

California Department of Public Health

Licensing & Certification Program

**Health Facility License Fees  
ANNUAL REPORT  
FY 2012-13**

**February 1, 2012**

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## **LEGISLATIVE REQUIREMENTS**

The California Department of Public Health (CDPH), Licensing and Certification Program (L&C), Health Facility License Fees Annual Report for Fiscal Year (FY) 2012-13 is published in accordance with California Health and Safety (H&S) Code Section 1266(d) as follows:

- Publish the list of estimated fees by February 1 of each year;
- Publish a report of all costs for activities of the L&C Program; and,
- Prepare a staffing and system analysis report including:
  - The number of surveyors and administrative support personnel devoted to the licensing and certification of health care facilities;
  - The percentage of time devoted to licensing and certification activities for the various types of health facilities;
  - The number of facilities receiving full surveys and the frequency and number of follow up visits;
  - The number and timeliness of complaint investigations;
  - Data on deficiencies and citations issued, and numbers of citation review conferences and arbitration hearings; and,
  - Other applicable activities of the licensing and certification division.

H&S Code Section 1266(d) requires the calculation of fees to be based on workload by facility type.

H&S Code Section 1266(e) states the fee for each category should be determined by dividing the aggregate state share of all costs for the L&C program by the appropriate metric for the category of licensure. Amounts actually received for new licensure applications, including change of ownership applications, and late payment penalties, pursuant to Section 1266.5, during each fiscal year shall be calculated and 95% should be applied to the appropriate fee categories in determining L&C Program fees for the second fiscal year following receipt of those funds. The remaining 5% shall be retained in the fund as a reserve until appropriated.

When calculating the FY 2012-13 estimated fees, most facility types would receive a fee increase.

## **BACKGROUND**

H&S Code Sections 1254, 1282 and 1417 require the L&C program to license health care facilities that do business in California. CDPH's contract with the federal Centers for Medicare and Medicaid Services (CMS), as well as provisions of California's Medicaid State Plan, requires L&C to certify facilities for participation in Medicare (Title XVIII) and/or Medi-Cal (Title XIX). In conducting these activities, L&C develops and enforces state licensure standards, conducts inspections to assure compliance with federal standards for facility participation in Medicare and/or Medi-Cal, and responds to complaints against providers licensed by CDPH.

In addition, the H&S Code Section 1266 was amended by Chapter 74 of the Statutes of 2006 (Assembly Bill 1807), changing the L&C Program from a General Fund (GF) Program to a Special Fund (SF) Program. The statute required that beginning FY 2009-10, L&C be entirely supported by Federal Funds (FF) and SFs, unless funds are specifically appropriated from the GF in the annual Budget Act or other enacted legislation. This requirement to be fully supported by FFs and SFs was achieved one year early in FY 2008-09. Only state departments, authorities, bureaus, commissions or officers are exempt from paying license fees. For those facilities that are state operated, an annual Budget Act appropriation transfers GF monies into the L&C SF to cover the costs to license state operated facilities.

The provisions of H&S Code Section 1266 require L&C to capture and report workload data by fee category (survey activity and facility type) which prompted the development and implementation of a new timekeeping system in FY 2006-07. This Surveyor Timekeeping System (STS) captures data on the number of surveys with exit dates and the total hours spent for each survey activity to determine the Standard Average Hours (SAH) it takes to accomplish specific workload. The L&C program used STS 2010-11 data to develop the state licensing workload for FY 2012-13.

## **FEE DEVELOPMENT**

This section outlines the process used to calculate licensing fees in accordance with H&S Code Section 1266(d) and provides summarized information on the cost adjustments included in the fee calculations.

### Fee Methodology Overview

H&S Code Section 1266 was amended to restructure the methodology for calculating health care facilities license fees based on the workload and cost of licensing and regulating health care facilities. Statute specifies the methodology for annually recalculating license fees for all licensed health care facilities as follows:

Licensing fee rates, based on the aggregate state share of the special fund cost, are structured on a per facility or bed classification count and are collected on an initial license application, an annual license renewal, and change of ownership (CHOW).

The fee rates are based on the following activities:

- Combines information on projected workload hours for various mandated activities by specific facility type;
- Calculates the state workload rate percentage of each facility type to the total state workload;
- Allocates the baseline budget costs by facility type based on the state workload percentages;
- Determines the total proposed SF budget cost comprised of baseline, incremental cost adjustments, and credits; and,
- Divides the proposed SF budget cost per facility type by the total number of facilities within the facility type or by the total number of beds to determine a per facility or per bed licensing fee.

### State Workload Percentage for Each Facility Type

State workload percentages are calculated for each workload activity and grouped by facility type. Workload activities include state licensing, federal certification, and initial state and federal certification, follow up/revisits, complaint and investigations. The following basic data components are used to come up with the workload percentages for each workload activity within each facility type.

- The number of open and active facility counts (licensure and federal certification workload survey activities only);
- The annualized workload frequency for each workload activity as mandated by either state or federal statute requirements;
- The standard average hours based on the SAH report from the STS data. This data reflects the average hours required to complete each workload activity as reported in FY 2010-11 and,
- The state funding percentage. This is the percentage charged to the L&C SF based on the specific workload activity.

**Attachment A**, State Workload Percentage Calculation Chart, provides the detailed workload analysis by facility type that was used to calculate the state workload percentage for each facility type for FY 2012-13.

### Health Care Facilities Proposed Fees for Each Facility Type

Under current state statutes, program budget cost estimates shall be based on appropriated amounts including any adjustments. To meet the required provisions, it is necessary to project costs associated with the L&C SF starting with the baseline and reflecting each incremental adjustment. Incremental adjustments are allocated by the impacted facility type based on the facility type's relative state workload percentage.

- The program's baseline budget cost is the appropriated amount based on the previous year's Budget Act minus non-fee related expenses. Costs are allocated across all facility types based on the facility type's relative workload percentage. L&C's beginning baseline budget going into FY 2012-13 is \$91,207,000.
- Incremental baseline budget cost adjustments are added or deducted to the base and are allocated to facility types based on the relative state workload percentage or other appropriate methods. The following baseline budget cost adjustments which net to a total increase of \$ 731,000 include:
  - Increase to employee compensation for general salaries and benefits of \$114,000;
  - Increase to employee compensation adjustment of \$ 279,000;
  - Increase to employee retirement adjustment of \$ 209,000;
  - Deletion of prior year pro-rata allocation for special fund administration of \$3,586,000 and addition of budget year pro-rata allocation of \$ 3,401,000 as determined by the Department of Finance;
  - Reduction adjustment for Limited Term Position on expiring programs of \$ 132,000;
  - Reallocation of department overhead of \$ 445,000, and
  - Allocation to pay Lease Revenue Debt Services Adjustment of \$1,000.
- Budget Change Proposal(s) (BCPs) contained in the Governor's Budget are added to the base and are allocated to facility types impacted by the specific request.
  - For FY 2012-13, the Governor's Budget includes two BCPs that have a fiscal impact on licensing fees. The HAI Public reporting BCP proposes 4.0 full time positions at a cost of \$493,000 to be funded through licensing fees paid by General Acute Care Hospital facilities. The DMH program transition to DPH Office of Health Equities BCP is a reduction of \$16,000.
- Credits are adjustments to the overall program operational cost and are allocated based on workload percentages and/or by an appropriate metric. These credits serve to reduce the level of licensing fees paid by a specific facility type for the next fee cycle. The following credit adjustments for FY 2012-13 fee schedule are as follows:
  - Credit of \$3,736,710 statutorily based on miscellaneous revenues collected for late fees, change of ownership and other licensing changes made in FY 2010-11, and
  - Credit of \$8,482,339 from program reserved and applied.

Once the L&C SF operational budget costs are determined and allocated by facility type, the license fee amount is calculated as follows:

- Outpatient Facilities: The proposed licensing fee for each facility type is determined based on the allocated SF operational budget cost divided by the total number of facilities.
- In-Patient Facilities: The proposed licensing fee for each bed is determined based on the allocated SF operational budget cost divided by the total number of beds in the facility type.

**Attachment B**, Health Care Facilities Proposed Fee Chart, provides detailed information by facility type regarding the various baseline budget adjustments, credits, and program savings offsets that were factored into the calculation of licensing fee amounts for FY 2012-13 as described above.

The methodology described above is the process used to calculate fees in accordance with H&S Code Section 1266(d). Because of fluctuations in workload by facility type as well as annual baseline adjustments increasing total operating costs, the initial fee calculations reflected an increase in licensing fees over the amounts paid in FY 2011-12 for most facility types.

Summary of License Fees by Facility Type

The table below provides a comparison of license fees levied for FY 2011-12 to the proposed fees for FY 2012-13

| License Fees by Facility Type          |                         |                        |                                 |
|--|-------------------------|------------------------|---------------------------------|
| Facility Type                          | Fee Per Bed or Facility | FY 2011-12 Fee Amounts | FY 2012-13 Proposed Fee Amounts |
| Alternative Birthing Centers           | Facility                | \$ 3,131.83            | \$ 2,975.24                     |
| Adult Day Health Centers               | Facility                | \$ 4,384.13            | \$ 4,164.92                     |
| Chronic Dialysis Clinics               | Facility                | \$ 3,766.62            | \$ 3,578.29                     |
| Chemical Dependency Recovery Hospitals | Bed                     | \$ 187.01              | \$ 191.27                       |
| Community Clinics                      | Facility                | \$ 756.17              | \$ 718.36                       |
| Correctional Treatment Centers         | Bed                     | \$ 546.38              | \$ 573.70                       |
| Home Health Agencies                   | Facility                | \$ 4,542.60            | \$ 4,315.47                     |
| Hospices (2-Year License Total)        | Facility                | \$ 4,795.92            | \$ 4,641.96                     |
| Pediatric Day Health/Respite Care      | Bed                     | \$ 197.90              | \$ 188.01                       |
| Psychology Clinics                     | Facility                | \$ 1,406.34            | \$ 1,476.66                     |
| Referral Agencies                      | Facility                | \$ 4,597.90            | \$ 4,368.01                     |
| Rehab Clinics                          | Facility                | \$ 247.00              | \$ 259.35                       |
| Surgical Clinics                       | Facility                | \$ 2,368.57            | \$ 2,487.00                     |
| Acute Psychiatric Hospitals            | Bed                     | \$ 280.61              | \$ 266.58                       |
| District Hospitals Less Than 100 Beds  | Bed                     | \$ 280.61              | \$ 266.58                       |
| General Acute Care Hospitals           | Bed                     | \$ 280.61              | \$ 266.58                       |
| Special Hospitals                      | Bed                     | \$ 280.61              | \$ 266.58                       |
| Congregate Living Health Facilities    | Bed                     | \$ 297.14              | \$ 312.00                       |
| Intermediate Care Facilities (ICF)     | Bed                     | \$ 297.14              | \$ 312.00                       |
| Skilled Nursing Facilities             | Bed                     | \$ 297.14              | \$ 312.00                       |
| ICF - Developmentally Disabled         | Bed                     | \$ 552.76              | \$ 580.40                       |
| ICF - DDH                              | Bed                     | \$ 552.76              | \$ 580.40                       |
| ICF - DDN                              | Bed                     | \$ 552.76              | \$ 580.40                       |

## **STAFFING AND SYSTEMS ANALYSIS**

H&S Code Section 1266(d)(2) requires L&C to prepare a staffing and systems analysis to ensure efficient and effective utilization of fees collected, proper allocation of departmental resources to L&C activities, survey schedules, complaint investigations, enforcement and appeal activities, data collection and dissemination, surveyor training, and policy development.

The following charts depict information from FY 2010-11, which represents the last full fiscal year in which the L&C Program has actual data. The purpose of displaying this information is to show the efficient and effective utilization of the fees that were collected in FY 2010-11.

Charts:

1. Number of Personnel Devoted to the L&C Health Care Facilities;
2. The Percentage of Time Devoted to L&C Activities for All Licensed Health Care Facilities;
3. Surveys and Follow-up Visits Performed;
4. Number of Complaint Investigations;
5. Data on Citations, Deficiencies, and Enforcements;
6. Hospital Reported Adverse Event Timeliness Report; and
7. Other Applicable Activities.

## Number of Personnel Devoted to the Licensing and Certification of Health Care Facilities

Health and Safety Code Section 1266(d)(2)(B)(i)

FY 2010-11

| Personnel Types                                   | 14 Field Offices |            | Professional Certification Branch |            | Headquarters   |            | Total L&C      |             | LA County      |            |
|---|------------------|------------|-----------------------------------|------------|----------------|------------|----------------|-------------|----------------|------------|
|   | # of Positions   | % of Total | # of Positions                    | % of Total | # of Positions | % of Total | # of Positions | % of Total  | # of Positions | % of Total |
| <b>Surveyors &amp; Consultants</b>                |                  |            |                                   |            |                |            |                |             |                |            |
| Surveyors <sup>1</sup>                            | 534              | 49%        | --                                | 0.00%      | --             | 0.00%      | 534            | 49%         |                |            |
| Consultants                                       | 45               | 4%         | --                                | 0.00%      | 10             | 1%         | 55             | 5%          |                |            |
| <b>Administrative Support Personnel</b>           |                  |            |                                   |            |                |            |                |             |                |            |
| Managers/Supervisors & Support Staff <sup>2</sup> | 265              | 24%        | 85                                | 8%         | 155            | 14%        | 505            | 46%         |                |            |
| <b>Total</b>                                      | <b>844</b>       | <b>77%</b> | <b>85</b>                         | <b>8%</b>  | <b>165</b>     | <b>15%</b> | <b>1094</b>    | <b>100%</b> |                |            |

This chart represents the number of surveyors, consultants and administrative support personnel devoted to the licensing and certification of health care facilities. The following detail describes the breakdown by function-

### Personnel in the Field Offices and LA Country Contract:

This area of the chart represents the amount of staff in the 14 L&C field offices statewide and the 5 Los Angeles County offices. The Los Angeles County performs their own L&C activities and contracts with the CDPH to report information. L&C Field Offices and Los Angeles County perform the same common functions which include:

- Evaluating and reporting on services and conditions;
- Cite deficiencies and issue penalties;
- Issue, deny or revoke licenses, and approve plans of correction; and,
- Control performance of other public agencies' survey staff.

<sup>1</sup> Classifications include: Health Facilities Evaluator Nurse, Health Facilities Evaluator I, Health Facilities Evaluator Trainee

<sup>2</sup> Classifications include: Associate Accounting Analyst, Associate Governmental Program Analyst, Associate Health Program

Advisor, Associate Information Systems Analyst, Associate Program Analyst (Spec.), Career Executive Assignment, Data Processing Manager I/II/III, Deputy Director, Health Facilities Evaluator II (Sup), Health Facilities Evaluator I/II, Health Facilities Evaluator Manager I/II, Health Facilities Evaluator Specialist, Health Program Manager III, Health Program Specialist I/II, Management Services Technician, Office Assistant, Office Technician, Program Technician, Program Technician II, Research Program Specialist I/II, Staff Programmer Analyst, Supervising Program Technician I/II, Staff Counsel III, Senior/Staff Information Systems Specialist, Staff Services Analyst, Staff Services Manager I/II/III, Word Processing Technician

Data Source: Provided by Personnel Liaison Unit

Extraction Date: As of July 1, 2011

**The Percentage of Time Devoted to L&C Activities for all Licensed Health Facilities**

Health and Safety Code Section 1266(d)(2)(B)(ii)

FY 2010-11

|   | HOURS          | Percentage to Total Hours |
|---|----------------|---------------------------|
| Acute Psychiatric Hospital                | 7,985          | 0.92%                     |
| Adult Day Health Centers                  | 409            | 0.05%                     |
| Alternate Birthing Center                 | 25             | 0.00%                     |
| Chemical Dependency Recovery Hospital     | 189            | 0.02%                     |
| Chronic Dialysis Clinic                   | 19,179         | 2.22%                     |
| Community and Free Clinics (PCC/RHC)      | 2,776          | 0.32%                     |
| Congregate Living Health Facility         | 625            | 0.07%                     |
| Correctional Treatment Center             | 2,216          | 0.26%                     |
| General Acute Care Hospital               | 122,738        | 14.19%                    |
| Home Health Agencies                      | 43,232         | 5.00%                     |
| Hospice                                   | 7,184          | 0.83%                     |
| Intermediate Care Facilities              | 6,913          | 0.80%                     |
| Intermediate Care Facilities DD, DDH, DDN | 98,224         | 11.36%                    |
| Pediatric Day Health or Respite Care      | 39             | 0.00%                     |
| Psychology Clinic                         | 9              | 0.00%                     |
| Referral Agency                           | 18             | 0.00%                     |
| Rehabilitation Clinic                     | 689            | 0.08%                     |
| Skilled Nursing Facilities                | 526,497        | 60.89%                    |
| Surgical Clinic                           | 25,739         | 2.98%                     |
| <b>Totals</b>                             | <b>864,686</b> | <b>100.00%</b>            |

Data Source: Surveyor Timekeeping System, FY 2010-11 Standard Average Report

Extraction Date: Based on surveys with an exit date from 7/01/10 to 06/30/11 Report date 09/15/11

**Surveys and Follow-up Visits Performed**  
 Health & Safety Code Section 1266(d)(2)(B)(iii)  
 FY 2010-11

| Facility Types   | Licensing Survey |              | Certification Survey |                  | Follow-up & Revisits |
|--|------------------|--------------|----------------------|------------------|----------------------|
|  | Initial          | Re-Licensure | Initial              | Re-Certification |                      |
| Acute Psychiatric Hospital                                   | -                | 4            | -                    | 2                | 7                    |
| Adult Day Health Centers                                     | 1                | 4            | -                    | -                | 13                   |
| Alternative Birthing Center                                  | 1                | -            | -                    | -                | -                    |
| Chemical Dependency Recovery                                 | -                | -            | -                    | -                | -                    |
| Chronic Dialysis Clinics/ESRD                                | 15               | 5            | 19                   | 76               | 45                   |
| Community Clinics (PCC)/RHC                                  | 15               | 6            | 12                   | -                | 8                    |
| Congregate Living Health Facility                            | 3                | 3            | -                    | -                | 2                    |
| Correctional Treatment Center                                | -                | 9            | -                    | -                | -                    |
| General Acute Care Hospital                                  | 20               | 56           | 1                    | 27               | 457                  |
| Home Health Agencies   | 112              | 8            | 3                    | 211              | 78                   |
| Hospice  | 56               | 2            | -                    | 23               | 5                    |
| ICF/Developmentally Disabled (ICF/DD);<br>ICF/DD-H; ICF/DD-N | 13               | 12           | 12                   | 1,043            | 24                   |
| Intermediate Care Facility (ICF/non-nursing)                 | 1                | 3            | -                    | -                | 5                    |
| Pediatric Day Health/Respite Care                            | 1                | 1            | -                    | -                | 2                    |
| Psychology Clinic  | 1                | -            | -                    | -                | -                    |
| Referral Agencies  | 1                | -            | -                    | -                | -                    |
| Rehabilitation Clinics/OPT-SP/CORF                           | -                | -            | -                    | 18               | 4                    |
| Skilled Nursing Facility                                     | 1                | 524          | 4                    | 1,086            | 219                  |
| Surgical Clinic/ASC  | 1                | -            | 4                    | 128              | 103                  |
| <b>Totals</b>  | <b>242</b>       | <b>637</b>   | <b>55</b>            | <b>2,614</b>     | <b>972</b>           |
| <b>Category Totals</b>                                       | <b>879</b>       |              | <b>2,669</b>         |                  | <b>972</b>           |
| <b>Category Percentages</b>                                  | <b>19%</b>       |              | <b>59%</b>           |                  | <b>22%</b>           |
| <b>Grand Totals</b>  | <b>4,520</b>     |              |                      |                  |                      |

Data Source: Surveyor Timekeeping System, FY 2010-11 Standard Average Report

Extraction Date: Based on surveys with an exit date from 7/01/10 to 06/30/11 Report date 09/15/11

**Number of Complaint Investigations**  
 Health & Safety Code Section 1266(d)(2)(B)(iv)  
 FY 2010-11

Number of Complaints Received During SFY 2010-11 by Facility Type<sup>a,b</sup>

| Facility Type      | Total Complaints Received | Proportion Long-Term and Non-Long-Term Facility Complaints | Complaints Received Requiring Investigation | Proportion of Complaints Received Requiring Investigation | I&S Complaints | Non I&S Complaints |
|--------------------|---------------------------|--|---|---|----------------|--------------------|
| Long-Term Care     | 5,838                     | 62.1%  | 5,523                                       | 94.6%   | 204            | 4,847              |
| Non Long-Term Care | 3,567                     | 37.9%  | 3,392                                       | 95.1%   | 77             | 3,032              |
| <b>Total</b>       | <b>9,405</b>              | <b>100.0%</b>  | <b>8,915</b>                                | <b>94.8%</b>  | <b>281</b>     | <b>7,879</b>       |

<sup>a</sup> Data Source: ASPEN Database

<sup>b</sup> Data Extraction Date: August 1, 2011

**Data on Citations, Deficiencies, and Enforcements**

Health & Safety Code Section 1266(d)(2)(B)(v)

FY 2010-11

**Page 1 of 2**

| FACILITY TYPE   | CITATIONS ISSUED (BY CLASSIFICATION) |    |     |     |     |     | DEFICIENCY          | ENFORCEMENT PENALTIES ISSUED           |   | TOTAL |
|---|--------------------------------------|----|-----|-----|-----|-----|---------------------|--|---|-------|
|   | AA                                   | A  | B   | WMF | WMO | RDO | Deficiencies Issued | Administrative Penalties (H&S 12801.1) | Failure to Report Penalties (H&S Code 1279.1) |       |
| Skilled Nursing Facility (SNF)                          | 10                                   | 85 | 401 | 6   | -   | -   | 726                 | -                                      | 2   | 1,230 |
| Intermediate Care Facility (ICF)                        | 1                                    | 1  | 5   | -   | -   | -   | 17                  |  |   | 24    |
| ICF/Developmentally Disabled (ICF/DD)                   | 3                                    | 1  | 7   | -   | -   | -   | 16                  |  |   | 27    |
| ICF/DD-Habilitative (ICF/DD-H)                          | 2                                    | 2  | 58  | -   | -   | -   | 74                  |  |   | 136   |
| ICF/DD-Nursing (ICF/DD-N)                               | 1                                    | 3  | 21  | -   | -   | -   | 26                  |  |   | 51    |
| Congregate Living Health Facility (CLHF)                | -                                    | -  | 3   | -   | -   | -   | 9                   |  |   | 12    |
| Pediatric Day Health and Respite Care Facility (PDHRCF) | -                                    | -  | -   | -   | -   | -   | -                   |  |   | 0     |
| General Acute Care Hospital (GACH)                      |                                      |    |     |     |     |     | 404                 | 39                                     | 182   | 625   |
| Acute Psychiatric Hospital (APH)                        |                                      |    |     |     |     |     | 6                   | -                                      | 1   | 7     |
| Special Hospital (SPHOSP)                               |                                      |    |     |     |     |     | -                   | -                                      | -   | 0     |
| Community Clinic (COMTYC)                               |                                      |    |     |     |     |     | 4                   | -                                      | 2   | 6     |
| Home Health Agency (HHA)                                |                                      |    |     |     |     |     | 10                  | -                                      | 4   | 14    |
| End Stage Renal Disease (ESRD)                          |                                      |    |     |     |     |     | 1                   | -                                      | 1   | 2     |
| <b>TOTALS</b>   | 17                                   | 92 | 495 | 6   | 0   | 0   | 1,293               | 39                                     | 192   | 2,134 |

Data on Citations, Deficiencies, and Enforcements

Health & Safety Code Section 1266(d)(2)(B)(v)

FY 2010-11

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1. The relationship of deficiencies to citations issued is that a deficiency is a citation without a monetary penalty. A citation results when a survey or investigation identifies a "deficiency" that can seriously affect the health or safety of a patient.
2. "AA" means meet the definition of a Class "A" violation and was a direct proximate cause of patient death.
3. "A" means Immediate danger of death or serious harm to patients, or a substantial probability of death or serious physical harm to patients.
4. "B" means immediate relationship to patient health, safety, or security. Can include emotional and financial elements.
5. "WMF" means willful material falsification.
6. "WMO" means willful material omission.
7. "RDO" means retaliation/ discrimination
8. Pursuant to Health & Safety Code, Section 1280.1, the California Department of Public Health, (CDPH) is allowed to impose administrative penalties against general acute care, acute psychiatric and facilities licensed as special hospitals a maximum fine of \$25,000 per violation that constitutes immediate jeopardy to a patients' health and safety.
9. Pursuant to health & Safety Code, Section 1280.4 the CDPH, may assess a civil money penalty in the amount of \$100 for each day that an adverse event is not reported following an initial five-day period or 24-hour period.

**Citation Appeals Statewide**

| <b>Resolution Type:</b>           | <b>No.</b> | <b>%</b>    |
|-----------------------------------|------------|-------------|
| Citation Review Conferences (CRC) | 181        | 81%         |
| Administrative Law Judge (ALJ)    | 18         | 8%          |
| Court Appeals                     | 22         | 10%         |
| Binding Arbitration (BA)          | 3          | 1%          |
| <b>Total</b>                      | <b>224</b> | <b>100%</b> |

Data Source: ELMS Database

Extraction Date: 10/12/11

Per Safety Code Section 1266 (d)(2)(b)(vi), the department is required to report on surveyors training .  
Attached is surveyors training provided in fiscal year 2010-11

| <b>Other Applicable Activities</b>   |                              |
|--|------------------------------|
| Health & Safety Section 1266 (d)(2)(b)(vi)   |                              |
| Surveyors Training Provided in FY 2010-11  |                              |
| Course Name and Description  | Number of Surveyors Trained: |
| New Surveyor Orientation Academy   | 91                           |
| State Advanced Surveyor Academy  | 130                          |
| State General Acute Care (GACH) Basic  | 158                          |
| CMS ASPEN 101 Technical Basic  | 1                            |
| CMS ASPEN 102 Technical Advanced   | 3                            |
| CMS End Stage Renal Disease (ESRD) Basic Technical   | 32                           |
| CMS Fire Safety Evaluation System - Board & Care (FSSES-BC) - Basic Course                             | 3                            |
| CMS Basic Hospice Course   | 2                            |
| CMS Basic Hospital Course (GACH)   | 2                            |
| CMS Life Safety Code (LSC) Basic Course  | 1                            |
| CMS SumTotal Basic Course  | 2                            |
| CMS Long Term Care Basic Course  | 71                           |
| CMS MDS/RAI OASIS Training   | 1                            |
| CMS Coordinator Conference   | 6                            |
| Infection Control CD Inservice: General Principles of Infection Control                                | 203                          |
| Infection Control CD Inservice: Surveying for Infection Control in Skilled Nursing Facilities          | 160                          |
| Teleconference: Adverse Events/Administrative Penalties Process & Investigation                        | 154                          |
| Teleconference: Ambulatory Surgical Centers (ASC)  | 5                            |
| Teleconference: Elements of a Skilled Nursing Facility (SNF) Recertification Survey Plan of Correction | 471                          |
| Teleconference: Complaint Investigation, Documentation, & Prioritization                               | 427                          |
| Teleconference: Patient Safety Licensing Survey  | 333                          |
| Teleconference: Writing Condition level Deficiencies for General Acute Care Hospitals                  | 148                          |
| Inservice Training (various)   | 302                          |
| Home Health Agency Protocol Webinar  | 25                           |
| State Licensing Process Title 22 Surveys   | 260                          |
| State Training: Writing Condition Level Deficiencies for General Acute Care Hospitals (GACHs)          | 76                           |
| Other CMS Courses Online Offered either Online or Via DVD/Video  | 549                          |
| Total Surveyors Trained  | 3,616                        |

Data Source: Data Supplied by L&C's Staff Education and Quality Improvement Section, October, 2011

## Hospitals Self-Reported Adverse Events Timeliness Report Health and Safety Code 1279.1(7)(e)

The data for the following four tables were obtained from the federal Automated Survey Processing Environment (ASPEN) database on August 1, 2011. ASPEN processes and tracks reported adverse events and complaints reported by health care facilities. ASPEN is a dynamic database, being updated constantly. The dynamic nature of ASPEN yields different results from the same analysis on different dates. The differing totals of adverse events between the table on page 15 of the 2011-12 Health Facility License Fees Annual Report and the following tables are due to data being obtained from ASPEN on different dates.

**Table 1. Adverse Event Report Category and Type by State Fiscal Year**

Table 1 displays the 5,468 adverse events that were reported in California from July 01, 2007, through June 30, 2011. There have been 938, 1,439, 1,497 and 1,594 events reported for State Fiscal Years 2007-08, 2008-09, 2009-10, and 2010-11 respectively.

Among all reported events, "Stage 3 or 4 decubitus ulcers (pressure ulcers) acquired after admission" represents the largest number of any single type of event reported during these four years. For the four years, 3,498 of these events were reported. This represents 64 percent of all events reported for four years and 61 percent, 68 percent, 63 percent, and 64 percent of the events for each respective year of reporting.

The second largest type of adverse event reported in California for all three years of reporting is the "Retention of a Foreign Object in a Patient" event

There were five types of adverse events which had only one report in the four-year reporting period. They were: Infant discharged to the wrong person, Death or serious disability associated with hyperbilirubinemia in neonates, Death or serious disability due to spinal manipulation therapy, Death or serious disability associated with electric shock, and Abduction of a patient of any age.

**Table 1. Adverse Event Report Category and Type by State Fiscal year**

| Adverse Event Categories and Types <sup>1</sup> | State Fiscal Year |           |           |           | All   |
|---|-------------------|-----------|-----------|-----------|-------|
|   | SFY 07-08         | SFY 08-09 | SFY 09-10 | SFY 10-11 |       |
| Surgical Events                                 | 224               | 273       | 342       | 315       | 1,154 |
| Surgery performed on a wrong body part          | 30                | 26        | 32        | 21        | 109   |
| Surgery performed on the wrong patient          | 2                 | 3         | 3         | 4         | 12    |
| Wrong surgical procedure performed on a patient | 7                 | 16        | 13        | 20        | 56    |
| Retention of a foreign object in a patient      | 154               | 191       | 265       | 240       | 850   |
| Death during or up to 24 hours after surgery    | 31                | 37        | 29        | 30        | 127   |

Table 1, *Continued*

| Adverse Event Categories and Types <sup>1</sup>   | State Fiscal Year |              |              |              | All   |
|---|-------------------|--------------|--------------|--------------|-------|
|   | SFY<br>07-08      | SFY<br>08-09 | SFY<br>09-10 | SFY<br>10-11 |       |
| Product or Device Events  | 6                 | 6            | 17           | 11           | 40    |
| Death or serious disability associated with the use of contaminated drug, device, or biologic | 1                 | 0            | 5            | 2            | 8     |
| Death or serious disability associated with the use of a device other than as intended        | 3                 | 3            | 10           | 5            | 21    |
| Death or serious disability due to intravascular air embolism                                 | 2                 | 3            | 2            | 4            | 11    |
| Patient Protection Events   | 14                | 17           | 19           | 25           | 75    |
| Infant discharged to the wrong person   | 0                 | 0            | 1            | 0            | 1     |
| Death or serious disability due to disappearance  | 2                 | 4            | 4            | 8            | 18    |
| Suicide or attempted suicide  | 12                | 13           | 14           | 17           | 56    |
| Care Management Events  | 615               | 1,019        | 977          | 1,060        | 3,671 |
| Death or serious disability associated with a medication error                                | 32                | 30           | 28           | 31           | 121   |
| Death or serious disability associated with incompatible blood                                | 1                 | 1            | 1            | 1            | 4     |
| Maternal death or serious disability associated with labor or delivery                        | 11                | 7            | 6            | 8            | 32    |
| Death or serious disability directly related to hypoglycemia                                  | 0                 | 6            | 2            | 6            | 14    |
| Death or serious disability associated with hyperbilirubinemia in neonates                    | 0                 | 0            | 0            | 1            | 1     |
| Stage 3 or 4 decubitus ulcer acquired after admission   | 571               | 974          | 940          | 1,013        | 3,498 |
| Death or serious disability due to spinal manipulation therapy                                | 0                 | 1            | 0            | 0            | 1     |
| Environmental Events  | 38                | 53           | 63           | 84           | 238   |
| Death or serious disability associated with electric shock                                    | 0                 | 1            | 0            | 0            | 1     |
| Oxygen line contains wrong or toxic gas   | 1                 | 0            | 1            | 0            | 2     |
| Death or serious disability associated with a burn  | 2                 | 4            | 6            | 2            | 14    |
| Death associated with a fall  | 32                | 42           | 33           | 28           | 135   |
| Death or serious disability associated with the use of restraints or bedrails                 | 3                 | 6            | 23           | 54           | 86    |

**Table 1, Continued**

| Adverse Event Categories and Types <sup>1</sup>                              | State Fiscal Year |           |           |           | All   |
|--|-------------------|-----------|-----------|-----------|-------|
|  | SFY 07-08         | SFY 08-09 | SFY 09-10 | SFY 10-11 |       |
| Criminal Events  | 19                | 30        | 24        | 41        | 114   |
| Care ordered or provided by someone impersonating a licensed health provider | 1                 | 2         | 0         | 5         | 8     |
| Abduction of a patient of any age  | 0                 | 1         | 0         | 0         | 1     |
| Sexual assault on a patient  | 14                | 22        | 19        | 30        | 85    |
| Death or significant injury from a physical assault                          | 4                 | 5         | 5         | 6         | 20    |
| Other  | 22                | 41        | 55        | 58        | 176   |
| Adverse event or series of adverse events                                    | 22                | 41        | 55        | 58        | 176   |
| Total Adverse Events   | 938               | 1,439     | 1,497     | 1,594     | 5,468 |

<sup>1</sup> See Health and Safety Code Section 1279.1 for specific description of each adverse event.

**Table 2. Volume and Percent of Adverse Events by Category**

Table 2 shows that the top three ranking adverse event categories for all four state fiscal years were Category 4, Care Management Events; Category 1, Surgical Events; and Category 5, Environmental Events, respectively. The Care Management Events Category represents the largest percent of events reported for all years. For SFY 2007-08, this category represented 65.6 percent for all events reported and increased to 70.8 percent during SFY 2008-09, decreased to 65.3 percent during SFY 2009-10, and slightly increased again to 66.5% during SFY 2010-11.

State Fiscal Years 2007-08, 2008-09, 2009-10, and 2010-11 provide complete annual accountings of adverse events reported to the State. For these years, the volume of reported adverse events increased for all categories. However, the annual totals for Category 1, Surgical Events, and Category 2, Product and Device Events, declined from SFY 2009-10 to SFY 2010-11.

The volume of events reported for Category 3, Patient Protection Events, represents the least amount of change in four years.

**Table 2. Volume and Percent of Adverse Events by Category**

| Adverse Event Category       | SFY 07-08 | % <sup>1</sup> | SFY 08-09 | % <sup>1</sup> | SFY 09-10 | % <sup>1</sup> | SFY 10-11 | % <sup>1</sup> | Total | % <sup>1</sup> |
|------------------------------|-----------|----------------|-----------|----------------|-----------|----------------|-----------|----------------|-------|----------------|
| 1. Surgical Events           | 224       | 23.9%          | 273       | 19.0%          | 342       | 22.8%          | 315       | 19.8%          | 1,154 | 21.1%          |
| 2. Product or Device Events  | 6         | 0.6%           | 6         | 0.4%           | 17        | 1.1%           | 11        | 0.7%           | 40    | 0.7%           |
| 3. Patient Protection Events | 14        | 1.5%           | 17        | 1.2%           | 19        | 1.3%           | 25        | 1.6%           | 75    | 1.4%           |
| 4. Care Management Events    | 615       | 65.6%          | 1,019     | 70.8%          | 977       | 65.3%          | 1,060     | 66.5%          | 3,671 | 67.1%          |
| 5. Environmental Events      | 38        | 4.1%           | 53        | 3.7%           | 63        | 4.2%           | 84        | 5.3%           | 238   | 4.4%           |
| 6. Criminal Events           | 19        | 2.0%           | 30        | 2.1%           | 24        | 1.6%           | 41        | 2.6%           | 114   | 2.1%           |
| 7. Other                     | 22        | 2.3%           | 41        | 2.9%           | 55        | 3.7%           | 58        | 3.6%           | 176   | 3.2%           |
| Total                        | 938       | 100.0%         | 1,439     | 100.1%         | 1,497     | 100.0%         | 1,594     | 100.1%         | 5,468 | 100.0%         |

<sup>1</sup> May not add up to 100 due to rounding.

**Table 3. Volume of Adverse Events by Severity**

Reported adverse events are categorized based on the severity and the risk of harm to patients or residents. Senate Bill (SB) 1301 distinguishes between adverse events that involve “an ongoing threat of imminent danger of death or serious bodily harm” and others that do not involve such an ongoing threat. For the former, the department is required to begin an investigation “within 48 hours or two business days” (HSC § 1279.2 (a) (1)). Such adverse events are distinguished from others where “there is no threat of imminent danger of death or serious bodily harm” in HSC § 1279.2 (b).

During the three years (SFY 2007-08, SFY 2008-09 and SFY 2009-10), the overall volume of events meeting this definition of an ongoing threat of imminent danger decreased significantly. However, Categories 5 (Environmental Events) and 6 (Criminal Events) showed an increase between SFY 2008-09 and SFY 2009-10. Conversely, during the three-year period, there was a significant increase in the overall volume of other non-urgent adverse events.

**Table 3. Annual Count of Adverse Events that involve an ongoing threat of imminent danger by Event Category**

| Adverse Event Report Type by Urgency | Urgency  |           |           |                                   |           |           | Total     |           |           | Adverse Event requiring inspection within 48 hours as percent of total |           |           |
|--------------------------------------|--|-----------|-----------|-----------------------------------|-----------|-----------|-----------|-----------|-----------|--|-----------|-----------|
|                                      | Adverse Events requiring inspection within 48 hours <sup>1</sup> |           |           | Other Adverse Events <sup>2</sup> |           |           |           |           |           |  |           |           |
|                                      | SFY 08-09  | SFY 09-10 | SFY 10-11 | SFY 08-09                         | SFY 09-10 | SFY 10-11 | SFY 08-09 | SFY 09-10 | SFY 10-11 | SFY 08-09  | SFY 09-10 | SFY 10-11 |
| 1. Surgical Events                   | 8  | 0         | 5         | 265                               | 342       | 310       | 273       | 342       | 315       | 2.9%   | 0.0%      | 1.6%      |
| 2. Product or Device Events          | 2  | 2         | 2         | 4                                 | 15        | 9         | 6         | 17        | 11        | 33.3%  | 11.8%     | 18.2%     |
| 3. Patient Protection Events         | 5  | 3         | 2         | 12                                | 16        | 23        | 17        | 19        | 25        | 29.4%  | 15.8%     | 8.0%      |
| 4. Care Management Events            | 14   | 8         | 4         | 1,005                             | 969       | 1,056     | 1,019     | 977       | 1,060     | 1.4%   | 0.8%      | 0.4%      |
| 5. Environmental Events              | 4  | 6         | 5         | 49                                | 57        | 79        | 53        | 63        | 84        | 7.5%   | 9.5%      | 6.0%      |
| 6. Criminal Events                   | 2  | 4         | 1         | 28                                | 20        | 40        | 30        | 24        | 41        | 6.7%   | 16.7%     | 2.4%      |
| 7. Other                             | 3  | 4         | 2         | 38                                | 51        | 56        | 41        | 55        | 58        | 7.3%   | 7.3%      | 3.4%      |
| Total                                | 38   | 27        | 21        | 1,401                             | 1,470     | 1,573     | 1,439     | 1,497     | 1,594     | 2.6%   | 1.8%      | 1.3%      |

<sup>1</sup> HSC § 1279.2 (a)(1)

<sup>2</sup> HSC § 1279.2 (b)

**Table 4. Failure to Report Adverse Events Statistics**

Table 4 shows the total counts of failure to report adverse events and the penalty amounts sanctioned against the licenses of acute care facilities during the period of July 01, 2007 through June 30, 2011. Despite the fluctuation of the number of failure to report adverse events and the annual total of penalties assessed by the State, their numbers for SFY 2010-11 are twice as high as those for SFY 2007-08.

**Table 4. Failure to Report Adverse Events Statistics by State Fiscal Year**

| Events and Penalties             | State Fiscal Year |             |             |             | Totals      |
|----------------------------------|-------------------|-------------|-------------|-------------|-------------|
|                                  | SFY 2007-08       | SFY 2008-09 | SFY 2009-10 | SFY 2010-11 |             |
| Failure to Report Adverse Events | 111               | 165         | 139         | 225         | 640         |
| Penalties Assessed               | \$319,300         | \$712,900   | \$821,700   | \$737,700   | \$2,591,600 |

Data Source: ASPEN Database, CSM, United States Department of Health and Human Services  
Data Extraction Date: Sept , 2011

**CALIFORNIA DEPARTMENT OF PUBLIC HEALTH  
LICENSING AND CERTIFICATION PROGRAM  
STATE WORKLOAD PERCENTAGES FOR FY 12-13**

ATTACHMENT A

| FACILITY TYPES               | ACTIVITIES                    | TOTAL LICENSED FACILITY COUNTS | ANNUALIZED SURVEY RATE | WORKLOAD SURVEY ESTIMATE, FY 2012-13 | FY 12-13 ESTIMATE BASIS / DATA SOURCE | STD AVG HRS (Avg Direct Hrs + Facility Admin Hrs) | TOTAL SURVEY WOURKLOAD HOURS | STATE MATCH % | TOTAL STATE WORKLOAD HOURS | STATE WORKLOAD HOURS AS A % TO TOTAL STATE WORKLOAD HOURS | TOTAL STATE WORKLOAD HOURS % BY FACILITY TYPE |
|------------------------------|-------------------------------|--------------------------------|------------------------|--------------------------------------|---------------------------------------|---|------------------------------|---------------|----------------------------|---|---|
| ALTERNATIVE BIRTHING CENTERS | RE-LICENSURE                  | 6                              | 33%                    | 2.00                                 | HSC 1228 Once every 3 yrs             | 43.89   | 87.78                        | 100%          | 87.78                      | 0.02%   | <b>0.02%</b>                                  |
| <b>SUBTOTAL</b>              |                               |                                |                        | <b>2.00</b>                          |                                       |   | <b>87.78</b>                 |               | <b>87.78</b>               | <b>0.02%</b>  |   |
| ADULT DAY HEALTH CENTER      | RE-LICENSURE                  | 301                            | 50%                    | 150.50                               | HSC 1583.5 Once every 2 yrs           | 8.25  | 1,241.63                     | 100%          | 1,241.63                   | 0.25%   | <b>0.43%</b>                                  |
|                              | INITIAL LICENSURE             |                                |                        | 2.00                                 | Estimated                             | 37.05   | 74.10                        | 100%          | 74.10                      | 0.01%   |   |
|                              | INITIAL LICENSURE - FOLLOW-UP |                                |                        | 1.00                                 | Estimated                             | 1.16  | 1.16                         | 100%          | 1.16                       | 0.00%   |   |
|                              | COMPLAINT (or ERI)            |                                |                        | 45.20                                | Complaint/ERI Report                  | 8.54  | 386.01                       | 100%          | 386.01                     | 0.08%   |   |
|                              | FIELD VISITS                  |                                |                        | 28.00                                | Estimated                             | 15.97   | 447.16                       | 100%          | 447.16                     | 0.09%   |   |
| <b>SUBTOTAL</b>              |                               |                                |                        | <b>226.70</b>                        |                                       |   | <b>2,150.05</b>              |               | <b>2,150.05</b>            | <b>0.43%</b>  |   |
| ACUTE PSYCHIATRIC HOSPITAL   | RE-LICENSURE                  | 38                             | 33%                    | 12.54                                | HSC 1279 (b) Once every 3 yrs         | 236.08  | 2,960.44                     | 100%          | 2,960.44                   | 0.60%   | <b>1.54%</b>                                  |
|                              | FIELD VISITS                  |                                |                        | 4.00                                 | Estimated                             | 10.12   | 40.48                        | 100%          | 40.48                      | 0.01%   |   |
|                              | COMPLAINT (or ERI)            |                                |                        | 786.00                               | Complaint/ERI Report                  | 5.89  | 4,629.54                     | 100%          | 4,629.54                   | 0.93%   |   |
| <b>SUBTOTAL</b>              |                               |                                |                        | <b>802.54</b>                        |                                       |   | <b>7,630.46</b>              |               | <b>7,630.46</b>            | <b>1.54%</b>  |   |

**CALIFORNIA DEPARTMENT OF PUBLIC HEALTH  
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STATE WORKLOAD PERCENTAGES FOR FY 12-13**

ATTACHMENT A

| FACILITY TYPES                        | ACTIVITIES                          | TOTAL LICENSED FACILITY COUNTS | ANNUALIZED SURVEY RATE | WORKLOAD SURVEY ESTIMATE, FY 2012-13 | FY 12-13 ESTIMATE BASIS / DATA SOURCE            | STD AVG HRS (Avg Direct Hrs + Facility Admin Hrs) | TOTAL SURVEY WOURKLOAD HOURS | STATE MATCH %    | TOTAL STATE WORKLOAD HOURS | STATE WORKLOAD HOURS AS A % TO TOTAL STATE WORKLOAD HOURS | TOTAL STATE WORKLOAD HOURS % BY FACILITY TYPE |
|---------------------------------------|-------------------------------------|--------------------------------|------------------------|--------------------------------------|--|---|------------------------------|------------------|----------------------------|---|---|
| CHRONIC DIALYSIS CLINIC / ESRD        | RE-LICENSURE                        | 457                            | 33%                    | 150.81                               | HSC 1228 Once every 3 yrs. Except ESRD           | 28.16   | 4,246.81                     | 100%             | 4,246.81                   | 0.85%   |   |
|                                       | INITIAL LICENSURE                   |                                |                        | 15.00                                | Estimated  | 18.05   | 270.75                       | 100%             | 270.75                     | 0.05%   |   |
|                                       | INITIAL LICENSURE FOLLOWUP          |                                |                        | 1.00                                 | Estimated  | 9.26  | 9.26                         | 100%             | 9.26                       | 0.00%   |   |
|                                       | COMPLAINT (or ERI)                  |                                |                        | 170.49                               | Complaint/ERI Report                             | 8.78  | 1,496.90                     | 100%             | 1,496.90                   | 0.30%   |   |
|                                       | FIELD VISITS-LIC                    |                                |                        | 10.00                                | Estimated  | 8.39  | 83.90                        | 100%             | 83.90                      | 0.02%   |   |
|                                       | TARGETED SAMPLE                     |                                |                        | 55.00                                | Federal Workload Allocation and PY Count FY 2012 | 129.91  | 7,145.05                     | 25%              | 1,786.26                   | 0.36%   |   |
|                                       | RE-CERTIFICATION FOLLOW-UP/REVISITS |                                |                        | 19.00                                | Federal Workload Allocation and PY Count FY 2012 | 41.42   | 786.98                       | 25%              | 196.75                     | 0.04%   |   |
|                                       | LIFE SAFETY CODE                    |                                |                        | 15.00                                | Federal Workload Allocation and PY Count FY 2012 | 6.21  | 93.15                        | 25%              | 23.29                      | 0.00%   |   |
|                                       | COMPLAINT INVESTIGATION - NLTC      |                                |                        | 50.00                                | Federal Workload Allocation and PY Count FY 2012 | 16.46   | 823.00                       | 25%              | 205.75                     | 0.04%   |   |
|                                       | <b>SUBTOTAL</b>                     |                                |                        |                                      | <b>486.30</b>                                    |   |                              | <b>14,955.80</b> |                            | <b>8,319.67</b>   |   |
| CHEMICAL DEPENDENCY RECOVERY HOSPITAL | RE-LICENSURE                        | 6                              | 50%                    | 3.00                                 | HSC 1279 Once every 2 yrs                        | 103.00  | 309.00                       | 100%             | 309.00                     | 0.06%   |   |
|                                       | COMPLAINT (or ERI)                  |                                |                        | 27.56                                | Complaint/ERI Report                             | 5.28  | 145.52                       | 100%             | 145.52                     | 0.03%   |   |
|                                       | <b>SUBTOTAL</b>                     |                                |                        |                                      | <b>30.56</b>                                     |   |                              | <b>454.52</b>    |                            | <b>454.52</b>   |   |

**CALIFORNIA DEPARTMENT OF PUBLIC HEALTH  
LICENSING AND CERTIFICATION PROGRAM  
STATE WORKLOAD PERCENTAGES FOR FY 12-13**

ATTACHMENT A

| FACILITY TYPES                    | ACTIVITIES             | TOTAL LICENSED FACILITY COUNTS | ANNUALIZED SURVEY RATE | WORKLOAD SURVEY ESTIMATE, FY 2012-13 | FY 12-13 ESTIMATE BASIS / DATA SOURCE                        | STD AVG HRS (Avg Direct Hrs + Facility Admin Hrs) | TOTAL SURVEY WOURKLOAD HOURS | STATE MATCH %   | TOTAL STATE WORKLOAD HOURS | STATE WORKLOAD HOURS AS A % TO TOTAL STATE WORKLOAD HOURS | TOTAL STATE WORKLOAD HOURS % BY FACILITY TYPE |
|-----------------------------------|------------------------|--------------------------------|------------------------|--------------------------------------|--|---|------------------------------|-----------------|----------------------------|---|---|
| CONGREGATE LIVING HEALTH FACILITY | RE-LICENSURE           | 54                             | 50%                    | 27.00                                | HSC 1422 1 yr or 2 yrs                                       | 52.08   | 1,406.16                     | 100%            | 1,406.16                   | 0.28%   | <b>0.39%</b>                                  |
|                                   | INITIAL LICENSURE      |                                |                        | 3.00                                 | Estimated  | 33.04   | 99.12                        | 100%            | 99.12                      | 0.02%   |   |
|                                   | COMPLAINT (or ERI)     |                                |                        | 28.67                                | Complaint/ERI Report   | 15.35   | 440.08                       | 100%            | 440.08                     | 0.09%   |   |
|                                   | FIELD VISITS           |                                |                        | 1.00                                 | Estimated  | 19.72   | 19.72                        | 100%            | 19.72                      | 0.00%   |   |
|                                   | <b>SUBTOTAL</b>        |                                |                        |                                      | <b>59.67</b>   |   |                              | <b>1,965.08</b> |                            | <b>1,965.08</b>   |   |
| COMMUNITY CLINIC                  | RE-LICENSURE           | 856                            | 33%                    | 282.48                               | HSC 1228 (a) Once every 3 yrs. Except RHC and PCC Accredited | 7.35  | 2,076.23                     | 100%            | 2,076.23                   | 0.42%   | <b>0.69%</b>                                  |
|                                   | INITIAL LICENSURE      |                                |                        | 15.00                                | Estimated  | 30.17   | 452.55                       | 100%            | 452.55                     | 0.09%   |   |
|                                   | COMPLAINT (or ERI)     |                                |                        | 68.36                                | Complaint/ERI Report   | 10.55   | 721.20                       | 100%            | 721.20                     | 0.15%   |   |
|                                   | FIELD VISITS           |                                |                        | 9.00                                 | Estimated  | 12.58   | 113.22                       | 100%            | 113.22                     | 0.02%   |   |
|                                   | RE-LICENSURE FOLLOW UP |                                |                        | 1.00                                 | Estimated  | 0.51  | 0.51                         | 100%            | 0.51                       | 0.00%   |   |
|                                   | TARGETED SURVEYS (RHC) |                                |                        | 14.00                                | Federal Workload Allocation and PY Count FY 2012             | 16.32   | 228.48                       | 25%             | 57.12                      | 0.01%   |   |
| <b>SUBTOTAL</b>                   |                        |                                |                        | <b>389.84</b>                        |  |   | <b>3,592.19</b>              |                 | <b>3,420.83</b>            | <b>0.69%</b>  |   |
| CORRECTIONAL TREATMENT CENTERS    | RE-LICENSURE           | 19                             | 50%                    | 9.50                                 | HSC 1279 (a) Once every 2 yrs                                | 148.91  | 1,414.65                     | 100%            | 1,414.65                   | 0.28%   | <b>0.39%</b>                                  |
|                                   | INITIAL LICENSURE      |                                |                        | 1.00                                 | Estimated  | 34.00   | 34.00                        | 100%            | 34.00                      | 0.01%   |   |
|                                   | COMPLAINT (or ERI)     |                                |                        | 56.00                                | Complaint/ERI Report   | 7.53  | 421.68                       | 100%            | 421.68                     | 0.08%   |   |
|                                   | FIELD VISITS           |                                |                        | 1.00                                 | Estimated  | 76.37   | 76.37                        | 100%            | 76.37                      | 0.02%   |   |
| <b>SUBTOTAL</b>                   |                        |                                |                        | <b>67.50</b>                         |  |   | <b>1,946.70</b>              |                 | <b>1,946.70</b>            | <b>0.39%</b>  |   |

**CALIFORNIA DEPARTMENT OF PUBLIC HEALTH  
LICENSING AND CERTIFICATION PROGRAM  
STATE WORKLOAD PERCENTAGES FOR FY 12-13**

ATTACHMENT A

| FACILITY TYPES              | ACTIVITIES  | TOTAL LICENSED FACILITY COUNTS | ANNUALIZED SURVEY RATE | WORKLOAD SURVEY ESTIMATE, FY 2012-13 | FY 12-13 ESTIMATE BASIS / DATA SOURCE | STD AVG HRS (Avg Direct Hrs + Facility Admin Hrs) | TOTAL SURVEY WOURKLOAD HOURS | STATE MATCH %     | TOTAL STATE WORKLOAD HOURS | STATE WORKLOAD HOURS AS A % TO TOTAL STATE WORKLOAD HOURS | TOTAL STATE WORKLOAD HOURS % BY FACILITY TYPE |
|-----------------------------|---|--------------------------------|------------------------|--------------------------------------|---------------------------------------|---|------------------------------|-------------------|----------------------------|---|---|
| GENERAL ACUTE CARE HOSPITAL | RE-LICENSURE  | 438                            | 33%                    | 144.54                               | HSC 1279 (a) Once every 3 yrs         | 13.81   | 1,996.10                     | 100%              | 1,996.10                   | 0.40%   |   |
|                             | PATIENT SAFETY LICENSING                            |                                |                        | 60.00                                | Estimated                             | 40.00   | 2,400.00                     | 100%              | 2,400.00                   | 0.48%   |   |
|                             | RE-LICENSURE FOLLOW UP                              |                                |                        | 4.00                                 | Estimated                             | 3.05  | 12.20                        | 100%              | 12.20                      | 0.00%   |   |
|                             | INITIAL LICENSURE                                   |                                |                        | 25.00                                | Estimated                             | 42.32   | 1,058.00                     | 100%              | 1,058.00                   | 0.21%   |   |
|                             | COMPLAINT (or ERI)                                  |                                |                        | 8,192.45                             | Complain/ERI Report                   | 8.03  | 65,785.37                    | 100%              | 65,785.37                  | 13.23%  |   |
|                             | REVIEW MEDICAL ERROR PLAN                           |                                |                        | 128.00                               | Per Sue Chaban, 09/23/11              | 60.78   | 7,779.84                     | 100%              | 7,779.84                   | 1.56%   |   |
|                             | FIELD VISITS  |                                |                        | 450.00                               | Estimated                             | 44.49   | 20,020.50                    | 100%              | 20,020.50                  | 4.03%   |   |
|                             | RECERTIFICATION (Trans Ctr)                         |                                |                        | 12.00                                | Federal Workload FY 2012              | 211.00  | 2,532.00                     | 25%               | 633.00                     | 0.13%   |   |
|                             | 5 YEAR MAX INTERVAL (NON ACCREDITED)                |                                |                        | 14.00                                | Federal Workload FY 2012              | 146.36  | 2,049.04                     | 25%               | 512.26                     | 0.10%   |   |
|                             | TARGETED SAMPLE (NON ACCREDITED)                    |                                |                        | 2.00                                 | Federal Workload FY 2012              | 146.36  | 292.72                       | 25%               | 73.18                      | 0.01%   |   |
|                             | COMPLAINT SURVEY (NON-ACCREDITED)                   |                                |                        | 300.00                               | Federal Workload FY 2012              | 94.61   | 28,383.00                    | 25%               | 7,095.75                   | 1.43%   |   |
|                             | FOLLOW UP/REVISITS (NON ACCREDITED)                 |                                |                        | 10.00                                | Federal Workload FY 2012              | 60.86   | 608.60                       | 25%               | 152.15                     | 0.03%   |   |
|                             | COMPLAINT INVESTIGATION NLTC EMTALA (NONACCREDITED) |                                |                        | 36.00                                | Federal Workload FY 2012              | 30.50   | 1,098.00                     | 25%               | 274.50                     | 0.06%   |   |
|                             | <b>SUBTOTAL</b>                                     |                                |                        |                                      | <b>9,619.99</b>                       |   |                              | <b>158,593.29</b> |                            | <b>107,792.85</b>   |   |

**CALIFORNIA DEPARTMENT OF PUBLIC HEALTH  
LICENSING AND CERTIFICATION PROGRAM  
STATE WORKLOAD PERCENTAGES FOR FY 12-13**

ATTACHMENT A

| FACILITY TYPES       | ACTIVITIES                           | TOTAL LICENSED FACILITY COUNTS | ANNUALIZED SURVEY RATE | WORKLOAD SURVEY ESTIMATE, FY 2012-13 | FY 12-13 ESTIMATE BASIS / DATA SOURCE            | STD AVG HRS (Avg Direct Hrs + Facility Admin Hrs) | TOTAL SURVEY WOURKLOAD HOURS | STATE MATCH %    | TOTAL STATE WORKLOAD HOURS | STATE WORKLOAD HOURS AS A % TO TOTAL STATE WORKLOAD HOURS | TOTAL STATE WORKLOAD HOURS % BY FACILITY TYPE |
|----------------------|--------------------------------------|--------------------------------|------------------------|--------------------------------------|--|---|------------------------------|------------------|----------------------------|---|---|
| HOME HEALTH AGENCIES | RE-LICENSURE                         | 341                            | 100%                   | 341.00                               | HSC 1733 1 year Except MC Certified              | 10.47   | 3,570.27                     | 100%             | 3,570.27                   | 0.72%   |   |
|                      | RE-LICENSURE FOLLOWUP                |                                |                        | 1.00                                 | Estimated  | 3.03  | 3.03                         | 100%             | 3.03                       | 0.00%   |   |
|                      | INITIAL LICENSURE                    |                                |                        | 120.00                               | Estimated  | 12.46   | 1,495.20                     | 100%             | 1,495.20                   | 0.30%   |   |
|                      | INITIAL LICENSURE FOLLOWUP           |                                |                        | 3.00                                 | Estimated  | 13.25   | 39.75                        | 100%             | 39.75                      | 0.01%   |   |
|                      | COMPLAINT (or ERI)                   |                                |                        | 228.66                               | Complaint/ERI Report                             | 10.01   | 2,288.89                     | 100%             | 2,288.89                   | 0.46%   |   |
|                      | FIELD VISITS                         |                                |                        | 26.00                                | Estimated  | 6.71  | 174.46                       | 100%             | 174.46                     | 0.04%   |   |
|                      | RECERTIFICATION (NON ACCREDITED)     |                                |                        | 208.00                               | Federal Workload Allocation and PY Count FY 2012 | 116.22  | 24,173.76                    | 25%              | 6,043.44                   | 1.22%   |   |
|                      | ADD'L TARGETED SAMPLE                |                                |                        | 31.00                                | Federal Workload Allocation and PY Count FY 2012 | 116.22  | 3,602.82                     | 25%              | 900.71                     | 0.18%   |   |
|                      | RECERTIFICATION FOLLOWUP / REVISI TS |                                |                        | 49.00                                | Federal Workload Allocation and PY Count FY 2012 | 65.85   | 3,226.65                     | 25%              | 806.66                     | 0.16%   |   |
|                      |                                      | <b>SUBTOTAL</b>                |                        |                                      | <b>1,046.66</b>                                  |   |                              | <b>40,731.99</b> |                            | <b>15,322.41</b>  |   |

**CALIFORNIA DEPARTMENT OF PUBLIC HEALTH  
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| FACILITY TYPES             | ACTIVITIES                           | TOTAL LICENSED FACILITY COUNTS | ANNUALIZED SURVEY RATE | WORKLOAD SURVEY ESTIMATE, FY 2012-13 | FY 12-13 ESTIMATE BASIS / DATA SOURCE            | STD AVG HRS (Avg Direct Hrs + Facility Admin Hrs) | TOTAL SURVEY WOURKLOAD HOURS | STATE MATCH %    | TOTAL STATE WORKLOAD HOURS | STATE WORKLOAD HOURS AS A % TO TOTAL STATE WORKLOAD HOURS | TOTAL STATE WORKLOAD HOURS % BY FACILITY TYPE |
|----------------------------|--------------------------------------|--------------------------------|------------------------|--------------------------------------|--|---|------------------------------|------------------|----------------------------|---|---|
| HOSPICES                   | RE-LICENSURE                         | 333                            |                        | 10.00                                | Estimated  | 73.65   | 736.50                       | 100%             | 736.50                     | 0.15%   |   |
|                            | INITIAL LICENSURE                    |                                |                        | 24.00                                | Estimated  | 12.35   | 296.40                       | 100%             | 296.40                     | 0.06%   |   |
|                            | INITIAL LICENSURE FOLLOW UP          |                                |                        | 1.00                                 | Estimated  | 15.45   | 15.45                        | 100%             | 15.45                      | 0.00%   |   |
|                            | COMPLAINT (or ERI)                   |                                |                        | 133.20                               | Complaint/ERI Report                             | 14.08   | 1,875.46                     | 100%             | 1,875.46                   | 0.38%   |   |
|                            | FIELD VISITS                         |                                |                        | 3.00                                 | Estimated  | 8.93  | 26.79                        | 100%             | 26.79                      | 0.01%   |   |
|                            | RE-CERTIFICATION                     |                                |                        | 42.00                                | Federal Workload Allocation and PY Count FY 2012 | 99.08   | 4,161.36                     | 25%              | 1,040.34                   | 0.21%   |   |
|                            | TARGETED SURVEYS                     |                                |                        | 14.00                                | Federal Workload Allocation and PY Count FY 2012 | 99.08   | 1,387.12                     | 25%              | 346.78                     | 0.07%   |   |
|                            | RECERTIFICATION FOLLOWUP / REVISI TS |                                |                        | 28.00                                | Federal Workload Allocation and PY Count FY 2012 | 44.81   | 1,254.68                     | 25%              | 313.67                     | 0.06%   |   |
|                            | LIFE SAFETY CODE                     |                                |                        | 56.00                                | Federal Workload Allocation and PY Count FY 2012 | 78.69   | 4,406.64                     | 25%              | 1,101.66                   | 0.22%   |   |
|                            | LIFE SAFETY CODE- FOLLOW UP          |                                |                        | 28.00                                | Federal Workload Allocation and PY Count FY 2012 | 70.48   | 1,973.44                     | 25%              | 493.36                     | 0.10%   |   |
|                            | <b>SUBTOTAL</b>                      |                                |                        |                                      | <b>349.20</b>                                    |   |                              | <b>16,399.26</b> |                            | <b>6,246.41</b>   |   |
| INTERMEDIATE CARE FACILITY | RE-LICENSURE                         | 5                              | 50%                    | 2.50                                 | HSC 1422 1 yr. or 2 yrs                          | 274.64  | 686.60                       | 100%             | 686.60                     | 0.14%   |   |
|                            | INITIAL LICENSURE                    |                                |                        | 1.00                                 | Estimated  | 16.73   | 16.73                        | 100%             | 16.73                      | 0.00%   |   |
|                            | COMPLAINT (or ERI)                   |                                |                        | 561.17                               | Complaint/ERI Report                             | 8.76  | 4,915.85                     | 100%             | 4,915.85                   | 0.99%   |   |
|                            | FIELD VISITS                         |                                |                        | 4.00                                 | Estimated  | 6.39  | 25.56                        | 100%             | 25.56                      | 0.01%   |   |
|                            | <b>SUBTOTAL</b>                      |                                |                        |                                      | <b>568.67</b>                                    |   |                              | <b>5,644.74</b>  |                            | <b>5,644.74</b>   |   |

**CALIFORNIA DEPARTMENT OF PUBLIC HEALTH  
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STATE WORKLOAD PERCENTAGES FOR FY 12-13**

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| FACILITY TYPES                    | ACTIVITIES                           | TOTAL LICENSED FACILITY COUNTS | ANNUALIZED SURVEY RATE | WORKLOAD SURVEY ESTIMATE, FY 2012-13 | FY 12-13 ESTIMATE BASIS / DATA SOURCE            | STD AVG HRS (Avg Direct Hrs + Facility Admin Hrs) | TOTAL SURVEY WOURKLOAD HOURS | STATE MATCH %     | TOTAL STATE WORKLOAD HOURS | STATE WORKLOAD HOURS AS A % TO TOTAL STATE WORKLOAD HOURS | TOTAL STATE WORKLOAD HOURS % BY FACILITY TYPE |
|-----------------------------------|--------------------------------------|--------------------------------|------------------------|--------------------------------------|--|---|------------------------------|-------------------|----------------------------|---|---|
| ICF - DD; DDH; DDN                | RE-LICENSURE                         | 1,184                          | 50%                    | 592.00                               | HSC 1422 1 yr. or 2 yrs                          | 32.83   | 19,435.36                    | 100%              | 19,435.36                  | 3.91%   | <b>11.90%</b>                                 |
|                                   | INITIAL LICENSURE                    |                                |                        | 15.00                                | Estimated  | 21.82   | 327.30                       | 100%              | 327.30                     | 0.07%   |   |
|                                   | INITIAL LICENSURE - FOLLOW-UP        |                                |                        | 1.00                                 | Field Ops Estimate                               | 16.07   | 16.07                        | 100%              | 16.07                      | 0.00%   |   |
|                                   | COMPLAINT (or ERI)                   |                                |                        | 3,364.84                             | Complaint/ERI Report                             | 6.51  | 21,905.11                    | 100%              | 21,905.11                  | 4.40%   |   |
|                                   | FIELD VISITS                         |                                |                        | 10.00                                | Estimated  | 7.31  | 73.10                        | 100%              | 73.10                      | 0.02%   |   |
|                                   | RECERTIFICATION (ICF-DD-MR)          |                                |                        | 1,186.00                             | Federal Workload Allocation and PY Count FY 2012 | 46.25   | 54,852.50                    | 25%               | 13,713.13                  | 2.76%   |   |
|                                   | RECERTIFICATION FOLLOWUP / REVISI TS |                                |                        | 47.44                                | Federal Workload Allocation and PY Count FY 2012 | 19.16   | 908.95                       | 25%               | 227.24                     | 0.05%   |   |
|                                   | LIFE SAFETY CODE - FOLLOWUP          |                                |                        | 1,186.00                             | Federal Workload Allocation and PY Count FY 2012 | 5.08  | 6,024.88                     | 25%               | 1,506.22                   | 0.30%   |   |
|                                   | LIFE SAFETY CODE                     |                                |                        | 1,186.00                             | Federal Workload Allocation and PY Count FY 2012 | 6.47  | 7,673.42                     | 25%               | 1,918.36                   | 0.39%   |   |
|                                   | <b>SUBTOTAL</b>                      |                                |                        |                                      | <b>7,588.28</b>                                  |   |                              | <b>111,216.69</b> |                            | <b>59,121.88</b>  |   |
| PEDIATRIC DAY HEALTH RESPITE CARE | RE-LICENSURE                         | 16                             |                        | 7.00                                 | Estimated  | 2.02  | 14.14                        | 100%              | 14.14                      | 0.00%   | <b>0.02%</b>                                  |
|                                   | INITIAL LICENSURE                    |                                |                        | 2.00                                 | Estimated  | 19.67   | 39.34                        | 100%              | 39.34                      | 0.01%   |   |
|                                   | INITIAL LICENSURE FOLLOWUP           |                                |                        | 1.00                                 | Estimated  | 6.05  | 6.05                         | 100%              | 6.05                       | 0.00%   |   |
|                                   | COMPLAINT (or ERI)                   |                                |                        | 9.92                                 | Complaint/ERI Report                             | 5.13  | 50.89                        | 100%              | 50.89                      | 0.01%   |   |
|                                   | FIELD VISITS                         |                                |                        | 1.00                                 | Estimated  | 2.02  | 2.02                         | 100%              | 2.02                       | 0.00%   |   |
|                                   | <b>SUBTOTAL</b>                      |                                |                        |                                      | <b>20.92</b>                                     |   |                              | <b>112.44</b>     |                            | <b>112.44</b>   |   |

**CALIFORNIA DEPARTMENT OF PUBLIC HEALTH  
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| FACILITY TYPES            | ACTIVITIES                  | TOTAL LICENSED FACILITY COUNTS | ANNUALIZED SURVEY RATE | WORKLOAD SURVEY ESTIMATE, FY 2012-13 | FY 12-13 ESTIMATE BASIS / DATA SOURCE                          | STD AVG HRS (Avg Direct Hrs + Facility Admin Hrs) | TOTAL SURVEY WOURKLOAD HOURS | STATE MATCH % | TOTAL STATE WORKLOAD HOURS | STATE WORKLOAD HOURS AS A % TO TOTAL STATE WORKLOAD HOURS | TOTAL STATE WORKLOAD HOURS % BY FACILITY TYPE |
|---------------------------|-----------------------------|--------------------------------|------------------------|--------------------------------------|--|---|------------------------------|---------------|----------------------------|---|---|
| PSYCHOLOGY CLINIC         | RE-LICENSURE                | 24                             | 33%                    | 7.92                                 | HSC 1228 Once every 3 yrs.                                     | 48.82   | 386.65                       | 100%          | 386.65                     | 0.08%   | <b>0.08%</b>                                  |
|                           | INITIAL LICENSURE           |                                |                        | 1.00                                 | Estimated  | 7.25  | 7.25                         | 100%          | 7.25                       | 0.00%   |   |
|                           | <b>SUBTOTAL</b>             |                                |                        |                                      | <b>8.92</b>  |   |                              | <b>393.90</b> |                            | <b>393.90</b>   |   |
| REFERRAL AGENCIES         | RE-LICENSURE                | 5                              |                        | 2.00                                 | Estimated  | 50.00   | 100.00                       | 100%          | 100.00                     | 0.02%   | <b>0.02%</b>                                  |
|                           | INITIAL LICENSURE           |                                |                        | 1.00                                 | Estimated  | 14.50   | 14.50                        | 100%          | 14.50                      | 0.00%   |   |
|                           | <b>SUBTOTAL</b>             |                                |                        |                                      | <b>3.00</b>  |   |                              | <b>114.50</b> |                            | <b>114.50</b>   |   |
| REHAB CLINIC / OPT / CORF | RE-LICENSURE                | 14                             | 33%                    | 4.62                                 | HSC 1228 Once every 3 yrs. Except MC Certified (CORF & OPT/SP) | 32.00   | 147.84                       | 100%          | 147.84                     | 0.03%   | <b>0.04%</b>                                  |
|                           | INITIAL LICENSURE           |                                |                        | 1.00                                 | Estimated  | 16.46   | 16.46                        | 100%          | 16.46                      | 0.00%   |   |
|                           | COMPLAINT (or ERI)          |                                |                        | 3.00                                 | Complaint/ERI Report   | 4.21  | 12.63                        | 100%          | 12.63                      | 0.00%   |   |
|                           | TARGETED SURVEYS (OPT)      |                                |                        | 8.00                                 | Federal Workload Allocation and PY Count FY 2012               | 28.07   | 224.56                       | 25%           | 56.14                      | 0.01%   |   |
|                           | 5 % TARGETED SURVEYS (CORF) |                                |                        | 3.00                                 | Federal Workload Allocation and PY Count FY 2012               | 14.79   | 44.37                        | 25%           | 11.09                      | 0.00%   |   |
|                           | <b>SUBTOTAL</b>             |                                |                        |                                      | <b>19.62</b>   |   |                              | <b>445.86</b> |                            | <b>244.16</b>   |   |

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| FACILITY TYPES  | ACTIVITIES   | TOTAL LICENSED FACILITY COUNTS | ANNUALIZED SURVEY RATE | WORKLOAD SURVEY ESTIMATE, FY 2012-13 | FY 12-13 ESTIMATE BASIS / DATA SOURCE            | STD AVG HRS (Avg Direct Hrs + Facility Admin Hrs) | TOTAL SURVEY WOURKLOAD HOURS | STATE MATCH % | TOTAL STATE WORKLOAD HOURS | STATE WORKLOAD HOURS AS A % TO TOTAL STATE WORKLOAD HOURS | TOTAL STATE WORKLOAD HOURS % BY FACILITY TYPE |
|-----------------|--|--------------------------------|------------------------|--------------------------------------|--|---|------------------------------|---------------|----------------------------|---|---|
| SKILLED NURSING | RE-LICENSURE   | 1,288                          | 50%                    | 644.00                               | HSC 1422 1 yr. or 2 yrs                          | 57.09   | 36,765.96                    | 100%          | 36,765.96                  | 7.39%   |   |
|                 | RE- LICENSURE FOLLOW UP                                    |                                |                        | 4.00                                 | Estimated  | 3.72  | 14.88                        | 100%          | 14.88                      | 0.00%   |   |
|                 | INITIAL LICENSURE  |                                |                        | 3.00                                 | Estimated  | 14.36   | 43.08                        | 100%          | 43.08                      | 0.01%   |   |
|                 | INITIAL LICENSURE FOLLOW UP                                |                                |                        | 1.00                                 | Estimated  | 14.48   | 14.48                        | 100%          | 14.48                      | 0.00%   |   |
|                 | COMPLAINT (or ERI)   |                                |                        | 8,462.13                             | Complaint/ERI Report                             | 12.64   | 106,961.32                   | 100%          | 106,961.32                 | 21.51%  |   |
|                 | FIELD VISITS   |                                |                        | 70.00                                | Estimated  | 29.79   | 2,085.30                     | 100%          | 2,085.30                   | 0.42%   |   |
|                 | RECERTIFICATION (NF - TITLE 19)                            |                                |                        | 62.00                                | Federal Workload Allocation and PY Count FY 2012 | 207.18  | 12,845.16                    | 25.00%        | 3,211.29                   | 0.65%   |   |
|                 | RECERTIFICATION (SNF/NF - TITLE 18/19)                     |                                |                        | 1,119.00                             | Federal Workload Allocation and PY Count FY 2012 | 207.18  | 231,834.42                   | 12.50%        | 28,979.30                  | 5.83%   |   |
|                 | RECERTIFICATION FOLLOWUP / REVISITS (NF - TITLE 19)        |                                |                        | 7.00                                 | Federal Workload Allocation and PY Count FY 2012 | 71.68   | 501.76                       | 25.00%        | 125.44                     | 0.03%   |   |
|                 | RECERTIFICATION FOLLOWUP / REVISITS (SNF/NF - TITLE 18/19) |                                |                        | 123.09                               | Federal Workload Allocation and PY Count FY 2012 | 71.68   | 8,823.09                     | 12.50%        | 1,102.89                   | 0.22%   |   |
|                 | LIFE SAFETY CODE (NF - TITLE 19)                           |                                |                        | 62.00                                | Federal Workload Allocation and PY Count FY 2012 | 18.34   | 1,137.08                     | 25.00%        | 284.27                     | 0.06%   |   |
|                 | LIFE SAFETY CODE (SNF/NF - TITLE 18/19)                    |                                |                        | 1,119.00                             | Federal Workload Allocation and PY Count FY 2012 | 18.34   | 20,522.46                    | 12.50%        | 2,565.31                   | 0.52%   |   |
|                 | LIFE SAFETY CODE - FOLLOW UP (NF - TITLE 19)               |                                |                        | 2.00                                 | Federal Workload Allocation and PY Count FY 2012 | 8.19  | 16.38                        | 25.00%        | 4.10                       | 0.00%   |   |
|                 | LIFE SAFETY CODE - FOLLOW UP SNF/(NF - TITLE 18/19)        |                                |                        | 33.57                                | Federal Workload Allocation and PY Count FY 2012 | 8.19  | 235.01                       | 12.50%        | 29.38                      | 0.01%   |   |

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| FACILITY TYPES                 | ACTIVITIES   | TOTAL LICENSED FACILITY COUNTS | ANNUALIZED SURVEY RATE | WORKLOAD SURVEY ESTIMATE, FY 2012-13 | FY 12-13 ESTIMATE BASIS / DATA SOURCE            | STD AVG HRS (Avg Direct Hrs + Facility Admin Hrs) | TOTAL SURVEY WOURKLOAD HOURS | STATE MATCH %     | TOTAL STATE WORKLOAD HOURS | STATE WORKLOAD HOURS AS A % TO TOTAL STATE WORKLOAD HOURS | TOTAL STATE WORKLOAD HOURS % BY FACILITY TYPE |               |
|--------------------------------|--|--------------------------------|------------------------|--------------------------------------|--|---|------------------------------|-------------------|----------------------------|---|---|---------------|
| SKILLED NURSING<br>(CONTINUED) | COMPLAINT INVESTIGATION - LTC (NF - TITLE 19)        |                                |                        | 268.00                               | Federal Workload Allocation and PY Count FY 2012 | 12.64   | 3,387.52                     | 25.00%            | 846.88                     | 0.17%   |   |               |
|                                | COMPLAINT INVESTIGATION - LTC (SNF/NF - TITLE 18/19) |                                |                        | 6,750.00                             | Federal Workload Allocation and PY Count FY 2012 | 12.64   | 85,320.00                    | 100.00%           | 85,320.00                  | 17.16%  |   |               |
|                                | INFORMAL DISPUTE RESOLUTION (NF - TITLE 19)          |                                |                        | 20.00                                | Federal Workload Allocation and PY Count FY 2012 | 4.00  | 80.00                        | 25.00%            | 20.00                      | 0.01%   |   |               |
|                                | INFORMAL DISPUTE RESOLUTION (SNF/NF - TITLE 18/19)   |                                |                        | 369.00                               | Federal Workload Allocation and PY Count FY 2012 | 4.00  | 1,476.00                     | 12.50%            | 184.50                     | 0.04%   |   |               |
|                                | FEDERAL HEARING (NF - TITLE 19)                      |                                |                        | 4.00                                 | Federal Workload Allocation and PY Count FY 2012 | 500.00  | 2,000.00                     | 25.00%            | 500.00                     | 0.10%   |   |               |
|                                | FEDERAL HEARING (SNF/NF - TITLE 18/19)               |                                |                        | 55.00                                | Federal Workload Allocation and PY Count FY 2012 | 500.00  | 27,500.00                    | 12.50%            | 3,437.50                   | 0.69%   |   |               |
|                                | PRE-REFERRAL HEARING (SNF - TITLE 19)                |                                |                        | 4.00                                 | Federal Workload Allocation and PY Count FY 2012 | 2.00  | 8.00                         | 25.00%            | 2.00                       | 0.00%   |   |               |
|                                | PRE-REFERRAL HEARING (SNF/NF - TITLE 18/19)          |                                |                        | 55.00                                | Federal Workload Allocation and PY Count FY 2012 | 2.00  | 110.00                       | 12.50%            | 13.75                      | 0.00%   |   |               |
|                                | MONITORING VISITS (SNF - TITLE 19)                   |                                |                        | 4.00                                 | Federal Workload Allocation and PY Count FY 2012 | 5.00  | 20.00                        | 25.00%            | 5.00                       | 0.00%   |   |               |
|                                | MONITORING VISITS (SNF/NF - TITLE 18/19)             |                                |                        | 55.00                                | Federal Workload Allocation and PY Count FY 2012 | 5.00  | 275.00                       | 12.50%            | 34.38                      | 0.01%   |   |               |
|                                | OTHER MISC ACTIVITIES (APPEALS, HEARING, ETC)        |                                |                        | 20.00                                | Federal Workload Allocation and PY Count FY 2012 | 2.50  | 50.00                        | 12.50%            | 6.25                       | 0.00%   |   |               |
|                                |  | <b>SUBTOTAL</b>                |                        |                                      | <b>19,554.79</b>                                 |   |                              | <b>561,474.52</b> |                            | <b>272,557.24</b>   | <b>54.83%</b>                                 | <b>54.83%</b> |

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| FACILITY TYPES        | ACTIVITIES                           | TOTAL<br>LICENSED<br>FACILITY<br>COUNTS | ANNUALIZED<br>SURVEY RATE | WORKLOAD<br>SURVEY<br>ESTIMATE, FY<br>2012-13 | FY 12-13 ESTIMATE<br>BASIS / DATA SOURCE            | STD AVG HRS<br>(Avg Direct Hrs +<br>Facility Admin Hrs) | TOTAL SURVEY<br>WOURKLOAD<br>HOURS | STATE MATCH<br>% | TOTAL STATE<br>WORKLOAD<br>HOURS | STATE WORKLOAD<br>HOURS AS A % TO<br>TOTAL STATE<br>WORKLOAD HOURS | TOTAL STATE<br>WORKLOAD<br>HOURS % BY<br>FACILITY TYPE |
|-----------------------|--------------------------------------|---|---------------------------|---|---|---|------------------------------------|------------------|----------------------------------|--|--|
| SURGICAL CLINIC / ASC | RE-LICENSURE                         | 42                                      | 33%                       | 13.86   | HSC 1228 Once every 3<br>yrs.                       | 1.00  | 13.86                              | 100%             | 13.86                            | 0.00%  |  |
|                       | INITIAL LICENSURE                    |   |                           | 1.00  | Estimated   | 9.99  | 9.99                               | 100%             | 9.99                             | 0.00%  |  |
|                       | COMPLAINT (OR ERI)                   |   |                           | 23.54   | Complaint/ERI Report                                | 0.51  | 12.01                              | 100%             | 12.01                            | 0.00%  |  |
|                       | FIELD VISIT                          |   |                           | 1.00  | Estimated   | 18.55   | 18.55                              | 100%             | 18.55                            | 0.00%  |  |
|                       | TARGETED SURVEY - NON-DEEMED         |   |                           | 113.00  | Federal Workload Allocation<br>and PY Count FY 2012 | 93.19   | 10,530.47                          | 25%              | 2,632.62                         | 0.53%  |  |
|                       | RECERTIFICATION FOLLOWUP / REVISI TS |   |                           | 67.00   | Federal Workload Allocation<br>and PY Count FY 2012 | 27.56   | 1,846.52                           | 25%              | 461.63                           | 0.09%  |  |
|                       | COMPLAINT VALIDATION - NLTC          |   |                           | 3.00  | Federal Workload Allocation<br>and PY Count FY 2012 | 56.80   | 170.40                             | 25%              | 42.60                            | 0.01%  |  |
|                       | COMPLAINT INVESTIGATION - NLTC       |   |                           | 33.00   | Federal Workload Allocation<br>and PY Count FY 2012 | 20.02   | 660.66                             | 25%              | 165.17                           | 0.03%  |  |
|                       | LIFE SAFETY CODE                     |   |                           | 113.00  | Federal Workload Allocation<br>and PY Count FY 2012 | 12.79   | 1,445.27                           | 25%              | 361.32                           | 0.07%  |  |
|                       | LIFE SAFETY CODE - FOLLOWUP          |   |                           | 28.00   | Federal Workload Allocation<br>and PY Count FY 2012 | 6.49  | 181.72                             | 25%              | 45.43                            | 0.01%  |  |
|                       |                                      | <b>SUBTOTAL</b>                         |                           |   | <b>418.40</b>                                       |   |                                    | <b>15,779.24</b> |                                  | <b>3,763.17</b>  |  |
|                       | <b>GRAND TOTAL</b>                   |   |                           | <b>41,263.56</b>                              |   |   | <b>943,689.01</b>                  |                  | <b>497,288.79</b>                | <b>100.00%</b>   | <b>100.00%</b>   |

**CALIFORNIA DEPARTMENT OF PUBLIC HEALTH  
LICENSING AND CERTIFICATION PROGRAM  
ANNUAL HEALTH FACILITY LICENSING FEES FY 2012-13**

| FACILITY TYPE | STATE WKLD % RATE                      | BEG BASELINE BUDGET COST FY 11-12 | BASELINE BUDGET COST ADJUSTMENTS      |                                 |                            |                       |   |  |   |   |                                       | TOTAL BASELINE BUDGET COST | BCP/ESTIMATE   |                    |                           | CREDITS & ADJUSTMENTS | PROPOSED SPECIAL FUND SUBTOTAL | INITIAL PROGRAM RESERVE USED | FACILITY (F) / BED COUNTS (B) |       |                |   |             | PROPOSED FEES |                |              |              |
|---------------|--|-----------------------------------|---------------------------------------|---------------------------------|----------------------------|-----------------------|---|--|---|---|---------------------------------------|----------------------------|--|--------------------|---------------------------|-----------------------|--------------------------------|------------------------------|-------------------------------|-------|----------------|---|-------------|---------------|----------------|--------------|--------------|
|               |  |                                   | BY 12-13 0110 GENERAL SALARY INCREASE | BY 12-13 0120 EMPLOYEE COMP ADJ | BY 12-13 200 PERS RATE ADJ | BY 12-13 002 PRO RATA | REMOVAL OF FY 11-12 001 BUDGET CYCLE ADJ - PRO RATA | BY 12-13 0700 003 CS3.91R 004 CS3.91C 005 DEPT. OVERHEAD | BY 12-13 250 LIMITED TERM POSITION EXPIRING | BY 12-13 LEASE REVENUE DEBT SERVICE ADJ | BCP HQ 02 HAI PUBLIC REPORTING (GACH) |                            | BCP Transition DMH Programs to DPH Ofce of Health Equities | PROGRAM COST TOTAL | CHOW'S & LATE FEES CREDIT |                       |                                |                              | NON-STATE                     |       | STATE OPERATED |   | TOTAL COUNT | NON-STATE FEE | STATE OPERATED | \$ 5,000,000 |              |
|               |  |                                   | D                                     | E                               | F                          | G                     | H   | I  | J   | K                                       | L                                     |                            | M  | N                  | N                         |                       |                                |                              | O                             | P     | Q              | R | S           | T             | U              | V            | W            |
| 1             | ALTERNATIVE BIRTHING CENTERS           | 0.02%                             | \$ 18,241                             | \$ 23                           | \$ 56                      | \$ 42                 | \$ 680  | \$ (717)   | \$ 89                                       | \$ (26)                                 | \$ -                                  | 18,387                     |  | \$ (3)             | 18,384                    | (7,553)               | 10,832                         | 7,020                        | 17,851                        | 6     |                |   |             | 6             | 2,975.24       |              |              |
| 2             | ADULT DAY HEALTH CENTERS               | 0.43%                             | 392,190                               | 490                             | 1,200                      | 899                   | 14,624  | (15,420)   | 1,914                                       | (568)                                   | 4                                     | 395,333                    |  | (69)               | 395,265                   | (37,932)              | 357,332                        | 896,310                      | 1,253,642                     | 301   |                |   |             | 301           | 4,164.92       |              |              |
| 3             | CHRONIC DIALYSIS CLINIC                | 1.66%                             | 1,514,036                             | 1,892                           | 4,631                      | 3,469                 | 56,457  | (59,528)   | 7,387                                       | (2,191)                                 | 17                                    | 1,526,171                  |  | (266)              | 1,525,905                 | (83,687)              | 1,442,218                      | 190,470                      | 1,632,688                     | 454   |                | 3 |             | 457           | 3,578.29       | \$2,714.87   | \$ 8,145     |
| 4             | CHEMICAL DEPENDENCY RECOVERY HOSPITALS | 0.09%                             | 82,086                                | 103                             | 251                        | 188                   | 3,061   | (3,227)  | 401   | (119)                                   | 1                                     | 82,744                     |  | (14)               | 82,730                    | (4,119)               | 78,611                         | -                            | 78,611                        |       | 411            |   |             | 411           | 191.27         |              |              |
| 5             | COMMUNITY CLINIC/PCC/FREEC             | 0.69%                             | 629,328                               | 787                             | 1,925                      | 1,442                 | 23,467  | (24,743)   | 3,071                                       | (911)                                   | 7                                     | 634,372                    |  | (110)              | 634,262                   | (46,179)              | 588,082                        | 151,830                      | 739,912                       | 1,030 |                |   |             | 1,030         | 718.36         |              |              |
| 6             | CORRECTIONAL TREATMENT CENTERS         | 0.39%                             | 355,707                               | 445                             | 1,088                      | 815                   | 13,264  | (13,985)   | 1,736                                       | (515)                                   | 4                                     | 358,558                    |  | (62)               | 358,496                   | -                     | 358,496                        | (43,414)                     | 315,082                       |       | 196            |   | 447         | 643           | 573.70         | \$ 453.33    | 202,637      |
| 7             | HOME HEALTH AGENCIES                   | 3.09%                             | 2,818,296                             | 3,523                           | 8,621                      | 6,458                 | 105,091   | (110,807)  | 13,751                                      | (4,079)                                 | 31                                    | 2,840,884                  |  | (494)              | 2,840,390                 | (839,254)             | 2,001,136                      | 3,911,058                    | 5,912,194                     | 1,370 |                |   |             | 1,370         | 4,315.47       |              |              |
| 8             | HOSPICE                                | 1.26%                             | 1,149,208                             | 1,436                           | 3,515                      | 2,633                 | 42,853  | (45,184)   | 5,607                                       | (1,663)                                 | 13                                    | 1,158,419                  |  | (202)              | 1,158,217                 | (384,822)             | 773,395                        | -                            | 773,395                       | 332   |                | 1 |             | 333           | 2,320.98       | \$2,828.03   | 2,828        |
| 9             | PEDIATRIC DAY HEALTH/RESPIRE CARE      | 0.02%                             | 18,241                                | 23                              | 56                         | 42                    | 680   | (717)  | 89  | (26)                                    | -                                     | 18,387                     |  | (3)                | 18,384                    | (14)                  | 18,370                         | 33,331                       | 51,701                        |       | 275            |   |             | 275           | 188.01         |              |              |
| 10            | PSYCHOLOGY CLINIC                      | 0.08%                             | 72,966                                | 91                              | 223                        | 167                   | 2,721   | (2,869)  | 356   | (106)                                   | 1                                     | 73,550                     |  | (13)               | 73,538                    | (1,028)               | 72,510                         | (37,070)                     | 35,440                        | 24    |                |   |             | 24            | 1,476.66       |              |              |
| 11            | REFERRAL AGENCIES                      | 0.02%                             | 18,241                                | 23                              | 56                         | 42                    | 680   | (717)  | 89  | (26)                                    | -                                     | 18,387                     |  | (3)                | 18,384                    | (3,360)               | 15,024                         | 6,816                        | 21,840                        | 5     |                |   |             | 5             | 4,368.01       |              |              |
| 12            | REHAB CLINIC                           | 0.04%                             | 36,483                                | 46                              | 112                        | 84                    | 1,360   | (1,434)  | 178   | (53)                                    | -                                     | 36,775                     |  | (6)                | 36,768                    | (54)                  | 36,714                         | (33,084)                     | 3,631                         | 14    |                |   |             | 14            | 259.35         |              |              |
| 13            | SURGICAL CLINIC                        | 0.74%                             | 674,932                               | 844                             | 2,065                      | 1,547                 | 25,167  | (26,536)   | 3,293                                       | (977)                                   | 7                                     | 680,341                    |  | (118)              | 680,223                   | (8,543)               | 671,680                        | (567,226)                    | 104,454                       | 42    |                |   |             | 42            | 2,487.00       |              |              |
| 14            | ACUTE PSYCHIATRIC HOSPITALS            | 1.54%                             | 1,404,588                             | 1,756                           | 4,297                      | 3,219                 | 52,375  | (55,224)   | 6,853                                       | (2,033)                                 | 15                                    | 1,415,845                  |  | (246)              | 1,415,599                 | (40,755)              | 1,374,844                      | 609,744                      | 21,973,726                    |       | 6,487          |   | 2,234       | 82,903        | 266.58         | 214.08       | 515,942      |
| 15            | GENERAL ACUTE CARE HOSPITALS           | 21.67%                            | 19,764,557                            | 24,704                          | 60,459                     | 45,290                | 736,997   | (777,086)  | 96,432                                      | (28,604)                                | 217                                   | 19,922,965                 | 493,000  | (3,467)            | 20,412,497                | (423,359)             | 19,989,138                     |                              |                               |       | 74,006         |   | 176         |               |                |              |              |
| 16            | CONGREGATE LIVING HEALTH FACILITY      | 0.39%                             | 355,707                               | 445                             | 1,088                      | 815                   | 13,264  | (13,985)   | 1,736                                       | (515)                                   | 4                                     | 358,558                    |  | (62)               | 358,496                   | (24,332)              | 334,163                        | (10,135,100)                 | 40,086,790                    |       | 475            |   |             |               |                |              |              |
| 17            | INTERMEDIATE CARE FACILITY             | 1.14%                             | 1,039,760                             | 1,300                           | 3,181                      | 2,383                 | 38,771  | (40,880)   | 5,073                                       | (1,505)                                 | 11                                    | 1,048,093                  |  | (182)              | 1,047,911                 | (13,463)              | 1,034,448                      |                              |                               |       | 536            |   | 4,986       | 128,106       | 312.00         | 328.82       | 2,308,322    |
| 18            | SKILLED NURSING FACILITY               | 54.83%                            | 50,008,798                            | 62,506                          | 152,976                    | 114,595               | 1,864,768   | (1,966,204)  | 243,994                                     | (72,376)                                | 549                                   | 50,409,606                 |  | (8,773)            | 50,400,833                | (1,547,554)           | 48,853,279                     |                              |                               |       | 120,075        |   | 2,034       |               |                |              |              |
| 19            | ICF-DD, DDH, DDN                       | 11.90%                            | 10,853,633                            | 13,566                          | 33,201                     | 24,871                | 404,719   | (426,734)  | 52,955                                      | (15,708)                                | 119                                   | 10,940,622                 |  | (1,904)            | 10,938,718                | (270,700)             | 10,668,018                     | (3,473,023)                  | 7,194,995                     |       | 9,016          |   | 2,552       | 11,568        | 580.40         | 768.86       | 1,962,127    |
|               |  | 100.00%                           | \$ 91,207,000                         | \$ 114,000                      | \$ 279,000                 | \$ 209,000            | \$ 3,401,000  | \$ (3,586,000)   | \$ 445,000                                  | \$ (132,000)                            | \$ 1,000                              | \$91,938,000               | \$ 493,000   | \$ (16,000)        | \$92,415,000              | \$ (3,736,710)        | \$ 88,678,290                  | \$ (8,482,339)               | \$ 80,195,952                 | 3,578 | 211,477        | 4 | 12,429      | 227,488       |                |              | \$ 5,000,000 |