



KAREN L. SMITH, MD, MPH
 Director and State Public Health Officer

State of California – Health and Human Services Agency
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EDMUND G. BROWN JR.
 Governor

Fund Condition Statement
 State Health Facilities Citation Penalties Account
 Special Deposit Fund 0942-601
 Quarter Ending December 31, 2015

FUNDING FISCAL YEAR	BUDGET ACT APPROPRIATION *	EXPENDITURES *	BUDGET ACT APPROPRIATION BALANCE *	REVENUES *
SFY 2016-17**	3,337	0	3,337	2,425
SFY 2015-16**	4,337	937	3,400	1,067
SFY 2014-15	3,337	1,187	2,150	2,147
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

**Reflect projections from governor’s budget; SFY 2015-16 includes actual expenditures and revenues through quarter ending December 31, 2015.





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Fund Condition Statement – Projected
SFY 2016-17
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SPECIAL DEPOSIT FUND 0942-601	
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT	
* Figures in thousand dollars	
FUND BEGINNING BALANCE - JULY 1, 2016	7,957
Prior Year Adjustment	<u>0</u>
Adjusted Fund Beginning Balance	<u>7,957</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,391
4163000 Income from Surplus Money Investment	<u>34</u>
Total Revenues, Transfers and Other Adjustments	<u>2,425</u>
Total Resources	<u>10,382</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, 2017	<u>7,045</u>





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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	9,869
Prior Year Adjustment	<u>0</u>
Adjusted Fund Beginning Balance	<u>9,869</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,391
4163000 Income from Surplus Money Investment	<u>34</u>
Total Revenues, Transfers and Other Adjustments	<u>2,425</u>
Total Resources	<u>12,294</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	2,193
4265 Department of Public Health (State Operations)	<u>2,144</u>
Total Expenditures and Expenditure Adjustments	<u>4,337</u>
FUND BALANCE, END - JUNE 30, 2016	<u>7,957</u>





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Fund Condition Statement – Actual
SFY 2015-16 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, 2015	9,869
Prior Year Adjustment	<u>0</u>
Adjusted Fund Beginning Balance	<u>9,869</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	1,057
4163000 Income from Surplus Money Investment	<u>10</u>
Total Revenues, Transfers and Other Adjustments	<u>1,067</u>
Total Resources	<u>10,936</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	640
4265 Department of Public Health (State Operations)	<u>297</u>
Total Expenditures and Expenditure Adjustments	<u>937</u>
FUND BALANCE, END - December 31, 2015	<u>9,999</u>





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Fund Condition Statement – Actual
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>33</u>
Adjusted Fund Beginning Balance	<u>11,981</u>
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	
Revenues:	
4172220 Fines and Penalties - External - Private Sector	2,115
4163000 Income from Surplus Money Investment	32
Transfer to General Fund 0001	
per Health and Safety Code section 1417.2 (b)	<u>(3,072)</u>
Total Revenues, Transfers and Other Adjustments	<u>(925)</u>
Total Resources	<u>11,056</u>
EXPENDITURES AND EXPENDITURE ADJUSTMENTS	
4170 Department of Aging	1,187
4265 Department of Public Health (State Operations)	<u>0</u>
Total Expenditures and Expenditure Adjustments	<u>1,187</u>
FUND BALANCE, END – June 30, 2015	<u>9,869</u>





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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	<u>26</u>
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)	<u>0</u>
Total Expenditures and Expenditure Adjustments	<u>1,187</u>
FUND BALANCE, END - JUNE 30, 2014	<u>11,948</u>





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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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Fund Condition Statement – Actual
SFY 2011-12
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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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Expenditures – Actual
SFY 2015-16 FM06
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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> **
QUALITY HEALTHCARE ASSET MANAGEMENT	CREST HAVEN SKILLED NURSING FACILITY	<u>297</u>
	TOTAL	<u>297</u>

*Figures in thousand dollars

** SFY 2015-16 Expenditures reflect actual data representing \$297 year to date expenditures through quarter ending December 31, 2015.
 BO 6 Report expenditures of \$594 are subject to a pending correction in CALSTARS to show expenditures of \$297.





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Expenditures – Actual
SFY 2012-13
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SPECIAL DEPOSIT FUND 0942-601		
STATE HEALTH FACILITIES CITATION PENALTY ACCOUNT		
<i>* Figures in thousand dollars</i>		
<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 through quarter ending June 30, 2013.*





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Expenditures – 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>		
<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 through quarter ending June 30, 2012.*





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STATE CITATION DETAILED REPORT
2nd Quarter of Fiscal Year 2015-16,
Fiscal Years 2014-15, 2013-14 & 2012-13

	Fiscal Year 15-16 (7/1/15-12/31/15)			Fiscal Year 14-15			Fiscal Year 13-14			Fiscal Year 12-13		
	Total Amount Assessed	% of \$ Assessed	# of Citations Issued	Total Amount Assessed	% of \$ Assessed	# of Citations Issued	Total Amount Assessed	% of \$ Assessed	# of Citations Issued	Total Amount Assessed	% of \$ Assessed	# of Citations Issued
TOTAL AMOUNT ASSESSED	\$1,345,750	100%	176	\$2,600,550	100%	328	\$2,641,850	100%	523	\$2,051,300	100%	339
ALLOWABLE ADJUSTMENTS²	\$219,573	16%	0	\$381,205	15%	9	\$643,740	24%	46	\$607,775	30%	30
Reduced	\$0	0%	0	\$18,100	5%	4	\$172,450	27%	20	\$206,225	34%	24
Dismissed	\$0	0%	0	\$0	0%	0	\$39,200	6%	20	\$75,000	12%	2
35% payment offset	\$219,573	100%	(103)	\$329,105	86%	(176)	\$425,740	65%	(275)	\$276,500	45%	(221)
Uncollectable Other	\$0	0%	0	\$12,000	3%	2	\$2,350	1%	2	\$10,050	2%	2
Withdrawn	\$0	0%	0	\$22,000	6%	3	\$4,000	1%	4	\$40,000	7%	2
Reverse offset payment	\$0	0%	0	\$0	0%	0	\$0	0%	0	\$0	0%	0
NET AMOUNT SUBJECT TO COLLECTION³	\$1,126,178	84%		\$2,219,345	85%		\$1,998,110	76%		\$1,443,525	70%	
AMOUNT COLLECTED TO DATE	\$586,878	44%	130	\$1,229,395	47%	261	\$1,380,260	52%	371	\$1,183,075	58%	293
65% payment	\$407,778	69%	103	\$611,195	50%	176	\$790,660	57%	275	\$513,500	43%	221
Full payment	\$149,050	25%	27	\$550,700	41%	85	\$306,800	22%	96	\$208,200	18%	72
Installment payment	\$0	0%	0	\$1,500	1%	(1)	\$7,800	1%	(1)	\$152,000	13%	(3)
Continuing Penalty payment	\$1,050	1%	(4)	\$5,600	1%	(13)	\$6,750	1%	(14)	\$10,650	1%	(14)
Medi-Cal Offset payment	\$0	0%	0	\$0	0%	0	\$3,500	1%	(2)	\$0	0%	0
Other payment	\$22,000	4%	(2)	\$53,000	4%	(4)	\$35,150	3%	(4)	\$0	0%	0
Settlement payment	\$7,000	1%	(2)	\$25,400	2%	(3)	\$243,750	14%	(21)	\$300,725	24%	(24)
Reverse payment	\$0	0%	0	-\$18,000	1%	(1)	-\$14,150	1%	(3)	-\$2,000	1%	(2)
PENDING RESOLUTION⁴	\$539,300	40%	46	\$989,950	38%	58	\$617,850	24%	106	\$260,450	12%	16
Litigation												
Citation Review Conference	\$0	0%	0	\$0	0%	0	\$0	0%	0	\$0	0%	0
Administrative Law Judge	\$27,000	5%	15	\$46,250	5%	21	\$73,500	12%	83	\$8,500	3%	7
Superior/Municipal Court	\$456,050	85%	25	\$923,950	93%	36	\$544,350	88%	23	\$156,350	60%	6
Binding Arbitration	\$2,250	1%	1	\$0	0%	0	\$0	0%	0	\$0	0%	0
Collection in Process	\$54,000	9%	5	\$19,750	2%	1	\$0	0%	0	\$95,600	37%	3

Footnotes:
 1. Fiscal Year dates refer to the date the citation was issued.
 2. Allowable Adjustments include reduction amount of citations paid @ 65% per HSC Sections 1428.1, and 1424.5(b). Citations paid within 15 days (Class AA or A - 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.
 3. Net Amount Subject to Collection reflects the collectable amount after allowable adjustments.
 4. 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.
 5. Citation numbers reflected in parenthesis are non-add figures.

