



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

Field Operations

Long-Term Care Health Facility Entity Reported Incidents (ERIs)
 Data as of **December 31, 2014 (through Quarter 2, SFY 2014-15)**

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	Open ERIs Remaining by Reporting Period Received
Current State Fiscal Year				
2014-2015, Cumulative through Quarter 2	9,598	8,698	900	4,051
Previous State Fiscal Years				
2013-2014	19,479	20,905	-1,426	2,457
2012-2013	20,290	21,036	-746	662
2011-2012	20,520	21,772	-1,252	110
Totals	69,887	72,411	-2,524	7,336 *

This table identifies the number and growth or reduction in open ERIs reported by Skilled Nursing Facilities, Intermediate Care Facilities (including those serving the 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 ERI was received.
- Column C shows the difference between ERIs received and ERIs 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 that Field Operations had not completed as of the last day of the current reporting period. This does include some cases where the investigation has been fully completed, however the case may not been closed in the database.

*There are 56 open ERIs received prior to Fiscal Year 2011-2012, for a total of 7,336 (7,280+66) open ERIs as of January 1, 2015.



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TIMELINESS

Reporting Period	A	B	C		D	E				F	G	H	I				J	K	L		
	ERIs Received During Reporting Period	ERIs Completed During Reporting Period (Regardless of Receipt Date)	Immediate Jeopardy (IJ)		Percent Initiated Timely	Number of ERIs Completed During Reporting Period by Working Days from Receipt to Completion				≤90	91-180	181-365	>365	ERIs Completed by Working Days from Receipt to Completion, as a Percentage of Total Completed				≤90	91-180	181-365	>365
			(24 hours)			Number Received	Number Received	Number Received	Number Received					Number Received	Number Received						
Current State Fiscal Year																					
2014-2015, Cumulative through Quarter 2	9,598	8,698	244	98%	6,669	839	880	310	77%	10%	10%	4%									
Previous State Fiscal Years																					
2013-2014	19,479	20,905	303	96%	14,263	2,569	2,234	1,839	68%	12%	11%	9%									
2012-2013	20,290	21,036	217	95%	14,136	2,933	2,203	1,764	67%	14%	10%	8%									
2011-2012	20,520	21,772	241	99%	14,179	2,774	2,335	2,484	65%	13%	11%	11%									

This table identifies how long it takes Licensing and Certification Program's Field Operations to initiate and complete ERI cases reported by Skilled Nursing Facilities, Intermediate Care Facilities (including those serving the 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 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 through H show the number of open ERI cases completed during the reporting period, by interval (E+F+G+H=B.)
 - Columns I through L show the percentage of open ERI cases completed during the reporting period, by interval (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 all Immediate Jeopardy reports within 24 hours.



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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 ERI	Number of ERIs Referred to Other Entities
Current State Fiscal Year								
2014-2015, Cumulative through Quarter 2	9,598	8,698	1,916	3,156	36%	2,000	0.63	494
Previous State Fiscal Years								
2013-2014	19,479	20,905	4,607	6,852	33%	3,986	0.58	1,076
2012-2013	20,290	21,036	3,662	6,069	29%	3,008	0.50	779
2011-2012	20,520	21,772	3,255	5,961	27%	2,574	0.43	732
Totals	69,887	72,411	13,440	22,038	30%	11,568	0.53	3,081

This table identifies the disposition of completed ERI investigations reported by Skilled Nursing Facilities, Intermediate Care Facilities (including those serving the 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 determined did not require reporting.

Table Notes:

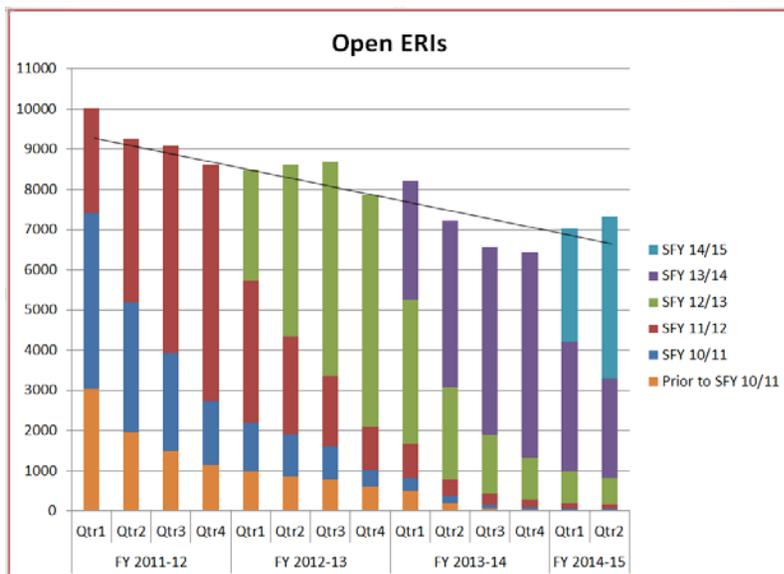
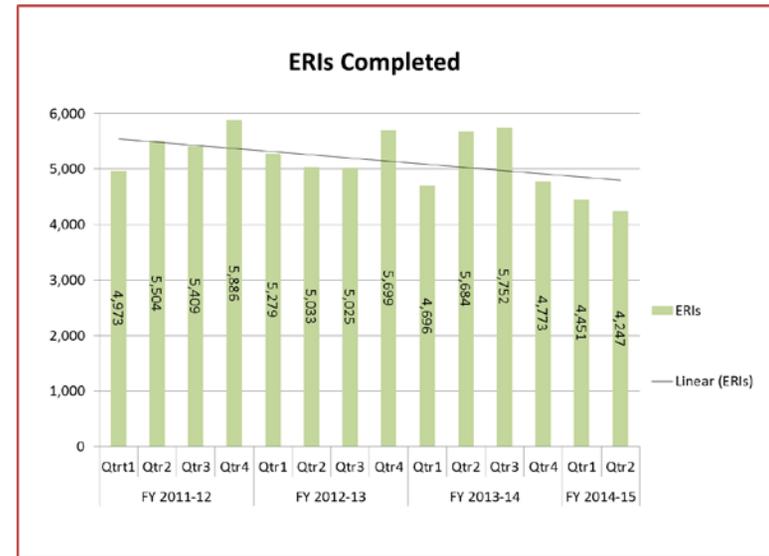
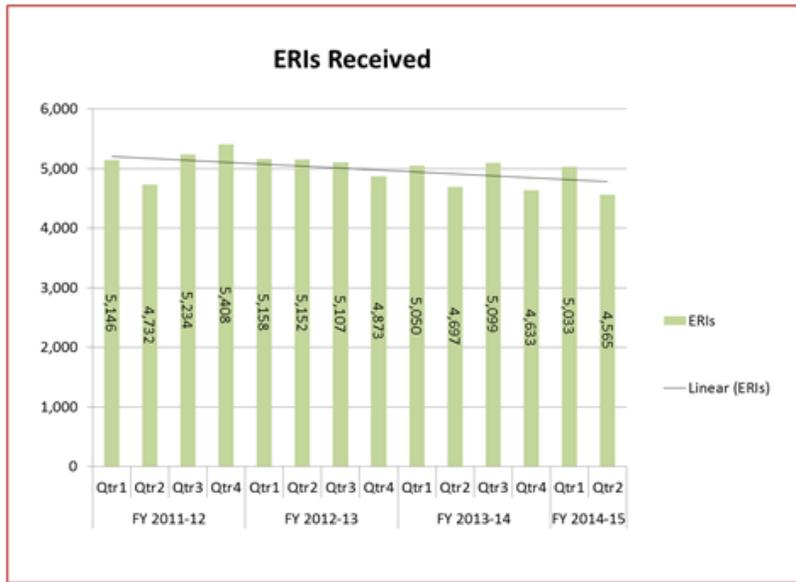
- Column A shows the number of new ERIs Field Operations received during the respective reporting period.
- Column B shows the number of ERIs Field Operations completed during the respective reporting period, regardless of the reporting period in which Field Operations received the ERI.
- Columns C and 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 a percentage of all ERIs completed in a given reporting period ($E=D/B$.)
- Column F shows the number of deficiencies Field Operations issued for all ERIs 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 data file 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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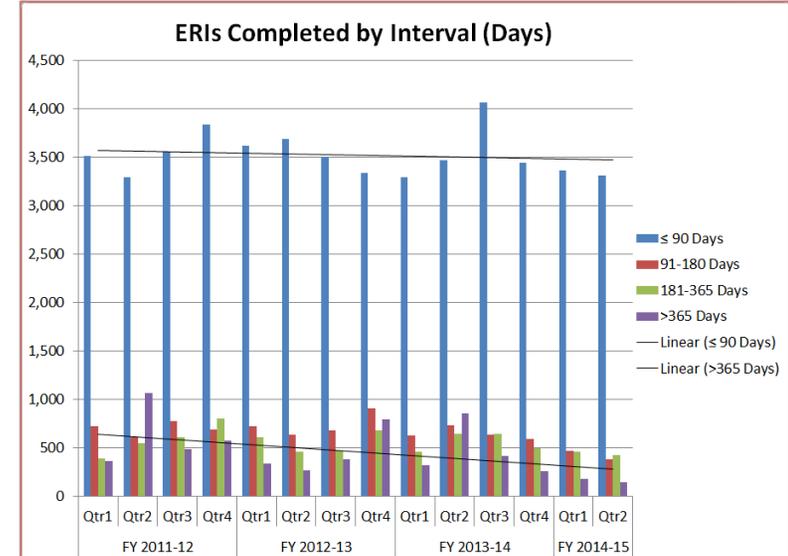
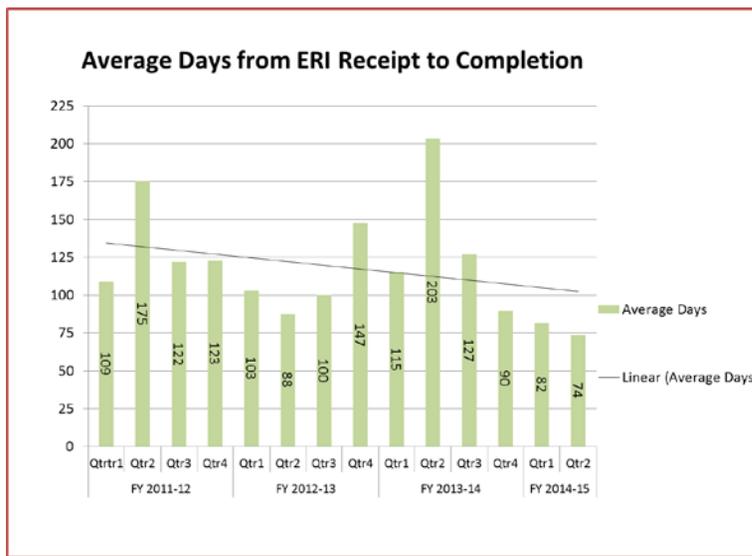
Summary: The trend in the number of ERIs received and the trend in the number of ERIs completed is decreasing. Although the number of ERIs open at the end of each reporting period is increasing, the overall trend in open cases is decreasing.



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Summary: The average number of business days to complete an ERI investigation is decreasing.

The “ERIs Completed by Interval (Days)” chart shows the number of cases completed, by “days to complete” intervals (≤90 days, 91-180 days, 181-365 days, >365 days.) In the last reporting period, Field Operations focused on completing ERI cases received within 90 days or less and 181-365 days.