



KAREN L. SMITH, MD, MPH
 Director and State Public Health Officer

State of California – Health and Human Services Agency
California Department of Public Health
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EDMUND G. BROWN JR.
 Governor

Fund Condition Statement
 State Health Facilities Citation Penalties Account
 Special Deposit Fund 0942-601
 Quarter Ending June 30, 2016

FUNDING FISCAL YEAR	BUDGET ACT APPROPRIATION *	EXPENDITURES *	BUDGET ACT APPROPRIATION BALANCE *	REVENUES *
SFY 2016-17**	3,337	0	3,337	2,425
SFY 2015-16 FM 12 **	4,337	1,970	2,367	2,104
SFY 2014-15	3,337	1,187	2,150	2,147
SFY 2013-14	3,337	1,187	2,150	2,693
SFY 2012-13	3,337	1,402	1,935	2,630
SFY 2011-12	3,337	2,014	1,323	3,084

*Figures in thousand dollars

**Reflect projections from Governor’s Budget and May revised revenues. SFY 2015-16 FM12 includes actual expenditures and revenues through June 30, 2016.





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Fund Condition Statement – Projected
SFY 2016-17
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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
* Figures in thousand dollars	
FUND BEGINNING BALANCE - JULY 1, 2016	7,957
Prior Year Adjustment	<u>0</u>
Adjusted Fund Beginning Balance	<u>7,957</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,391
4163000 Income from Surplus Money Investment	<u>34</u>
Total Revenues, Transfers and Other Adjustments	<u>2,425</u>
Total Resources	<u>10,382</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,193
4265 Department of Public Health (State Operations)	<u>2,144</u>
Total Expenditures and Expenditure Adjustments	<u>3,337</u>
FUND BALANCE, END - JUNE 30, 2017	<u>7,045</u>





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Fund Condition Statement – Projected
SFY 2015-16
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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
* Figures in thousand dollars	
FUND BEGINNING BALANCE - JULY 1, 2015	9,869
Prior Year Adjustment	<u>0</u>
Adjusted Fund Beginning Balance	<u>9,869</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,391
4163000 Income from Surplus Money Investment	<u>34</u>
Total Revenues, Transfers and Other Adjustments	<u>2,425</u>
Total Resources	<u>12,294</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	2,193
4265 Department of Public Health (State Operations)	<u>2,144</u>
Total Expenditures and Expenditure Adjustments	<u>4,337</u>
FUND BALANCE, END - JUNE 30, 2016	<u>7,957</u>





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Fund Condition Statement – Actual
SFY 2015-16 FM12
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SPECIAL DEPOSIT FUND 0942-601
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT

* Figures in thousand dollars

FUND BEGINNING BALANCE - JULY 1, 2015	9,869
Prior Year Adjustment	<u>0</u>
Adjusted Fund Beginning Balance	<u>9,869</u>
 REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,072
4163000 Income from Surplus Money Investment	<u>32</u>
Total Revenues, Transfers and Other Adjustments	<u>2,104</u>
 Total Resources	 <u>11,973</u>
 EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,668
4265 Department of Public Health (State Operations)	<u>302</u>
Total Expenditures and Expenditure Adjustments	<u>1,970</u>
 FUND BALANCE, END – June 30, 2016	 <u>10,003</u>





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Fund Condition Statement – Actual
SFY 2014-15
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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
* Figures in thousand dollars	
FUND BEGINNING BALANCE - JULY 1, 2014	11,948
Prior Year Adjustment	<u>33</u>
Adjusted Fund Beginning Balance	<u>11,981</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,115
4163000 Income from Surplus Money Investment	32
Transfer to General Fund 0001	
per Health and Safety Code section 1417.2 (b)	<u>(3,072)</u>
Total Revenues, Transfers and Other Adjustments	<u>(925)</u>
Total Resources	<u>11,056</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,187
4265 Department of Public Health (State Operations)	<u>0</u>
Total Expenditures and Expenditure Adjustments	<u>1,187</u>
FUND BALANCE, END – June 30, 2015	<u>9,869</u>





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Fund Condition Statement – Actual
SFY 2013-14
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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
* Figures in thousand dollars	
FUND BEGINNING BALANCE - JULY 1, 2013	10,445
Prior Year Adjustment	(3)
Adjusted Fund Beginning Balance	<u>10,442</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,667
4163000 Income from Surplus Money Investment	<u>26</u>
Total Revenues, Transfers and Other Adjustments	<u>2,693</u>
Total Resources	<u>13,135</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,187
4265 Department of Public Health (State Operations)	<u>0</u>
Total Expenditures and Expenditure Adjustments	<u>1,187</u>
FUND BALANCE, END - JUNE 30, 2014	<u>11,948</u>





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Fund Condition Statement – Actual
SFY 2012-13
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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
* Figures in thousand dollars	
FUND BEGINNING BALANCE - JULY 1, 2012	9,902
Prior Year Adjustment	(685)
Adjusted Fund Beginning Balance	<u>9,217</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,601
4163000 Income from Surplus Money Investment	<u>29</u>
Total Revenues, Transfers and Other Adjustments	<u>2,630</u>
Total Resources	<u>11,847</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,186
4265 Department of Public Health (State Operations)	<u>216</u>
Total Expenditures and Expenditure Adjustments	<u>1,402</u>
FUND BALANCE, END - JUNE 30, 2013	<u>10,445</u>





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Fund Condition Statement – Actual
SFY 2011-12
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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
* Figures in thousand dollars	
FUND BEGINNING BALANCE - JULY 1, 2011	10,319
Prior Year Adjustment	(1,487)
Adjusted Fund Beginning Balance	<u>8,832</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	3,049
4163000 Income from Surplus Money	<u>35</u>
Total Revenues, Transfers and Other Adjustments	<u>3,084</u>
Total Resources	<u>11,916</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
Expenditures:	
4170 Department of Aging	1,186
4265 Department of Public Health (State Operations)	<u>828</u>
Total Expenditures and Expenditure Adjustments	<u>2,014</u>
FUND BALANCE, END - JUNE 30, 2012	<u>9,902</u>





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Expenditures – Actual
SFY 2015-16 FM12
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SPECIAL DEPOSIT FUND 0942-601		
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT		
* Figures in thousand dollars		
<u>TEMPORARY MANAGER</u>	<u>FACILITY NAME</u>	<u>EXPENDITURES</u> **
QUALITY HEALTHCARE ASSET MANAGEMENT	CREST HAVEN SKILLED NURSING FACILITY	274
QUALITY HEALTHCARE ASSET MANAGEMENT	SOUTHERN INYO HOSPITAL	<u>28</u>
	TOTAL	<u>302</u>

** SFY 2015-16 FM12 expenditures reflect actual data representing \$302 thousand year to date expenditures through June 30, 2016.





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Expenditures – Actual
SFY 2012-13
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SPECIAL DEPOSIT FUND 0942-601		
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT		
* Figures in thousand dollars		
<u>TEMPORARY MANAGER</u>	<u>FACILITY NAME</u>	<u>EXPENDITURES</u> **
HFS CONSULTANTS	GRANITE HILLS CONVALESCENT HOSPITAL	<u>216</u>
	TOTAL	<u>216</u>

** SFY 2012-13 expenditures reflect actual data through June 30, 2013.





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Expenditures – Actual
SFY 2011-12
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SPECIAL DEPOSIT FUND 0942-601		
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT		
* Figures in thousand dollars		
<u>TEMPORARY MANAGER</u>	<u>FACILITY NAME</u>	<u>EXPENDITURES **</u>
HFS CONSULTANTS	GRANITE HILLS HEALTHCARE, INC.	524
BRIUS, LLC	CENTRAL COAST NURSING CENTER	<u>304</u>
	TOTAL	<u>828</u>

** SFY 2011-12 expenditures reflect actual data through June 30, 2012.





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STATE CITATION DETAILED REPORT
4th Quarter of Fiscal Year 15-16
Fiscal Years¹ 15-16, 14-15, 13-14, 12-13

	Fiscal Year 15-16 (7/1/15-06/30/16)			Fiscal Year 14-15			Fiscal Year 13-14			Fiscal Year 12-13		
	Total Amount Assessed	% of \$ Assessed	# of Citations Issued	Total Amount Assessed	% of \$ Assessed	# of Citations Issued	Total Amount Assessed	% of \$ Assessed	# of Citations Issued	Total Amount Assessed	% of \$ Assessed	# of Citations Issued
TOTAL AMOUNT ASSESSED	\$3,631,447	100%	439	\$2,602,550	100%	329	\$2,641,850	100%	523	\$2,051,300	100%	341
ALLOWABLE ADJUSTMENTS²	\$516,352	14%	2	\$456,905	18%	26	\$676,220	26%	53	\$610,775	30%	32
Reduced	\$1,400	1%	2	\$88,600	19%	18	\$204,930	30%	27	\$209,225	34%	25
Dismissed	\$0	0%	0	\$0	0%	0	\$39,200	6%	20	\$75,000	12%	2
35% payment to Offset	\$514,777	98%	(252)	\$329,105	72%	(176)	\$425,740	62%	(275)	\$276,500	45%	(221)
Uncollectable Other	\$0	0%	0	\$17,200	4%	5	\$2,350	1%	2	\$10,050	2%	3
Withdrawn	\$0	0%	0	\$22,000	5%	3	\$4,000	1%	4	\$40,000	7%	2
NET AMOUNT SUBJECT TO COLLECTION³	\$3,115,095	86%		\$2,145,645	82%		\$1,965,630	74%		\$1,440,525	70%	
AMOUNT COLLECTED TO DATE	\$1,388,040	38%	328	\$1,352,895	52%	262	\$1,430,880	54%	371	\$1,199,075	58%	294
65% payment	\$956,340	69%	252	\$611,195	45%	176	\$790,660	55%	275	\$513,500	43%	221
Full payment	\$394,050	27%	76	\$552,700	41%	86	\$309,800	22%	96	\$209,200	18%	73
Installment payment	\$0	0%	0	\$1,500	1%	(1)	\$7,800	1%	(1)	\$152,000	13%	(3)
Continuing Penalty payment	\$12,650	1%	(11)	\$5,600	1%	(13)	\$6,750	1%	(14)	\$10,650	1%	(14)
Medi-Cal Offset payment	\$0	0%	0	\$0	1%	0	\$3,500	1%	(2)	\$0	0%	0
Other payment	\$23,475	1%	(4)	\$46,000	3%	(4)	\$38,650	3%	(4)	\$0	0%	0
Settlement payment	\$7,000	1%	(2)	\$159,900	6%	(19)	\$287,870	15%	(26)	\$315,725	24%	(25)
Reverse payment	(\$5,475)	1%	(5)	(\$24,000)	2%	(2)	(\$14,150)	2%	(3)	(\$2,000)	1%	(2)
PENDING RESOLUTION⁴	\$1,727,055	48%	109	\$792,750	30%	41	\$534,750	20%	99	\$241,450	12%	15
Litigation												
Citation Review Conference	\$0	0%	0	\$0	0%	0	\$0	0%	0	\$0	0%	0
Administrative Law Judge	\$57,100	3%	32	\$27,650	3%	15	\$158,600	30%	80	\$8,500	3%	7
Superior/Municipal Court	\$1,466,705	85%	50	\$765,100	97%	26	\$376,150	70%	19	\$137,350	57%	5
Binding Arbitration	\$4,750	1%	3	\$0	0%	0	\$0	0%	0	\$0	0%	0
Collection in Process	\$198,500	11%	24	\$0	0%	0	\$0	0%	0	\$95,600	40%	3

Footnotes:

- Fiscal Year dates refer to the date the citation was issued.
- Allowable Adjustments include reduction amount of citations paid @ 65% per HSC Sections 1428.1, and 1424.5(b). Citations paid within 15 days (Class AA or A - 30 days for skilled nursing or intermediate care facilities) are reduced by 35%. Amount reduced or dismissed in appeals and/or settlements, uncollectable due to bankruptcy (discharged), change of ownership, facility closure or withdrawn by the Department.
- Net Amount Subject to Collection reflects the collectable amount after allowable adjustments.
- Pending Resolution includes citations in litigation/appealed to a citation review conference (appeal option available for citations issued prior to 1/1/12), administrative law judge, binding arbitration or court. Collection in Process includes active payment demands, Medi-Cal offset, settlement money pending
- Citation numbers reflected in parenthesis are non-add figures.

