

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

<u>SPECIAL DEPOSIT FUND 0942-601</u> STATE HEALTH FACILITIES CITATION PENALTIES ACCOUNT	<u>FUND CONDITION STATEMENT</u>	FUNDING FISCAL YEAR	BUDGET ACT APPROPRIATION *	EXPENDITURES *	BUDGET ACT APPROPRIATION BALANCE *	REVENUES *
<u>STATE CITATION PENALTY ACCOUNTS SUMMARY</u>		SFY 2015-16**	3,337	0	3,337	2,383
		SFY 2014-15 FM 12***	3,337	1,186	2,151	2,138
		SFY 2013-14	3,337	1,187	2,150	2,693
		SFY 2012-13	3,337	1,402	1,935	2,630
		SFY 2011-12	3,337	2,014	1,323	3,084

*Figures in thousand dollars

**SFY 2015-16 reflects expenditure projections from the Governor’s Budget including Department of Aging (Org. 4170); and revenue projections from May revision. Enacted Budget amounts will be provided in the quarter ending September 30, 2015.

** *SFY 2014-2015 FM 12 reflects actual expenditures and revenues from quarter ending June 30, 2015.



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

Fund Condition Statement – Projected*

SFY 2015-16

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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
* Figures in thousand dollars	
FUND BEGINNING BALANCE - JULY 1, 2015	11,272
Prior Year Adjustment	<u>0</u>
Adjusted Fund Beginning Balance	<u>11,272</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,353
4163000 Income from Surplus Money Investment	<u>30</u>
Total Revenues, Transfers and Other Adjustments	<u>2,383</u>
Total Resources	<u>13,655</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,193
4265 Department of Public Health (State Operations)	<u>2,144</u>
Total Expenditures and Expenditure Adjustments	<u>3,337</u>
FUND BALANCE, END - JUNE 30, 2016	<u>10,318</u>

*Enacted Budget expenditures and revenues will be provided in the quarter ending September 30, 2015.



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

Fund Condition Statement – Projected*

SFY 2014-15

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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
* Figures in thousand dollars	
FUND BEGINNING BALANCE - JULY 1, 2014	11,948
Prior Year Adjustment	<u>0</u>
Adjusted Fund Beginning Balance	<u>11,948</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,632
4163000 Income from Surplus Money Investment	<u>29</u>
Total Revenues, Transfers and Other Adjustments	<u>2,661</u>
Total Resources	<u>14,609</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,193
4265 Department of Public Health (State Operations)	<u>2,144</u>
Total Expenditures and Expenditure Adjustments	<u>3,337</u>
FUND BALANCE, END – June 30, 2015	<u>11,272</u>

*Actual FY 2014-15 revenues and expenditures will be provided in the quarter ending September 30, 2015.



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

Fund Condition Statement – Actual
SFY 2014-15 FM12

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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
* Figures in thousand dollars	
FUND BEGINNING BALANCE - JULY 1, 2014	11,948
Prior Year Adjustment	<u> </u>
Adjusted Fund Beginning Balance	<u>11,948</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,115
4163000 Income from Surplus Money Investment	<u> 23</u>
Total Revenues, Transfers and Other Adjustments	<u>2,138</u>
Total Resources	<u>14,086</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,186
4265 Department of Public Health (State Operations)	<u> 0</u>
Total Expenditures and Expenditure Adjustments	<u>1,186</u>
FUND BALANCE, END – June 30, 2015	<u>12,900</u>



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

Fund Condition Statement – Actual

SFY 2013-14

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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	10,445
Prior Year Adjustment	(3)
Adjusted Fund Beginning Balance	<u>10,442</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,667
4163000 Income from Surplus Money Investment	26
Total Revenues, Transfers and Other Adjustments	<u>2,693</u>
Total Resources	<u>13,135</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,187
4265 Department of Public Health (State Operations)	0
Total Expenditures and Expenditure Adjustments	<u>1,187</u>
FUND BALANCE, END - JUNE 30, 2014	<u>11,948</u>



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

Fund Condition Statement – Actual

SFY 2012-13

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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	(685)
Adjusted Fund Beginning Balance	<u>9,217</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,601
4163000 Income from Surplus Money Investment	<u>29</u>
Total Revenues, Transfers and Other Adjustments	<u>2,630</u>
Total Resources	<u>11,847</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,186
4265 Department of Public Health (State Operations)	<u>216</u>
Total Expenditures and Expenditure Adjustments	<u>1,402</u>
FUND BALANCE, END - JUNE 30, 2013	<u>10,445</u>



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

Fund Condition Statement – Actual

SFY 2011-12

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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
<i>* Figures in thousand dollars</i>	
FUND BEGINNING BALANCE - JULY 1, 2011	10,319
Prior Year Adjustment	-1,487
Adjusted Fund Beginning Balance	<u>8,832</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	3,049
4163000 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>

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

Expenditures – Actual

SFY 2012-13

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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 reflect actual data from quarter ending June 30, 2013.

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

Expenditures – Actual
SFY 2011-12
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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 reflect actual data from quarter ending June 30, 2012.

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

STATE CITATION DETAILED REPORT
4th Quarter of Fiscal Year 2014-15
Fiscal Years 2014-15, 2013-14, 2012-13 and 2011-12

	Fiscal Year 2014-15			Fiscal Year 2013-14			Fiscal Year 2012-13			Fiscal Year 2011-12		
	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	\$2,448,400	100%	297	\$2,641,850	100%	523	\$2,058,300	100%	343	\$2,818,700	100%	595
ALLOWABLE ADJUSTMENTS²	\$291,253	12%	4	\$602,340	23%	36	\$535,725	26%	29	\$743,103	26%	105
Reduced	\$400	1%	1	\$135,450	22%	13	\$198,225	37%	23	\$270,528	36%	72
Dismissed	\$0	0%	0	\$36,000	6%	18	\$10,000	2%	1	\$11,600	2%	3
35% payment offset	\$268,853	92%	(104)	\$425,740	70%	(275)	\$276,500	52%	(221)	\$355,775	48%	(311)
Uncollectable Other	\$0	0%	0	\$1,150	1%	1	\$10,000	2%	2	\$85,200	11%	24
Withdrawn	\$22,000	7%	3	\$4,000	1%	4	\$41,000	7%	3	\$20,000	3%	6
Reverse offset payment	\$0	0%	(0)	\$0	0%	(0)	\$0	0%	(0)	\$0	0%	(0)
NET AMOUNT SUBJECT TO COLLECTION³	\$2,157,148	88%		\$2,039,510	77%		\$1,522,575	74%		\$2,075,598	74%	
AMOUNT COLLECTED TO DATE⁴	\$957,848	39%	219	\$1,297,760	49%	367	\$1,140,075	55%	294	\$1,756,998	62%	463
65% payment	\$499,298	50%	149	\$790,660	61%	275	\$513,500	45%	221	\$660,725	38%	311
Full payment	\$430,700	45%	70	\$298,300	23%	92	\$207,200	18%	73	\$341,650	19%	152
Installment payment	\$1,500	1%	(1)	\$7,800	1%	(1)	\$122,000	11%	(3)	\$75,250	4%	(2)
Continuing Penalty payment	\$5,250	1%	(11)	\$6,750	1%	(14)	\$10,650	1%	(14)	\$44,100	3%	(23)
Medi-Cal Offset payment	\$0	0%	(0)	\$3,500	1%	(2)	\$0	0%	(0)	\$15,300	1%	(6)
Other payment	\$20,000	2%	(1)	\$26,650	2%	(7)	\$0	0%	0	\$2,700	1%	(4)
Settlement payment	\$1,100	1%	(1)	\$177,750	10%	(14)	\$288,725	24%	(23)	\$621,873	33%	(73)
Reverse payment	\$0	0%	(0)	-\$13,650	1%	(2)	-\$2,000	1%	(2)	-\$4,600	1%	(7)
PENDING RESOLUTION⁵	\$1,199,300	49%	74	\$741,750	28%	120	\$382,500	19%	20	\$318,600	12%	27
Litigation												
Citation Review Conference	\$0	0%	0	\$0	0%	0	\$0	0%	0	\$0	0%	0
Administrative Law Judge	\$44,250	4%	20	\$169,600	23%	87	\$8,550	2%	7	\$31,100	9%	20
Superior/Municipal Court	\$960,700	80%	39	\$542,150	73%	31	\$188,350	49%	9	\$285,500	90%	5
Binding Arbitration	\$0	0%	0	\$0	0%	0	\$0	0%	0	\$0	0%	0
Collection in Process	\$194,350	16%	15	\$30,000	4%	2	\$185,600	49%	4	\$2,000	1%	2

Footnotes:

- Fiscal Year dates refer to the date the citation was issued.
- Allowable Adjustments include reduction amount of citations paid @ 65% 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 (appeal option available for citations issued prior to 1/1/12), 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.