

# Navigating the State Enforcement Actions Dashboard (SEA DASH)

## About State Enforcement Actions

The California Department of Public Health (CDPH), through the Center for Health Care Quality (CHCQ), is responsible for ensuring that more than 30 types of health facilities comply with state or federal laws and regulations. For some state regulatory violations, CDPH may issue a citation or an administrative penalty with monetary consequences. These actions vary by facility type. This search tool provides online access to all state enforcement actions that CDPH has issued since July 1, 1998. Users may search the database by enforcement action attributes such as penalty type, facility, or issue date, or with a key word search against investigation narratives. Electronic full-text investigation narratives are available for all AA and A citations, B citations issued since January 1, 2012, and all other enforcement actions issued since January 1, 2015.

## About the Dashboard Design

The State Enforcement Action Dashboard was designed to address common questions that advocates, researchers, and other departments have, about state enforcement actions. These include being able to identify:

- facility compliance history
- specific types of issues (for example, suicide)
- issues by severity (for example, all AA citations)

The State Enforcement Action Dashboard is refreshed weekly.

## About this User Guide

This document shows how the dashboard can be used to answer common questions, demonstrates some of dashboard's functionality, and shares general navigation tips.

## Table of Contents

[Use Case 1 – Filtering on Penalty Type and Issue Date](#)

[Use Case 2 – Filtering on One Penalty of Interest](#)

[Use Case 3 – Filtering on Issue of Interest](#)

[Where to Find Dashboard Results](#)

[Using the Penalty Issue Date Filter and General User Tips](#)

[Dashboard Buttons and Functions](#)

[Printing Help](#)

[Links to Related Information](#)

## **Use Case 1 – Filtering on Penalty Type and Issue Date**

I want to see how many AA and A citations have been issued since 01/01/2000.

The filter sections allow users to select the enforcement actions of interest. Selected filters will be applied to both the Summary and Detail tab results. For this use case, make the following filter selections:

- Go to the “Summary” tab of the State Enforcement Actions Dashboard.
  - Go to the control tools at the bottom of the page, select “Pause”.
  - Go to Penalty Type. Deselect “All”. Select “Citation – AA” and “Citation – A”.
  - Go to Penalty Issue Date Between. Enter “01/01/2000” (overwrite the default date of 01/01/2015) in the first box. Leave the second box as “Today”.
  - Go to the control tools at the bottom of the page, select “Resume” to apply filters.
- Results will display on Total State Enforcement Actions chart, as well as in the Details tab.

## **Use Case 2 – Filtering on One Facility of Interest**

I want to see how many enforcement actions the CDPH has issued to a particular facility, in the last 5 years.

For this use case, make the following filter selections:

- Go to the “Summary” tab of the State Enforcement Actions Dashboard.
  - Go to the control tools at the bottom of the page, select “Pause”.
  - Go to Facility Name. Deselect “All”. Select “[facility of interest]”.
  - Go to Penalty Issue Date Between. Enter “01/01/2014” (overwrite the default date of 01/01/2015) in the first box. Leave the second box as “Today”.
  - Go to the control tool at the bottom of the page, select “Resume” to apply filters.
- Results will display on Total State Enforcement Actions chart, as well as in the Details tab.

## **Use Case 3 – Filtering on Issue of Interest**

I want to see how many enforcement actions, related to suicide, were issued in 2017.

For this use case, make the following filter selections:

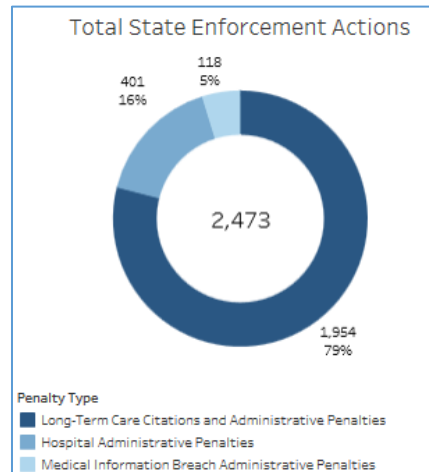
- Go to the “Details” tab of the State Enforcement Actions Dashboard.
  - Go to the control tools at the bottom of the page, select “Pause”.
  - Go to Penalty Issue Date Between. Enter “01/01/2017” (overwrite the default date of 01/01/2015) in the first box. Enter “12/31/2017” in the second box (overwrite the default value “Today”).
  - Go to Keyword Search. Enter “Suicide” in box.
  - Go to the controls tool at the bottom of the page, select “Resume” to apply filters.
- Results will display under the Keyword Search box, under Search Results, and Citations and Penalties Issued chart.

## Where to Find Dashboard Results

The SEA DASH results are displayed/found in several places:

### Summary Tab Results

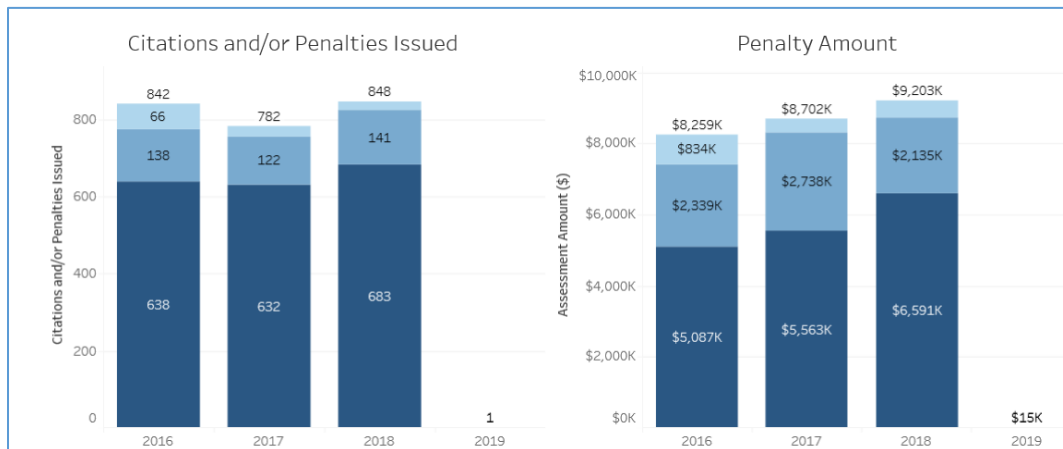
The **Total State Enforcement Actions** chart displays the number of state enforcement actions broken down by type of penalty. Clicking on different sections of graph allows user to specifically view those sections selected on all charts/graphs on dashboard.



The **State Enforcement Actions - Detail** chart displays state enforcement actions by penalty type, the number of state enforcement actions issued, and penalty amounts. Each component/section on this graph can be clicked on by user to filter results on all charts/graphs on dashboard. Clicking on the Total Issued numbers allows the user to view additional information (penalty type, SEA type, penalty amount, and total issued) in a pop-up box.

State Enforcement Actions - Detail					
2,473 records found.					
SEA Type	Penalty Type				
Long-Term Care Citations and Administrative Penalties	Citation - AA	51		\$4,207K	
	Citation - A	582		\$9,645K	
	Citation - B	1,240		\$2,160K	
	Willful Material Falsification	7		\$15K	
Hospital Administrative Penalties	AP - 3.2 NHPPD	74		\$1,230K	
	AP - Immediate Jeopardy	77		\$4,842K	
	AP - Non-Immediate Jeopardy	115		\$1,311K	
	FTR - Adverse Event	209		\$1,058K	
Medical Information Breach Administrative Pe..	AP - Breach	41		\$1,591K	
	FTR - Breach	49		\$73K	
	FTR - Breach to Resident	28		\$48K	
		0	500	1000	1500
		Total Issued		Initial Penalty Amount	
				\$5M \$10M \$15M	

The **Citations and/or Penalties Issued** and the **Penalty Amount** charts at the bottom of the page display the number of citations and/or penalties assessed by the year the enforcement action was issued. The stacked bar charts separate total by type of enforcement action. Hover over a section of the chart to get additional information in a pop-up box.



## DetailsTab Results

The **Search Results** provides a list of enforcement actions that met your filter selection. Click or hover over on a specific record to see details associated with the state enforcement action. See the Printing Help for guidance about how to screen shot and print the pop-up information or how to export the list as a structured data file.


Search Results		
2,473 records found.		
Penalty Number	Penalty Issue Date	Facility Name
020011913	5/31/2016	Alhambra Convalescent Hospital
020011916	5/19/2016	The Rehabilitation Center of Oakland
020011957	1/13/2016	Baypoint Healthcare Center
020011961	1/13/2016	Baypoint Healthcare Center
020012177	4/13/2016	Windsor Gardens Care Center of Hayward
020012242	5/11/2016	We Care Skilled Nursing Facility
020012249	1/11/2018	Oakland Healthcare & Wellness Center
020012337	6/16/2016	Sunshine ICF/DDH #4
020012394	8/24/2016	Alameda Healthcare & Wellness Center
020012655	10/20/2016	Kaiser Foundation Hospital - Walnut Creek

Penalty Number:	020011913
Penalty Issue Date:	5/31/2016
Penalty Type:	Citation - B
Penalty Category:	Patient Care
Disposition:	Closed
Appeal Received Date:	
Class Assessed Initial:	B
Class Assessed Final:	N/A
Total Amount Due Initial:	\$1,500
Total Amount Due Final:	\$0
Total Balance Due:	\$0
Associated Intake ID(s):	NOT IN DATABASE
Associated Violations:	NOT IN DATABASE
Violation From Date:	2/8/2015
Violation To Date:	2/8/2015
Survey ID:	Q1NH12
Facility Name When Issued:	Alhambra Convalescent Hospital
Facility ID:	140000574
Facility Type:	Skilled Nursing Facility
DO Responsible:	East Bay District Office
County:	CONTRA COSTA

The link to the facility's **Cal Health Find (CHF)** record is available by selecting "Click Here for Facility Details" on the bottom of pop-up box. You will be redirected to that facility's CHF record.

The link to the **survey investigation findings** is available by selecting "Click Here for Survey Findings" on the bottom of pop-up box. You will be redirected to the investigation findings on CHF.

☒ Keep Only
 ☐ Exclude
 

Penalty Number:	020011913
Penalty Issue Date:	5/31/2016
Penalty Type:	Citation - B
Penalty Category:	Patient Care
Disposition:	Closed
Appeal Received Date:	
Class Assessed Initial:	B
Class Assessed Final:	N/A
Total Amount Due Initial:	\$1,500
Total Amount Due Final:	\$0
Total Balance Due:	\$0
Associated Intake ID(s):	NOT IN DATABASE
Associated Violations:	NOT IN DATABASE
Violation From Date:	2/8/2015
Violation To Date:	2/8/2015
Survey ID:	Q1NH12
Facility Name When Issued:	Alhambra Convalescent Hospital
Facility ID:	140000574
Facility Type:	Skilled Nursing Facility
DO Responsible:	East Bay District Office
County:	CONTRA COSTA

[Click Here for Facility Details](#)
[Click Here for Survey Findings](#)


## Using the Penalty Issue Date Filter and General User Tips

For faster response - When applying filters, use the “Pause” on bottom of dash, before selecting multiple filters. Click the “Resume” function to apply them all simultaneously.

**“Penalty Issue Date Between” filter** – This filter defaults to citations issued on 1/1/2015, through “today”. The user can adjust the filter to capture enforcement actions issued since July 1, 1998.

Type of State Enforcement Action (SEA) (All)	Penalty Type (All)	Penalty Number (All)	Category (All)
Penalty Issue Date Between 01/01/2015 Today	Facility Type (All)	District Office (All)	Facility Name (All)
	Survey ID (All)	Facility ID (All)	Facility License Number (All)

**“Deselect all” icon in each filter section** – The user should click the icon to clear all selections within that specific filter.

**Penalty Type**  
 (Multiple values)
 

**Deselect All** - To select one value for a given filter, first deselect “All” (the value at the top of the list). If not deselected, the results will be limited to the selection of interest. This is especially important if the user tries to filter by typing the selection of interest in the text lookup box.

**Penalty Type**  
 (Multiple values)

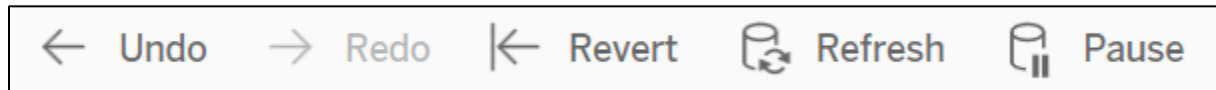
☐ (All)  
☒ AP - 3.2 NHPPD  
☒ AP - Breach  
☒ AP - Immediate Jeopardy  
☒ AP - Non-Immediate Jeopardy  
☐ Citation - A  
☐ Citation - AA  
☐ Citation - B  
☐ FTR - Adverse Event  
☐ FTR - Breach  
☐ FTR - Breach to Resident  
☐ Willful Material Falsification

**To identify enforcement actions for specific issues of interest** - Use the Keyword Search box, in the Details tab, to filter State Enforcement Actions related to specific text of interest.

**To print out results** - Use the “Download” function from the control tools to download any data/information needed from the SEA dash. For more information refer to the Printing Help page of the Navigating the State Enforcement Actions Dashboard (SEA DASH) guide (link below).

## Dashboard Buttons and Functions

### *Left Hand Buttons*



- **Undo:** This button allows user to cancel the previous action.
- **Redo:** This button allows user to re-perform the previous action.
- **Revert:** This button allows user to revert the report to its default view; undoing all user selections and/or filters.
- **Refresh:** In some scenarios, reports may store your filter selections in memory and automatically open the report at that filter combination. To confirm that you are viewing the latest data available for the report, click the Refresh button.
- **Pause:** This button allows user to pause the updates of data while the user applies multiple filters. The dashboard processes filter selections as they are made, by pausing, you can make multiple filter selections without updating each selection individually. (*Note: Use the Resume button only when you are ready for the dashboard to proceed. Refresh and Pause will be the most useful buttons.*)

### *Right Hand Buttons*



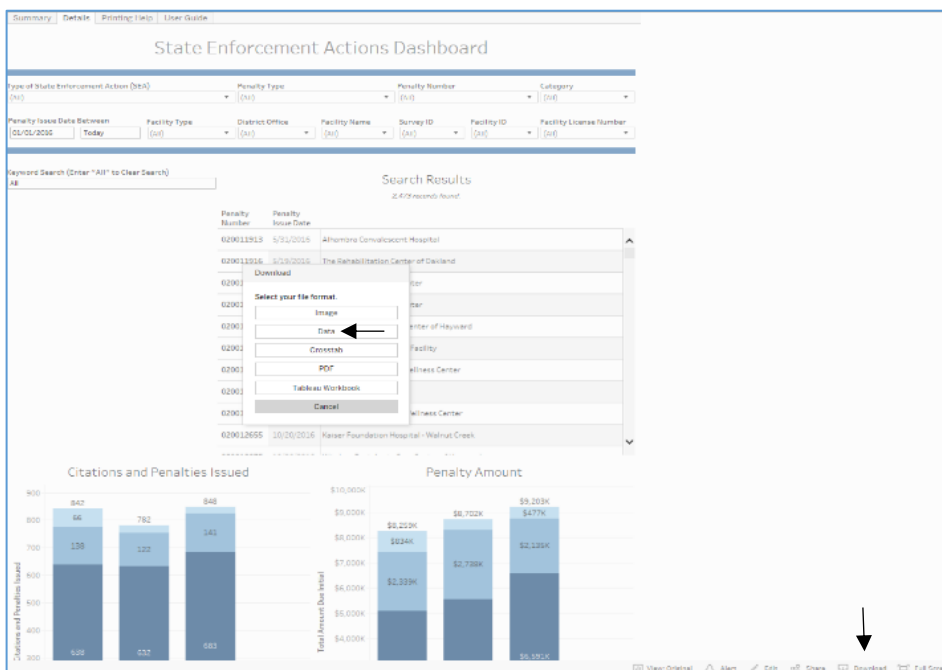
- **View: Original:** This button allows user to switch between the default view and a custom view created based on the updates applied. If you have made any changes by creating a custom view, clicking this button will take you to the original dashboard view.
- **Alert:** Allows user to set up an email alerts based on chosen conditions and thresholds of the continuous numeric axis of a chosen chart.
- **Share:** Allows user to retrieve an embedded code and link to share dashboard.
- **Download:** This button provides the option to export the report in one of the following formats:
  - **Image:** Allows user to download an image of the current page (with updates).
  - **Data:** Allows user to download the full set of row-level data from table of interest. Data can be downloaded in a summary view or full data.
  - **Crosstab:** Allows user to download summary data from table of interest into Excel.
  - **PDF:** Allows user to download the current dashboard or the entire report as a PDF to print what is on the screen.
- **Full Screen:** This button allows user to maximize the dashboard into a full screen view.

## Printing Help

The Printing Help tab has instructions for printing charts and exporting data.

### To export a detail file as structured data:

- Go to the Details tab and apply any filters needed depending on state enforcement actions of interest. Use the “Pause” and “Resume” button from the control tools at the bottom of the page to select multiple filters and apply them all at once.
- Once desired results appear under Search Results, click anywhere near the Search Results title to activate the entire table.
- Go to the control tools on the bottom of the page, select “Download”.
- Once prompted to select your file format in pop-up box, select “Data”.
- Once Internet Explorer pop-up box appears, select “Download all rows as a text file”.
- Select “Open”.
- An Excel spreadsheet will generate containing desired data. Number of rows in the Excel spreadsheet should match the number of Search Results showing on the SEA DASH.





## Links to Related Information

Enforcement Actions – Breach of Confidential Patient Medial Information	<a href="https://www.cdph.ca.gov/Programs/CHCQ/LCP/Pages/MedicalBreaches.aspx">https://www.cdph.ca.gov/Programs/CHCQ/LCP/Pages/MedicalBreaches.aspx</a>
Enforcement Actions – Hospital Administrative Penalties	<a href="https://www.cdph.ca.gov/Programs/CHCQ/LCP/Pages/Hospital-Administrative-Penalties-by-Year.aspx">https://www.cdph.ca.gov/Programs/CHCQ/LCP/Pages/Hospital-Administrative-Penalties-by-Year.aspx</a>
California Health Facilities State Enforcement Actions - CHHS Open Data File - Data	<a href="https://data.chhs.ca.gov/dataset/healthcare-facility-state-enforcement-actions">https://data.chhs.ca.gov/dataset/healthcare-facility-state-enforcement-actions</a>
About Health Facilities' State Enforcement Actions – CHHS Open Data File - Background Information	<a href="https://data.chhs.ca.gov/dataset/healthcare-facility-state-enforcement-actions/resource/f88ac2e2-c587-4b64-bf57-d023dadeec6f">https://data.chhs.ca.gov/dataset/healthcare-facility-state-enforcement-actions/resource/f88ac2e2-c587-4b64-bf57-d023dadeec6f</a>
Cal Health Find – facility-specific information (search for facility, click view details, see facility and state averages, by year, as well as detail information.)	<a href="https://www.cdph.ca.gov/Programs/CHCQ/LCP/CalHealthFind/Pages/Home.aspx">https://www.cdph.ca.gov/Programs/CHCQ/LCP/CalHealthFind/Pages/Home.aspx</a>
Adverse Events Dashboard (in development)	<a href="https://cdphdata.maps.arcgis.com/apps/webappviewer/index.html?id=f54714cb64b24e70a3d361db01ed9607">https://cdphdata.maps.arcgis.com/apps/webappviewer/index.html?id=f54714cb64b24e70a3d361db01ed9607</a>