

Average Number of Deficiencies Cited Per Survey by
Region V States and Nation
on Standard and Complaint Surveys
FY 2015

State	Average Number of Deficiencies Cited Per Survey		
	Standard Surveys		Complaint Surveys
Illinois	5.2		0.5
Indiana	5.5		0.8
Michigan	6.3		0.5
Minnesota	6.4		0.5
Ohio	4.1		0.5
Wisconsin	6.4		1.0
U.S.	5.6		0.6

Source: PDQ "Average Number of Deficiencies Report," run
November 17, 2015

Total Deficiencies Cited by Region V States and Nation by Severity Level
on Standard and Complaint Surveys
FY 2015

State	Standard Surveys		Complaint Surveys	
	Number Tags Cited	% Distribution	Number Tags Cited	% Distribution
Illinois				
Total deficiencies cited	3,920	100.1%	2042	100.0%
Level 4	20	0.5%	44	2.2%
Level 3	61	1.6%	168	8.2%
Level 2	3,483	88.9%	1756	86.0%
Level 1	356	9.1%	74	3.6%
Indiana				
Total deficiencies cited	2,724	100.0%	1165	100.0%
Level 4	0	0.0%	10	0.9%
Level 3	58	2.1%	103	8.8%
Level 2	2,599	95.4%	1036	88.9%
Level 1	67	2.5%	16	1.4%
Michigan				
Total deficiencies cited	2,144	100.0%	1281	100.1%
Level 4	1	0.0%	20	1.6%
Level 3	41	1.9%	114	8.9%
Level 2	1,983	92.5%	1128	88.1%
Level 1	119	5.6%	19	1.5%
Minnesota				
Total deficiencies cited	2,401	100.0%	152	100.0%
Level 4	6	0.2%	2	1.3%
Level 3	19	0.8%	15	9.9%
Level 2	2,235	93.1%	133	87.5%
Level 1	141	5.9%	2	1.3%

Total Deficiencies Cited by Region V States and Nation by Severity Level
on Standard and Complaint Surveys
FY 2015

State	Standard Surveys		Complaint Surveys	
	Number Tags Cited	% Distribution	Number Tags Cited	% Distribution
Ohio				
Total deficiencies cited	3,225	100.0%	1195	99.9%
Level 4	29	0.9%	40	3.3%
Level 3	93	2.9%	55	4.6%
Level 2	2,960	91.8%	1058	88.5%
Level 1	143	4.4%	42	3.5%
Wisconsin				
Total deficiencies cited	2,327	100.0%	800	100.1%
Level 4	24	1.0%	51	6.4%
Level 3	46	2.0%	47	5.9%
Level 2	2,129	91.5%	680	85.0%
Level 1	128	5.5%	22	2.8%
U. S.				
Total deficiencies cited	81,377	100.1%	29,077	100.1%
Level 4	706	0.9%	1,267	4.4%
Level 3	1,683	2.1%	2,167	7.5%
Level 2	75,277	92.5%	24,868	85.5%
Level 1	3,711	4.6%	775	2.7%

Notes: Level 1 deficiencies only include tags cited at Levels B and C
Source: PDQ "Deficiency Count Report," run November 17, 2015

Top 10 Citations Cited by Region V States and Nation
on Standard and Complaint Surveys
FY 2015

State	Standard Surveys		Complaint Surveys	
	Tag #	% Surveys Cited	Tag #	% Surveys Cited
Illinois # Standard Surveys = 749 # Complaint Surveys = 3,992	F0441	52.5%	F0323	8.2%
	F0323	34.7%	F0309	4.6%
	F0371	31.2%	F0157	3.4%
	F0315	21.1%	F0314	2.8%
	F0329	19.0%	F0226	2.6%
	F0309	18.6%	F0225	2.5%
	F0465	18.3%	F0441	1.9%
	F0314	18.2%	F0312	1.9%
	F0431	16.7%	F0333	1.4%
	F0332	16.4%	F0246	1.4%
Indiana # Standard Surveys = 498 # Complaint Surveys = 1,475	F0371	43.4%	F0309	6.8%
	F0282	35.1%	F0323	6.8%
	F0441	33.9%	F0282	6.5%
	F0329	32.7%	F0157	5.3%
	F0323	28.5%	F0226	3.6%
	F0465	27.5%	F0441	3.5%
	F0309	23.7%	F0314	3.5%
	F0431	23.3%	F0225	3.4%
	F0279	21.9%	F0514	3.4%
	F0241	18.7%	F0312	2.4%
		F0279	2.4%	
		F0465	2.4%	
Michigan # Standard Surveys = 341 # Complaint Surveys = 2,461	F0441	51.0%	F0323	7.2%
	F0371	48.4%	F0309	5.1%
	F0323	37.0%	F0226	3.9%
	F0309	29.6%	F0225	3.9%
	F0431	24.9%	F0241	2.0%
	F0329	23.2%	F0279	1.8%
	F0226	20.5%	F0441	1.7%
	F0314	19.1%	F0157	1.6%
	F0241	17.9%	F0281	1.5%
	F0465	17.3%	F0223	1.4%
		F0314	1.4%	

Top 10 Citations Cited by Region V States and Nation
on Standard and Complaint Surveys
FY 2015

State	Standard Surveys		Complaint Surveys	
	Tag #	% Surveys Cited	Tag #	% Surveys Cited
Minnesota # Standard Surveys = 377 # Complaint Surveys = 333	F0282	43.0%	F0309	3.6%
	F0441	36.1%	F0226	3.3%
	F0329	32.1%	F0225	3.3%
	F0431	31.6%	F0314	3.3%
	F0309	31.3%	F0278	3.0%
	F0279	25.5%	F0157	3.0%
	F0323	23.9%	F0323	2.7%
	F0314	23.1%	F0241	1.8%
	F0428	20.7%	F0333	1.5%
	F0280	18.8%	F0465	1.5%
			F0282	1.5%
			F0353	1.5%
	Ohio # Standard Surveys = 784 # Complaint Surveys = 2209	F0329	26.0%	F0323
F0441		23.6%	F0309	4.8%
F0323		23.2%	F0225	3.4%
F0371		22.7%	F0226	2.9%
F0309		19.4%	F0514	2.4%
F0279		14.3%	F0441	2.3%
F0431		11.5%	F0157	2.2%
F0157		11.5%	F0425	1.8%
F0241		11.0%	F0314	1.7%
F0314		10.7%	F0332	1.4%
Wisconsin # Standard Surveys = 363 # Complaint Surveys = 802	F0441	49.6%	F0225	12.3%
	F0314	39.7%	F0323	9.6%
	F0323	39.1%	F0309	8.0%
	F0371	38.3%	F0157	5.7%
	F0329	35.3%	F0314	4.6%
	F0315	30.6%	F0425	4.2%
	F0425	24.0%	F0514	3.5%
	F0309	23.4%	F0441	3.0%
	F0282	23.1%	F0279	2.9%
	F0225	22.6%	F0282	2.6%
			F0353	2.6%

Top 10 Citations Cited by Region V States and Nation
on Standard and Complaint Surveys
FY 2015

Nation	Standard Surveys		Complaint Surveys	
	Tag #	% Surveys Cited	Tag #	% Surveys Cited
U.S. # Standard Surveys = 14,482 # Complaint Surveys = 50,869	F0441	37.3%	F0323	5.5%
	F0371	35.9%	F0309	4.4%
	F0323	27.6%	F0225	2.8%
	F0309	24.0%	F0226	2.5%
	F0431	21.4%	F0157	2.5%
	F0329	21.2%	F0514	2.2%
	F0279	19.3%	F0441	2.1%
	F0241	14.8%	F0279	1.8%
	F0514	14.7%	F0281	1.7%
	F0282	13.5%	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 November 17, 2015

List of Top Citations on Top 10 Report for Region V and Nation
on Standard and Complaint Surveys
FY 2015

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
F0332	FREE OF MEDICATION ERROR RATES OF 5% OR GREATER
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
F0428	DRUG REGIMEN REVIEW, REPORT IRREGULAR, ACT ON
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

Remedies In Effect
Region V States and Nation
FY 2015

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	\$2,790,676	\$34,453	42	81
Indiana	\$483,715	\$11,517	28	42
Michigan	\$740,785	\$15,118	39	49
Minnesota	\$420,128	\$24,713	49	17
Ohio	\$2,864,757	\$46,206	51	62
Wisconsin	\$1,411,698	\$32,830	43	43
U.S.	\$61,154,436	\$51,716	55	1223

Per Instance CMPs	Total Amount In Effect	Average Amount in Effect	Number of Cases with an In Effect Per Instance CMP *
Illinois	\$61,051	\$4,070	15
Indiana	\$25,990	\$5,199	5
Michigan	\$35,500	\$5,917	6
Minnesota	\$16,610	\$3,322	5
Ohio	\$296,113	\$2,847	104
Wisconsin	\$98,042	\$4,456	22
U.S.	\$2,826,262	\$2,963	756

* Standard and Complaint Surveys Combined

Denial of Payment for New Admissions (DOPNA)	Total Number In Effect	Number of Mandatory DOPNA In Effect	Number of Discretionary DOPNA In Effect
Illinois	22	13	9
Indiana	2	2	0
Michigan	15	11	4
Minnesota	7	7	0
Ohio	18	16	2
Wisconsin	17	2	15

Source: CMP data: S&C PDQ "Civil Money Penalty (CMP) Report," run 11/17/2015
DOPNA data: "AEM Nursing Home Denial of Payment Report," run 11/17/2015

12/16/2015

2015 Top Ten Cited LSC Deficiencies SNF / NF

	IL	IN	MI	MN	OH	WI	IA	KS	MO	NE	Region V	Region VII	Nation
1	K62	K62	K29	K50	K38	K62	K147	K50	K62	K29	K62	K147	K62
2	K144	K147	K147	K29	K144	K50	K62	K147	K25	K147	K147	K50	K147
3	K18	K25	K62	K62	K62	K147	K144	K62	K50	K50	K29	K62	K29
4	K147	K50	K51	K144	K50	K29	K29	K18	K38	K144	K144	K29	K18
5	K50	K29	K25	K67	K52	K56	K50	K25	K147	K62	K50	K144	K144
6	K25	K38	K38	K147	K18	K52	K18	K29	K29	K18	K38	K18	K38
7	K48	K56	K18	K56	K29	K38	K46	K46	K144	K38	K18	K25	K25
8	K69	K144	K72	K52	K147	K18	K52	K12	K69	K46	K25	K38	K50
9	K38	K130	K56	K54	K56	K54	K25	K38	K130	K141	K52	K46	K52
10	K29	K18	K69	K18	K25	K25	K12	K144	K12	K76	K56	K12	K56

Top Ten Deficiencies and Helpful Hints to Avoid Them

(Deficiency numbers for RO V from FY15)

K62 – Sprinkler System Inspection, Testing, and Maintenance

- Sprinklers cannot be painted, corroded/oxidized, loaded, or have other impediment. Sprinklers that are painted, corroded, damaged, loaded, or an improper orientation must be replaced
- The spare sprinkler cabinet must contain at least six sprinklers, with the stock being at least two of each type and temperature rating of sprinkler installed in the building. Also, there must be a special sprinkler wrench for each type of sprinkler
- Quarterly waterflow testing that have all required information documented
- Gauges not replaced or calibrated every five years
- Holes around sprinkler (integrity of ceiling) that affects the operation of the sprinkler
- Antifreeze sprinkler systems with glycerin concentration greater than 50% and propylene glycol concentration greater 40% (Refer to NFPA notification "Current Requirements for Sprinkler Systems Containing Antifreeze" - January 2014)

K147 – Electrical

- Unacceptable use of power strips (Daisy-chained, high-current draw devices, medical equipment)
- Missing junction box, light switch, or electrical outlet cover plates
- Extension cords being used for more than temporary use

K29 – Hazardous Areas

- Hazardous area enclosures may need to be 1hr fire resistance rated in addition to requiring sprinkler protection (New HC and severe hazard existing HC)
- Gas fired furnaces located in attic spaces in new construction not enclosed in 1-hour rated construction
- Doors for all hazardous areas need to fully self-close (All hazardous room doors will be tested on a survey)
- Soiled utility bins need to be stored in a hazardous room when unattended
- Doors can only be held open by a device that releases upon activation of the fire alarm system, local smoke detectors, and/or the sprinkler system
- Resident rooms converted into a hazardous storage room, but lack the protection for a hazardous area

K144 – Emergency Generators

- Weekly visual inspections must be conducted and documented (Manufacturer's recommendation list or list of applicable items from NFPA 110 Appendix A)
- Monthly load tests must be done for a minimum of 30min under load (cool down without load must be outside of the 30min test)
- Monthly load tests for all generators must meet one of the requirements of NFPA 110 Section 6-4.2 (There must be sufficient information to show how the load tests meet requirements)
- A remote annunciator panel must be installed in a separate location from the generator with an audible trouble signal in a location where it can be heard 24hrs a day (Remote panel trouble indicators should at a minimum mirror the trouble indicators on the generator. If no trouble indicators on generator, remote panel should consist of a general audible and visual trouble alarm)
- If generator is located indoors there must be at a battery-powered emergency light in the generator room. If the generator is located outdoors then there either needs to be a battery-powered emergency light at the generator

location or it needs to be accessible for a car to provide illumination with its headlights (A flashlight at the generator location does not meet this requirement)

- Emergency shutoff for installations dated after the requirement was written into NFPA 110

K50 – Fire Drills

- Fire drills must be documented (Time, date, transmission of alarm, staff participation, etc.)
- Fire drills must be conducted at a frequency of one per shift per quarter
- Fire drills must be conducted under varying conditions (Time during shift, location, type of fire, etc.)

K38 – Means of Egress

- The floor level on each side of the door must be level (In existing buildings there can be a grade change if the change is equal to that of one step)
- Delayed-egress devices can only be installed in a building that has either a complete sprinkler system or complete fire detection system. Also, there must be an instruction sign on the door with a delayed-egress device. Delayed-egress devices must release upon activation of the fire alarm or within 15 seconds of an acceptable amount of force being applied to the door for no more than three seconds. Also, there can only be one delayed-egress device in a means of egress
- Doors must open with only one releasing operation
- Means of egress must be clear and unobstructed at all times and useable in all weather conditions

K18 – Corridor Doors

- Corridor doors can be held open with a device that releases with a push or pull of the door, if the door is not required to be self-closing or automatically releases upon activation of the fire alarm system if required to be self-closing
- Corridor walls must be constructed to limit the transfers of smoke. Above ceiling as well, if the ceiling is not constructed to limit the transfer of smoke.
- Corridor doors in sprinklered buildings must be smoke resisting (gap between the face of door and the stop on the frame cannot exceed .5in).
- Corridor doors require automatic positive latches
- Inactive leaf of double corridor doors must automatically positively latch

K25 – Smoke Barriers

- Continuity of smoke barriers (Outside wall to outside wall or other smoke barrier and from floor to roof/floor deck above)
- Properly firestopped penetrations (Existing penetrations must resist the passage of smoke. New penetrations need an approved through penetration system)
- Properly firestopped smoke barrier/floor joint systems (flutes of corrugated metal decks cannot be left open or be filled with only insulation or other loose filled material)
- Expandable foam cannot be used (Fire rated expandable foam does not contain a fire resistance rating. It only has a flame spread rating) *↳ "just say no"*
- Smoke barriers must be continuous to the roof deck of a roof/ceiling assembly

K52 – Fire Alarm System Testing and Maintenance (K51 – Fire Alarm System Installation)

- A fire alarm panel must be installed in a supervised location (24hr staffed or have a smoke detector connected to the fire alarm system at the location)
- A trouble signal from the fire alarm system must be able to be heard 24hrs a day
- Annual fire alarm system test documentation must be complete, accurate, and show test results for all initiating and supervisory devices



K56 – Sprinkler System Installation

- Sprinklers cannot be obstructed by other objects (light fixtures, ducts, cubicle curtains, storage)
- Sprinklers must be properly spaced from other sprinklers (Distance between two sprinklers should be between 6ft and 15ft)
- Unsupported sprinkler pipe arm-overs cannot exceed 24in for steel pipe (12in for copper pipe)
- Sprinkler pipes must be properly supported off the building structure (hangers must be properly spaced for size and type of pipe and all installed hangers must be maintained in their installed locations)
- All areas of a building must be sprinkler protected for a building to be considered fully sprinklered (Combustible overhangs greater than 4ft, elevator machine rooms, elevator shaft and some pits, electrical rooms, walk-in coolers/freezers, and closets are the most commonly omitted areas)