



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

**Field Operations**  
Long-Term Care Health Facility Entity Report Incidents (ERIs)

**Data as of December 31, 2015 (Cumulative through Quarter 2, SFY 2015-16)**

**VOLUME**

	A	B	C	D
Reporting Period	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Growth/Reduction in Open ERIs by Reporting Period	ERIs Open on December 31, 2015, by Reporting Period Received
<b>Current State Fiscal Year</b>				
2015-2016, Cumulative through Quarter 2	9,851	9,057	794	4,076
<b>Previous State Fiscal Years</b>				
2014-2015	20,401	19,334	1,067	2,825
2013-2014	19,759	20,899	-1,140	1,285
2012-2013	20,318	21,001	-683	362
2011-2012	20,519	21,781	-1,262	58
<b>Totals</b>	<b>90,848</b>	<b>92,072</b>	<b>-1,224</b>	<b>8,615*</b>

This table identifies the number and growth or reduction in open ERIs reported by Skilled Nursing Facilities, Intermediate Care Facilities (including all those serving Developmentally Disabled), Congregate Living Health Facilities, and Pediatric Day Health and Respite Care Facilities. Licensing and Certification Program's Field Operations considers a case completed when it has fully completed the investigation and documented the case as completed in its database.

**Table Notes:**

- Column A shows the number of new ERIs Field Operations received during the respective reporting period.
- Column B shows the number of ERIs Field Operations completed during the respective reporting period, regardless of the reporting period in which the ERIs was received.
- Column C shows the difference between ERIs received and completed during the respective reporting period (C=A-B). When the value of Column C is positive, the number of open ERIs increased during that reporting period. When the value of Column C is negative, the number of open ERIs decreased.
- Column D shows the number of ERIs received in a given reporting period that Field Operations has not completed as of the current reporting period. This does include some cases where the investigation has been fully completed, however the case may not have been completed in the database.

\*There are 9 open ERIs received prior to Fiscal Year 2011-2012, for a total of 9,615 (9 + 8,606) open ERIs as of January 1, 2016.



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**Field Operations**  
Long-Term Care Health Facility Entity Reported Incidents (ERIs)  
**Data as of December 31, 2015 (Cumulative through Quarter 2, SFY 2015-16)**

**TIMELINESS**

Reporting Period	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Immediate Jeopardy (IJ)		Number of ERIs Completed During Reporting Period by Working Days from Receipt to Completion				ERIs Completed by Working Days from Receipt to Completion, as a Percentage of Total Completed			
			(24 hours)*		≤90	91-180	181-365	>365	≤90	91-180	181-365	>365
			Number Received	Percent Initiated Timely								
<b>Current State Fiscal Year</b>												
2015-2016, Cumulative through Quarter 2	9,851	9,057	279	94%	7,249	839	551	418	80%	9%	6%	5%
<b>Previous State Fiscal Years</b>												
2014-2015	20,401	19,334	460	97%	14,711	1,963	1,871	789	76%	10%	10%	4%
2013-2014	19,759	20,899	302	96%	14,266	2,572	2,240	1,821	68%	12%	11%	9%
2012-2013	20,318	21,001	217	95%	14,140	2,930	2,198	1,733	67%	14%	10%	8%
2011-2012	20,519	21,781	240	99%	14,190	2,775	2,337	2,479	65%	13%	11%	11%

This table identifies how long it takes Licensing and Certification Program's Field Operations to initiate and complete ERI cases related to Skilled Nursing Facilities, Intermediate Care Facilities (including all those serving Developmentally Disabled), Congregate Living Health Facilities, and Pediatric Day Health and Respite Care Facilities. Licensing and Certification Program's Field Operations considers a case complete when it has fully completed the investigation and documented the case as completed in its database.

**Table Notes:**

- Column A shows the number of new ERIs Field Operations received during the respective reporting period.
- Column B shows the number of ERIs Field Operations completed during the respective reporting period, regardless of the reporting period in which the ERI was received.
- Columns C and D show the number of Immediate Jeopardy (IJ) ERIs received, and the percentage of those received that Field Operations initiated within 24 hours during the respective reporting period. This includes all ERIs prioritized as level A by federal requirements upon intake.
- Columns E - H show the range of days Field Operations took to complete open ERIs during the reporting period (E+F+G+H=B).
- Columns I - L show the percentage of open ERI cases completed within specific intervals during the reporting period (I=E/B, J=F/B, K=G/B, L=H/B). Numbers may not add to 100 due to rounding.

\*ERIs do not have mandatory timelines for initiation; Licensing and Certification Program's Field Operations makes every effort to initiate investigations all Immediate Jeopardy reports within 24 hours.



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

**Data as of December 31, 2015 (Cumulative through Quarter 2, SFY 2015-16)**

**DISPOSITION**

	A	B	C	D	E	F	G	H
Reporting Period	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Unsubstantiated ERIs	Substantiated ERIs	Substantiated ERIs as a Percentage of Total ERIs Completed	Total Deficiencies for All Substantiated ERIs	Average Deficiencies per Substantiated ERIs	Number of ERIs Referred to Other Entities
<b>Current State Fiscal Year</b>								
2015-2016, Cumulative through Quarter 2	9,851	9,057	2,012	3,787	42%	2,012	0.53	1,056
<b>Previous State Fiscal Years</b>								
2014-2015	20,401	19,334	4,185	6,829	35%	4,256	0.62	1,562
2013-2014	19,759	20,899	4,613	6,866	33%	4,095	0.60	1,085
2012-2013	20,318	21,001	3,669	6,071	29%	3,016	0.50	753
2011-2012	20,519	21,781	3,268	5,960	27%	2,595	0.44	668
<b>Totals</b>	<b>90,848</b>	<b>92,072</b>	<b>17,747</b>	<b>29,513</b>	<b>32%</b>	<b>15,974</b>	<b>0.54</b>	<b>5,124</b>

This table identifies the disposition of completed ERI investigations reported by Skilled Nursing Facilities, Intermediate Care Facilities (including all those serving Developmentally Disabled), Congregate Living Health Facilities, and Pediatric Day Health and Respite Care Facilities. An ERI is "substantiated" when, Licensing and Certification's Field Operations finds evidence the alleged event(s) occurred. If the investigation determines a substantiated ERI entails a facility's violation of state or federal regulation, Field Operations issues a deficiency to the facility. A substantiated ERI may result in one or more deficiencies or none at all if there was not a violation of state or federal regulation. "Unsubstantiated" ERIs most commonly involve resident to resident abuse allegations reported by the resident to a staff member and without witness; and/or events a facility reported in an abundance of caution, which surveyors later determine did not require reporting.

**Table Notes:**

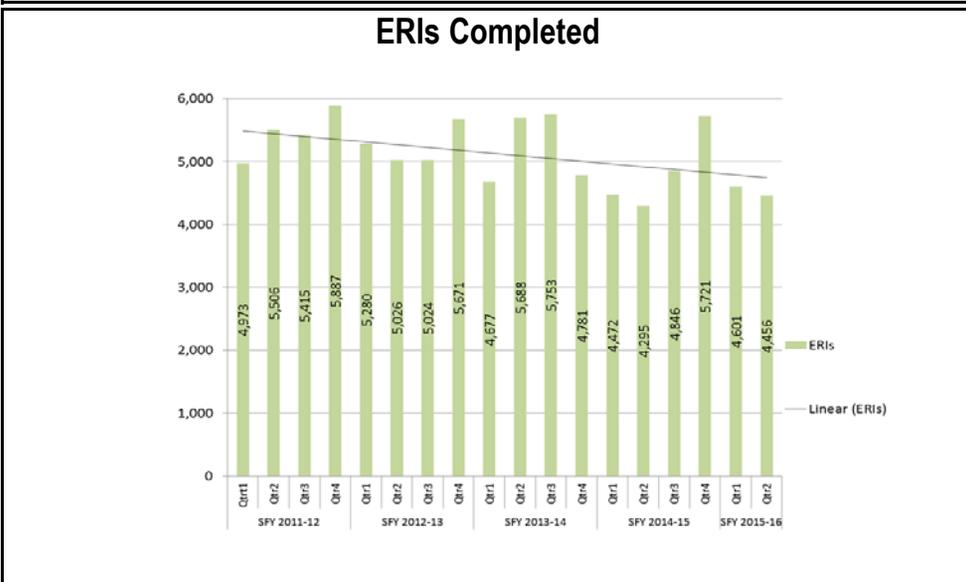
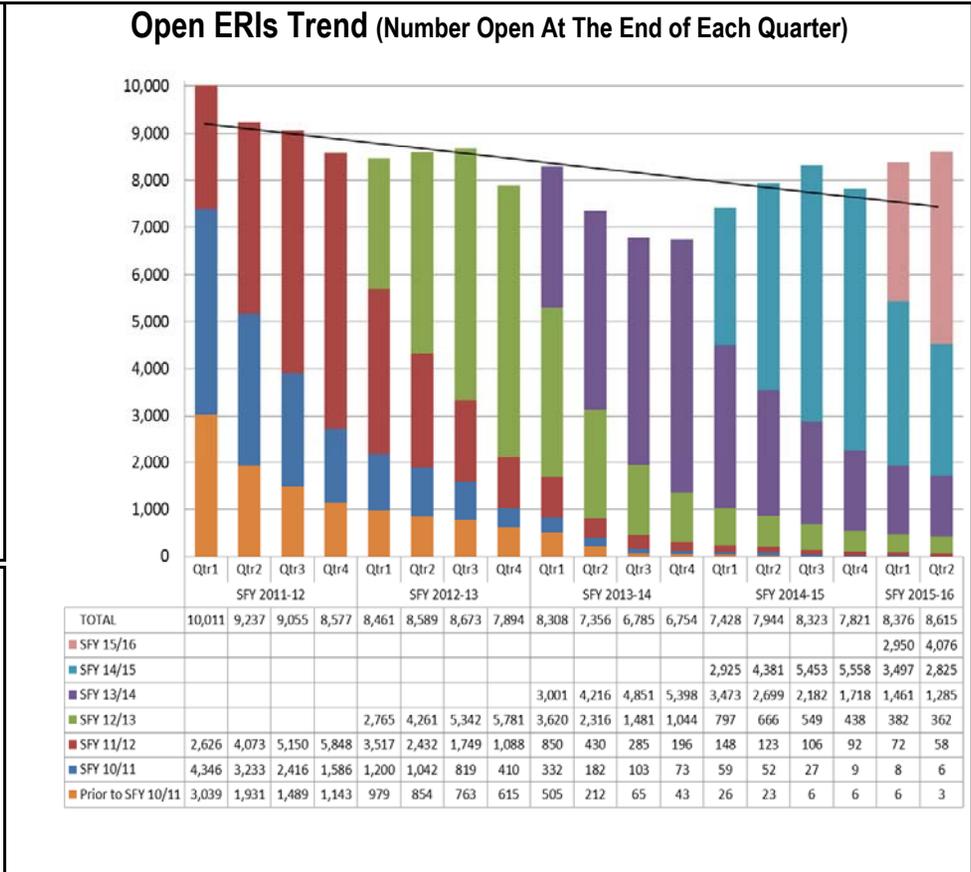
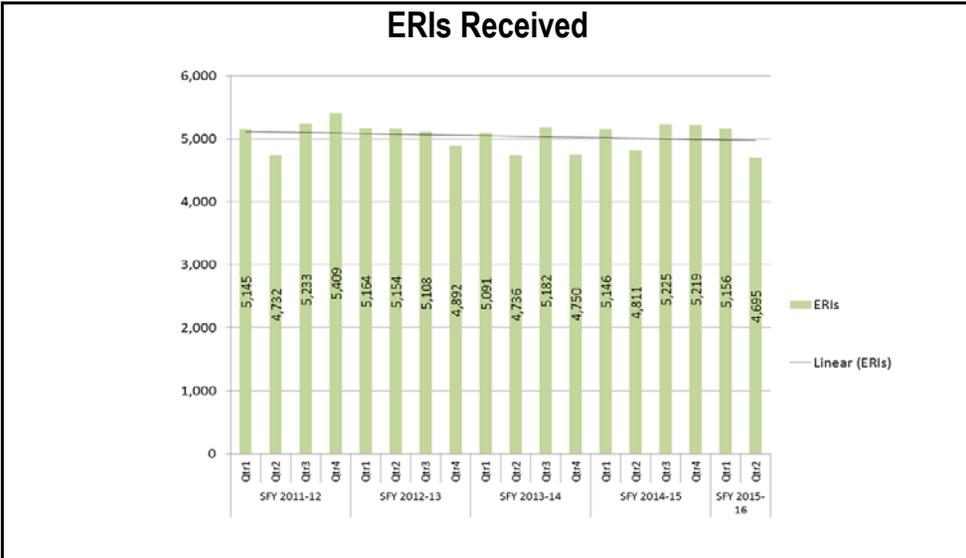
- Column A shows the number of new ERIs Field Operations received during the respective reporting period.
- Column B shows the number of ERIs Field Operations completed during the respective reporting period, regardless of the reporting period in which field operations received the ERIs.
- Columns C and D show the number of unsubstantiated and substantiated ERIs completed in a given reporting period.
- Column E shows the number of substantiated ERIs completed as percentage of all ERIs completed in a given reporting period (E=D/B).
- Column F shows the number of deficiencies Field Operations issued for ERI-related investigations completed in a given reporting period.
- Column G shows the average number of deficiencies for each substantiated ERI (G=F/D).
- Column H shows the number of ERIs received in the given reporting period for which the electronic system shows Field Operations referred the ERI to an outside entity. These figures are likely understated as a result of inconsistent data entry.



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**Data as of December 31, 2015 (Cumulative through Quarter 2, SFY 2015-16)**



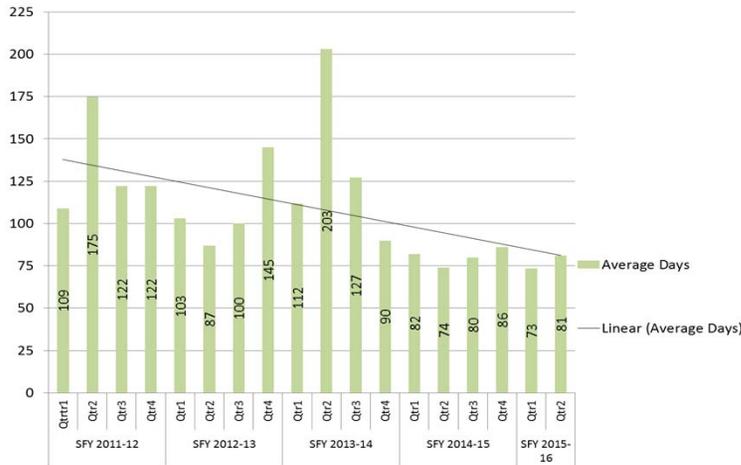
**Summary:** The trend for ERIs received over the past 18 quarters indicates that the number of ERIs CHCQ receives is stable. The 18-quarter trend for ERIs completed is decreasing, as is the 18-quarter trend for the number of open ERIs. CHCQ continues to identify methods for reducing the number of open ERIs.



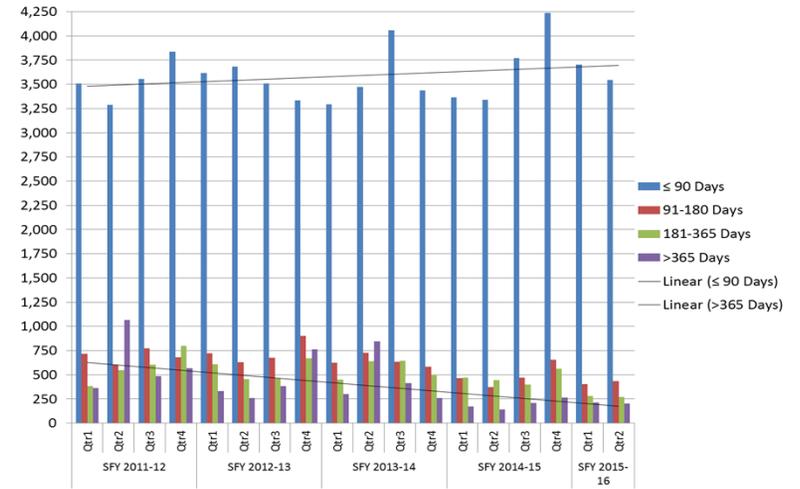
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Long-Term Care Health Facility Entity Reported Incidents (ERIs)  
 Data as of December 31, 2015 (Cumulative through Quarter 2, SFY 2015-16)

**Average Days from ERI Receipt to Completion**



**ERIs Completed by Intervals**



**Summary:** The trend for “Average Days from ERI Receipt to Completion” over the past 18 quarters shows a decreasing trend in the average number of business days it takes to complete an ERI.

The “ERIs Completed by Intervals” chart shows the number of cases completed by interval (<90 days, 91-180 days, 181-365 days, >365 days). The number of cases completed in less than 90 days decreased in Q2, although the overall trend over the past 18 quarters for this interval is increasing. The the number of cases completed in other intervals (91-180 days, 181-365 days, >365 days) continues to decrease.

Quarters that have the greatest number of ERIs closed in the >365 day interval also have the greatest average days from receipt to completion of the ERI investigation.



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**Field Operations**  
Long-Term Care Health Facility Entity Reported Incidents (ERIs)  
by District Office

**Data as of December 31, 2015 (Cumulative through Quarter 2, SFY 2015-16)**

**VOLUME**

	A	B	C	D
District Office / Statewide	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Growth/Reduction in Open ERIs by Reporting Period	ERIs Open on December 31, 2015 (Regardless of Receipt Date)
<b>California</b>	<b>9,851</b>	<b>9,057</b>	<b>794</b>	<b>8,615</b>
Bakersfield	657	661	-4	65
Chico	296	286	10	338
East Bay	531	573	-42	120
Fresno	818	822	-4	239
Los Angeles County	2,034	1,337	697	4,097
Orange County	483	517	-34	87
Riverside	469	392	77	275
Sacramento	851	754	97	349
San Bernardino	488	479	9	210
San Diego North	326	303	23	219
San Diego South	296	159	137	272
San Francisco	352	304	48	466
San Jose	384	420	-36	70
Santa Rosa/Redwood Coast	359	312	47	416
State Facilities Section	1,114	1,359	-245	1,238
Ventura	393	379	14	154



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

**Data as of December 31, 2015 (Cumulative through Quarter 2, SFY 2015-16)**

**TIMELINESS**

Reporting Period	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Immediate Jeopardy (I)		Number of ERIs Completed During Reporting Period by Working Days from Receipt to Completion				ERIs Completed by Working Days from Receipt to Completion, as a Percentage of Total Completed				Average Days to Complete ERIs During Reporting Period	Average Age of ERIs Open on December 31, 2015
			(24 hours)		≤90	91-180	181-365	>365	≤90	91-180	181-365	>365		
			Number Received	Percent Initiated Timely										
<b>California</b>	<b>9,851</b>	<b>9,057</b>	<b>279</b>	<b>94%</b>	<b>7,249</b>	<b>839</b>	<b>551</b>	<b>418</b>	<b>80%</b>	<b>9%</b>	<b>6%</b>	<b>5%</b>	<b>77</b>	<b>209</b>
Bakersfield	657	661	10	100%	655	6	0	0	99%	1%	0%	0%	12	16
Chico	296	286	0	n/a	127	78	72	9	44%	27%	25%	3%	136	140
East Bay	531	573	3	33%	523	42	8	0	91%	7%	1%	0%	41	45
Fresno	818	822	39	79%	737	65	20	0	90%	8%	2%	0%	29	91
Los Angeles County	2,034	1,337	76	100%	885	144	129	179	66%	11%	10%	13%	109	291
Orange County	483	517	0	n/a	505	12	0	0	98%	2%	0%	0%	23	17
Riverside	469	392	1	100%	358	15	9	10	91%	4%	2%	3%	45	113
Sacramento	851	754	40	100%	692	47	15	0	92%	6%	2%	0%	50	40
San Bernardino	488	479	45	93%	407	51	15	6	85%	11%	3%	1%	42	152
San Diego North	326	303	21	95%	248	37	9	9	82%	12%	3%	3%	67	142
San Diego South	296	159	13	100%	136	13	9	1	86%	8%	6%	1%	39	128
San Francisco	352	304	0	n/a	161	55	31	57	53%	18%	10%	19%	290	181
San Jose	384	420	1	100%	417	2	0	1	99%	0%	0%	0%	29	32
Santa Rosa/Redwood Coast	359	312	24	96%	164	56	50	42	53%	18%	16%	13%	154	148
State Facilities Section	1,114	1,359	4	100%	875	196	184	104	64%	14%	14%	8%	114	189
Ventura	393	379	2	50%	359	20	0	0	95%	5%	0%	0%	45	58



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

by District Office

**Data as of December 31, 2015 (Cumulative through Quarter 2, SFY 2015-16)**

**DISPOSITION**

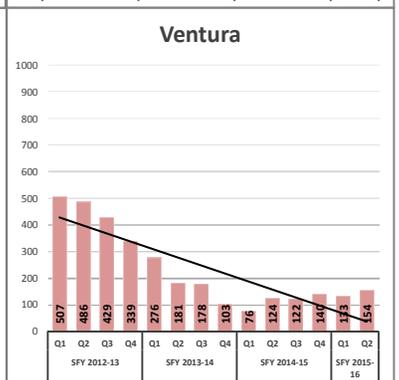
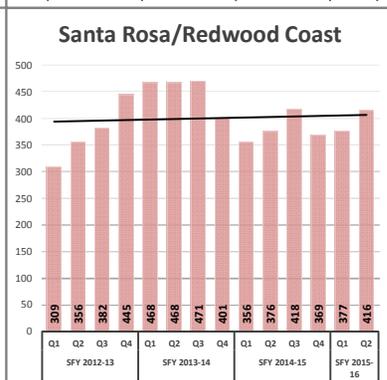
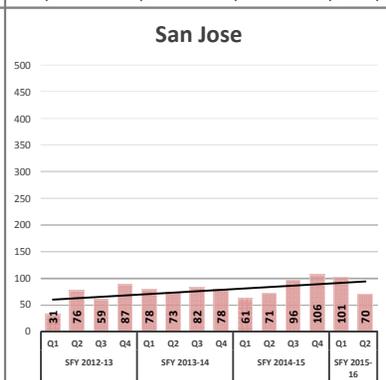
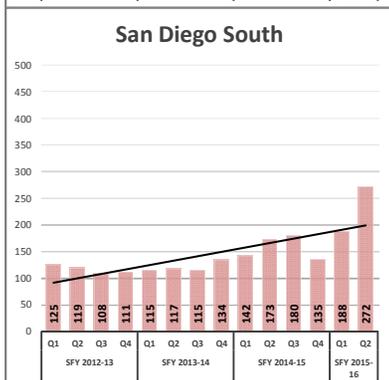
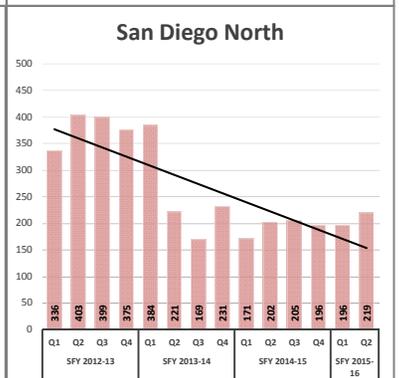
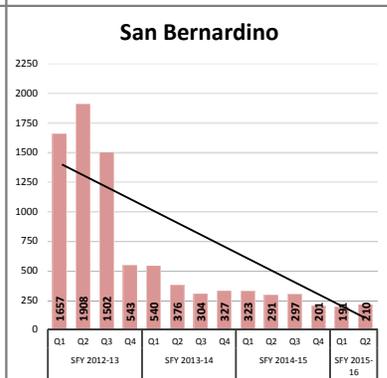
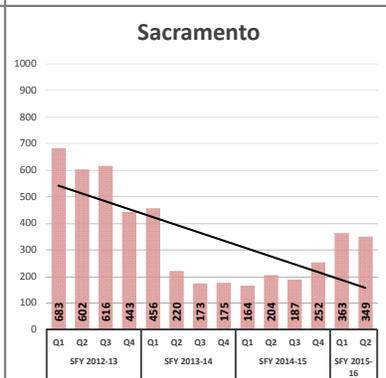
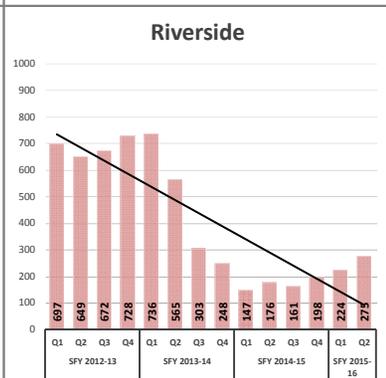
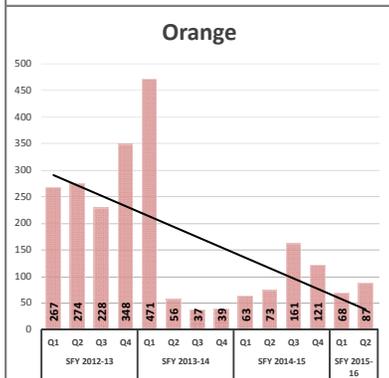
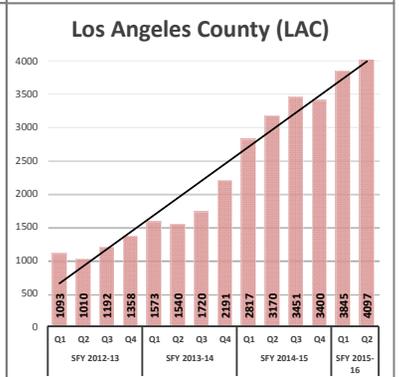
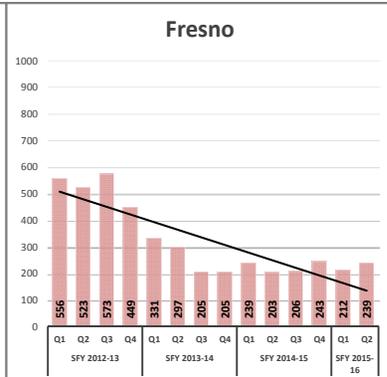
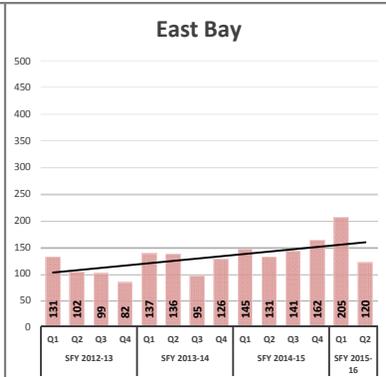
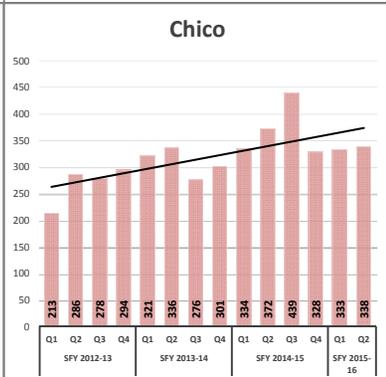
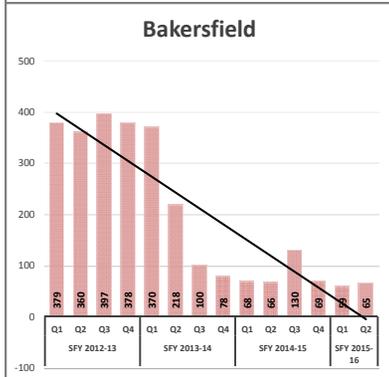
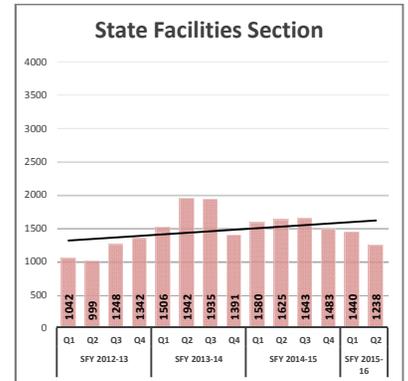
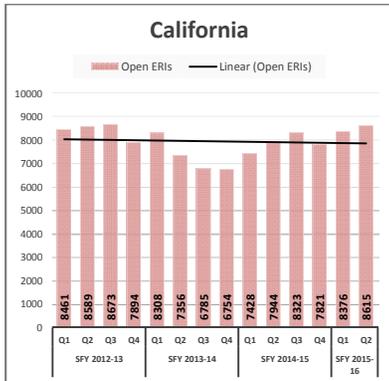
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District Office / Statewide	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Unsubstantiated ERIs	Substantiated ERIs	Substantiated ERIs as a Percentage of Total ERIs Completed	Total Deficiencies for All Substantiated ERIs	Average Deficiencies per Substantiated ERIs	Number of ERIs Referred to Other Entities
<b>California</b>	<b>9,851</b>	<b>9,057</b>	<b>2,012</b>	<b>3,787</b>	<b>42%</b>	<b>2,012</b>	<b>0.53</b>	<b>1,056</b>
Bakersfield	657	661	93	212	32%	126	0.59	43
Chico	296	286	128	158	55%	237	1.50	158
East Bay	531	573	112	231	40%	164	0.71	17
Fresno	818	822	64	149	18%	203	1.36	3
Los Angeles County	2,034	1,337	287	546	41%	331	0.61	378
Orange County	483	517	20	42	8%	27	0.64	33
Riverside	469	392	184	51	13%	85	1.67	18
Sacramento	851	754	147	382	51%	114	0.30	107
San Bernardino	488	479	37	104	22%	24	0.23	8
San Diego North	326	303	173	123	41%	28	0.23	17
San Diego South	296	159	24	51	32%	54	1.06	6
San Francisco	352	304	106	195	64%	31	0.16	68
San Jose	384	420	115	296	70%	179	0.60	14
Santa Rosa/Redwood Coast	359	312	66	190	61%	205	1.08	12
State Facilities Section	1,114	1,359	220	992	73%	75	0.08	2
Ventura	393	379	236	65	17%	129	1.98	172

California Department of Public Health  
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Licensing and Certification Program

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

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

Data as of December 31, 2015 (Cumulative through Quarter 2, SFY 2015-16)  
Data Publication Date: March 02, 2016  
Data Extract Date: January 20, 2016



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Licensing and Certification Program

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

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

Data as of December 31, 2015 (Cumulative through Quarter 2, SFY 2015-16)  
Data Publication Date: March 02, 2016  
Data Extract Date: January 20, 2016

