



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

**Professional Certification Branch**  
Certified Nurse Assistant, Home Health Aide, and Certified Hemodialysis Technician Complaints

Data as of **September 30, 2014 (Quarter 1, SFY 2014-15)**

**VOLUME**

	A	B	C	D
Reporting Period	Cases Received During Reporting Period	Cases Completed During Reporting Period (Regardless of Receipt Date)	Growth/Reduction in Open Cases by Reporting Period	Open Cases Remaining by Reporting Period Received
<b>Current State Fiscal Year</b>				
2014-2015, Cumulative through Quarter 1	328	261	+67	297
<b>Previous State Fiscal Years</b>				
2013-2014	1,169	1,285	-116	718
2012-2013	944	1,198	-254	76
2011-2012	939	983	-44	3
<b>Totals</b>	<b>3,380</b>	<b>3,727</b>	<b>-347</b>	<b>1,094</b>

This table identifies the number of complaints the Licensing and Certification Program's Professional Certification Branch (PCB) received in a given reporting period, the number of complaint investigations PCB completed in a given reporting period and the number of investigations still open from each reporting period. An investigation is complete when PCB has investigated the complaint, documented the findings and supporting evidence, and notified involved parties.

Table Notes:

- Column A shows the number of new complaints PCB received during the respective reporting period.
- Column B shows the number of investigations PCB completed during the reporting period, regardless of the date PCB received the complaint.
- Column C shows the difference between complaints received and complaints completed during the respective reporting period (C=A-B). When the value of Column C is positive, the number of open cases increased during that reporting period. When the value of Column C is negative, the number of open cases decreased.
- Column D shows the number of complaints received during the reporting period for which PCB had not completed an investigation as of September 30, 2014.



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**TIMELINESS**

Reporting Period	A	B	C				D	E	F	G				H	I	J
	Cases Received During Reporting Period	Cases Completed During Reporting Period (Regardless of Receipt Date)	Number of Cases Completed During Reporting Period by Working Days from Receipt to Completion							Cases Completed by Working Days from Receipt to Completion, as a Percentage of Total Completed						
			≤90	91-180	181-365	>365				≤90	91-180	181-365	>365			
<b>Current State Fiscal Year</b>																
2014-2015, Cumulative through Quarter 1	328	261	66	19	139	37				26%*	7%	53%	14%			
<b>Previous State Fiscal Years</b>																
2013-2014	1,169	1,285	328	120	485	352				26%	9%	38%	27%			
2012-2013	944	1,198	Not Available				Not Available									
2011-2012	939	983	Not Available				Not Available									

This table identifies how long it takes Licensing and Certification Program's Professional Certification Branch (PCB) to complete a complaint investigation. An investigation is complete when PCB has investigated the complaint, documented the finding and supporting evidence, and notified involved parties.

Table Notes:

- Column A shows the number of new complaints PCB received during the respective reporting period.
- Column B shows the number of cases PCB completed during a given reporting period, regardless of the date PCB received the complaint.
- Columns C through F show the range of days PCB took to complete an open investigation during the reporting period.
- Columns G through J show the percentage of open cases that PCB completed within a specific range of days during the reporting period (G=C/B, H=D/B, I=E/B, J=F/B).

\*Rounded up to have percentages total 100%



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**DISPOSITION**

Reporting Period	A	B	Number of Completed Cases With Disciplinary Action				Percentage of Total Cases Completed With Disciplinary Action	Number of Cases Completed Without Disciplinary Action
	Cases Received During Reporting Period	Cases Completed During Reporting Period (Regardless of Receipt Date)	Revoked or Denied	Suspended	Diversion	Total Disciplinary Actions		
<b>Current State Fiscal Year</b>								
2014-2015, Cumulative through Quarter 1	328	261	7	10	14	31	12%	230
<b>Previous State Fiscal Years</b>								
2013-2014	1,169	1,285	97	81	65	243	19%	1,042
2012-2013	944	1,198	33	27	28	88	7%	1,110
2011-2012	939	983	84	26	74	184	19%	799
<b>Totals</b>	<b>3,380</b>	<b>3,727</b>	<b>221</b>	<b>144</b>	<b>181</b>	<b>546</b>	<b>15%</b>	<b>3,181</b>

This table identifies the disposition of completed complaint investigations. All cases with a disciplinary action, including suspension, revocation or diversion, means the Licensing and Certification Program's Professional Certification Branch (PCB) found clear and convincing evidence to support the allegation. Diversion allows PCB to monitor work performance and require participation in counseling, education, and/or treatment programs. If the certificate holder does not agree to participate in a diversion program or does not comply with the terms and conditions of diversion, PCB may proceed with suspension or revocation of the certificate.

Table Notes:

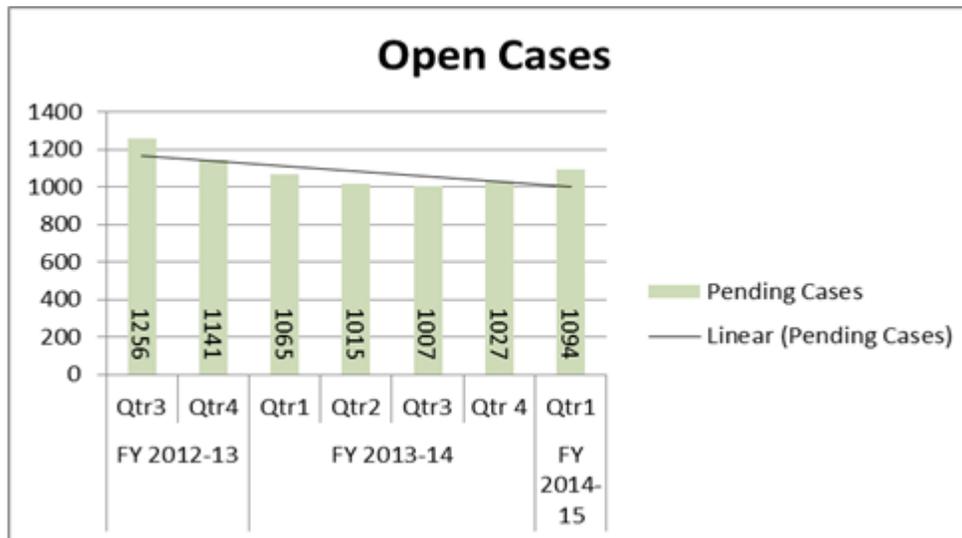
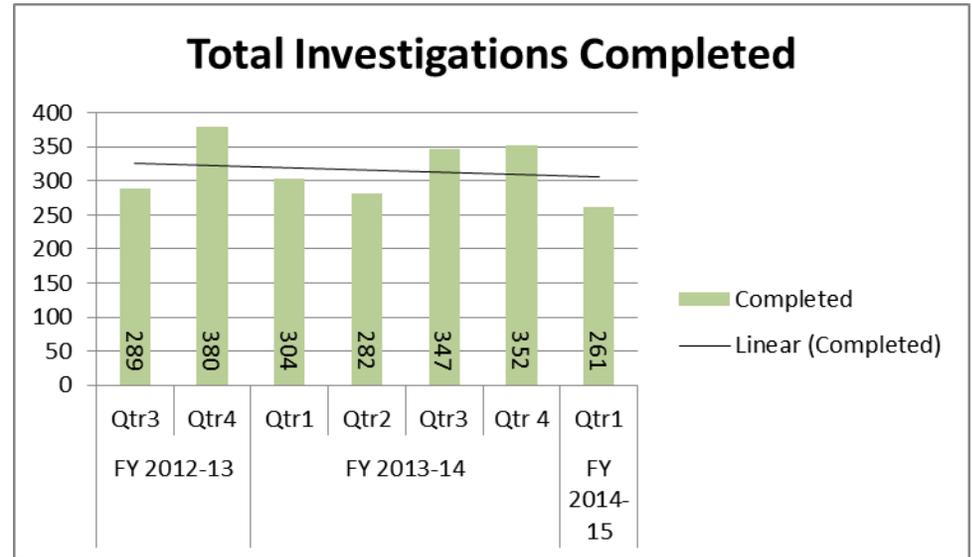
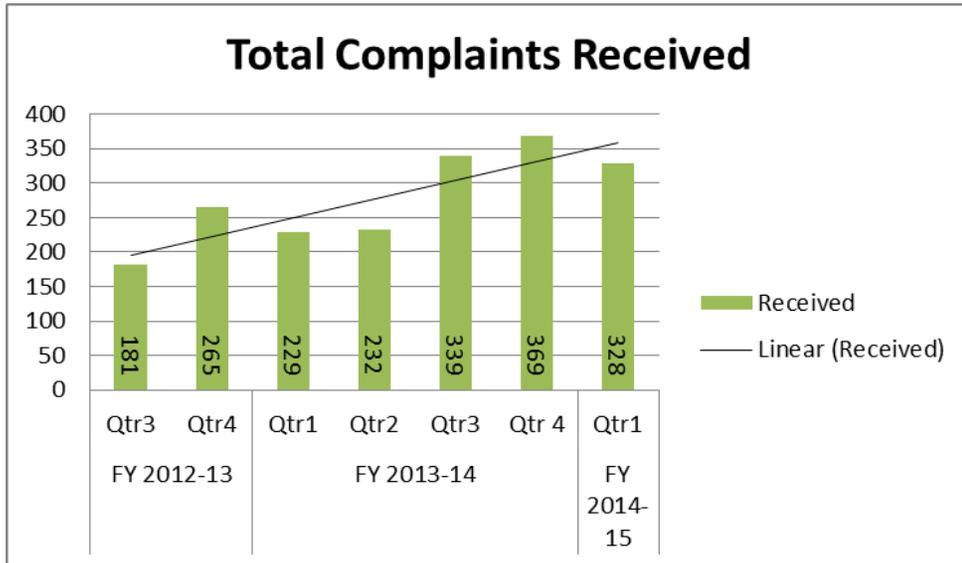
- Column A shows the number of new complaints PCB received during the respective reporting period.
- Column B shows the number of complaint investigations PCB completed in a given reporting period, regardless of the date PCB received the complaint.
- Columns C, D and E show the number and type of disciplinary actions PCB took based on a completed investigation in a given reporting period.
- Column F shows the total number of complaint investigations resulting in disciplinary actions ( $F=C+D+E$ ).
- Column G shows percentage of completed investigations that resulted in disciplinary actions ( $G=F/B$ ).
- Column H shows the number of complaint investigations completed in a given reporting period for which PCB took no disciplinary action ( $H=B-F$ ).



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**Summary:** These charts show that the trend in the volume of complaints received by the Professional Certification Branch is increasing; however, the trend in the total number of open cases is decreasing.

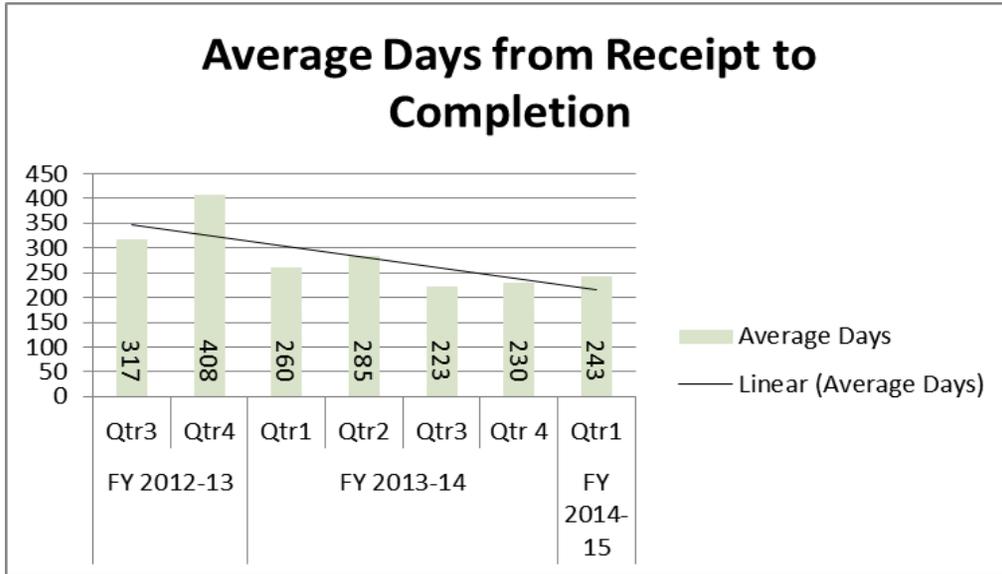
We attribute the decrease of total investigations completed during the first quarter of SFY 2014-15 to the hiring, onboarding and training for 18 new positions.



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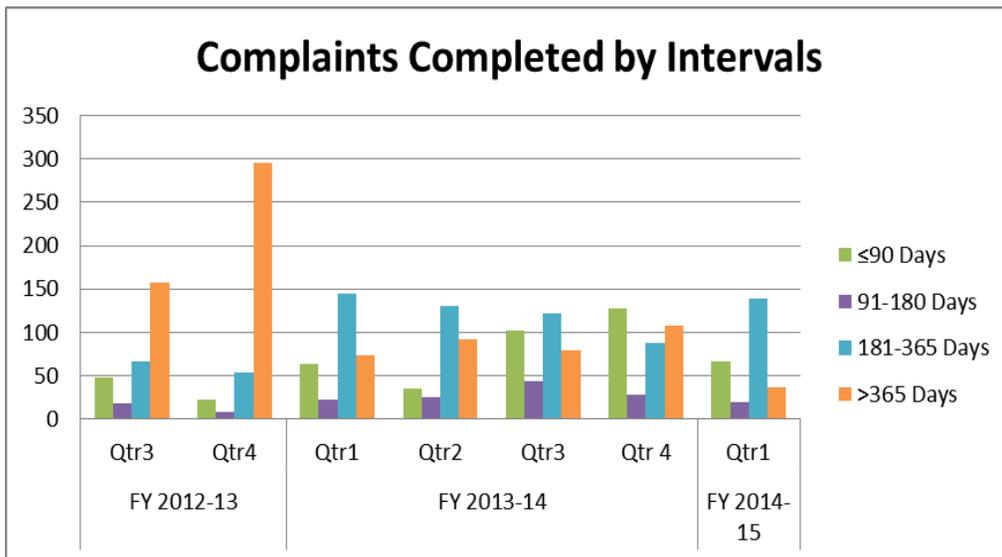
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**Summary:** The most recent quarters show that the average number of days to complete a case is trending downward.

The second chart shows the number of completed cases by various intervals ( $\leq 90$  days, 91-180 days, 181-365 days, and  $>365$  days). The recent quarters reflect a balance of aged and new cases completed.

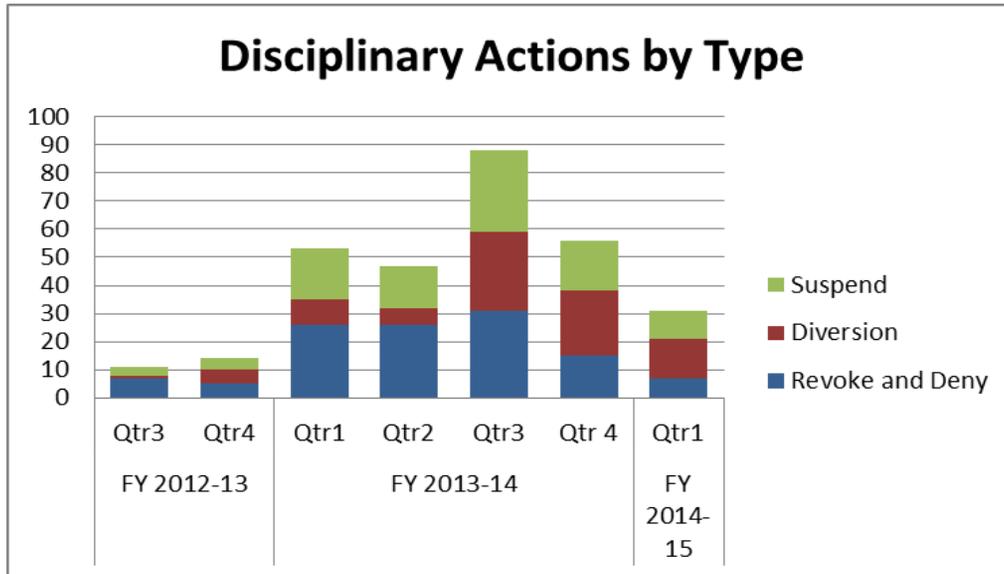




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**Summary:** During SFY 2012-13, the Professional Certification Branch focused on addressing the aged complaints. Addressing the aged complaints caused a decline in the number of completed investigations resulting in disciplinary actions, as it is more difficult to locate documents and witnesses for older complaints resulting in a higher number of unsubstantiated complaints. In SFY 2013-14, PCB focused equally on both older and current complaints.