



State of California – Health and Human Services Agency
California Department of Public Health
 Center for Health Care Quality
 Licensing and Certification



EDMUND G. BROWN JR.
 Governor

State Health Facilities Citation Penalties Account (Fund 0942-601)

<u>SPECIAL DEPOSIT FUND</u> <u>0942-601</u>	<u>FUND</u> <u>CONDITION</u> <u>STATEMENT</u>	<u>FUNDING FISCAL</u> <u>YEAR</u>	<u>BUDGET ACT</u> <u>APPROPRIATION *</u>	<u>EXPENDITURES *</u>	<u>BUDGET ACT</u> <u>APPROPRIATION</u> <u>BALANCE *</u>	<u>REVENUES *</u>
<u>STATE HEALTH FACILITIES</u> <u>CITATION PENALTIES</u> <u>ACCOUNT</u>		SFY 2013-2014**	2,144	0	2,144	2,335
<u>STATE CITATION PENALTY</u> <u>ACCOUNTS SUMMARY</u>		SFY 2012-2013***	2,141	216	1,925	1,696
		SFY 2011-2012	2,137	828	1,309	3,085

*Figures in thousand dollars

** SFY 2013-14 Reflects projections from Proposed Governor's Budget and Revised 10Rs.

*** SFY 2012-2013 Reflects actual data from quarter ending March 31, 2013.



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Fund Condition Statement – PROJECTED

SFY 2013-2014

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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
* Figures in thousand dollars	
FUND BEGINNING BALANCE - JULY 1, 2013	8,223
Prior Year Adjustment	<u>0</u>
Adjusted Fund Beginning Balance	<u>8,223</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
217600 Fines and Penalties - External - Private Sector	2,301
250300 Income from Surplus Money	<u>34</u>
Total Revenues, Transfers and Other Adjustments	<u>2,335</u>
Total Resources	<u>10,558</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,188
4265 Department of Public Health (State Operations)	<u>2,144</u>
Total Expenditures and Expenditure Adjustments	<u>3,332</u>
FUND BALANCE, END - JUNE 30, 2014	<u>7,226</u>



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Fund Condition Statement – PROJECTED
SFY 2012-2013

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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
* Figures in thousand dollars	
FUND BEGINNING BALANCE - JULY 1, 2012	9,902
Prior Year Adjustment (Reversal of revenue accrual)	(685)
Adjusted Fund Beginning Balance	<u>9,217</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
217600 Fines and Penalties - External - Private Sector	2,301
250300 Income from Surplus Money	<u>34</u>
Total Revenues, Transfers and Other Adjustments	<u>2,335</u>
Total Resources	<u>11,552</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,188
4265 Department of Public Health (State Operations)	<u>2,141</u>
Total Expenditures and Expenditure Adjustments	<u>3,329</u>
FUND BALANCE, END - JUNE 30, 2013	<u>8,223</u>



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Fund Condition Statement – ACTUAL

SFY 2011-2012

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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
* Figures in thousand dollars	
FUND BEGINNING BALANCE - JULY 1, 2011	10,319
Prior Year Adjustment	<u>-1,487</u>
Adjusted Fund Beginning Balance	<u>8,832</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
217600 Fines and Penalties - External - Private Sector	3,049
250300 Income from Surplus Money	<u>35</u>
Total Revenues, Transfers and Other Adjustments	<u>3,084</u>
Total Resources	<u>11,916</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
Expenditures:	
4170 Department of Aging	1,186
4265 Department of Public Health (State Operations)	<u>828</u>
Total Expenditures and Expenditure Adjustments	<u>2,014</u>
FUND BALANCE, END - JUNE 30, 2012	<u>9,902</u>



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Expenditures – ACTUAL YEAR TO DATE
SFY 2012-2013 FM09 Quarter Ending March 31, 2013
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SPECIAL DEPOSIT FUND 0942-601		
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT		
* Figures in thousand dollars		
<u>TEMPORARY MANAGER</u>	<u>FACILITY NAME</u>	<u>EXPENDITURES *</u>
HFS CONSULTANTS	GRANITE HILLS CONVALESCENT HOSPITAL	<u>216</u>
	TOTAL	<u>216</u>

* Figures in thousand dollars
 * SFY 2012-13 Expenditures reflects actual data from quarter ending March 31, 2013.



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Expenditures - ACTUAL
SFY 2011-2012

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SPECIAL DEPOSIT FUND 0942-601		
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT		
* Figures in thousand dollars		
<u>TEMPORARY MANAGER</u>	<u>FACILITY NAME</u>	<u>EXPENDITURES *</u>
HFS CONSULTANTS	GRANITE HILLS HEALTHCARE, INC.	524
BRIUS, LLC	CENTRAL COAST NURSING CENTER	<u>304</u>
	TOTAL	<u>828</u>

* Figures in thousand dollars

* SFY 2011-12 Expenditures reflects actual data from quarter ending June 30, 2012.



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STATE CITATION DETAILED REPORT

3rd Quarter of Fiscal Year 12-13

Fiscal Years¹ 12-13, 11-12, 10-11, 09-10

	Fiscal Year 12-13 (7/1/12-3/31/13)			Fiscal Year 11-12			Fiscal Year 10-11			Fiscal Year 09-10		
	Total Amount Assessed	% of \$ Assessed	# of Citations Issued ⁶	Total Amount Assessed	% of \$ Assessed	# of Citations Issued ⁶	Total Amount Assessed	% of \$ Assessed	# of Citations Issued ⁶	Total Amount Assessed	% of \$ Assessed	# of Citations Issued ⁶
TOTAL AMOUNT ASSESSED	\$1,309,250.00	100%	251	\$2,421,550.00	100%	590	\$3,093,467.00	100%	611	\$4,142,000.00	101%	700
ALLOWABLE ADJUSTMENTS²	\$217,025.00	16%	1	\$472,227.50	19%	55	\$554,477.00	18%	93	\$1,131,342.50	28%	129
Reduced	\$0.00	0%	0	\$39,452.50	9%	35	\$187,795.00	34%	82	\$613,277.50	54%	110
Dismissed	\$0.00	0%	0	\$1,000.00	0%	1	\$33,500.00	6%	4	\$65,450.00	6%	14
35% payment offset	\$207,025.00	95%	(164)	\$355,775.00	75%	(311)	\$329,332.00	58%	(307)	\$370,615.00	33%	(329)
Uncollectable Other	\$10,000.00	5%	1	\$58,000.00	12%	15	\$2,850.00	1%	6	\$81,050.00	8%	3
Withdrawn	\$0.00	0%	0	\$18,000.00	4%	4	\$1,000.00	1%	1	\$1,750.00	2%	2
Reverse offset payment	\$0.00	0%	(0)	\$0.00	0%	(0)	\$0.00	0%	(0)	(\$800.00)	1%	(2)
NET AMOUNT SUBJECT TO COLLECTION³	\$1,092,225.00	83%		\$1,949,322.50	80%		\$2,538,990.00	82%		\$3,010,657.50	73%	
AMOUNT COLLECTED TO DATE⁴	\$468,975.00	36%	207	\$1,081,422.50	45%	426	\$1,260,340.00	41%	398	\$1,715,407.50	41%	446
65% payment	\$384,475.00	80%	164	\$660,725.00	61%	311	\$611,617.50	49%	307	\$688,285.00	40%	329
Full payment	\$82,175.00	17%	43	\$240,000.00	22%	115	\$377,350.00	30%	91	\$402,200.00	23%	117
Installment payment	\$0.00	0%	(0)	\$20,000.00	2%	(1)	\$0.00	0%	0	\$16,950.00	1%	(4)
Continuing Penalty payment	\$3,000.00	1%	(8)	\$12,750.00	1%	(20)	\$5,400.00	1%	(17)	\$6,200.00	1%	(19)
Medi-Cal Offset payment	\$0.00	0%	(0)	\$15,300.00	1%	(6)	\$23,875.00	2%	(7)	\$43,900.00	3%	(14)
Other payment	\$325.00	1%	(1)	\$7,300.00	1%	(8)	\$3,450.00	1%	(4)	\$4,000.00	1%	(2)
Settlement payment	\$0.00	0%	(0)	\$129,547.50	11%	(31)	\$251,547.50	16%	(81)	\$554,472.50	23%	(105)
Reverse payment	(\$1,000.00)	1%	(1)	(\$4,200.00)	1%	(6)	(\$12,900.00)	1%	(5)	(\$600.00)	1%	(1)
PENDING RESOLUTION⁵	\$623,250.00	48%	43	\$867,900.00	36%	109	\$1,278,650.00	41%	120	\$1,295,250.00	31%	125
Litigation												
Citation Review Conference	\$0.00	0%	0	\$137,650.00	16%	30	\$425,850.00	33%	86	\$226,105.00	17%	72
Administrative Law Judge	\$20,400.00	3%	17	\$49,450.00	6%	38	\$13,050.00	1%	12	\$9,000.00	1%	11
Superior/Municipal Court	\$535,000.00	86%	17	\$596,500.00	69%	19	\$816,650.00	64%	19	\$855,145.00	62%	35
Binding Arbitration	\$2,000.00	0%	1	\$7,000.00	1%	4	\$0.00	0%	0	\$0.00	0%	0
Collection in Process	\$65,850.00	11%	8	\$77,300.00	8%	18	\$23,100.00	2%	3	\$205,000.00	1%	7

Footnotes:

- Fiscal Year dates refer to the date the citation was issued.
- Allowable Adjustments include reduction amount of citations paid @ 65% discount rate per HSC Sections 1428.1, and 1424.5(b). Citations paid within 15 days (30 days for skilled nursing or intermediate care facilities) are reduced by 35%. Amount reduced or dismissed in Appeals and/or Settlements, Uncollectable due to bankruptcy (discharged), change of ownership, facility closure or withdrawn by the Department.
- Net Amount Subject to Collection reflects the collectable amount after allowable adjustments.
- Amount Collected to Date - Reflects collections that result in a closed citation.
- Pending Resolution includes citations in litigation/appealed to a citation review conference, administrative law judge, binding arbitration or court. Collection in Process includes active payment demands, Medi-Cal offset, settlement money pending
- Citation numbers reflected in parenthesis are non-add figures.

Source: ELMS Disposition of Civil Money Penalty Assessments, 3/31/2013