



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 June 30, 2016 (Cumulative through Quarter 4, 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 June 30, 2016, by Reporting Period Received
Current State Fiscal Year				
2015-2016, Cumulative through Quarter 4	19,905	18,346	1,559	5,738
Previous State Fiscal Years				
2014-2015	20,419	19,356	1,063	2,190
2013-2014	19,759	20,896	-1,137	1,114
2012-2013	20,318	21,002	-684	330
2011-2012	20,519	21,782	-1,263	2
Totals	100,920	101,382	-462	9374*

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.

*All ERIs received prior to SFY 2011-2012 have been completed.



California Department of Public Health
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Field Operations
Long-Term Care Health Facility Entity Reported Incidents (ERIs)

Data as of June 30, 2016 (Cumulative through Quarter 4, SFY 2015-16)

TIMELINESS

Reporting Period	A	B	C		D	E				F	G	H	I				J	K	L		
	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Immediate Jeopardy (IJ)		Percent Initiated Timely	Number of ERIs Completed During Reporting Period by Working Days from Receipt to Completion				≤90	91-180	181-365	>365	ERIs Completed by Working Days from Receipt to Completion, as a Percentage of Total Completed				≤90	91-180	181-365	>365
			(24 hours)*	Number Received		Number Received	Number Received	Number Received	Number Received					Number Received	Number Received						
Current State Fiscal Year																					
2015-2016, Cumulative through Quarter 4	19,905	18,346	581	94%	14,465	2,009	1,099	773	79%	11%	6%	4%									
Previous State Fiscal Years																					
2014-2015	20,419	19,356	459	96%	14,708	1,966	1,893	789	76%	10%	10%	4%									
2013-2014	19,759	20,896	302	96%	14,266	2,573	2,239	1,818	68%	12%	11%	9%									
2012-2013	20,318	21,002	217	95%	14,143	2,930	2,199	1,730	67%	14%	10%	8%									
2011-2012	20,519	21,782	240	99%	14,191	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: Field Operations follows Health and Safety Code section 1420(a)(1), requiring the onsite investigation of a LTC complaint that involves imminent danger of death or serious bodily harm ("IJ – Immediate Jeopardy") to be initiated within 24 hours of receipt.



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Field Operations

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Data as of June 30, 2016 (Cumulative through Quarter 4, 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
Current State Fiscal Year								
2015-2016, Cumulative through Quarter 4	19,905	18,346	4,291	7,649	42%	4,510	0.59	2,322
Previous State Fiscal Years								
2014-2015	20,419	19,356	4,185	6,829	35%	4,256	0.62	1,562
2013-2014	19,759	20,896	4,613	6,866	33%	4,095	0.60	1,087
2012-2013	20,318	21,002	3,669	6,071	29%	3,016	0.50	753
2011-2012	20,519	21,782	3,268	5,960	27%	2,595	0.44	668
Totals	100,920	101,382	20,026	33,375	33%	18,472	0.55	6,392

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.

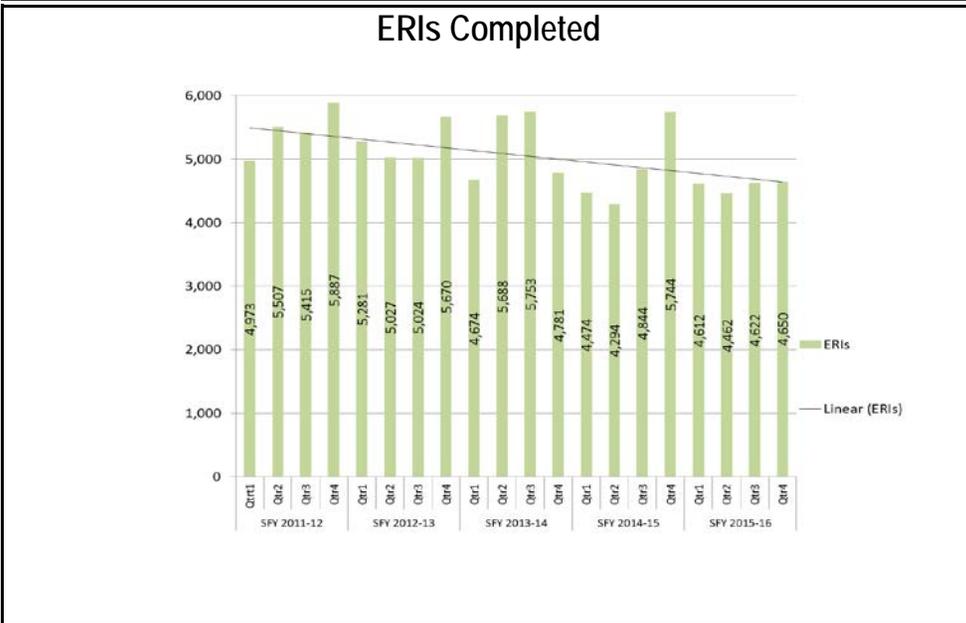
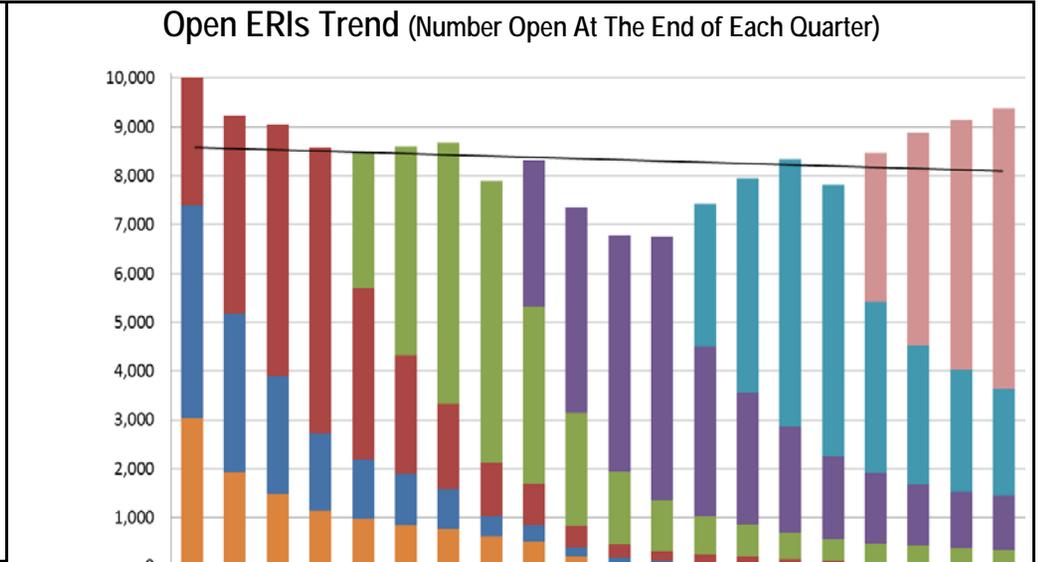
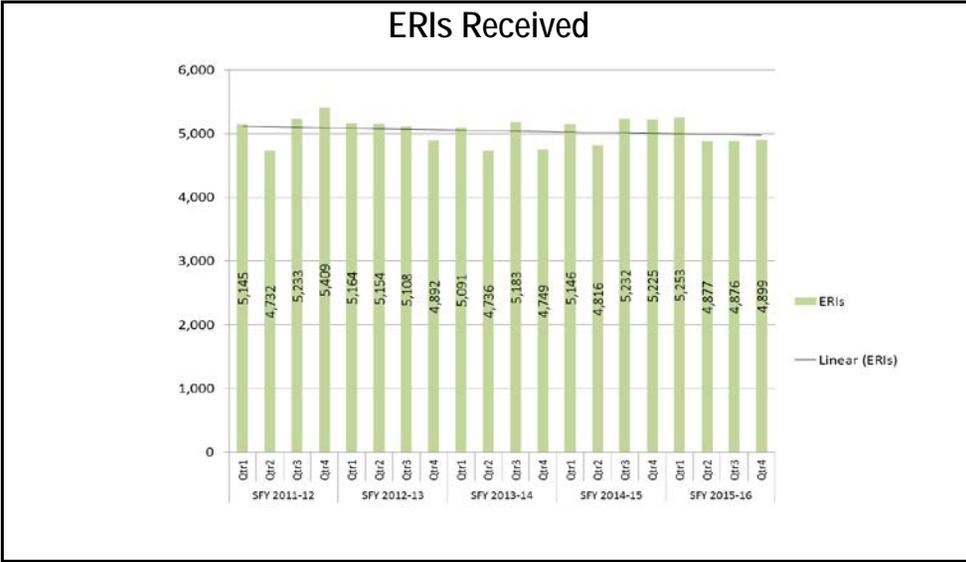


California Department of Public Health
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Field Operations

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

Data as of June 30, 2016 (Cumulative through Quarter 4, SFY 2015-16)



TOTAL	10,012	9,237	9,055	8,577	8,460	8,587	8,671	7,893	8,310	7,358	6,788	6,754	7,428	7,949	8,338	7,819	8,460	8,875	9,129	9,378
SFY 15/16																	3,044	4,351	5,101	5,738
SFY 14/15													2,925	4,386	5,469	5,573	3,512	2,838	2,491	2,190
SFY 13/14								3,001	4,216	4,851	5,397	3,470	2,696	2,178	1,698	1,438	1,262	1,163	1,114	
SFY 12/13				2,764	4,259	5,340	5,778	3,617	2,312	1,477	1,040	793	662	545	434	378	359	342	330	
SFY 11/12	2,626	4,072	5,149	5,847	3,516	2,431	1,748	1,087	850	431	287	198	150	125	108	94	71	55	27	2
SFY 10/11	4,347	3,234	2,417	1,587	1,201	1,043	820	411	335	185	106	76	62	55	30	12	9	7	2	1
Prior to SFY 10/11	3,039	1,931	1,489	1,143	979	854	763	617	507	214	67	43	28	25	8	8	8	3	3	3

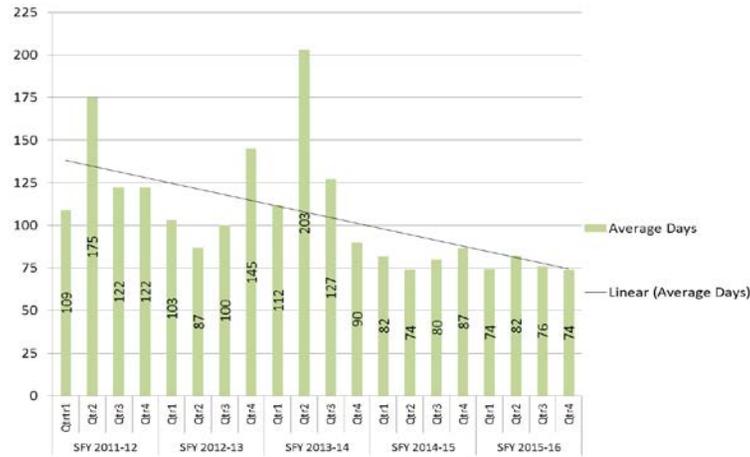
Summary: The five-year trend for the number of ERIs that CHCQ receives has been relatively stable. The number of ERIs completed in the past year has been relatively stable. The number of ERIs that remain open in the past year increased slightly. CHCQ continues to identify methods for reducing the number of open ERIs.



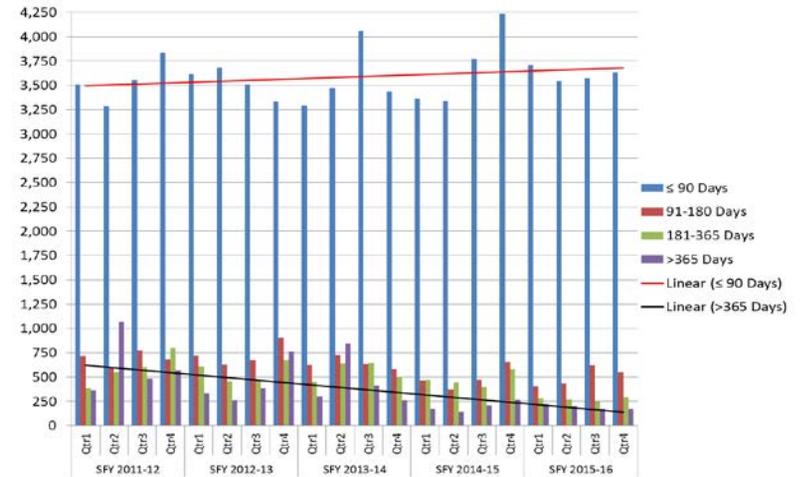
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Average Days from ERI Receipt to Completion



ERIs Completed by Intervals



Summary: The five-year trend for the “Average Days from ERI Receipt to Completion” shows that the average number of business days it takes to complete an ERI is decreasing.

The “ERIs Completed by Intervals” chart shows the number of cases completed by interval (≤90 days, 91-180 days, 181-365 days, >365 days). The number of cases completed in ≤ 90 days has been relatively stable over the last year. 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
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Field Operations
Long-Term Care Health Facility Entity Reported Incidents (ERIs)
by District Office

Data as of June 30, 2016 (Cumulative through Quarter 4, 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 June 30, 2016 (Regardless of Receipt Date)
California	19,905	18,346	1,559	9,378
Bakersfield	1,259	1,259	0	69
Chico	547	573	-26	301
East Bay	1,101	1,041	60	221
Fresno	1,692	1,553	139	382
Los Angeles County	4,165	2,974	1,191	4,583
Orange County	1,051	1,146	-95	26
Riverside	913	879	34	232
Sacramento	1,737	1,545	192	444
San Bernardino	1,076	1,140	-64	139
San Diego North	636	601	35	231
San Diego South	606	333	273	408
San Francisco	706	796	-90	337
San Jose	719	759	-40	66
Santa Rosa/Redwood Coast	733	695	38	408
State Facilities Section	2,160	2,260	-100	1,379
Ventura	804	792	12	152



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by District Office

Data as of June 30, 2016 (Cumulative through Quarter 4, SFY 2015-16)

TIMELINESS

Reporting Period	A	B	C		D	E				F				G	H	I				J	K	L	M	N
	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Immediate Jeopardy (IJ)		(24 hours)	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 June 30, 2016									
			Number Received	Percent Initiated Timely		≤90	91-180	181-365	>365	≤90	91-180	181-365	>365											
California	19,905	18,346	581	94%	14,465	2,009	1,099	773	79%	11%	6%	4%	77	239										
Bakersfield	1,259	1,259	24	100%	1,252	7	0	0	99%	1%	0%	0%	12	13										
Chico	547	573	3	100%	263	172	124	14	46%	30%	22%	2%	129	176										
East Bay	1,101	1,041	7	71%	955	77	9	0	92%	7%	1%	0%	38	46										
Fresno	1,692	1,553	93	90%	1,328	164	59	2	86%	11%	4%	0%	38	71										
Los Angeles County	4,165	2,974	169	99%	2,034	347	273	320	68%	12%	9%	11%	124	334										
Orange County	1,051	1,146	1	100%	1,130	16	0	0	99%	1%	0%	0%	19	17										
Riverside	913	879	16	100%	758	70	39	12	86%	8%	4%	1%	49	166										
Sacramento	1,737	1,545	66	98%	1,426	102	16	1	92%	7%	1%	0%	48	47										
San Bernardino	1,076	1,140	71	90%	958	115	40	27	84%	10%	4%	2%	53	170										
San Diego North	636	601	42	98%	495	73	16	17	82%	12%	3%	3%	69	166										
San Diego South	606	333	39	100%	271	32	20	10	81%	10%	6%	3%	60	151										
San Francisco	706	796	0	n/a	430	182	81	103	54%	23%	10%	13%	195	232										
San Jose	719	759	1	100%	756	2	0	1	100%	0%	0%	0%	27	39										
Santa Rosa/Redwood Coast	733	695	42	79%	359	158	107	71	52%	23%	15%	10%	141	161										
State Facilities Section	2,160	2,260	5	100%	1,303	457	305	195	58%	20%	13%	9%	123	203										
Ventura	804	792	2	50%	747	35	10	0	94%	4%	1%	0%	45	92										



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Field Operations
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by District Office

Data as of June 30, 2016 (Cumulative through Quarter 4, 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
California	19,905	18,346	4,291	7,649	42%	4,510	0.59	2,322
Bakersfield	1,259	1,259	220	382	30%	265	0.69	64
Chico	547	573	207	364	64%	462	1.27	294
East Bay	1,101	1,041	225	419	40%	260	0.62	36
Fresno	1,692	1,553	162	353	23%	477	1.35	27
Los Angeles County	4,165	2,974	636	1,252	42%	864	0.69	850
Orange County	1,051	1,146	40	72	6%	53	0.74	51
Riverside	913	879	412	166	19%	270	1.63	37
Sacramento	1,737	1,545	282	788	51%	261	0.33	237
San Bernardino	1,076	1,140	94	257	23%	48	0.19	33
San Diego North	636	601	371	213	35%	55	0.26	38
San Diego South	606	333	60	159	48%	181	1.14	92
San Francisco	706	796	272	496	62%	61	0.12	185
San Jose	719	759	215	534	70%	281	0.53	29
Santa Rosa/Redwood Coast	733	695	160	407	59%	633	1.56	24
State Facilities Section	2,160	2,260	361	1,672	74%	150	0.09	3
Ventura	804	792	574	115	15%	189	1.64	322

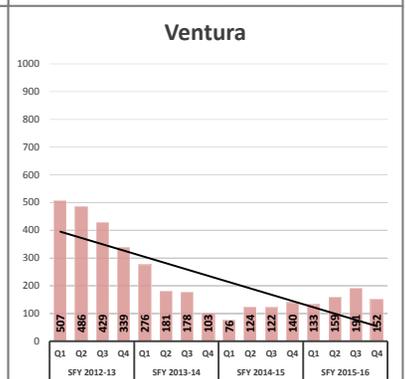
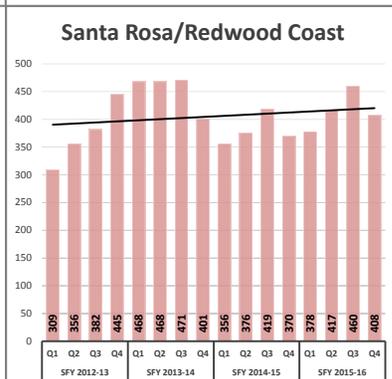
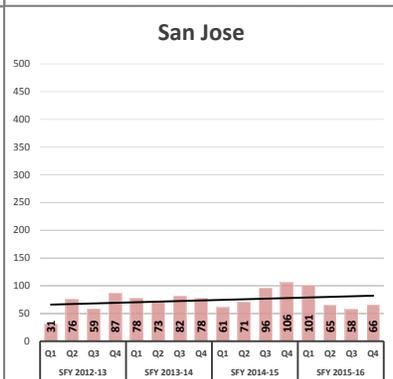
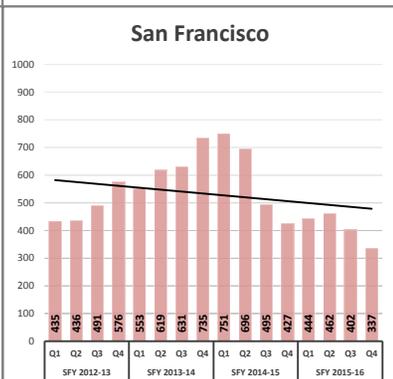
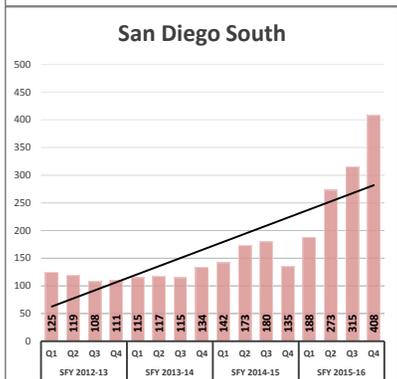
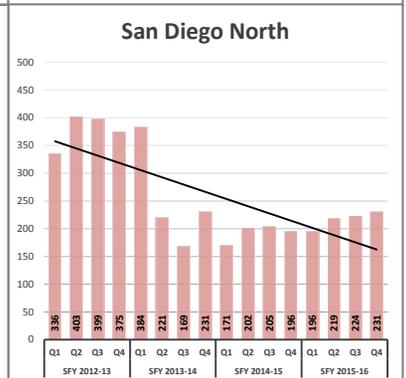
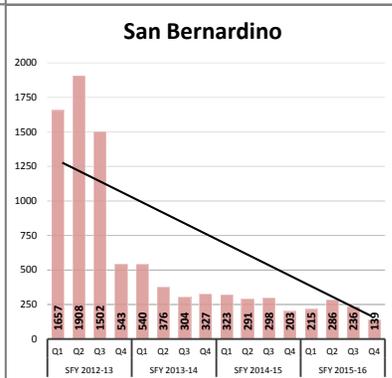
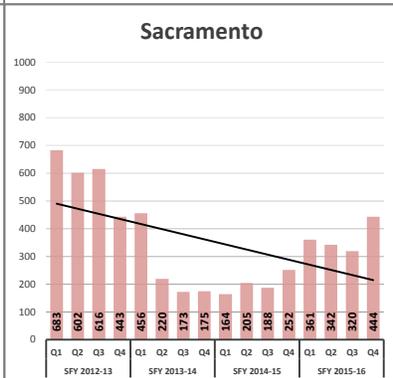
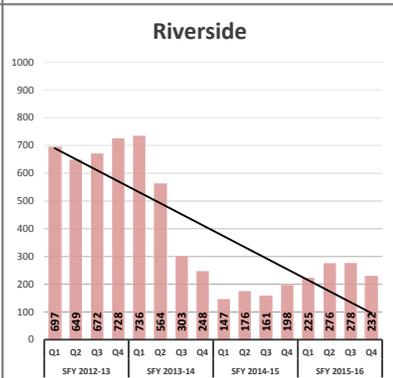
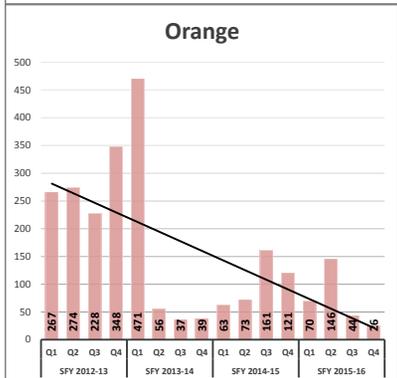
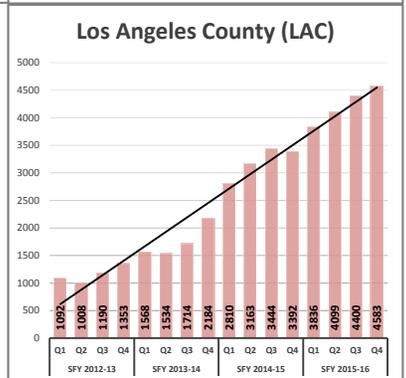
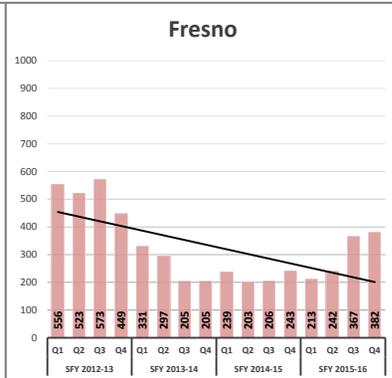
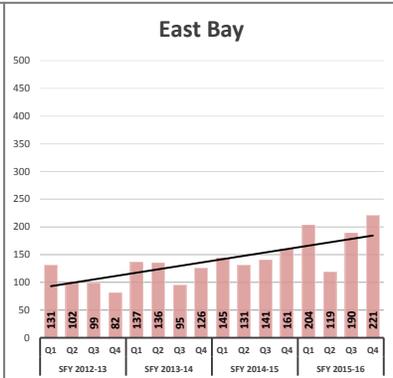
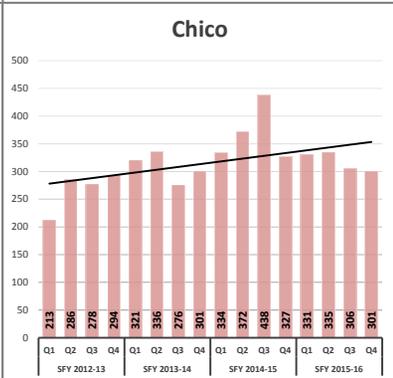
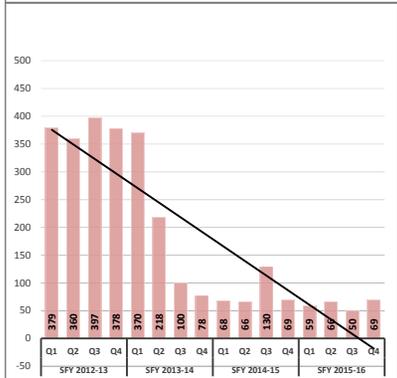
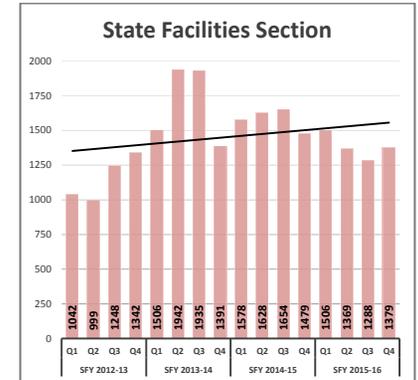
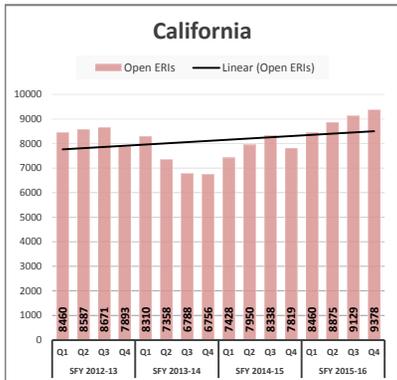
California Department of Public Health
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Field Operations – District Office Metrics
Long-Term Care Health Facility Entity Reported Incidents (ERIs)

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

* Scales on bar charts vary

Data as of June 30, 2016 (Cumulative through Quarter 4, SFY 2015-16)
Data Publication Date: November 3, 2016
Data Extract Date: July 18, 2016



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

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

* Scales on bar charts vary

Data as of June 30, 2016 (Cumulative through Quarter 4, SFY 2015-16)
Data Publication Date: November 3, 2016
Data Extract Date: July 18, 2016

