



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 0942-601</u>	<u>FUND CONDITION STATEMENT</u>	FUNDING FISCAL YEAR	BUDGET ACT APPROPRIATION *	EXPENDITURES *	BUDGET ACT APPROPRIATION BALANCE *	REVENUES *
<u>STATE HEALTH FACILITIES CITATION PENALTIES ACCOUNT</u>	<u>STATE CITATION PENALTY ACCOUNTS SUMMARY</u>	SFY 2015-2016**	2,144	0	2,144	2,661
		SFY 2014-15**	2,144	0	2,144	2,661
		SFY 2014-15 FM06***	2,144	0	2,144	1,033
		SFY 2013-2014	2,144	0	2,144	2,693
		SFY 2012-2013	2,141	216	1,925	2,630
		SFY 2011-2012	2,137	828	1,309	3,084

*Figures in thousand dollars

**SFY 2014-15 and SFY 2015-16 reflect projections from proposed governor's budget.

*** SFY 2014-2015 FM06 reflects actual data from quarter ending December 31, 2014.



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Fund Condition Statement – Projected

SFY 2015-2016

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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	2,632
4163000 Income from Surplus Money Investment	<u>29</u>
Total Revenues, Transfers and Other Adjustments	<u>2,661</u>
Total Resources	<u>13,933</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>10,596</u>



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Fund Condition Statement – Projected

SFY 2014-2015

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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>



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Fund Condition Statement – Actual
SFY 2014-2015 FM06

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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	(18)
Adjusted Fund Beginning Balance	<u>11,930</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	1,026
4163000 Income from Surplus Money Investment	7
Total Revenues, Transfers and Other Adjustments	<u>1,033</u>
Total Resources	<u>12,963</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,131
4265 Department of Public Health (State Operations)	0
Total Expenditures and Expenditure Adjustments	<u>1,131</u>
FUND BALANCE, END - DECEMBER 31, 2014	<u>11,832</u>



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Fund Condition Statement – Actual
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	10,445
Prior Year Adjustment	(5)
Adjusted Fund Beginning Balance	<u>10,440</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,667
4163000 Income from Surplus Money Investment	<u>26</u>
Total Revenues, Transfers and Other Adjustments	<u>2,693</u>
Total Resources	<u>13,133</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,185
4265 Department of Public Health (State Operations)	<u>0</u>
Total Expenditures and Expenditure Adjustments	<u>1,185</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 2012-2013

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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	(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 2011-2012

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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	-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>



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

Expenditures – Actual
SFY 2012-2013 Quarter Ending June 30, 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 reflect actual data from quarter ending June 30, 2013.



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



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STATE CITATION DETAILED REPORT
 2nd Quarter of Fiscal Year 14-15
 Fiscal Years 14-15, 13-14, 12-13 and 11-12

	Fiscal Year 14-15 (7/1/14-12/31/14)			Fiscal Year 13-14			Fiscal Year 12-13			Fiscal Year 11-12		
	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	\$789,450.00	100%	131	\$2,648,850.00	100%	524	\$2,141,300.00	100%	342	\$2,818,700.00	101%	595
ALLOWABLE ADJUSTMENTS²	\$127,122.50	16%	3	\$544,490.00	17%	30	\$502,725.00	23%	25	\$718,602.50	25%	101
Reduced	\$0.00	0%	0	\$77,600.00	14%	7	\$175,225.00	35%	20	\$247,027.50	34%	69
Dismissed	\$0.00	0%	0	\$36,000.00	7%	18	\$0.00	0%	0	\$11,600.00	2%	3
35% payment offset	\$105,122.50	83%	(76)	\$425,740.00	78%	(275)	\$276,500.00	55%	(221)	\$355,775.00	50%	(311)
Uncollectable Other	\$0.00	0%	0	\$1,150.00	1%	1	\$10,000.00	2%	2	\$85,200.00	12%	24
Withdrawn	\$22,000.00	17%	3	\$4,000.00	1%	4	\$41,000.00	8%	3	\$19,000.00	2%	5
Reverse offset payment	\$0.00	0%	(0)	\$0.00	0%	(0)	\$0.00	0%	(0)	\$0.00	0%	(0)
NET AMOUNT SUBJECT TO COLLECTION³	\$662,327.50	84%		\$2,104,360.00	79%		\$1,638,575.00	77%		\$2,100,097.50	75%	
AMOUNT COLLECTED TO DATE⁴	\$267,127.50	34%	95	\$1,128,010.00	43%	364	\$1,066,075.00	50%	294	\$1,721,697.50	61%	462
65% payment	\$195,227.50	73%	76	\$790,660.00	70%	275	\$513,500.00	48%	221	\$660,725.00	38%	311
Full payment	\$69,000.00	25%	19	\$274,300.00	20%	89	\$207,200.00	19%	73	\$322,850.00	19%	151
Installment payment	\$1,500.00	1%	(1)	\$5,200.00	1%	(1)	\$62,000.00	6%	(2)	\$75,250.00	4%	(2)
Continuing Penalty payment	\$1,400.00	1%	(3)	\$6,750.00	1%	(14)	\$10,650.00	1%	(14)	\$44,100.00	1%	(23)
Medi-Cal Offset payment	\$0.00	0%	(0)	\$3,500.00	1%	(2)	\$0.00	0%	(0)	\$15,300.00	1%	(6)
Other payment	\$0.00	0%	(0)	\$13,650.00	1%	(2)	\$0.00	0%	0	\$2,700.00	1%	(4)
Settlement payment	\$0.00	0%	(0)	\$47,600.00	1%	(7)	\$274,725.00	25%	(21)	\$605,372.50	35%	(72)
Reverse payment	\$0.00	0%	(0)	(\$13,650.00)	1%	(2)	(\$2,000.00)	1%	(2)	(\$4,600.00)	1%	(7)
PENDING RESOLUTION⁵	\$395,200.00	50%	33	\$976,350.00	37%	130	\$572,500.00	27%	23	\$378,400.00	14%	32
Litigation												
Citation Review Conference	\$0.00	0%	0	\$0.00	0%	0	\$0.00	0%	0	\$0.00	0%	0
Administrative Law Judge	\$29,150.00	7%	9	\$34,600.00	4%	20	\$8,550.00	1%	7	\$33,900.00	9%	23
Superior/Municipal Court	\$251,250.00	64%	12	\$932,800.00	96%	109	\$563,350.00	98%	15	\$343,500.00	90%	8
Binding Arbitration	\$0.00	0%	0	\$0.00	0%	0	\$0.00	0%	0	\$0.00	0%	0
Collection in Process	\$114,800.00	29%	12	\$8,950.00	1%	1	\$600.00	1%	1	\$1,000.00	1%	1

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.