



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 **September 30, 2014 (Quarter 1, 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 1	4,952	4,468	+484	2,719
Previous State Fiscal Years				
2013-2014	19,293	20,917	-1,624	3,098
2012-2013	20,298	21,051	-753	797
2011-2012	20,521	21,778	-1,257	134
Totals	65,064	68,214	-3,150	6,792*

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 received in a given reporting period that Field Operations had 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 44 open ERIs received prior to Fiscal Year 2011-2012, for a total of 6792 (6748+44) open ERIs as of October 1, 2014.



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TIMELINESS

Reporting Period	A	B	C		D	E				I			
	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			
			(24 hours)			≤90	91-180	181-365	>365	≤90	91-180	181-365	>365
			Number Received										
Current State Fiscal Year													
2014-2015, Cumulative through Quarter 1	4,952	4,468	137	99%	3,366	467	463	172	75%	10%	10%	4%	
Previous State Fiscal Years													
2013-2014	19,293	20,917	305	96%	14,269	2,573	2,237	1,838	68%	12%	11%	9%	
2012-2013	20,298	21,051	217	96%	14,133	2,926	2,176	1,816	67%	14%	10%	9%	
2011-2012	20,521	21,778	241	99%	14,076	2,740	2,356	2,606	65%	13%	11%	12%	

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 range of days Field Operations took to complete open ERI 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 ranges of days during the reporting period (I=E/B, J=F/B, K=G/B, L=H/B).

*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 1	4,952	4,468	985	1,634	37%	1,043	0.64	281
Previous State Fiscal Years								
2013-2014	19,293	20,917	4,599	6,847	33%	3,983	0.58	1,081
2012-2013	20,298	21,051	3,660	6,063	29%	3,008	0.50	779
2011-2012	20,521	21,778	3,253	5,959	27%	2,590	0.44	732
Totals	65,064	68,214	12,497	20,503	30%	10,624	0.52	2,592

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 determine did not require reporting.

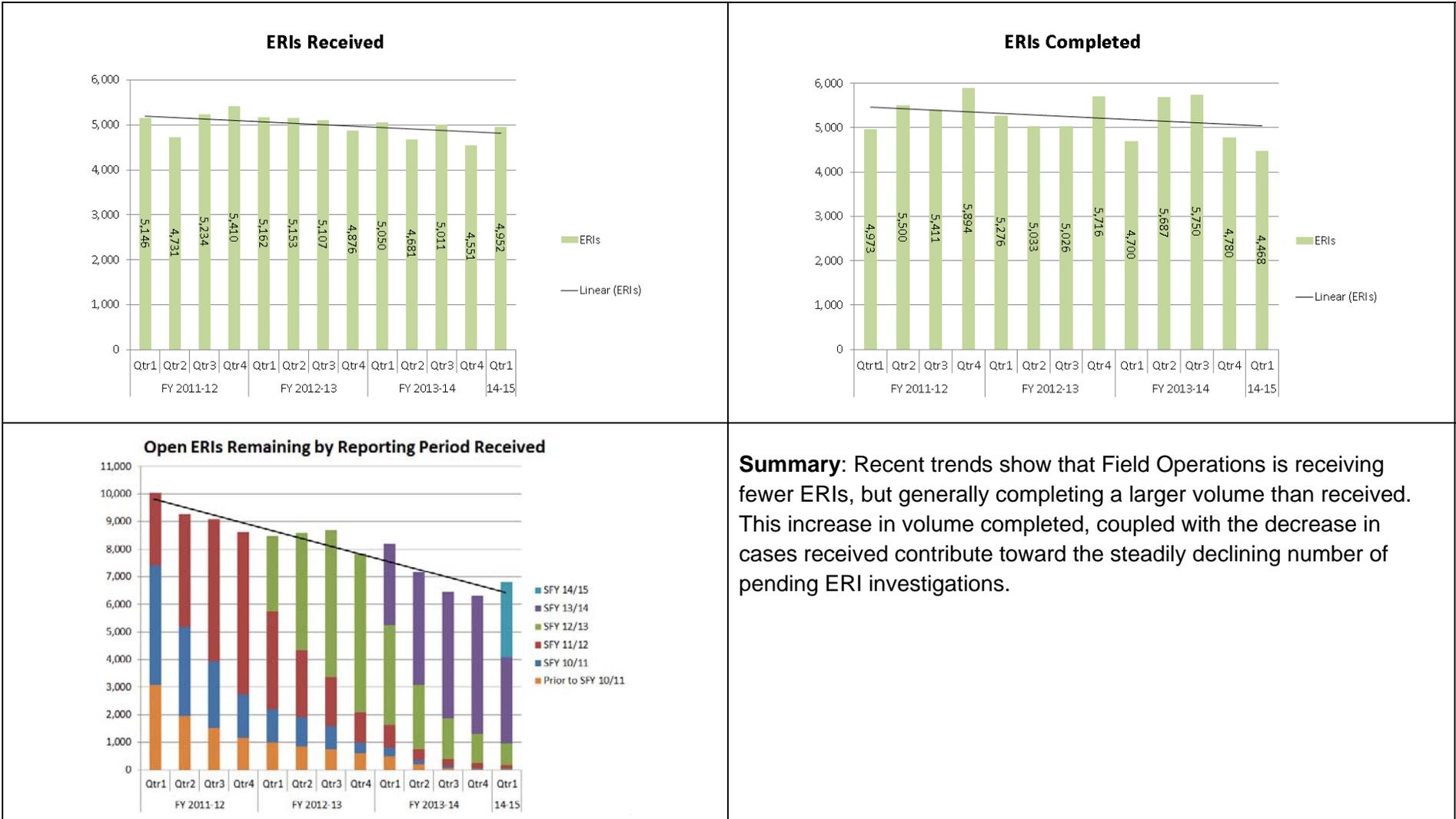
Table Notes:

- 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 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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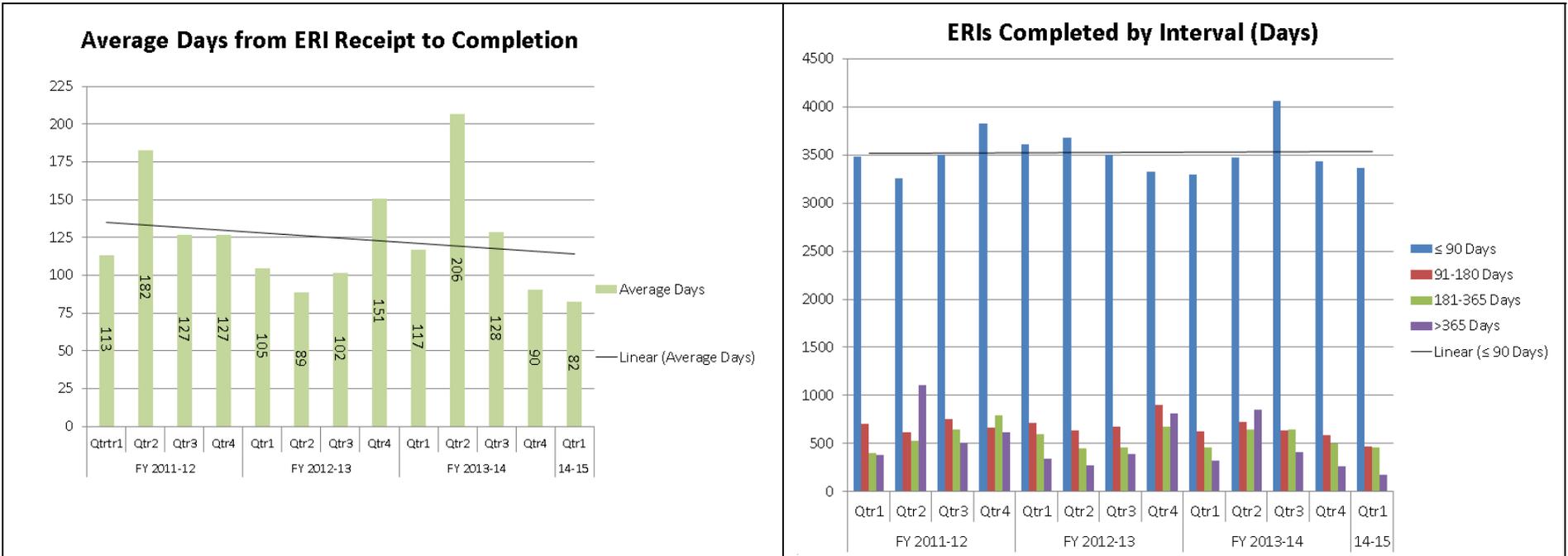


Summary: Recent trends show that Field Operations is receiving fewer ERIs, but generally completing a larger volume than received. This increase in volume completed, coupled with the decrease in cases received contribute toward the steadily declining number of pending ERI investigations.



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Summary: The “Average Days from ERI Receipt to Completion” table shows that in recent quarters the average number of days it takes to complete an ERI is decreasing.

The “ERIs Completed by Interval (Days)” chart shows the number of cases completed by interval (≤90 days, 91-180 days, 181-365 days, >365 days). This chart shows a slightly increasing trend in the number of cases completed within 90 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.