



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 **March 31, 2015 (Cumulative through Quarter 3, 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 3	14,754	13,530	1,224	5,053
Previous State Fiscal Years				
2013-2014	19,589	20,905	-1,316	2,058
2012-2013	20,291	21,022	-731	546
2011-2012	20,520	21,769	-1,249	103
Totals	75,154	77,226	-2,072	7783*

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 23 open ERIs received prior to Fiscal Year 2011-2012, for a total of 7783 (7760 + 23) open ERIs as of April 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 During Reporting Period				≤90	91-180	181-365	>365
			(24 hours)			Number Received	Number Received	Number Received	Number Received					Number Received	Number Received	Number Received	Number Received				
Current State Fiscal Year																					
2014-2015, Cumulative through Quarter 3	14,754	13,530	352	97%	10,439	1,309	1,269	513	77%	10%	9%	4%									
Previous State Fiscal Years																					
2013-2014	19,589	20,905	303	96%	14,265	2,570	2,235	1,835	68%	12%	11%	9%									
2012-2013	20,291	21,022	217	95%	14,138	2,931	2,201	1,752	67%	14%	10%	8%									
2011-2012	20,520	21,769	240	99%	14,180	2,774	2,335	2,480	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 through H show the range of days Field Operations took to complete open ERIs during the reporting period (E+F+G+H=B.)
- Columns I through L show the percentage of open ERI cases that Field Operations 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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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
Current State Fiscal Year								
2014-2015, Cumulative through Quarter 3	14,754	13,530	2,959	4,826	36%	3,027	0.63	1,107
Previous State Fiscal Years								
2013-2014	19,589	20,905	4,610	6,853	33%	3,986	0.58	1,076
2012-2013	20,291	21,022	3,665	6,071	29%	3,008	0.50	779
2011-2012	20,520	21,769	3,256	5,961	27%	2,574	0.43	732
Totals	75,154	77,226	14,490	23,711	31%	12,595	0.53	3,694

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.

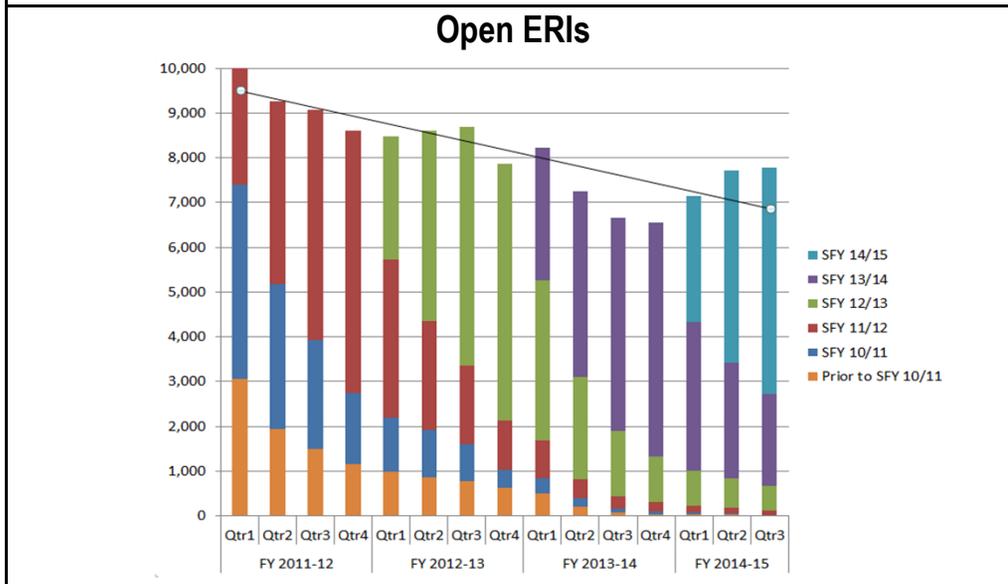
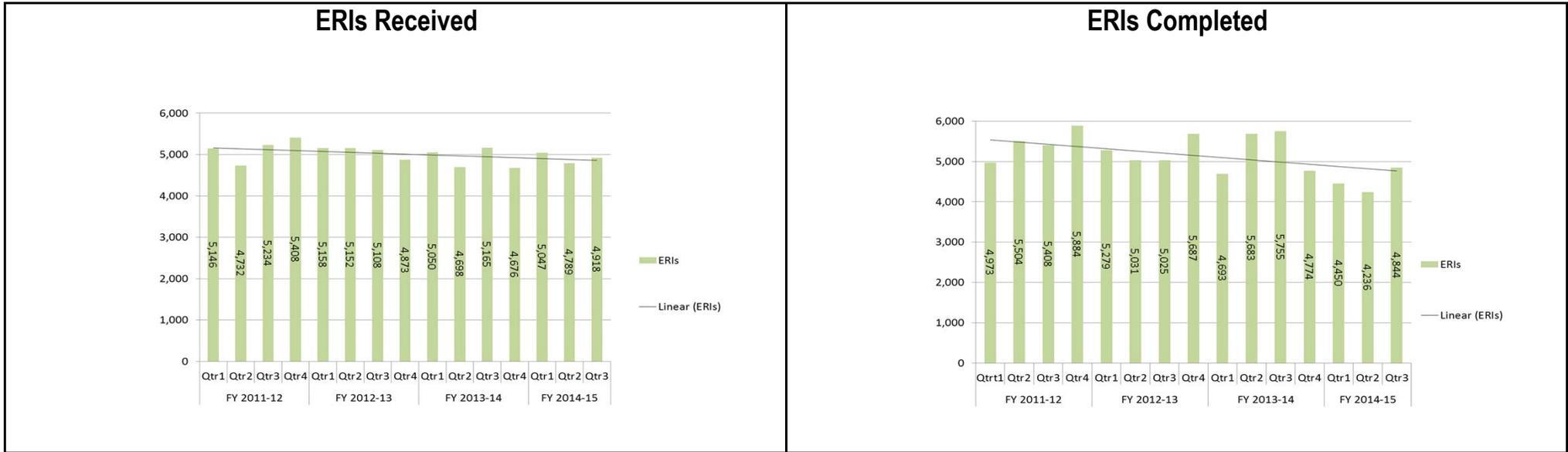
Table Notes:

- 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 all ERIs completed in a given reporting period. This is a preliminary count, final numbers will be published Q4.
- 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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Summary: The trend over the past 15 quarters indicates that the number of ERIs CHCQ receives is declining, and that the number of ERIs that CHCQ completes is also declining. Still over the past 15 quarters, the trend reveals that CHCQ is decreasing the number of open cases, despite the past three quarters where the number of open cases has increased. CHCQ continues to identify methods for reducing the number of open ERIs.



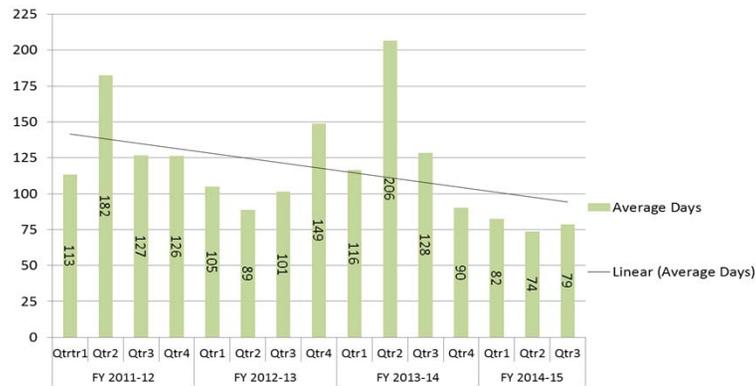
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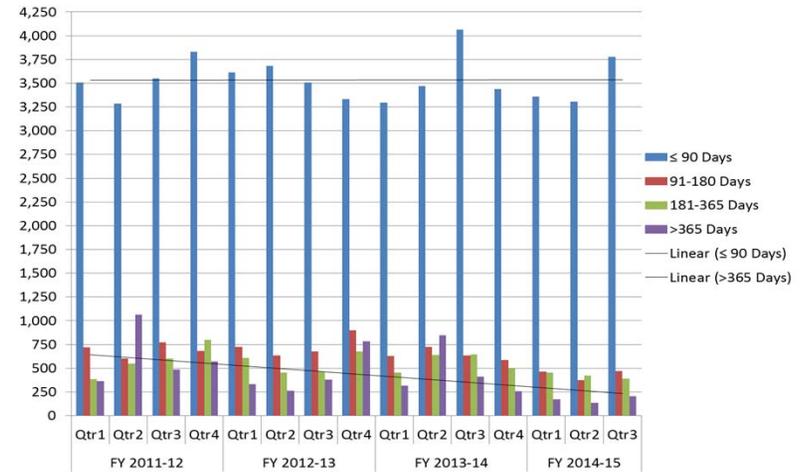
Long-Term Care Health Facility Entity Reported Incidents (ERIs)

Data as of **March 31, 2015 (Cumulative through Quarter 3, SFY 2014-15)**

Average Days from ERI Receipt to Completion



ERIs Completed by Intervals



Summary: The “Average Days from ERI Receipt to Completion” table shows a steadily declining 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.) This chart shows a steadily declining trend in the number of cases completed in more than 365 days.

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
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by District Office

Data as of **March 31, 2015 (Cumulative through Quarter 3, SFY 2014-15)**

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	Open ERIs
California	14,754	13,530	1,224	7,783
Bakersfield	1,021	974	47	125
Chico	422	288	134	435
East Bay	737	730	7	133
Fresno	1,455	1,454	1	201
Los Angeles County	2,495	1,377	1,118	3,129
Orange County	380	409	-29	11
Riverside	630	714	-84	166
Sacramento	1,355	1,355	0	174
San Bernardino	959	991	-32	295
San Diego North	476	501	-25	206
San Diego South	372	328	44	177
San Francisco	556	789	-233	469
San Jose	519	500	19	96
Santa Rosa/Redwood Coast	627	614	13	419
State Facilities Section	2,211	1,987	224	1,624
Ventura	539	519	20	123



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TIMELINESS

Reporting Period	A	B	C		D	E				F				G	H	I				J	K	L	M	N
	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				ERIs Completed by Working Days from Receipt to Completion, as a Percentage of Total Completed During Reporting Period				Avg Days to Complete ERIs During Reporting Period	Average Age of Open ERIs									
			(24 hours)			≤90	91-180	181-365	>365	≤90	91-180	181-365	>365											
Number Received	Number Received	Number Received	Percent Initiated Timely	≤90	91-180	181-365	>365	≤90	91-180	181-365	>365	≤90	91-180	181-365	>365	Avg Days to Complete ERIs During Reporting Period	Average Age of Open ERIs							
California	14,754	13,530	352	97%	10,439	1,309	1,269	513	77%	10%	9%	4%	78	171										
Bakersfield	1,021	974	4	100%	947	17	9	1	97%	2%	1%	0%	18	25										
Chico	422	288	6	100%	125	103	52	8	43%	36%	18%	3%	126	134										
East Bay	737	730	5	100%	682	43	4	1	93%	6%	1%	0%	33	46										
Fresno	1,455	1,454	59	93%	1,366	66	21	1	94%	5%	1%	0%	26	60										
Los Angeles County	2,495	1,377	133	99%	842	248	230	57	61%	18%	17%	4%	104	229										
Orange County	380	409	1	100%	405	2	0	2	99%	0%	0%	0%	26	228										
Riverside	630	714	8	100%	544	37	70	63	76%	5%	10%	9%	112	114										
Sacramento	1,355	1,355	29	100%	1,333	18	3	1	98%	1%	0%	0%	26	20										
San Bernardino	959	991	28	86%	768	148	60	15	77%	15%	6%	2%	60	114										
San Diego North	476	501	20	100%	373	100	25	3	74%	20%	5%	1%	67	121										
San Diego South	372	328	2	100%	237	66	24	1	72%	20%	7%	0%	62	99										
San Francisco	556	789	0	0%	357	86	208	138	45%	11%	26%	17%	223	251										
San Jose	519	500	1	100%	499	1	0	0	100%	0%	0%	0%	23	23										
Santa Rosa/Redwood Coast	627	614	49	98%	366	80	111	57	60%	13%	18%	9%	126	162										
State Facilities Section	2,211	1,987	7	100%	1,134	267	439	147	57%	13%	22%	7%	131	150										
Ventura	539	519	0	0%	461	27	13	18	89%	5%	3%	3%	65	23										



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California	14,754	13,530	2,959	4,826	36%	3,027	0.63	1,107
Bakersfield	1,021	974	74	275	28%	129	0.47	28
Chico	422	288	81	205	71%	291	1.42	193
East Bay	737	730	108	284	39%	209	0.74	16
Fresno	1,455	1,454	151	474	33%	446	0.94	14
Los Angeles County	2,495	1,377	288	397	29%	363	0.91	290
Orange County	380	409	24	34	8%	43	1.26	6
Riverside	630	714	373	100	14%	134	1.34	25
Sacramento	1,355	1,355	200	397	29%	234	0.59	150
San Bernardino	959	991	100	295	30%	50	0.17	43
San Diego North	476	501	325	167	33%	40	0.24	14
San Diego South	372	328	52	157	48%	86	0.55	1
San Francisco	556	789	206	567	72%	31	0.05	53
San Jose	519	500	126	371	74%	320	0.86	2
Santa Rosa/Redwood Coast	627	614	131	329	54%	299	0.91	26
State Facilities Section	2,211	1,987	433	696	35%	198	0.28	3
Ventura	539	519	287	78	15%	154	1.97	243