

(**WALA note** - This is not an all-inclusive list and does not indicate which provider type. BQA's intent of the slide was to give some example of reporting requirements. It was not intended to educate the audience on which provider types require what types of self-reports.)

## Self Report vs. Complaint

Assisted Living Forum  
March 9, 2004

## Self Reports vs. Complaints

- Historically the Bureau of Quality Assurance has always treated self reports as a complaint
- Self reports were part of the Complaint Procedure
- Self reports were part of the Complaint Data Base
- Historically, BQA opened most self reports for an onsite visit
- 2002 - In response to issues brought up at the CBRF Forum, BQA changed "initial comments" from an SOD to reflect self reports not complaints
- March 1, 2004 - Assisted Living Section has pulled self reports from the complaint process.

## "New self report process" modeled after "new survey process"

- The Department will develop a reasonable, efficient and consistent system of regulation, licensing and certification that effectively encourages compliance; maintains accountability; protects public health and safety; fosters quality of life; promotes provider responsibility; supports consumer awareness, responsibility and satisfaction; promotes consumer independence and choice, and protects vulnerable adults

## Self Report

- Assisted living providers are required to report certain incidents to the Department under Wisc. Stats. Chapter 50, Wisc. Admin. Code HFS 83, Wisc. Admin. Code HFS 88, and Wisc. Admin. Code HFS 13. Providers may also self-report incidents or situations that do not require reporting by regulation.

## Requirements to Self Report

- Caregiver misconduct
- Death related to the use of physical restraint or a psychotropic medication, or there is reasonable cause to believe that the death was a suicide
- Accidents requiring in-patient hospitalization
- Resident missing
- Fire or natural catastrophe resulting in significant damage to the facility
- Police are called when incidents which seriously jeopardize the health, safety or welfare of residents or staff
- Others

## Self Report Determinations

- Schedule an unannounced visit to the facility to review concerns identified in the report; or
- If the self-report does not warrant an on-site review based on established criteria, but indicates that the facility may need technical assistance, report will be placed in the facility file for review during the next visit to facility or
- Place in facility file as information only.

### **Schedule onsite visit**

- Serious harm or potential for harm to consumers
- Negative impact on the consumers, families or the community
- The facility's compliance history
- The facility's investigation and reporting history
- A trend in reports received (for example, numerous falls, medication errors, etc.)

### **Thank you!**

Questions?