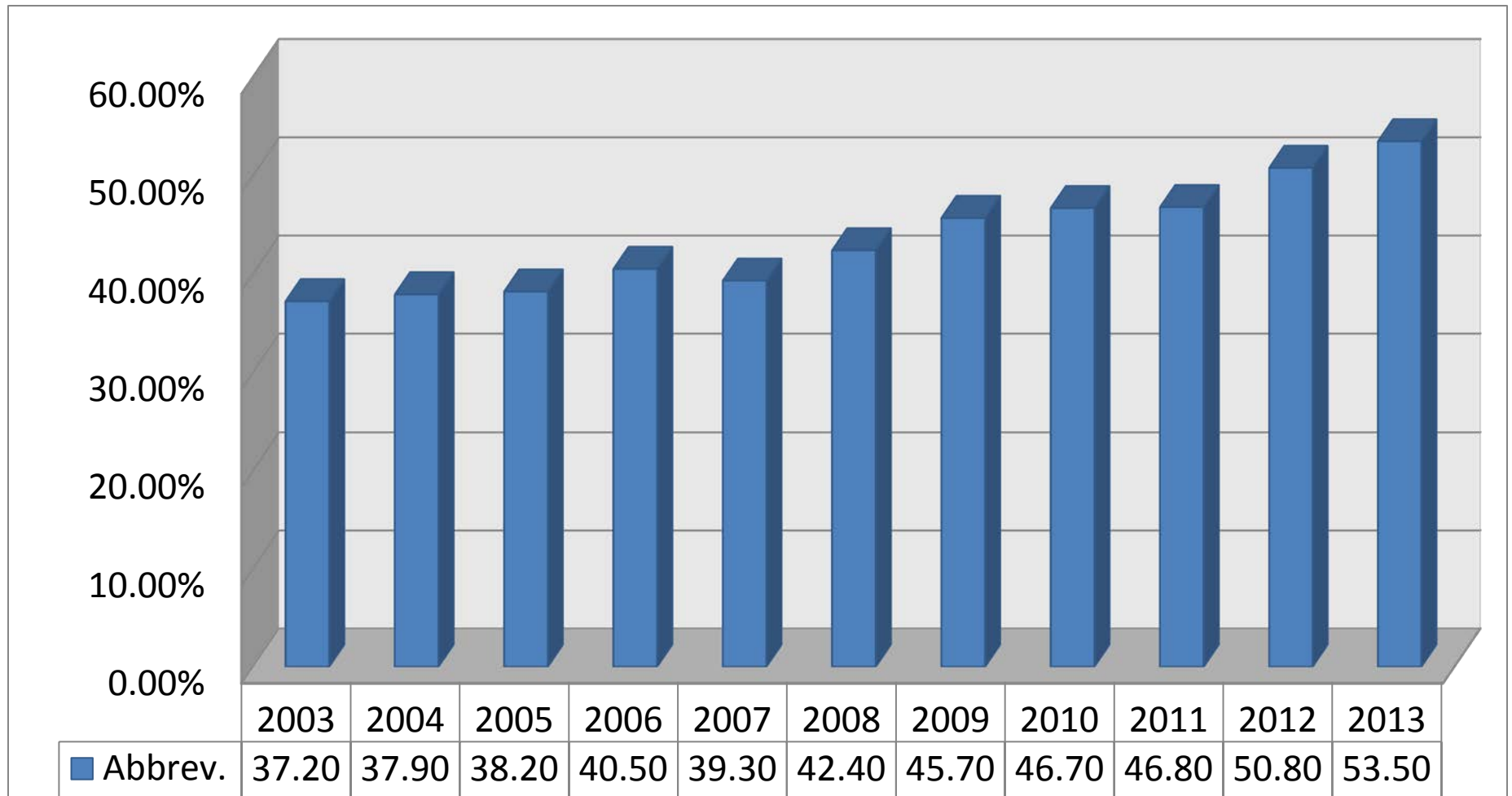
# Facilities Qualifying for Abbreviated Surveys – CY 2013

• Adult Day Care	62.7%
• Adult Family Homes	53.3%
• Community Based Residential Facility	50.7%
• Residential Care Apartment Complex	<u>53.9%</u>
• Statewide	53.5%





# 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





Wisconsin Health Care Association

Wisconsin Center for Assisted Living



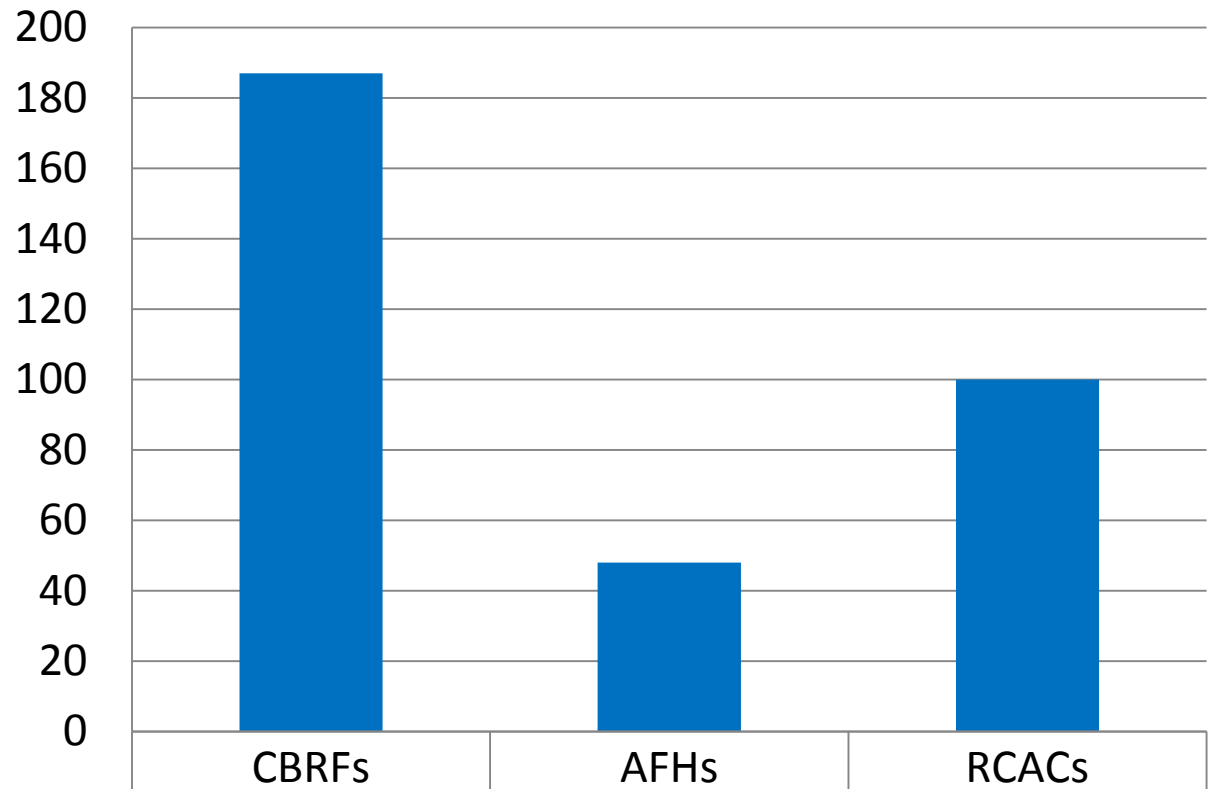


# WCCEAL Regulatory Data CY 13





# WCCEAL Regulated Communities CY 13

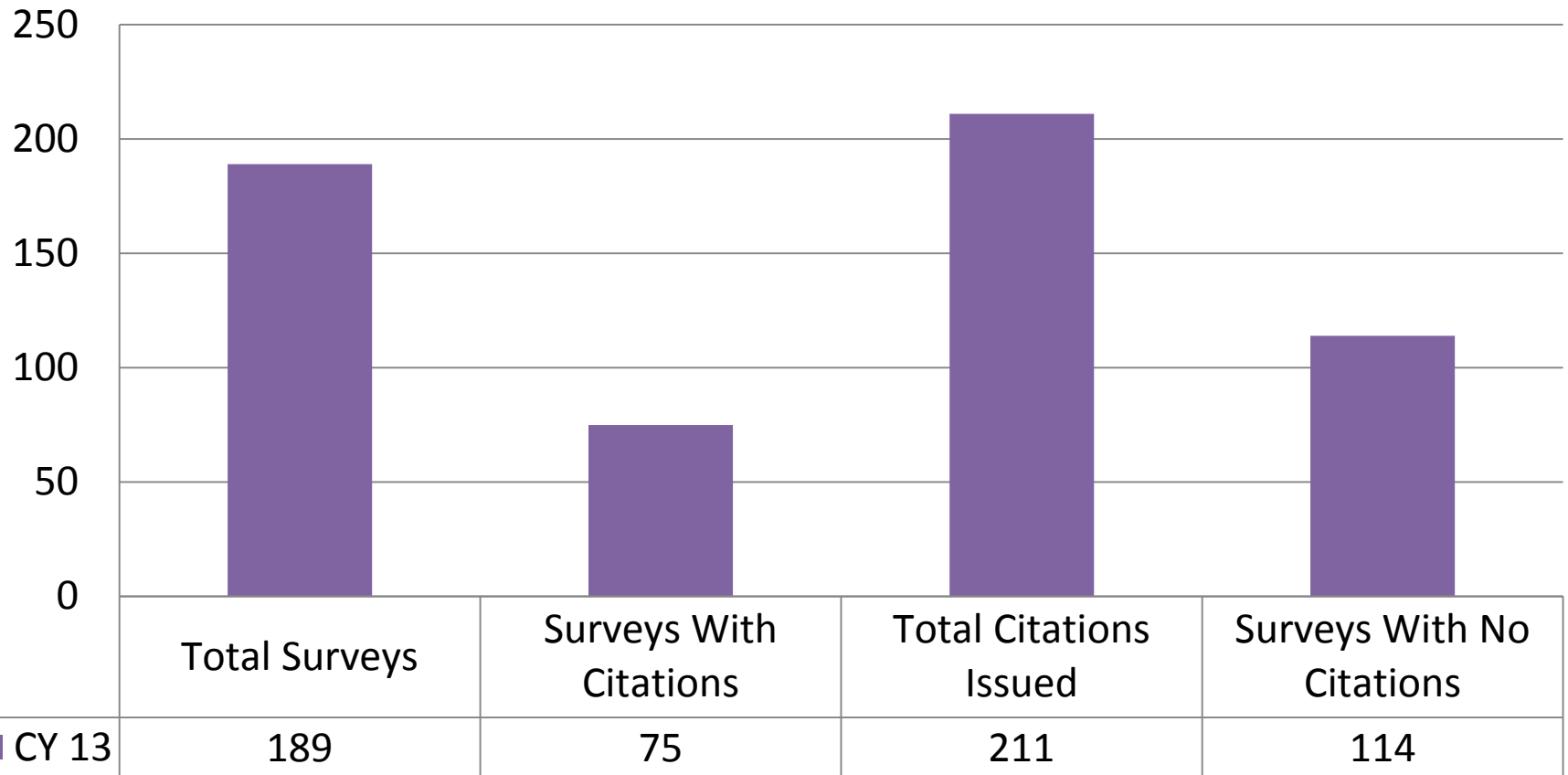


■ WCCEAL Assisted Living Communities	187	48	100
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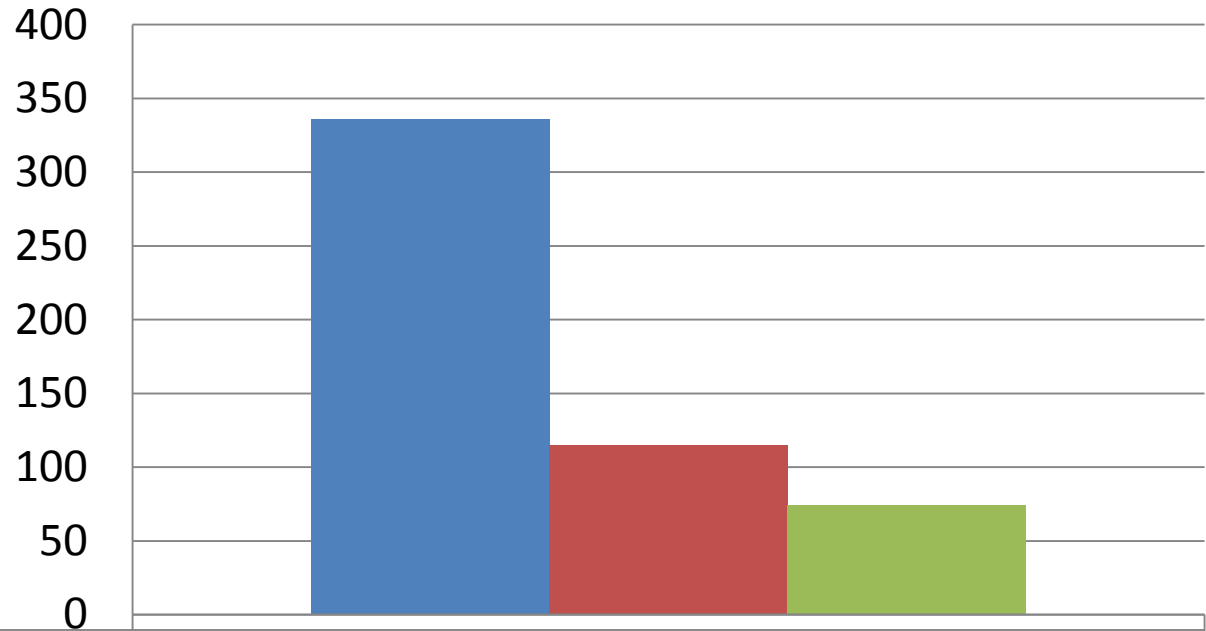
# WCCEAL Regulated Communities Surveys Conducted

CY 13





# WCCEAL Members Complaints CY 13

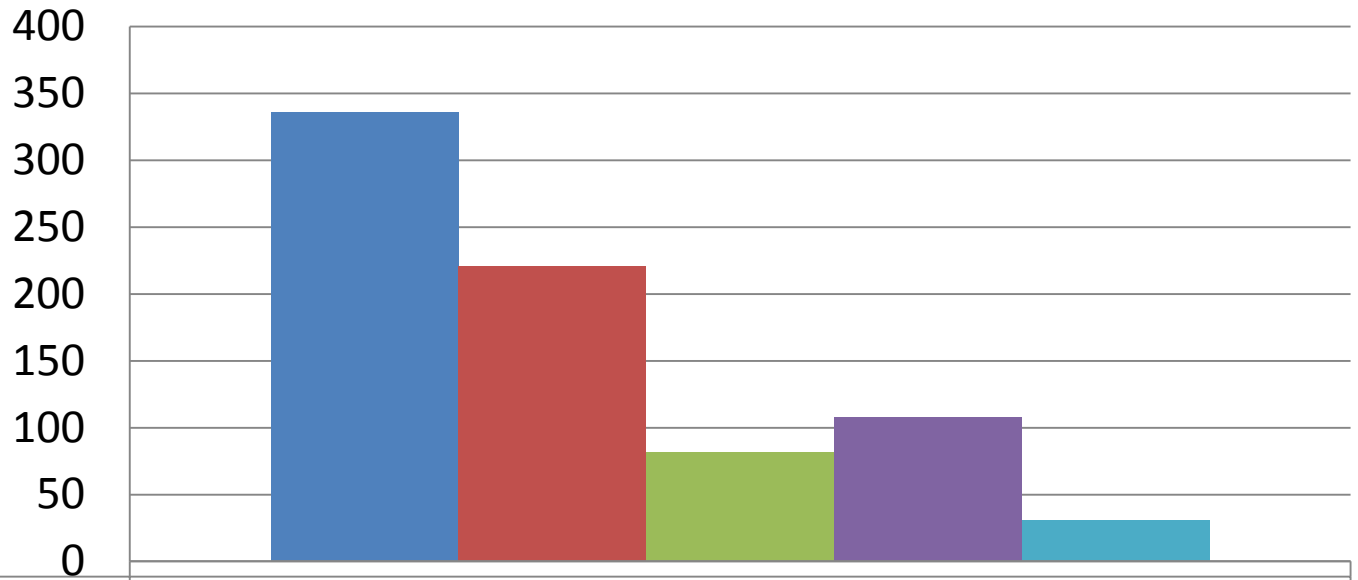


■ Total Facilities	336
■ total Complaints	115
■ Facilities With Complaints	74





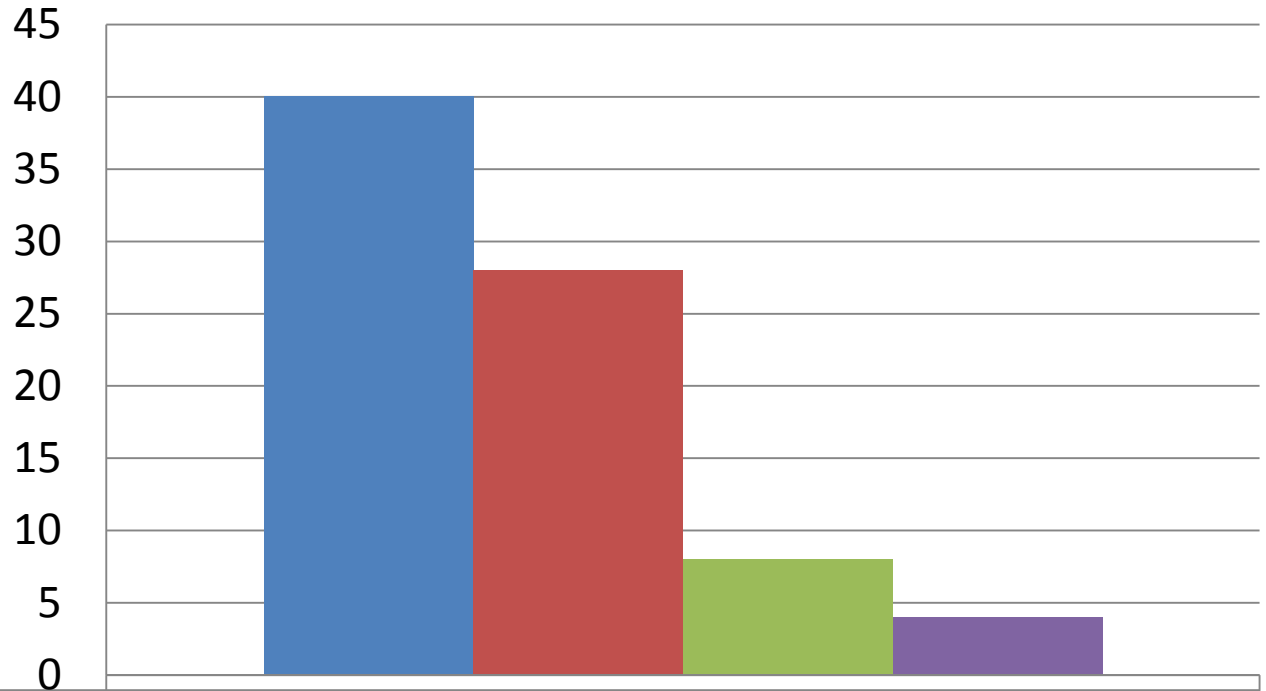
# WCCEAL Regulated Communities Qualifying for Abbreviated Surveys CY 13



■ Total Number of Facilities	336
■ Qualifying Facilities	221
■ RCAC	82
■ CBRF	108
■ AFH	31



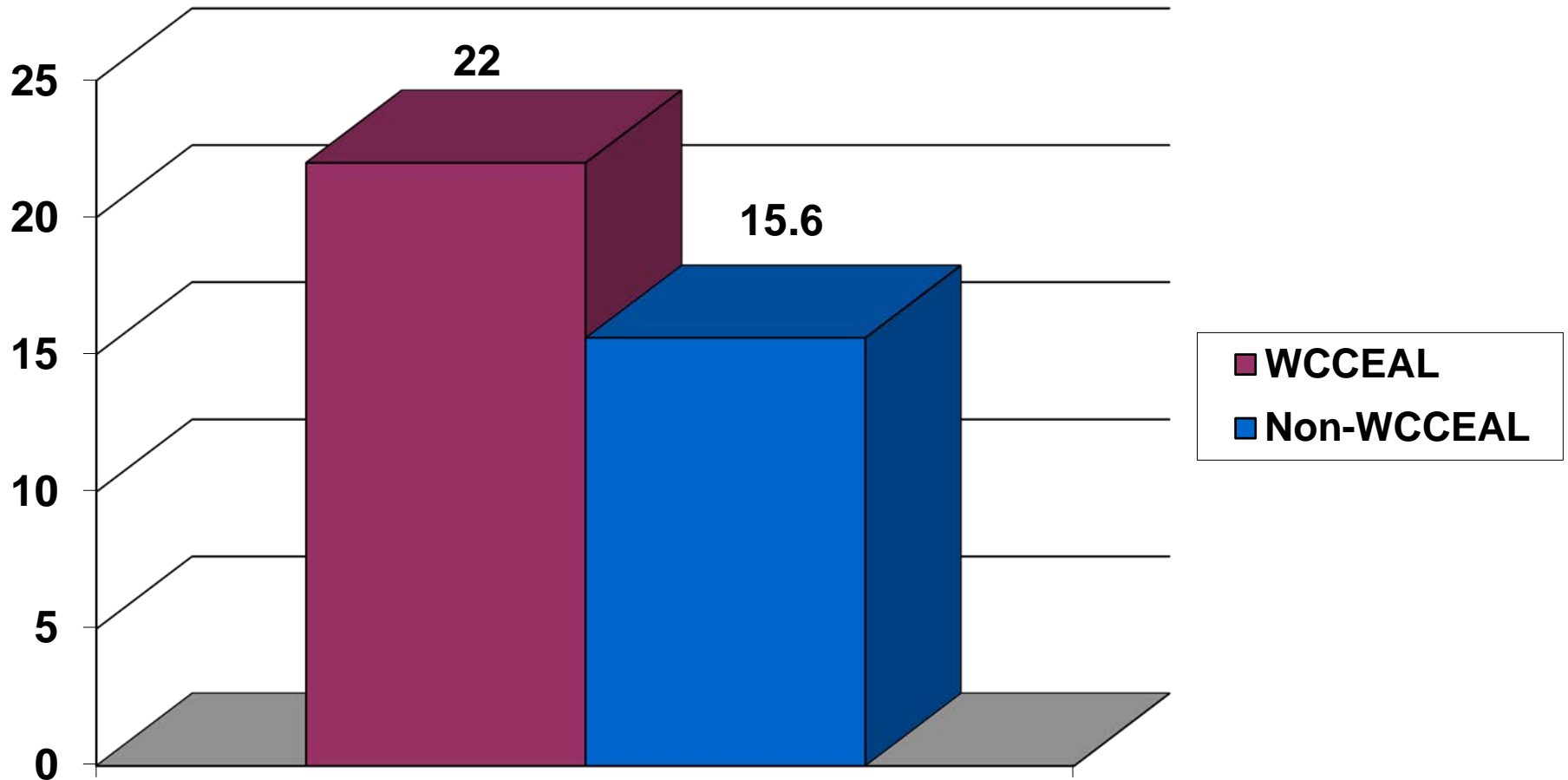
# WCCEAL Regulated Communities Abbreviated Survey Results CY 13



■ Total Abbreviated Surveys	40
■ Surveys with no citations	28
■ Surveys with citations only	8
■ Enforcement Action	4

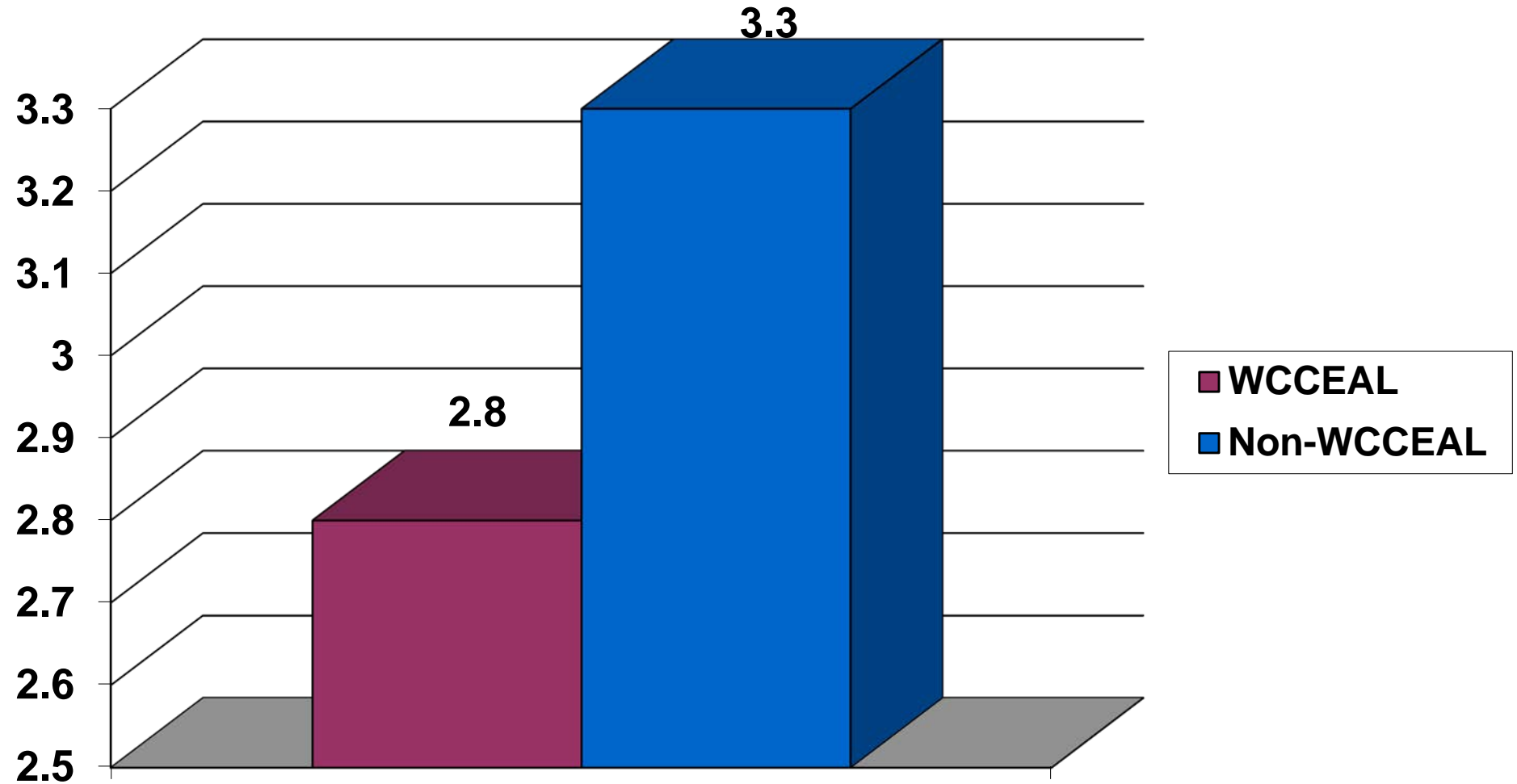


# Percent Making Up Percent of Complaints CY 13





# Average Citation Per Survey CY 13





# Looking Ahead





# Bureau of Assisted Living Vision

- Reasonable and consistent
- Promotes public health and safety
- Fosters quality of life
- Promotes provider responsibility
- Promotes regulatory agency responsibility
- Fosters collaboration
- Supports consumer awareness, responsibility and satisfaction
- Promotes consumer independence and choice
- Protects vulnerable adults

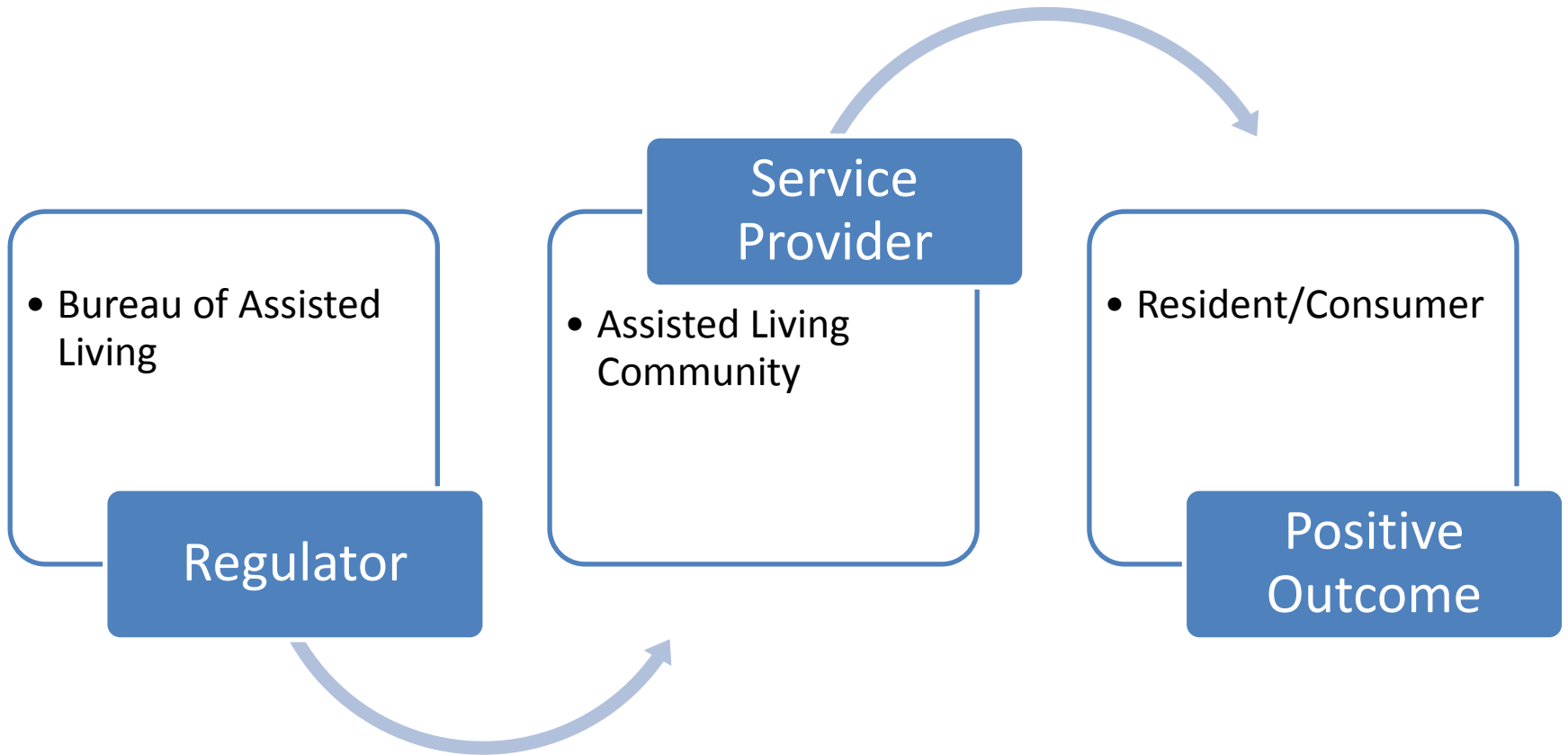


# **Bureau of Assisted Living Regulatory Goal**

## **Positive Resident Outcome**



# Our Focus







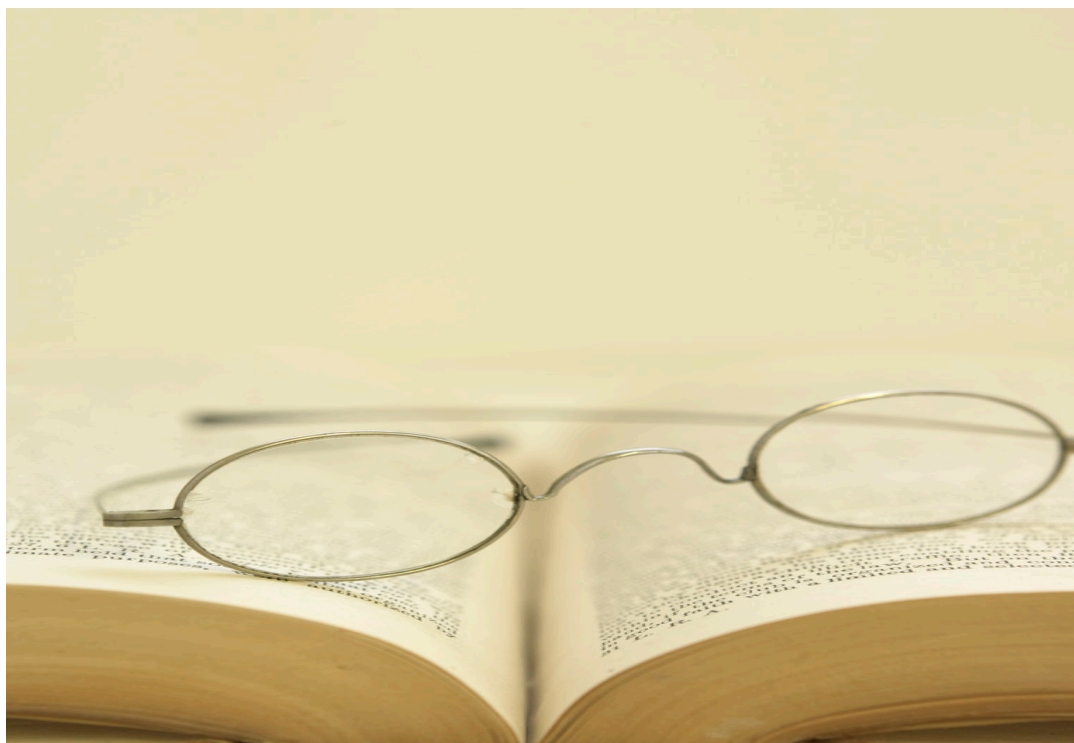
# Collaboration

- “Rally resources” – engage all relevant stakeholders to support quality improvements





# 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**

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