



**California Department of Public Health**  
 Center for Health Care Quality  
 Licensing and Certification Program

**Field Operations**  
Long-Term Care Health Facility Entity Report Incidents (ERIs)

**Data as of March 31, 2016 (Cumulative through Quarter 3, SFY 2015-16)**

**VOLUME**

	A	B	C	D
Reporting Period	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Growth/Reduction in Open ERIs by Reporting Period	ERIs Open on March 31, 2016, by Reporting Period Received
<b>Current State Fiscal Year</b>				
2015-2016, Cumulative through Quarter 3	14,924	13,656	1,268	5,045
<b>Previous State Fiscal Years</b>				
2014-2015	20,419	19,335	1,084	2,495
2013-2014	19,759	20,901	-1,142	1,184
2012-2013	20,318	21,007	-689	342
2011-2012	20,519	21,787	-1,268	22
<b>Totals</b>	<b>95,939</b>	<b>96,686</b>	<b>-747</b>	<b>9,093*</b>

This table identifies the number and growth or reduction in open ERIs reported by Skilled Nursing Facilities, Intermediate Care Facilities (including all those serving Developmentally Disabled), Congregate Living Health Facilities, and Pediatric Day Health and Respite Care Facilities. Licensing and Certification Program's Field Operations considers a case completed when it has fully completed the investigation and documented the case as completed in its database.

**Table Notes:**

- Column A shows the number of new ERIs Field Operations received during the respective reporting period.
- Column B shows the number of ERIs Field Operations completed during the respective reporting period, regardless of the reporting period in which the ERIs was received.
- Column C shows the difference between ERIs received and completed during the respective reporting period (C=A-B). When the value of Column C is positive, the number of open ERIs increased during that reporting period. When the value of Column C is negative, the number of open ERIs decreased.
- Column D shows the number of ERIs received in a given reporting period that Field Operations has not completed as of the current reporting period. This does include some cases where the investigation has been fully completed, however the case may not have been completed in the database.

\*There were 5 open ERIs received prior to fiscal year 2011-2012, for a total of 9,093 (9,088 + 5) open ERIs as of March 31, 2016.



**California Department of Public Health**  
Center for Health Care Quality  
Licensing and Certification Program

**Field Operations**  
Long-Term Care Health Facility Entity Reported Incidents (ERIs)  
**Data as of March 31, 2016 (Cumulative through Quarter 3, SFY 2015-16)**

**TIMELINESS**

Reporting Period	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Immediate Jeopardy (IJ)		Number of ERIs Completed During Reporting Period by Working Days from Receipt to Completion				ERIs Completed by Working Days from Receipt to Completion, as a Percentage of Total Completed			
			(24 hours)*		≤90	91-180	181-365	>365	≤90	91-180	181-365	>365
			Number Received	Percent Initiated Timely								
<b>Current State Fiscal Year</b>												
2015-2016, Cumulative through Quarter 3	14,924	13,656	407	94%	10,804	1,460	800	592	79%	11%	6%	4%
<b>Previous State Fiscal Years</b>												
2014-2015	20,419	19,335	459	97%	14,710	1,964	1,872	789	76%	10%	10%	4%
2013-2014	19,759	20,901	302	96%	14,266	2,573	2,240	1,822	68%	12%	11%	9%
2012-2013	20,318	21,007	217	95%	14,144	2,930	2,200	1,733	67%	14%	10%	8%
2011-2012	20,519	21,787	240	99%	14,196	2,775	2,337	2,479	65%	13%	11%	11%

This table identifies how long it takes Licensing and Certification Program's Field Operations to initiate and complete ERI cases related to Skilled Nursing Facilities, Intermediate Care Facilities (including all those serving Developmentally Disabled), Congregate Living Health Facilities, and Pediatric Day Health and Respite Care Facilities. Licensing and Certification Program's Field Operations considers a case complete when it has fully completed the investigation and documented the case as completed in its database.

**Table Notes:**

- Column A shows the number of new ERIs Field Operations received during the respective reporting period.
- Column B shows the number of ERIs Field Operations completed during the respective reporting period, regardless of the reporting period in which the ERI was received.
- Columns C and D show the number of Immediate Jeopardy (IJ) ERIs received, and the percentage of those received that Field Operations initiated within 24 hours during the respective reporting period. This includes all ERIs prioritized as level A by federal requirements upon intake.
- Columns E - H show the range of days Field Operations took to complete open ERIs during the reporting period (E+F+G+H=B).
- Columns I - L show the percentage of open ERI cases completed within specific intervals during the reporting period (I=E/B, J=F/B, K=G/B, L=H/B). Numbers may not add to 100 due to rounding.

\*IJ: Health and Safety Code section 1420(a)(1) requires the onsite investigation of a LTC ERI that involves imminent danger of death or serious bodily harm ("IJ – Immediate Jeopardy") to be initiated within 24 hours of receipt.



**California Department of Public Health**  
Center for Health Care Quality  
Licensing and Certification Program

**Field Operations**  
Long-Term Care Health Facility Entity Reported Incidents (ERIs)

**Data as of March 31, 2016 (Cumulative through Quarter 3, SFY 2015-16)**

**DISPOSITION**

	A	B	C	D	E	F	G	H
Reporting Period	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Unsubstantiated ERIs	Substantiated ERIs	Substantiated ERIs as a Percentage of Total ERIs Completed	Total Deficiencies for All Substantiated ERIs	Average Deficiencies per Substantiated ERIs	Number of ERIs Referred to Other Entities
<b>Current State Fiscal Year</b>								
2015-2016, Cumulative through Quarter 3	14,924	13,656	3,017	5,716	42%	2,997	0.52	1,687
<b>Previous State Fiscal Years</b>								
2014-2015	20,419	19,335	4,185	6,829	35%	4,256	0.62	1,562
2013-2014	19,759	20,901	4,613	6,866	33%	4,095	0.60	1,086
2012-2013	20,318	21,007	3,669	6,071	29%	3,016	0.50	753
2011-2012	20,519	21,787	3,268	5,960	27%	2,595	0.44	668
<b>Totals</b>	<b>95,939</b>	<b>96,686</b>	<b>18,752</b>	<b>31,442</b>	<b>33%</b>	<b>16,959</b>	<b>0.54</b>	<b>5,756</b>

This table identifies the disposition of completed ERI investigations reported by Skilled Nursing Facilities, Intermediate Care Facilities (including all those serving Developmentally Disabled), Congregate Living Health Facilities, and Pediatric Day Health and Respite Care Facilities. An ERI is "substantiated" when, Licensing and Certification's Field Operations finds evidence the alleged event(s) occurred. If the investigation determines a substantiated ERI entails a facility's violation of state or federal regulation, Field Operations issues a deficiency to the facility. A substantiated ERI may result in one or more deficiencies or none at all if there was not a violation of state or federal regulation. "Unsubstantiated" ERIs most commonly involve resident to resident abuse allegations reported by the resident to a staff member and without witness; and/or events a facility reported in an abundance of caution, which surveyors later determine did not require reporting.

**Table Notes:**

- Column A shows the number of new ERIs Field Operations received during the respective reporting period.
- Column B shows the number of ERIs Field Operations completed during the respective reporting period, regardless of the reporting period in which field operations received the ERIs.
- Columns C and D show the number of unsubstantiated and substantiated ERIs completed in a given reporting period.
- Column E shows the number of substantiated ERIs completed as percentage of all ERIs completed in a given reporting period (E=D/B).
- Column F shows the number of deficiencies Field Operations issued for ERI-related investigations completed in a given reporting period.
- Column G shows the average number of deficiencies for each substantiated ERI (G=F/D).
- Column H shows the number of ERIs received in the given reporting period for which the electronic system shows Field Operations referred the ERI to an outside entity. These figures are likely understated as a result of inconsistent data entry.

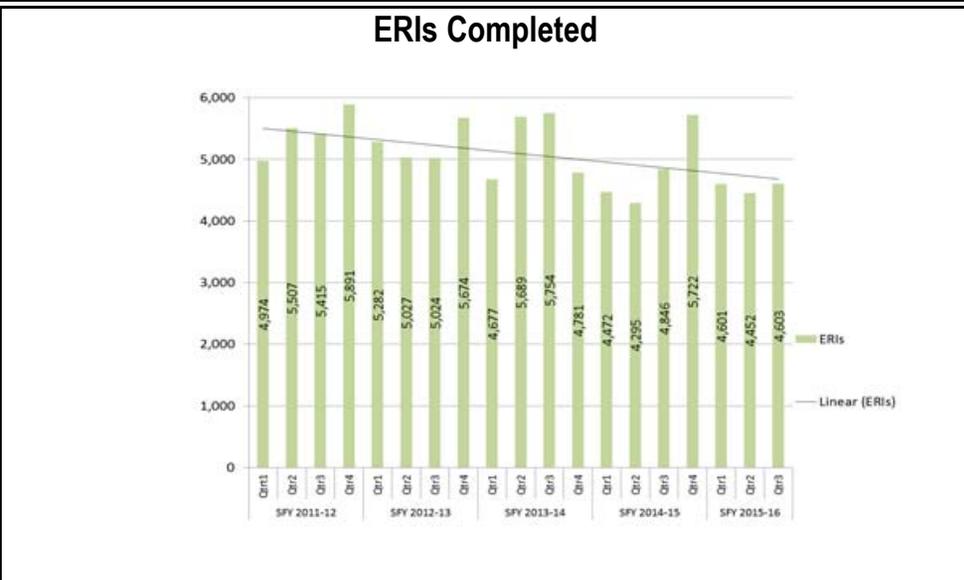
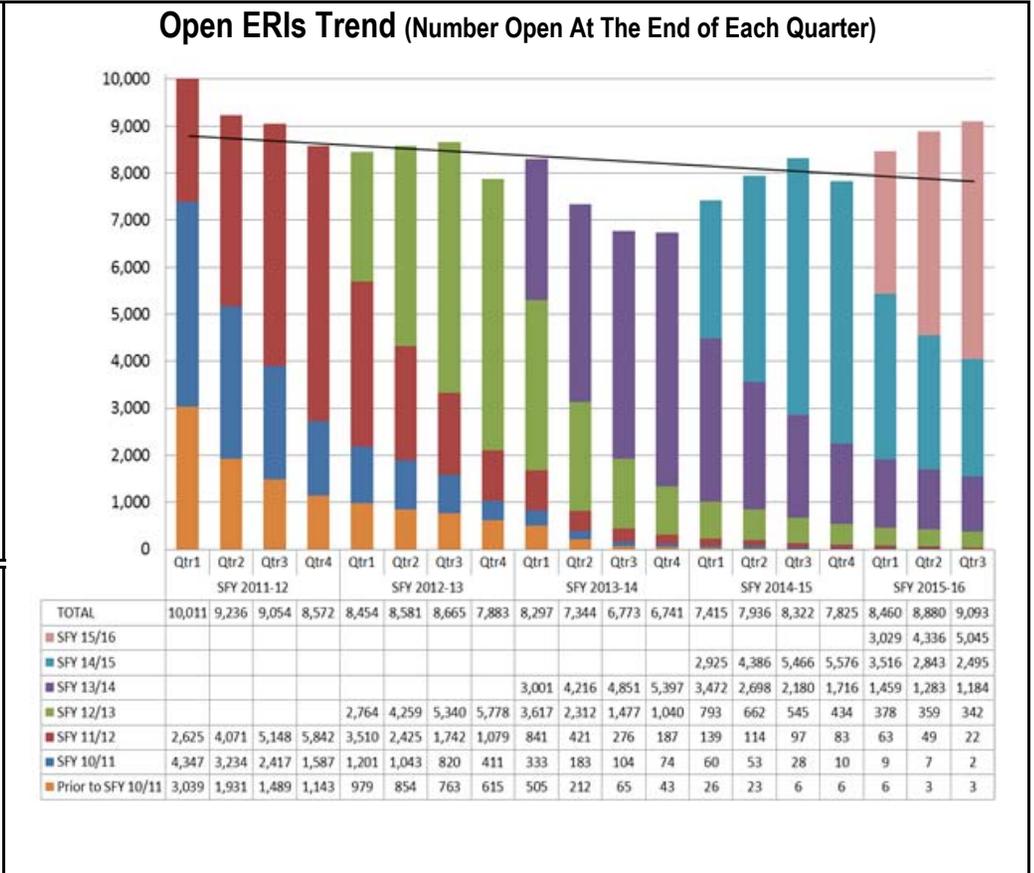
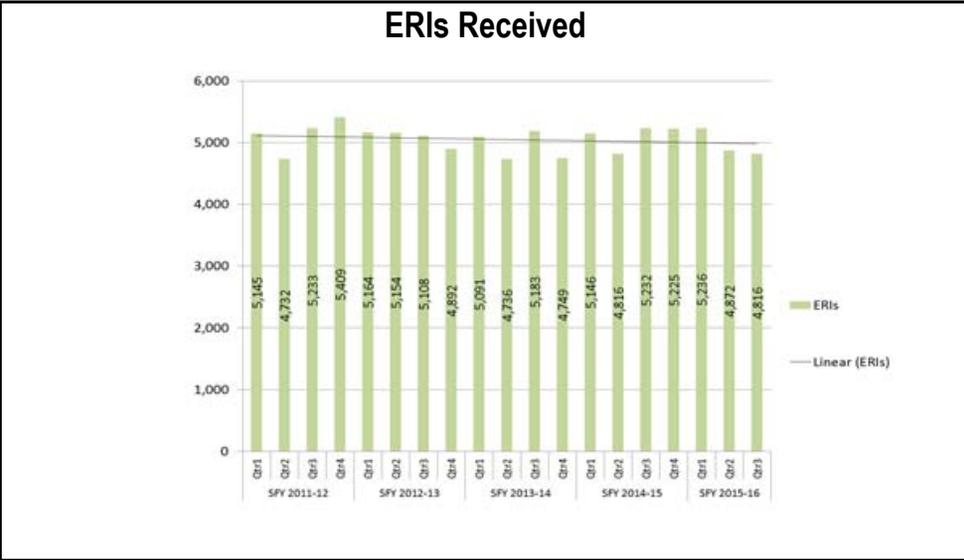


**California Department of Public Health**  
Center for Health Care Quality  
Licensing and Certification Program

**Field Operations**

Long-Term Care Health Facility Entity Reported Incidents (ERIs)

**Data as of March 31, 2016 (Cumulative through Quarter 3, SFY 2015-16)**



**Summary:** The trend for ERIs received over the past 19 quarters indicates that the number of ERIs CHCQ receives is decreasing slightly. The 19-quarter trend for ERIs completed is decreasing. The 19-quarter trend for the number of open ERIs is decreasing. CHCQ continues to identify methods for reducing the number of open ERIs.

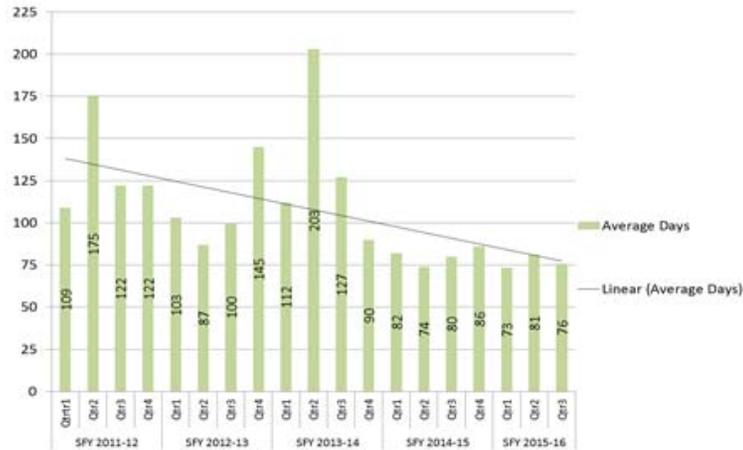


**California Department of Public Health**  
Center for Health Care Quality  
Licensing and Certification Program

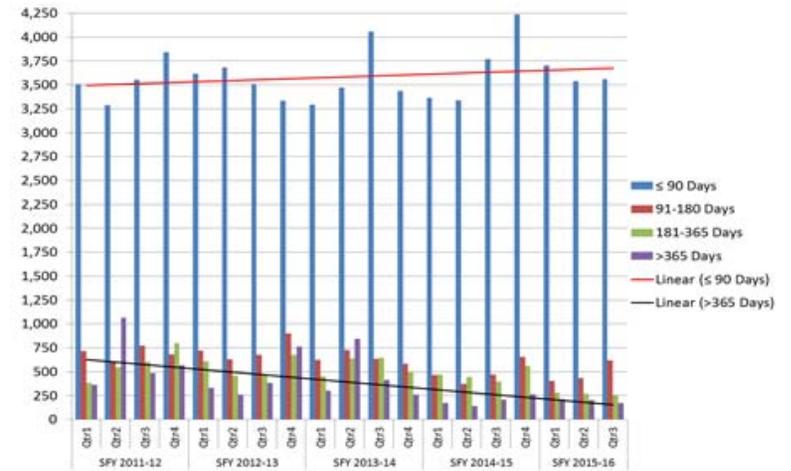
**Field Operations**  
Long-Term Care Health Facility Entity Reported Incidents (ERIs)

**Data as of March 31, 2016 (Cumulative through Quarter 3, SFY 2015-16)**

**Average Days from ERI Receipt to Completion**



**ERIs Completed by Intervals**



**Summary:** The trend for “Average Days from ERI Receipt to Completion” over the past 19 quarters shows a decreasing trend in the average number of business days it takes to complete an ERI.

The “ERIs Completed by Intervals” chart shows the number of cases completed by interval ( $\leq 90$  days, 91-180 days, 181-365 days,  $>365$  days). The number of cases completed in  $\leq 90$  days was stable in Q3, although the overall trend over the past 19 quarters for this interval is increasing slightly. The number of cases completed in  $> 365$  days continues to decrease.

Quarters that have the greatest number of ERIs closed in the  $>365$  day interval also have the greatest average days from receipt to completion of the ERI investigation.



**California Department of Public Health**  
Center for Health Care Quality  
Licensing and Certification Program

**Field Operations**  
Long-Term Care Health Facility Entity Reported Incidents (ERIs)  
by District Office

**Data as of March 31, 2016 (Cumulative through Quarter 3, SFY 2015-16)**

**VOLUME**

	A	B	C	D
District Office / Statewide	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Growth/Reduction in Open ERIs by Reporting Period	ERIs Open on March 31, 2016 (Regardless of Receipt Date)
<b>California</b>	<b>14,924</b>	<b>13,656</b>	<b>1,268</b>	<b>9,093</b>
Bakersfield	951	970	-19	50
Chico	431	452	-21	306
East Bay	801	769	32	193
Fresno	1,240	1,100	140	383
Los Angeles County	3,058	2,103	955	4,342
Orange County	791	871	-80	41
Riverside	682	601	81	279
Sacramento	1,273	1,198	75	327
San Bernardino	826	799	27	230
San Diego North	501	473	28	224
San Diego South	432	253	179	314
San Francisco	525	538	-13	405
San Jose	544	592	-48	58
Santa Rosa/Redwood Coast	538	449	89	458
State Facilities Section	1,726	1,934	-208	1,292
Ventura	605	554	51	191



**California Department of Public Health**  
Center for Health Care Quality  
Licensing and Certification Program

**Field Operations**  
Long-Term Care Health Facility Entity Reported Incidents (ERIs)  
by District Office  
**Data as of March 31, 2016 (Cumulative through Quarter 3, SFY 2015-16)**  
**TIMELINESS**

Reporting Period	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Immediate Jeopardy (IJ)		Number of ERIs Completed During Reporting Period by Working Days from Receipt to Completion				ERIs Completed by Working Days from Receipt to Completion, as a Percentage of Total Completed				Average Days to Complete ERIs During Reporting Period	Average Age of ERIs Open on March 31, 2016
			(24 hours)		≤90	91-180	181-365	>365	≤90	91-180	181-365	>365		
			Number Received	Percent Initiated Timely										
<b>California</b>	<b>14,924</b>	<b>13,656</b>	<b>407</b>	<b>94%</b>	<b>10,804</b>	<b>1,460</b>	<b>800</b>	<b>592</b>	<b>79%</b>	<b>11%</b>	<b>6%</b>	<b>4%</b>	<b>77</b>	<b>221</b>
Bakersfield	951	970	13	100%	963	7	0	0	99%	1%	0%	0%	12	14
Chico	431	452	2	100%	206	133	104	9	46%	29%	23%	2%	129	159
East Bay	801	769	5	60%	711	50	8	0	92%	7%	1%	0%	37	46
Fresno	1,240	1,100	57	88%	967	106	27	0	88%	10%	2%	0%	32	74
Los Angeles County	3,058	2,103	122	98%	1,428	248	192	235	68%	12%	9%	11%	125	310
Orange County	791	871	1	100%	858	13	0	0	99%	1%	0%	0%	21	31
Riverside	682	601	6	100%	526	49	15	11	88%	8%	2%	2%	46	134
Sacramento	1,273	1,198	57	100%	1,098	85	15	0	92%	7%	1%	0%	49	43
San Bernardino	826	799	56	93%	680	88	22	9	85%	11%	3%	1%	46	154
San Diego North	501	473	29	97%	390	57	14	12	82%	12%	3%	3%	66	151
San Diego South	432	253	17	100%	214	20	13	6	85%	8%	5%	2%	50	146
San Francisco	525	538	0	n/a	274	112	60	92	51%	21%	11%	17%	232	184
San Jose	544	592	1	100%	589	2	0	1	99%	0%	0%	0%	27	39
Santa Rosa/Redwood Coast	538	449	34	76%	233	91	68	57	52%	20%	15%	13%	153	146
State Facilities Section	1,726	1,934	5	100%	1,147	371	256	160	59%	19%	13%	8%	119	196
Ventura	605	554	2	50%	520	28	6	0	94%	5%	1%	0%	47	59



**California Department of Public Health**  
 Center for Health Care Quality  
 Licensing and Certification Program

**Field Operations**

Long-Term Care Health Facility Entity Reported Incidents (ERIs)

by District Office

**Data as of March 31, 2016 (Cumulative through Quarter 3, SFY 2015-16)**

**DISPOSITION**

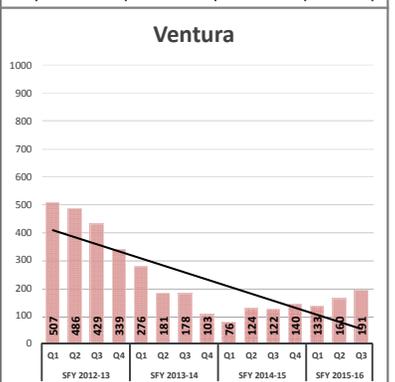
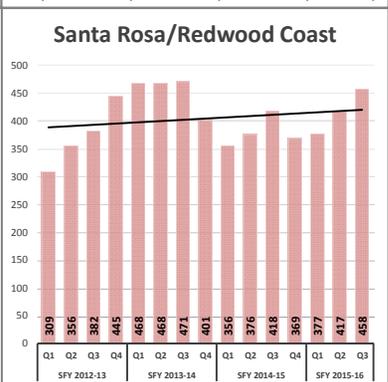
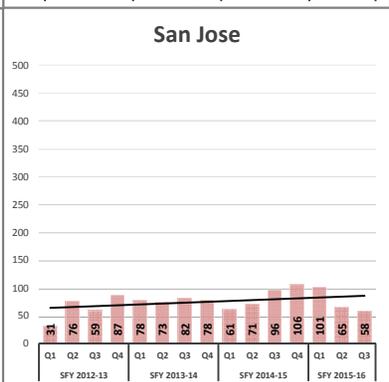
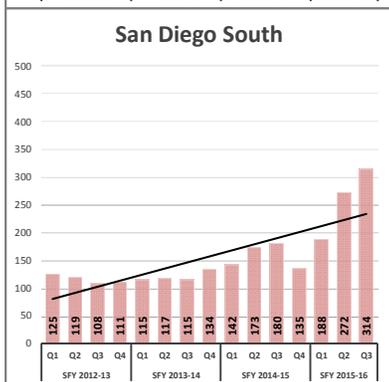
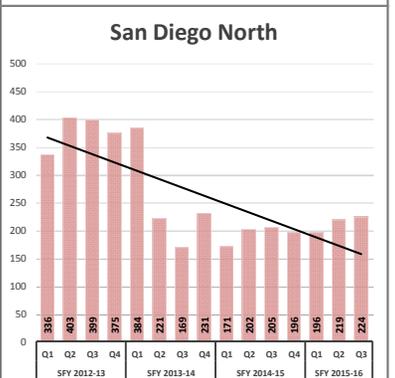
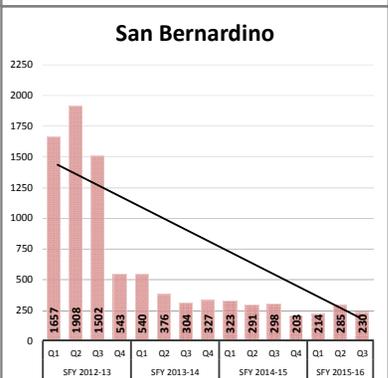
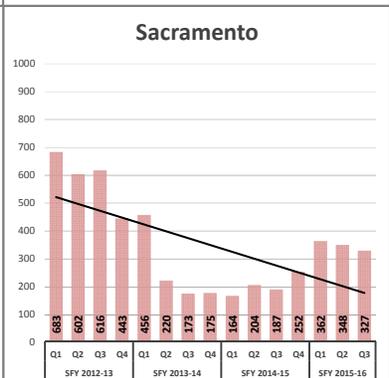
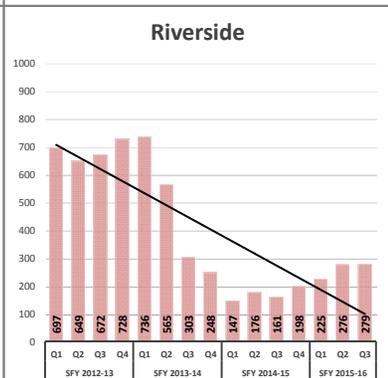
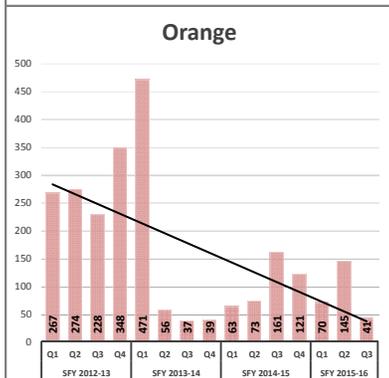
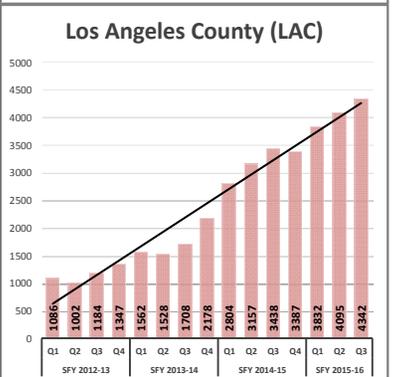
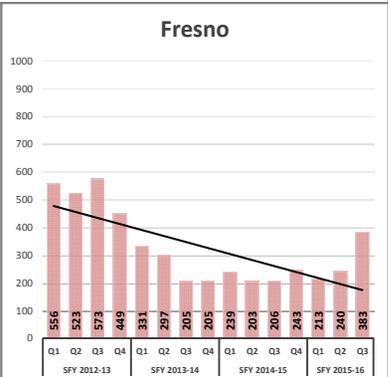
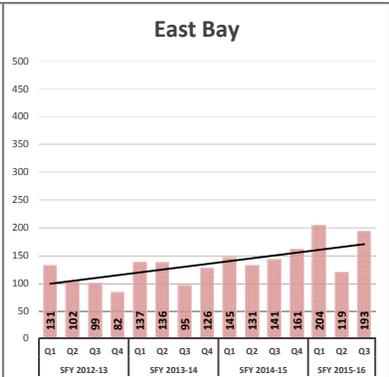
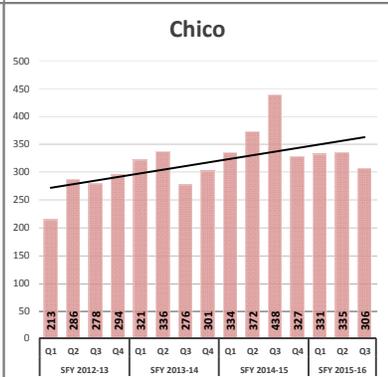
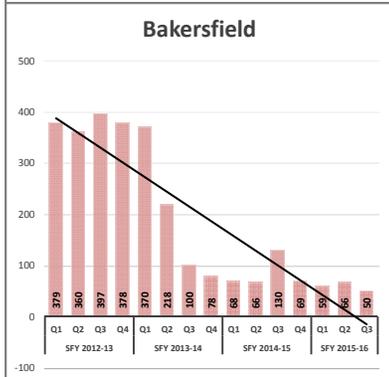
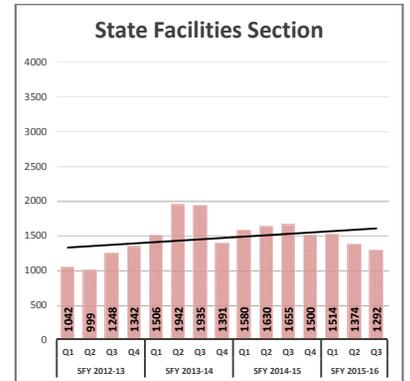
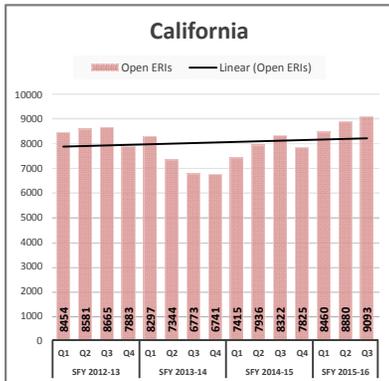
	A	B	C	D	E	F	G	H
District Office / Statewide	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Unsubstantiated ERIs	Substantiated ERIs	Substantiated ERIs as a Percentage of Total ERIs Completed	Total Deficiencies for All Substantiated ERIs	Average Deficiencies per Substantiated ERIs	Number of ERIs Referred to Other Entities
<b>California</b>	<b>14,924</b>	<b>13,656</b>	<b>3,017</b>	<b>5,716</b>	<b>42%</b>	<b>2,997</b>	<b>0.52</b>	<b>1,687</b>
Bakersfield	951	970	158	297	31%	200	0.67	52
Chico	431	452	179	272	60%	356	1.31	233
East Bay	801	769	155	295	38%	202	0.68	25
Fresno	1,240	1,100	93	227	21%	273	1.20	4
Los Angeles County	3,058	2,103	422	896	43%	574	0.64	630
Orange County	791	871	32	59	7%	41	0.69	38
Riverside	682	601	281	93	15%	137	1.47	24
Sacramento	1,273	1,198	223	580	48%	171	0.29	173
San Bernardino	826	799	56	157	20%	31	0.20	19
San Diego North	501	473	272	188	40%	42	0.22	33
San Diego South	432	253	47	103	41%	76	0.74	34
San Francisco	525	538	183	337	63%	39	0.12	131
San Jose	544	592	160	423	71%	218	0.52	22
Santa Rosa/Redwood Coast	538	449	98	266	59%	367	1.38	20
State Facilities Section	1,726	1,934	288	1,434	74%	110	0.08	3
Ventura	605	554	370	89	16%	160	1.80	246

California Department of Public Health  
Center for Health Care Quality  
Licensing and Certification Program

Field Operations – District Office Metrics  
Long-Term Care Health Facility Entity Reported Incidents (ERIs)

**Open ERIs**  
(Number Open at the End of Each Quarter)

Data as of March 31, 2016 (Cumulative through Quarter 3, SFY 2015-16)  
Data Publication Date: June 14, 2016  
Data Extract Date: April 15, 2016



California Department of Public Health  
Center for Health Care Quality  
Licensing and Certification Program

Field Operations – District Office Metrics  
Long-Term Care Health Facility Entity Reported Incidents (ERIs)

# Average Days from ERI Receipt to Completion (Average Business Days)

Data as of March 31, 2016 (Cumulative through Quarter 3, SFY 2015-16)  
Data Publication Date: June 14, 2016  
Data Extract Date: April 15, 2016

