

---

## EVALUATOR MANUAL TRANSMITTAL SHEET

### 2014 RESIDENTIAL CARE FACILITIES FOR THE ELDERLY IMPLEMENTATION PLANS

<p><b><u>Distribution:</u></b></p> <p><input checked="" type="checkbox"/> <b>Adult and Senior Care Program</b></p> <p><input type="checkbox"/> <b>Children's Residential Program</b></p> <p><input type="checkbox"/> <b>Child Care Program</b></p> <p><input type="checkbox"/> <b>All Programs</b></p>	<p style="text-align: center;"><b><u>Transmittal No.</u></b></p> <p style="text-align: center;"><b>16APX-06</b></p> <hr/> <p style="text-align: center;"><b><u>Date Issued</u></b></p> <p style="text-align: center;"><b>March 2016</b></p>
--	---

**Subject:**

Appendix A – 2014 Chaptered Legislation  
Community Care Licensing, Residential Care Facilities for the Elderly

**Reason for Change:**

This document transmits implementation plans that include summaries of, and implementation procedures for, legislation chaptered in 2014 affecting the Community Care Licensing Division, Residential Care Facilities for the Elderly.

**Filing Instructions:**

REMOVE:    **15APX-08**    2014 Chaptered Legislation

INSERT:     **16APX-06**    2014 Chaptered Legislation  
Do not remove similar documents from the previous years.

**Approved:**

***Original signed by Lilit Tovmasian***

**3/23/2016**

\_\_\_\_\_  
**Lilit Tovmasian, Chief**  
Policy Development Bureau  
Community Care Licensing Division

\_\_\_\_\_  
Date

---

Contact Person: Susan Hutchinson

Phone Number: (916) 654-2462

---

## **SUMMARY OF CHANGES 2014 Legislation Implementation Plan**

**The following summarizes the substantive changes from document 15APX-08 issued September 2015 to 16APX-06 issued March 2016:**

1. AB SB 855 – Added Implementation Plan (page 68)
2. AB SB 873 – Added Implementation Plan (page 70)

**The following summarizes prior substantive changes from document 15APX-04 issued June 2015 to 15APX-08 issued September 2015:**

3. AB 2236 – Added Implementation Plan (page 54)

**The following summarizes prior substantive changes from document 14APX-15 issued December 2014 to 15APX-04 issued June 2015:**

1. AB 1523 – Added Implementation Plan (page 1)
2. AB 1572 – Corrected publication number and provided hyperlink to PUB 474 – Rights of Resident Councils (page 6)
3. AB 1572 – Clarified in Addendum A and B that the Department has a duty to review appeals within 10 working days (pages 10 and 11)
4. AB 2044 – Removed requirement for licensee to make personnel files available to the Department within 60 minutes if the designated substitute does not have access to personnel records (page 16)
5. AB 2044 – Added note to top of the chart indicating that licensees must ensure compliance with the requirements of the new law and continue to comply with the requirements of existing regulations (page 20)
6. AB 2171 – Added definition of “resident representative” (page 28)
7. AB 2171 – Added note to top of the chart indicating that licensees must ensure compliance with the requirements of the new law and continue to comply with the requirements of existing regulations (page 36)
8. AB 2386 – Added Implementation Plan (page 66)
9. SB 895 – Added hyperlink to PUB 475 – Licensing Complaint Poster (page 68)
10. SB 895 – Added poster size and content requirements, if not using PUB 475 (page 68)

## 2014 CHAPTERED LEGISLATION

### Summaries and Implementation Plans

#### RESIDENTIAL CARE FACILITIES FOR THE ELDERLY

<b>“ACTION REQUIRED”</b>		
<b>BILL INFORMATION</b>	<b>SUBJECT</b>	<b>PAGE</b>
<a href="#">Assembly Bill 1523</a> (Atkins) Chapter 205, Statutes of 2014	<b>Residential care facilities for the elderly: liability insurance.</b> Added <a href="#">Section 1569.605</a> to the Health and Safety Code.	<a href="#">1</a>
<a href="#">Assembly Bill 1572</a> (Eggman) Chapter 177, Statutes of 2014	<b>Residential care facilities for the elderly: Resident and family councils.</b> Amended Sections <a href="#">1569.157</a> and <a href="#">1569.158</a> of the Health and Safety Code.	<a href="#">4</a>
<a href="#">Assembly Bill 1821</a> (Gordon) Chapter 650, Statutes of 2014	<b>Medical foster homes.</b> An act to add and repeal Chapter 5 (commencing with Section 1850) of <a href="#">Division 8</a> of the Military and Veterans Code.	<a href="#">12</a>
<a href="#">Assembly Bill 1899</a> (Brown) Chapter 700, Statutes of 2014	<b>Residential care facilities for the elderly.</b> Amended Section <a href="#">1569.19</a> and Section <a href="#">1569.50</a> of the Health and Safety Code and incorporated changes to Section <a href="#">1569.682</a> of the Health and Safety Code as specified in <a href="#">Senate Bill 873</a> .	<a href="#">14</a>
<a href="#">Assembly Bill 2044</a> (Rodriguez) Chapter 701, Statutes of 2014	<b>Residential care facilities for the elderly.</b> Amended Sections <a href="#">1569.618</a> and <a href="#">1569.625</a> of the Health and Safety Code	<a href="#">15</a>
<a href="#">Assembly Bill 2171</a> (Wieckowski) Chapter 702, Statutes of 2014	<b>Residential care facilities for the elderly.</b> Added Article 2.5 (commencing with <a href="#">Section 1569.261</a> and including <a href="#">Sections 1569.265</a> , <a href="#">1569.267</a> , and <a href="#">1569.269</a> ) to Chapter 3.2 of Division 2 of the Health and Safety Code.	<a href="#">26</a>
<a href="#">Assembly Bill 2236</a> (Maienschein / Stone), Chapter 813, Statutes of 2014	<b>Care facilities: civil penalties.</b> Amended, repealed, and added Sections <a href="#">1548</a> , <a href="#">1568.0822</a> , <a href="#">1569.49</a> , <a href="#">1596.99</a> , and <a href="#">1597.58</a> of the Health and Safety Code.	<a href="#">54</a>

<a href="#">Assembly Bill 2386</a> (Mullin) Chapter 503, Statutes of 2014	<b>Care Facilities: Carbon Monoxide Detectors</b> Amended Sections <a href="#">1597.45</a> and <a href="#">1597.46</a> and added Sections <a href="#">1503.2</a> , <a href="#">1568.043</a> , <a href="#">1569.311</a> , <a href="#">1596.954</a> , and <a href="#">1597.543</a> to the Health and Safety Code.	<a href="#">66</a>
<a href="#">Senate Bill 855</a> (Committee on Budget and Fiscal Review), Chapter 29, Statutes of 2014	<b>Adult Residential Facilities (ARF), Adult Residential Facilities for Persons with Special Health Care Needs (ARFPSHN), Residential Care Facilities for the Chronically Ill (RCFCI), Social Rehabilitation Facilities (SRF)</b>  Amends Health and Safety Code provisions for licensed facilities regarding unannounced inspections, pre-licensure fire clearance, increases licensing oversight investigations, permits the appointment of a temporary manager or receiver, imposes and increases related civil penalties and increases licensing fees.	<a href="#">68</a>
<a href="#">Senate Bill 873</a> (Committee on Budget and Fiscal Review), Chapter 685, Statutes of 2014	<b>Adult Residential Facilities (ARF), Adult Residential Facilities for Persons with Special Health Care Needs (ARFPSHN), Residential Care Facilities for the Chronically Ill (RCFCI), Social Rehabilitation Facilities (SRF)</b>  Provides for a monetary judgment and lien upon the assets of the facility or the proceeds from the sale if the revenues are insufficient to reimburse CDSS for the costs of a temporary manager, the salary of a receiver or related expenses. Liens placed against the property of a licensee for reimbursement have judgment creditor priority	<a href="#">70</a>
<a href="#">Senate Bill 895</a> (Corbett) Chapter 704, Statutes of 2014	<b>Residential care facilities for the elderly.</b> Amends Section <a href="#">1569.33</a> and <a href="#">1569.335</a> , and adds Section <a href="#">1569.331</a> to the Health and Safety Code, relating to residential care facilities for the elderly.	<a href="#">83</a>
<a href="#">Senate Bill 1153</a> (Leno) Chapter 706, Statutes of 2014	<b>Residential care facilities for the elderly.</b> Added <a href="#">Section 1569.545</a> to the Health and Safety Code.	<a href="#">86</a>

**“INFORMATION ONLY – NO ACTION REQUIRED”**

BILL INFORMATION	SUBJECT	PAGE
<a href="#">Senate Bill 1382</a> (Block) Chapter 707, Statutes of 2014	<b>Residential care facilities for the elderly.</b> Amended <a href="#">Section 1569.185</a> of the Health and Safety Code.	<a href="#">89</a>

**Unless otherwise noted, all new legislation becomes effective on January 1, 2015. When conducting licensing visits, Licensing Program Analysts (LPAs) should, to the extent practical, make sure that providers are aware of any new requirements. However, regardless of whether this information is provided, it is the licensee's responsibility to be aware of any new requirements affecting their program.**

## ACTION REQUIRED

### ASSEMBLY BILL 1523 (Atkins), Chapter 205, Statutes of 2014

**This law becomes effective July 1, 2015.**

**Affects:** Residential Care Facilities for the Elderly

**Subject:** Residential care facilities for the elderly: liability insurance

**Summary:** [Assembly Bill \(AB\) 1523](#), effective July 1, 2015, added [Section 1569.605](#) to the Health and Safety Code.

This bill requires all RCFEs, except those facilities that are part of a continuing care retirement community, to maintain liability insurance covering injury to residents or guests in the amount of at least \$1,000,000 per occurrence and \$3,000,000 in the total annual aggregate to cover injury to residents or guests caused by the negligent acts or omission to act of, or neglect by, the licensee or its employees.

#### Licensees

Licensees will be required to submit proof of liability insurance, which meets the requirement stated above, to their local Regional Office by July 1, 2015. Licensees are required to maintain a copy of current proof of liability insurance at the facility for review by the Licensing Program Analyst during visits. Examples of proof of liability insurance may include a declaration or certificate of insurance. The licensee is required to send to their local Regional Office proof of current liability insurance when the liability insurance policy has been renewed, revised, or a new liability insurance policy is obtained.

#### Applicants/Newly Licensed

If possible, applicants should submit proof of liability insurance, which meets the requirement stated above, during the application process. If this is not possible, submission of proof of liability insurance to their local Regional Office is required within 60 days of licensure. A copy of the proof of liability insurance shall be maintained at the facility for review by the Licensing Program Analyst. The licensee is required to send to their local Regional Office proof of liability insurance when the liability insurance policy has been renewed, revised, or a new liability insurance policy is obtained.

#### Licensing Program Analysts

Inspection – Prior to conducting the inspection, the Licensing Program Analyst will check the facility's file to determine if the licensee has sent in proof of liability insurance meeting the requirements of the statute. During the visit, the Licensing Program Analyst will review the licensee's proof of insurance to verify the liability insurance covers injury to residents and guests in the amount of at least \$1,000,000 per occurrence and

\$3,000,000 in the total aggregate and that the policy is current.

Complaint Visit – Unless the complaint is related to insurance coverage, injury to residents and guests or an act of negligence by the licensee or its employees, the Licensing Program Analyst is not required to review the licensee's proof of insurance.

The Licensing Program Analyst will cite those licensees who do not provide proof of insurance or whose insurance policy does not meet the requirements noted above under Health and Safety Code section 1569.605. This violation may be considered a Type B or Type C violation depending on the level of risk the violation represents. For example, a potential Type B violation may include situations where the licensee does not have liability insurance and it is indicative of financial distress of the licensee or a history of non-compliance. An example of a potential Type C violation would include situations where the licensee's policy on file with the local Regional Office expired and the licensee is waiting for an updated copy of the renewed policy. Please see Evaluator Manual, Reference Material Facility Evaluation/Visit section 3-4200, Facility Evaluation for additional information on Type A, B and C violations and assessing the risk of violations.

When citing a Type B violation, the plan of correction shall include a reasonable timeframe (due date) for the licensee to come into compliance with the required liability insurance requirement. Approval for extensions to the plan of correction due date may be granted to the licensee by the Licensing Program Analyst if the licensee demonstrates the following:

- The licensee has attempted to obtain liability insurance and can demonstrate these attempts. This may include, but is not limited to, denial letters from insurance carriers.
- The licensee is under the approval process through an insurance carrier and can demonstrate the status of this process through written documentation from the insurance carrier.

Additional reasons for an extension of a plan of correction due date may be considered on a case-by-case basis.

Civil penalties shall be assessed when the licensee fails to correct the violation to Health and Safety Code Section 1569.605 following any appropriate extensions to the plan of correction due date. Please see Evaluator Manual, Reference Material Enforcement Actions section 1-0060, Civil Penalties Assessed for Failure to Meet Plan of Correction Due Date for additional information. Repeat violations shall be assessed civil penalties if the violation occurred within 12 months of the last violation. Please see Evaluator Manual, Reference Material Enforcement Actions section 1-0065, Civil Penalties for Repeat Violations for additional information.

Regulations will be revised for Sections 87155 – Application for License in Title 22 of the CCR and in the Evaluator Manual for RCFE. Revisions in the Reference Materials –

Enforcement Actions, sections 1-0060 (Civil Penalties Assessed for Failure to Meet Plan of Correction Due Date) and 1-0065 (Civil Penalties for Repeat Violations) are anticipated. Revisions in the Reference Materials – Facility Evaluation/ Visit, section 3-4200 (Facility Evaluation) are also anticipated. Application instructions for a Facility License (LIC 281) will be revised, as well.

**For legislative information related to this new law:**

[Bill Text - AB-1523 Residential care facilities for the elderly: liability insurance.](#)

## ACTION REQUIRED

### ASSEMBLY BILL 1572 (Eggman), Chapter 177, Statutes of 2014

This law became effective January 1, 2015.

**Affects:** Residential Care Facilities for the Elderly

**Subject:** Residential care facilities for the elderly: resident and family councils

**Summary:** [Assembly Bill \(AB\) 1572](#) amends [Section 1569.157](#) and [1569.158](#) of the Health and Safety Code

#### Resident Councils

This law grants resident councils additional rights, adds requirements for licensees, and limits membership of a resident council to RCFE residents, except at the invitation of resident council. Family members, resident representatives, advocates, long-term care ombudsman program representatives, facility staff or others may participate in resident council meetings and activities at the invitation of the resident council.

AB 1572 requires licensees to:

- Assist residents in establishing and maintaining a single resident council (formerly referred to as resident-oriented facility council) at the request of two or more residents, instead of a majority of its residents.
- Provide a written response within 14 calendar days to written concerns or recommendations of resident councils regarding any action or inaction taken in response to concerns or recommendations.
- Inform resident council members of their right to be interviewed as part of the regulatory inspection process.
- Promote established resident councils by providing information on the council to new residents, as specified.
- Inform in writing new residents and resident representatives, upon admission, of their right to form a resident council when no council is currently established.
- Upon request and with permission of the council, share resident council contact information with the long-term care ombudsman.
- Post the text of Health and Safety Code Section 1569.157 with the heading "Rights of Resident Councils" in a prominent place at the facility accessible to residents, family members, and resident representatives.

For a facility with a licensed capacity of 16 or more beds, this bill also requires a licensee to designate a staff person to assist with resident council meetings and notifications, including, making a room available for resident council meetings, and posting information in a central location readily accessible to residents, relatives, and resident representatives.

AB 1572 prohibits licensees from:

- Having policies limiting the rights of residents to meet independently with outside persons or facility personnel.
- Willfully interfering with the formation, maintenance, or promotion of a resident council or its participation in the regulatory inspection process.

A violation of any provision in this section is considered a violation of resident rights and subjects the licensee to a daily civil penalty of \$250 until the violation is corrected and verified.

### Family Councils

This law grants family councils' additional rights, adds requirements for licensees, and specifies that facility personnel or visitors may attend family council meetings only at the invitation of the family council.

AB 1572 requires licensees to:

- Provide a written response within 14 calendar days to written concerns or recommendations of family councils regarding any action or inaction taken in response to concerns or recommendations.
- Promote established family councils and to provide notice of the family council and its meetings in routine mailings to family members and resident representatives and to inform family members and resident representatives of the existence of the family council, as specified.
- Inform in writing the resident's family or resident representative - who are identified on the admission agreement or in the resident's records - upon admission of a new resident, of their right to form a family council when no council is currently established.
- Upon request and with the permission of the council, to share council contact information with the long-term care ombudsman.

For a facility with a licensed capacity of 16 or more beds, this bill also requires the licensee to designate a staff person to provide assistance to the family council and respond to written requests that result from family council meetings.

AB 1572 prohibits licensees from:

- Willfully interfering with the formation, maintenance, or promotion of a family council or its participation in the regulatory inspection process.

A violation of any provision in this section is considered a violation of resident rights and subjects the licensee to a daily civil penalty of \$250 until the violation is corrected and verified.

## **IMPLEMENTATION**

### **Description of Councils**

The following is the statutory definition of each council:

Resident Council - Per 1569.157(a) of the Health and Safety Code, “the resident council shall be composed of residents of the facility. Family members, resident representatives, advocates, long-term care ombudsman program representatives, facility staff, or others may participate in resident council meetings and activities at the invitation of the resident council.”

Family Council - Per 1569.158(c) of the Health and Safety Code, family council “means a meeting of family members, friends, representatives, or agents as defined in Section 14110.8 of the Welfare and Institutions Code of two or more residents to confer in private without facility staff.”

The primary difference between two councils is that a resident council is composed of residents only, unless others as specified in Health and Safety Code Section 1569.157(a) are invited to participate at the request of the resident council. Family councils are composed only of family members, friends, representatives, or agents, as specified, of two or more residents. Statute specifies that “facility personnel or visitors may attend a family council meeting only at the family council’s invitation.”

Councils that self-identify as a resident or family council would be required to follow the statute specific to that council.

### **Licensees**

Licensees must comply with the provisions of this law in all aspects of facility operation, including, but not limited to, facility policies, procedures and practice.

Licensees are required to respond to resident and/or family council concerns or recommendations within 14 calendar days, but are not required to resolve the concerns or implement the recommendations within 14 calendar days. Licensees are required to inform each resident council member of their right to be interviewed as part of the regulatory inspection process. A licensee may wish to include this notification in a prospective resident’s admission agreement or as an addendum to an existing resident’s admission agreement.

Licensees are required to post, in a prominent place in the facility accessible to residents, family members, and resident representatives, the text of Health and Safety Code Section 1569.157 with the heading “Rights of Resident Councils.” Prior to January 1, 2015, the Department will develop a form to meet the specific requirements of this section. Licensees may access a copy of the “Rights of Resident Councils”

(PUB 474) form from the Department's website after January 1, 2015 at <http://www.dss.cahwnet.gov/cdssweb/PG167.htm> (scroll to the bottom of the page) or may develop their own form to meet this requirement.

"Resident representative" means an individual who has the authority, by law or by designation of the resident, to act on behalf of the resident including, but not limited to, a responsible person or a legal representative such as, attorney-in-fact under a power of attorney, surrogate health care decision-maker or conservator.

## **Licensing Program Analysts**

### **Violations**

#### *I. Resident Councils*

If a Licensing Program Analyst identifies a violation of any provision of Health and Safety Code Section 1569.157(a) through (h), it shall constitute a violation of resident rights as specified in Health and Safety Code Section 1569.269(a)(27). The Licensing Program Analyst may identify a violation by noting the absence of the mandated "Rights of Resident Councils" posting or the failure of the mandated posting to recite the specific text of Health and Safety Code Section 1569.157, or by interviewing residents and/or staff to determine lack of compliance with this section. If a violation is identified, the Licensing Program Analyst shall cite:

- *Health and Safety Code Section 1569.157 (include the specific subdivision(s) violated) and assess the corresponding civil penalty, as instructed below.*

Pursuant to Health and Safety Code Section 1569.157(i), a violation of this section is subject to a daily civil penalty of \$250. The LIC 421 series notifying licensees of the assessment of civil penalties will be updated to accommodate penalties created by this law. Interim procedures described below are to be utilized by field staff until the updated form is available.

#### *II. Family Councils*

If a Licensing Program Analyst identifies a violation of any provision of Health and Safety Code Section 1569.158(a) through (i), it shall constitute a violation of resident rights. The Licensing Program Analyst may identify a violation by interviewing residents, family members and/or staff to determine non-compliance. If a violation is identified, the Licensing Program Analyst shall cite:

- *Health and Safety Code Section 1569.158 (include the specific subdivision(s) violated) and assess the corresponding civil penalty, as instructed below.*

Pursuant to Health and Safety Code Section 1569.157(j), a violation of this section is subject to a daily civil penalty of \$250. The LIC 421 series notifying licensees of the assessment of civil penalties will be updated to accommodate penalties created by this

law. Interim procedures described below are to be utilized by the field staff until the updated form is available.

Health and Safety Code Section 1569.158(g)(2) requires the licensee to provide upon admission of a new resident, written information to the resident's family or resident representative of their right to form a family council if no council exists. The resident's family that are noticed should be at the discretion of the resident and respectful of the confidentiality of the resident pursuant to Section 87506(c) of Title 22, California Code of Regulation (CCR).

### Interim Civil Penalty Assessment Procedures

Until the updated LIC 421 series form is available, procedures for assessing a civil penalty for a violation(s) of either Health and Safety Code section 1569.157 or 1569.158 are as follows:

- Provide notice, including instructions and appeal rights, to the licensee about the assessment of a civil penalty using the Facility Evaluation Report (LIC 809) or the Complaint Investigation Report (LIC 9099), as appropriate. See **Addendums** (Addendum A – Resident Councils, Addendum B – Family Councils) for civil penalty assessment language, instructions and appeal rights.
- Follow instructions provided in the Evaluator Manual Reference Material, Plan of Correction, Section 3-3600; Clearing the Deficiency, Section 3-3605; and, Proof of Correction/Non-Visits, Section 3-3700.
- Provide a copy of the signed LIC 809 or LIC 9099 that includes the assessment of the civil penalty to the office support staff processing the civil penalty billing.
- A copy of the LIC 809 or the LIC 9099 must be included as part of the package that is sent to the Accounting and Systems Bureau. These steps are necessary in order to provide an audit trail and for the Cashier's Office to know where to credit civil penalty payments received from the licensee. See the Office Procedures Manual for additional information on civil penalty billing.

This process should be utilized for the assessment of civil penalties related to a violation of Health and Safety Code Section 1569.157 (resident councils) and/or Health and Safety Code 1569.158 (family councils). If both Health and Safety Code sections are violated, the licensee is liable for a civil penalty assessment pursuant to each code section.

The daily civil penalty will accrue until the violation(s) is corrected. The civil penalty assessment is for a violation of the specified code section, regardless of how many subsections are violated. The date of correction will be considered the date in which a facility licensee submits documentation of the correction to the Department of Social Services and the correction is verified by the department to have been corrected by that date.

California Code of Regulations, Title 22, Section 87221 and civil penalty forms will be

updated. Applicable revisions to the Evaluator Manual will follow.

**For legislative information related to this new law:** [Bill Text - AB 1572 Residential care facilities for the elderly](#)

## **ADDENDUM A**

### **ASSEMBLY BILL 1572 INTERIM CIVIL PENALTY NOTICE**

*Applies to Residential Care Facilities for the Elderly only*

#### **Resident Councils**

The following statement shall be included in all reports in which a civil penalty is being assessed for a violation of Health and Safety Code Section 1569.157(a)-(h), until the LIC 421 series is updated.

Civil penalties shall be assessed against any facility which fails to take corrective action within described time periods. Per California Health and Safety Code Section 1569.157(i), you are hereby notified that a \$250 civil penalty per day will be assessed until the violation is corrected. The date of correction will be considered the date in which the licensee submits documentation of the correction to the Department of Social Services and the correction is verified by the Department of Social Services to have been completed by that date.

You will receive an invoice in the mail. Payment is due when billed. Payment must be made by a personal, business or cashier's check or money order made payable to the "California Department of Social Services". Please write the facility number and invoice number on your check and include a copy of your invoice with the payment. You will find the invoice number on our invoice. **DO NOT SEND CASH.**

#### **APPEAL RIGHTS**

The applicant/licensee has a right without prejudice to discuss any disagreement concerning the proper application of licensing laws and regulations with the licensing agency. When civil penalties are involved, the licensee may request a formal review by the licensing agency to amend, extend the due date, or to dismiss the penalty. Requests for civil penalty appeal must be in writing, must be postmarked within 10 days of receipt of this form, and must be addressed to the Regional Office or licensing office with jurisdiction over the facility. The agency has a duty to review the facts presented without prejudice within 10 working days. Upon review of the facts upon which the appeal is based, the agency may amend any portion of the action taken, or may dismiss the violation. The licensing agency review of the appeal may be conducted based upon information provided in writing by the licensee. The licensee may request an office interview to provide additional information. The licensee will be notified in writing of the results of the agency review.

## **ADDENDUM B**

### **ASSEMBLY BILL 1572 INTERIM CIVIL PENALTY NOTICE**

*Applies to Residential Care Facilities for the Elderly only*

#### **Family Councils**

The following statement shall be included in all reports in which a civil penalty is being assessed for a violation of Health and Safety Code section 1569.158(a)-(i), until the LIC 421 series is updated.

Civil penalties shall be assessed against any facility which fails to take corrective action within described time periods. Per California Health and Safety Code Section 1569.158(j), you are hereby notified that a \$250 civil penalty per day will be assessed until the violation is corrected. The date of correction will be considered the date in which the licensee submits documentation of the correction to the Department of Social Services and the correction is verified by the Department of Social Services to have been completed by that date.

You will receive an invoice in the mail. Payment is due when billed. Payment must be made by a personal, business or cashier's check or money order made payable to the "California Department of Social Services". Please write the facility number and invoice number on your check and include a copy of you invoice with the payment. You will find the invoice number on our invoice. **DO NOT SEND CASH.**

#### **APPEAL RIGHTS**

The applicant/licensee has a right without prejudice to discuss any disagreement concerning the proper application of licensing laws and regulations with the licensing agency. When civil penalties are involved, the licensee may request a formal review by the licensing agency to amend, extend the due date, or to dismiss the penalty. Requests for civil penalty appeal must be in writing, must be postmarked within 10 days of receipt of this form, and must be addressed to the Regional Office or licensing office with jurisdiction over the facility. The agency has a duty to review the facts presented without prejudice within 10 working days. Upon review of the facts upon which the appeal is based, the agency may amend any portion of the action taken, or may dismiss the violation. The licensing agency review of the appeal may be conducted based upon information provided in writing by the licensee. The licensee may request an office interview to provide additional information. The licensee will be notified in writing of the results of the agency review.

## **ACTION REQUIRED**

### **ASSEMBLY BILL 1821 (Gordon), Chapter 650, Statutes of 2014)**

**This law became effective January 1, 2015.**

**Affects:** Community Care Facilities (CCF), Residential Care Facilities for Persons with Chronic Life-Threatening Illness (RCF-CI), and Residential Care Facilities for the Elderly (RCFE)

**Subject:** Pilot Program for Medical Foster Homes for Veterans

**Summary:** [Assembly Bill \(AB\) 1821](#) adds and repeals Chapter 5 (commencing with Section 1850 of [Division 8](#) of the Military and Veterans Code.

AB 1821 created the Medical Foster Home (MFH) pilot program. This pilot program exempts MFHs from licensure or regulation by the California Department of Social Services (CDSS) as a CCF, RCFE, or RCF-CI, provided that specified federal requirements are satisfied. The bill would also require the United States Department of Veterans Affairs (USDVA) to obtain criminal background information for caregivers and specified individuals residing in the home.

The USDVA's MFH program provides a specialized, long-term, home-like care option for veterans that are appropriate for their specialized medical needs and has been successful in other states. This bill allows for a pilot program with data collection and evaluation by the State Auditor to determine whether the USDVA's MFH program will be a viable option in California for veterans. These facilities will be regulated directly by the USDVA.

### **IMPLEMENTATION**

This bill is effective January 1, 2015, however, it requires the pilot program to be established by the USDVA no sooner than June 1, 2015 and will remain in effect until January 1, 2018.

### **Licensing Program Analysts**

If there is a complaint regarding a facility being unlicensed and the CDSS has reason to believe it is an MFH, the Licensing Program Analyst should call the MFH Program Coordinator to verify if the address is a MFH facility. When leaving a message, indicate the urgency of the call. The following is the MFH Coordinator's direct contact information:

Sacramento Veterans Affairs Medical Center  
California Medical Foster Home Program Coordinator  
Phone: (916) 640-8451  
Fax: (916) 640-0995

In the event that the Licensing Program Analyst verifies that the complaint is for an MFH, the Licensing Program Analyst should contact the complainant and refer them to the Sacramento Veterans Affairs Medical Center. In addition, for any general inquiries about the USDVA's MFH pilot program and/or the USDVA services, the Licensing Program Analyst should refer them to the Sacramento Veterans Affairs Medical Center. The Center's contact information is as follows:

Sacramento Veterans Affairs Medical Center  
For Public Complaints and General Inquiries  
(916) 843-7000 or (800) 382-8387

## ACTION REQUIRED

### **ASSEMBLY BILL 1899 (Brown), Chapter 700, Statutes of 2014**

**This law became effective January 1, 2015.**

**Affects:** Residential Care Facilities for the Elderly

**Subject:** Residential Care Facilities for the Elderly

**Summary:** [Assembly Bill \(AB\) 1899](#) amends Health and Safety Code Sections 1569.19 and 1569.50.

AB 1899 does the following:

- States that a licensee who abandons a facility and residents in care, in addition to forfeiture and revocation of license, shall be excluded from licensure in facilities licensed by the department without the right to petition for reinstatement.
- Incorporates changes to Section 1569.682 of the Health and Safety Code as specified in [Senate Bill \(SB\) 873](#).

### **IMPLEMENTATION**

#### **Licensing Program Analysts and Staff Services Analysts**

The Licensing Program Analyst or Staff Services Analyst that is reviewing the application will deny an application for licensure if it is found that the applicant was a former licensee whose license was revoked for abandoning a facility and residents in care, resulting in immediate and substantial threat to the abandoned residents' health and safety, as well as deny any petition for reinstatement from the applicant. The Licensing Program Analyst or Staff Services Analyst shall refer to Health and Safety Code Section 1569.50(c).

#### **Management/Program Office Staff**

All petitions for reinstatement by licensees who abandoned residents shall also be denied without review and the denial letter shall refer to Section 1569.50 of the Health and Safety Code.

Revisions will be made to Regulation Interpretations and Procedures for Denial of License Application, Section 87163 and Reference Material, "Preliminary Approval", Section 03-0963 of the Evaluator Manual.

**For legislative information related to this law, see: [Bill Text - AB 1899](#)**

## **ACTION REQUIRED**

### **ASSEMBLY BILL 2044 (Rodriguez), Chapter 701, Statutes of 2014**

**This law became effective January 1, 2015.**

**Affects:** Residential Care Facilities for the Elderly

**Subject:** Residential care facilities for the elderly

**Summary:** [Assembly Bill 2044](#) amended Sections [1569.618](#) and [1569.625](#) of the Health and Safety Code.

AB 2044 requires the presence of an administrator, a facility manager, or a designated substitute and sufficient staffing by direct care and other staff qualified to perform functions at Residential Care Facilities for the Elderly (RCFE) as specified. It also requires direct care staff training in specified safety procedures.

### **IMPLEMENTATION**

This law became effective January 1, 2015 with additional changes from [AB 1570](#) (Statutes of 2014) to be phased in as of January 1, 2016.

Licensees must ensure that they comply with the requirements of the new law and continue to comply with the requirements of the California Code of Regulations (CCR), Title 22, RCFE. The California Department of Social Services Community Care Licensing Division (CCLD) will also develop regulations and update policies and procedures.

As a supplement to the information provided in this Implementation Plan, please refer to the attached table titled "Requirements of Existing Regulations and AB 2044," as it provides a reference to existing requirements in the CCR, Title 22, RCFE and provisions of the new law.

### **Licensees**

The new law has the effect of requiring licensees who are not already in compliance with the new law to revise their plans of operation as necessary to reflect the requirements for staffing and training in the new law. As currently required in CCR, Title 22, Section 87208(a)(5) and (6), licensees must send copies of any revised plans of operation to their local Regional Offices for approval.

Although the CCLD does not require licensees to have a policy on whether facility staff may provide cardiopulmonary resuscitation (CPR), plans of operation may not prohibit facility staff from voluntarily providing emergency medical services, such as CPR,

pursuant to [AB 633](#) (Salas, Chapter 591, Statutes of 2013).

### **Presence of an Administrator Facility Manager, or Designated Substitute**

All licensees must meet requirements for the presence of an administrator, a facility manager, or a designated substitute as specified in Health and Safety Code Section 1569.618 and continue to follow requirements for the presence of an administrator as specified in CCR, Title 22, Section 87405.

All licensees shall ensure that at least one administrator, facility manager, or designated substitute who is at least 21 years of age and meets specified requirements, is on the premises of a facility 24 hours per day. A designated substitute may be a direct care staff member. A designated substitute must meet qualifications that include, but are not limited to: knowledge of the requirements for providing care and supervision appropriate to each resident of the facility; familiarity with the facility's planned emergency procedures; and training to effectively interact with emergency personnel in the event of an emergency call, including an ability to provide a resident's medical records to emergency responders.

Licensees must ensure and document that designated substitutes meet the qualifications specified in the new law. These qualifications may be obtained on-the-job at the facility, through formal training, or a combination of both.

### **Sufficient Staffing**

All licensees must meet the staffing requirements specified in Health and Safety Code Section 1569.618 and continue to follow the staffing requirements specified in CCR, Title 22, Sections 87405, 87411, and 87555. All licensees must also continue to follow the night staffing requirements specified in CCR, Title 22, Section 87415.

Licensees must ensure that: a sufficient number of staff are employed and scheduled to provide the care required in each resident's record of care; ensure the health, safety, comfort, and supervision of residents; ensure that at least one staff member who has CPR training and first aid training be on duty and on the premises of a facility at all times; and ensure that a facility is clean, safe, sanitary, and in good repair at all times.

Additionally, licensees of facilities licensed for 16 or more residents must continue to follow the staffing requirements specified in CCR, Title 22, Sections 87219 and 87465. Licensees of facilities providing care to residents with dementia must additionally continue to follow the staffing requirements specified in CCR, Title 22, Section 87705.

### **Direct Care Staff Training**

All licensees must meet the direct care staff training requirements specified in Health and Safety Code Sections 1569.618 and 1569.625 and continue to ensure that direct care staff receive training on the topics. Please see [Senate Bill 911](#) (Statutes of 2014)

and [Assembly Bill 1570](#) (Statutes of 2014) for additional training requirements that will take effect January 1, 2016.

Licensees shall ensure that at least one staff member is on duty and on the premises at all times has appropriate training in CPR. Licensees shall also ensure that all direct care staff receive training in building and fire safety and the appropriate response to emergencies.

**Licensing Program Analysts**

Licensing Program Analysts should inspect plans of operation and facility operations and records as necessary to evaluate licensee compliance with the staffing and training requirements of the new law.

**Presence of an Administrator, Facility Manager, or Designated Substitute**

Licensing Program Analysts should review the following documents for compliance:

- Staff schedules and related records at facilities to verify on-site 24 hour coverage by appropriate staff (i.e. administrator, facility manager, or designated substitute).
- Applicable personnel and staff training records at facilities to determine whether:
  - The administrator, facility manager, or designated substitute(s) providing coverage has met the requirement to be 21 years of age; and
  - The designated substitute(s) providing coverage has met knowledge, familiarity, and training requirements.

Licensing Program Analysts shall cite from the new law or continue to cite from applicable regulations when licensees are found to be in violation of requirements for the presence of an administrator, a facility manager, or a designated substitute as specified in provisions of the new law or existing regulations. The following scenarios based on the new law are provided as examples to assist Licensing Program Analysts for noncompliance occurring on or after January 1, 2015.

Scenario	Cite
At breakfast time, there is a facility manager who is less than 21 years of age in charge at a facility.	Health and Safety Code Section 1569.618(b).
A designated substitute does not know that a resident needs to receive assistance with self-administration of medication to be taken at bedtime.	Health and Safety Code Section 1569.618(b).
A designated substitute is unable to communicate effectively with emergency personnel.	Health and Safety Code Section 1569.618(b).

## Sufficient Staffing

Licensing Program Analysts should review staff schedules and related records at facilities to determine whether licensees employed and scheduled sufficient staffing to: provide the care required in each resident's record of care; ensure the health, safety, comfort, and supervision of residents; ensure that at least one staff member who has CPR training and first aid training be on duty and on the premises of a facility at all times; and ensure that a facility is clean, safe, sanitary, and in good repair at all times.

Licensing Program Analysts shall cite from the new law or continue to cite from applicable regulations when licensees are found to be in violation of requirements for sufficient staffing as specified in provisions of the new law or existing regulations. The following scenarios based on the new law are provided as examples to assist Licensing Program Analysts for noncompliance occurring on or after January 1, 2015.

Scenario	Cite
No staff person is available to assist a resident whose record of care indicates that she needs to be escorted to the bathroom when the resident states her need to use the bathroom.	Health and Safety Code Section 1569.618(c)
During the 3:00 PM to 12:00 AM swing shift, there is no staff member with current training in CPR on duty at a facility.	Health and Safety Code Section 1569.618(c)

## Direct Care Staff Training

Licensing Program Analysts should review staff training records to confirm that all direct care staff have received training in building and fire safety and emergency response procedures in compliance with the new law.

Licensing Program Analysts shall cite from the new law or continue to cite from applicable regulations when licensees are found to be in violation of requirements for direct care staff training as specified in provisions of the new law or existing regulations. The following scenarios based on the new law are provided as examples to assist Licensing Program Analysts for noncompliance occurring on or after January 1, 2015.

Scenario	Cite
A direct care staff member does not have training in building and fire safety and the appropriate response to emergencies.	Health and Safety Code Section 1569.625(c)(6).

Revisions to the California Code of Regulations, Title 22, RCFE and corresponding

Evaluator Manual sections, including, but not limited to, sections 87208, 87411, and 87412 will be made.

**For legislative information related to this law, see: [Bill Text - AB-2044 Residential care facilities for the elderly](#).**

**REQUIREMENTS OF EXISTING REGULATIONS AND AB 2044**

**Key:** *Italicized* text indicates how the new law changes requirements specified in regulations.

Please note that licensees must ensure that they comply with the requirements of the new law and continue to comply with the requirements of the CCR, Title 22, RCFE.

Existing California Code of Regulations, Title 22, RCFE	AB 2044 (Effective January 1, 2015)
<b>Presence of An Administrator, A Facility Manager, or A Designated Substitute</b>	
<p><b>All Facilities</b></p> <ul style="list-style-type: none"> <li>An administrator must be on the premises of the facility for a sufficient number of hours to permit adequate attention to the management and administration of the facility. The California Department of Social Services (CDSS) may require that the administrator devote additional hours to responsibilities at the facility when the need for additional hours is substantiated by written documentation. [(CCR, Title 22, Section 87405(a)]</li> <li>When an administrator is not on the premises of a facility, there must be coverage by a designated substitute at all times. [(CCR, Title 22, Section 87405(a)]</li> </ul>	<p><b>All Facilities</b></p> <ul style="list-style-type: none"> <li>At least one administrator, <i>facility manager</i>, or designated substitute must be on the premises of the facility <i>24 hours per day</i>. [(Health and Safety Code Section 1569.618(b)]</li> </ul>
<ul style="list-style-type: none"> <li>An administrator or a designated substitute must be at least 21 years of age. [(CCR, Title 22, Section 87405(d)(7)]</li> </ul>	<ul style="list-style-type: none"> <li>An administrator, <i>a facility manager</i>, or a designated substitute must be at least 21 years of age. [(Health and Safety Code Section 1569.618(b)]</li> </ul>
<ul style="list-style-type: none"> <li>When an administrator is not on the premises of a facility, there must be coverage by a designated substitute who must have knowledge, education, and experience qualifications adequate to be responsible and accountable for management and administration of the facility as specified in regulations. [(CCR, Title 22, Section 87405, subsections (a) and (d) through (g)]</li> </ul>	<ul style="list-style-type: none"> <li>A designated substitute <i>may be a direct care staff member</i>. [(Health and Safety Code Section 1569.618(b)]</li> <li>A designated substitute <i>is not required to meet the educational, certification, or training requirements of an administrator, but must meet qualifications that include, but are not limited to:</i> <ul style="list-style-type: none"> <li><i>Knowledge of requirements for</i></li> </ul> </li> </ul>

Existing California Code of Regulations, Title 22, RCFE	AB 2044 (Effective January 1, 2015)
	<p><i>providing care and supervision appropriate to each resident in the facility.</i></p> <ul style="list-style-type: none"> <li>○ <i>Familiarity with the facility's emergency procedures.</i></li> <li>○ <i>Training to interact with emergency personnel and provide a resident's medical information in case of an emergency. [(Health and Safety Code Section 1569.618(b)]</i></li> </ul>
<b>Sufficient Staffing</b>	
<p><b>All Facilities</b></p> <ul style="list-style-type: none"> <li>• An administrator has the responsibility to provide or ensure that services are provided to residents for their physical and mental well-being and needs, including services in residents' pre-admission appraisal. [(CCR, Title 22, Section 87405(i)(5)]</li> <li>• Facilities must be staffed in sufficient numbers and competent to: <ul style="list-style-type: none"> <li>○ Provide services necessary to meet resident needs.</li> <li>○ Provide food service to meet resident needs.</li> <li>○ As necessary, perform office work, cooking, housecleaning, laundering, and maintenance. [(CCR, Title 22, Sections 87411(a) and 87555(b)(18)]</li> </ul> </li> <li>• Staff who provide care must have appropriate training in first aid. [(CCR, Title 22, Section 87411(c)(1)]</li> <li>• The department may require a licensee to have additional staff when the needs of residents, extent of services provided, or physical arrangements of the facility require additional staff for adequate services as substantiated by documentation. [(CCR, Title 22, Section 87411(a) and (c)(1)]</li> </ul>	<p><b>All Facilities</b></p> <ul style="list-style-type: none"> <li>• <i>A licensee must employ and an administrator must schedule, a sufficient number of direct care staff and other staff to:</i> <ul style="list-style-type: none"> <li>○ <i>Provide the care required in each resident's record of care.</i></li> <li>○ <i>Ensure the health, safety, comfort, and supervision of residents.</i></li> <li>○ <i>Ensure that at least one staff member who has CPR training and first aid training is on duty and on the premises at all times.</i></li> <li>○ <i>Ensure that the facility is clean, safe, sanitary, and in good repair at all times. [(Health and Safety Code Section 1569.618(c)]</i></li> </ul> </li> </ul>

Existing California Code of Regulations, Title 22, RCFE	AB 2044 (Effective January 1, 2015)
<p><b>Night Supervision (All Facilities)</b></p> <ul style="list-style-type: none"> <li>• Facilities are required to have night supervision from 10:00 PM to 6:00 AM by the following staff prepared for emergencies. In facilities providing care for: <ul style="list-style-type: none"> <li>○ Less than 16 residents, there must be a qualified person on call on the premises of the facility.</li> <li>○ Sixteen to 100 residents, there must be: <ul style="list-style-type: none"> <li>✓ At least 1 staff member awake and on duty on the premises of the facility.</li> <li>✓ Another employee on call and able to respond within 10 minutes.</li> </ul> </li> <li>○ One hundred and one to 200 residents, there must be: <ul style="list-style-type: none"> <li>✓ One staff member on call on the premises.</li> <li>✓ One staff member awake and on duty on the premises of the facility</li> <li>✓ One staff member on call and able to respond within 10 minutes.</li> </ul> </li> <li>○ More than 200 residents, there must be 1 additional staff member awake and on duty on the premises of the facility for every additional 100 residents. [(CCR, Title 22, Section 87415(a)(1) through (a)(4)]</li> </ul> </li> </ul>	
<p><b>Facilities Licensed for 16 or More Residents</b></p> <ul style="list-style-type: none"> <li>• Facilities must have at least 1 staff member with responsibility for: <ul style="list-style-type: none"> <li>○ Organization, conduct, and evaluation of planned activities.</li> <li>○ Food planning, preparation, and service.</li> <li>○ Providing personal assistance and</li> </ul> </li> </ul>	

Existing California Code of Regulations, Title 22, RCFE	AB 2044 (Effective January 1, 2015)
<p>care as needed by residents with postural supports.</p> <ul style="list-style-type: none"> <li>○ Assuring that residents receive needed assistance with self-administration of medication, first aid, and emergency medical services. [(CCR Title 22, Sections 87219(e); 87411(a); 87465(j); and 87555(b)(16)]</li> </ul>	
<p><b>Facilities Providing Care for Residents with Dementia</b></p> <ul style="list-style-type: none"> <li>● Licensees must ensure that there is: <ul style="list-style-type: none"> <li>○ An adequate number of direct care staff to support each resident’s social, emotional, safety, and health care needs as identified in his or her current appraisal.</li> <li>○ If providing care to fewer than 16 residents, at least 1 night staff member awake and on duty if any resident with dementia is determined to have the need for awake night supervision. [(CCR, Title 22, Section 87705(c)(4) and (c)(4)(A)]</li> </ul> </li> </ul>	
<b>Direct Care Staff Training</b>	
<p><b>All Facilities</b></p> <ul style="list-style-type: none"> <li>● Staff who provide care must have appropriate training in first aid. [(CCR, Title 22, Section 87411(c)(1)]</li> <li>● Licensees must ensure that all direct care staff receive training on: <ul style="list-style-type: none"> <li>○ The aging process and physical limitations and special needs of the elderly.</li> <li>○ Psychosocial needs of the elderly, such as recreation, companionship, and independence.</li> <li>○ Importance and techniques of personal care services, including</li> </ul> </li> </ul>	<p><b>All Facilities</b></p> <ul style="list-style-type: none"> <li>● At least one staff member who has training in <i>CPR</i> and first aid must be on duty and on the premises at all times. [(Health and Safety Code Section 1569.618(c)]</li> <li>● Licensees must also ensure that all direct care staff receive training on <i>building and fire safety and emergency response procedures</i>. [(Health and Safety Code Section 1569.625(c)(6)]</li> </ul>

Existing California Code of Regulations, Title 22, RCFE	AB 2044 (Effective January 1, 2015)
<p>but not limited to, bathing, grooming, dressing, feeding, toileting, and universal precautions.</p> <ul style="list-style-type: none"> <li>○ Skill and knowledge required to provide necessary resident care and supervision, including the ability to communicate with residents.</li> <li>○ Residents rights, as specified in section 87468, Personal Rights.</li> <li>○ Policies and procedures regarding medications and knowledge required to safely assist with prescribed medications which are self-administered.</li> <li>○ Knowledge necessary to recognize early signs of illness and the need for professional help.</li> <li>○ Recognizing signs and symptoms of dementia in individuals.</li> <li>○ Principles of good nutrition, good food preparation and storage, and menu planning.</li> <li>○ Housekeeping and sanitation principles.</li> <li>○ Knowledge of community services and resources. [(CCR, Title 22, Section 87411(c)(3)(A) through (c)(3)(F) and (d)]</li> </ul>	
<p><b>Facilities Providing Care for Residents with Dementia</b></p> <ul style="list-style-type: none"> <li>● Licensees must ensure that all direct care staff receive training on: <ul style="list-style-type: none"> <li>○ The care of residents with dementia.</li> <li>○ Effects of medications on the behavior of residents with dementia.</li> <li>○ Common problems, such as wandering, aggression, and inappropriate sexual behavior.</li> <li>○ Positive therapeutic interventions and activities such as exercise, sensory stimulation, activities of daily living, and social, recreational</li> </ul> </li> </ul>	

Existing California Code of Regulations, Title 22, RCFE	AB 2044 (Effective January 1, 2015)
<p>and rehabilitative activities.</p> <ul style="list-style-type: none"> <li>○ Communication skills (resident/staff relations).</li> <li>○ Promoting resident dignity, independence, individuality, privacy and choice.</li> <li>○ End of life issues, including hospice. [(CCR, Title 22, Section 87707 (a)(1) and (a)(2)(A)(1.) through (a)(2)(A)(6.)]</li> </ul>	

## ACTION REQUIRED

### **ASSEMBLY BILL 2171 (Wieckowski) Chapter 702, Statutes of 2014**

**This law became effective January 1, 2015.**

**Affects:** Residential Care Facilities for the Elderly

**Subject:** Residential care facilities for the elderly: Residents' personal rights

**Summary:** [Assembly Bill \(AB\) 2171](#) added Article 2.5 (commencing with [Section 1569.261](#) and including [Sections 1569.265](#), [1569.267](#), and [1569.269](#)) to Chapter 3.2 of Division 2 of the Health and Safety Code.

AB 2171 enacts a “bill of rights” for residents of Residential Care Facilities for the Elderly (RCFE) and consists of 30 rights. Many of the concepts in these rights currently exist in the [California Code of Regulations \(CCR\), Title 22, Division 6, Chapter 8, RCFE, Section 87468, Personal Rights](#). It requires licensees to advise residents of and provide residents with a copy of these rights. It also requires licensees to post a copy of resident rights in a facility and post these rights in any other language when five percent or more of the residents in a facility can only read that other language. In addition, AB 2171 requires licensees to observe a policy of not discriminating against prospective or current residents. It requires licensees to provide initial and ongoing training to facility staff on personal rights.

*The resident personal rights in the bill apply only to privately operated RCFEs. They do not apply to publicly operated RCFEs, such as RCFEs licensed to the California Department of Veteran’s Affairs. Licensees of publicly operated RCFEs must continue to meet the requirements of CCR, Title 22, Section 87468 regarding Personal Rights.*

### **IMPLEMENTATION**

Licensees of privately operated RCFEs must ensure that they comply with the requirements of the new law and continue to comply with the requirements of the CCR, Title 22, RCFE.

At the end of this document is a table titled “Existing Personal Rights Requirements in the California Code of Regulations (CCR), Title 22 and New Personal Rights Requirements in AB 2171.” The purpose of this table is to provide a reference to provisions of the new law and existing requirements in the CCR, Title 22, RCFE, as well as assist Licensing Program Analysts in determining the appropriate sections to cite should noncompliance with personal rights statute and regulations be identified as having occurred prior to January 1, 2015.

## **Licensees**

The section below specifies the following requirements: plans of operation; nondiscrimination; resident personal rights, resident notification, and posting of resident personal rights; admission agreements; staff training; and civil penalties.

### **Plans of Operation**

To meet the requirements of the new Health and Safety Code sections, the CCLD is requiring new applicants for licensure of privately operated RCFEs to include in their plans of operation the following information by January 1, 2015:

- A nondiscrimination statement that applies to all residents of the facility as specified below. [In accordance with Health and Safety Code Section 1569.269(b) and CCR, Title 22, Section 87208(a)(3)]
- Attached admission agreements as specified below. [In accordance with Health and Safety Code Section 1569.267(a) and CCR, Title 22, Section 87208(a)(2)]
- Initial and ongoing training to be received by all facility staff on all resident personal rights as specified below. [In accordance with Health and Safety Code Section 1569.267(d) and CCR, Title 22, Section 87208(a)(6)]

Current licensees should ensure that their plan of operation is consistent with all new laws and regulations. As required by CCR, Title 22, Section 87208, licensees shall maintain a current plan of operation on file at the facility. Any revisions to this plan of operation must be maintained at the facility and submitted to their Licensing Program Analyst.

### **Nondiscrimination**

Per Section 1569.269(b) of the Health and Safety Code, licensees of privately operated facilities are not permitted to discriminate against a person seeking admission to a facility or a resident of a facility based on his or her sex, race, color, religion, national origin, marital status, registered domestic partner status, ancestry, actual or perceived sexual orientation, or actual or perceived gender identity. Licensees are required to comply with this new law, as well as continue to comply with all of the nondiscrimination protections specified in CCR, Title 22, Section 87118.

### **Resident Personal Rights, Resident Notification, and Posting of Resident Personal Rights**

Licensees of privately operated facilities must:

- At the time of admission, advise a resident and the resident's representative of, and give a complete written copy of, the personal rights in Section 1569.269 of

the Health and Safety Code and the personal rights in CCR, Title 22, Section 87468.

- The licensee must also have each new resident and new resident's representative, if applicable, sign and date a copy of the resident's rights and include the signed and dated copy in the resident's record.
  - Until the [Personal Rights - Residential Care Facilities for the Elderly \(LIC 613C\)](#) form is revised, the licensee may print out a copy of Section [1569.269](#) of the Health and Safety Code and the LIC 613C for signature by the resident and resident's representative if applicable, to meet the requirements of Section 1569.267(a) of the Health and Safety Code.

“Resident representative” means an individual who has the authority, by law or by designation of the resident, to act on behalf of the resident including, but not limited to, a responsible person or a legal representative such as, attorney-in-fact under a power of attorney, surrogate health care decision-maker or conservator.

- Post all of the resident rights specified in Section 1569.269 of the Health and Safety Code and CCR, Title 22, Section 87468 and post information that residents may use to report complaints about a licensed facility in a prominent location in the facility. (For posting of information about how residents can report complaints, please also refer to the Implementation Plan for Senate Bill 895 (Chapter 704, Statutes of 2014) specific to the complaint poster.)

This resident's rights information must be posted in English and, if five percent or more of the residents in the facility primarily read in another language, personal rights information must also be posted in that language. Licensing Program Analysts shall ask the licensee how the determination was made that the five percent threshold was met or unmet. Licensees are encouraged to list the primary language read by residents on their register of residents for this purpose.

- Licensees may post a printed copy of the personal rights in Section 1569.269 of the Health and Safety Code and in CCR, Title 22, Section 87468 to meet the requirement specified above. Licensees are required to post the complaint poster required by Senate Bill 895 (Chapter 704, Statutes of 2014) to inform residents how to report complaints about a licensed facility.

## **Admission Agreements**

This bill requires licensees of privately operated facilities who do not already comply with all of the provisions of the new law to revise their admission agreements and/or include an addendum to existing agreements, required by the CCR, Title 22, Section 87507, as necessary to comply with the new law by January 1, 2015.

- Admission agreements may not limit the resident's personal rights, as specified in the new law in Section 1569.269 of the Health and Safety Code and all of the personal rights specified in the CCR, Title 22, Section 87468.
- Admission agreements must include a comprehensive description of the method for evaluating residents' service needs and the fee schedule for the items and services provided.

Admission agreements that are executed on or after January 1, 2015 must comply with the new law and continue to comply with the CCR, Title 22, Section 87507.

No provision of an admission agreement, including all documents that a resident or the resident's representative, if any, is required to sign as part of the admission agreement, or as a condition of, admission to a residential care facility for the elderly, shall require that a resident waive benefits or rights to which he or she is entitled under this chapter or provided by federal or other state law or regulation, as specified in the new law in Section 1569.269(c) of the Health and Safety Code. Some examples of such provisions include the requirement to waive Supplemental Security Income benefits.

If a licensee must amend the admission agreement in order to be compliant with this new law, the licensees must send copies of any revised admission agreements and/or addendum to existing agreements to their local Regional Offices. Licensees must incorporate any revised admission agreements and/or addendum to existing agreements into their plans of operation in accordance with this new law. Licensing Program Analysts may review the revised plan of operation and admission agreement upon inspection.

### **Staff Training**

Licensees of privately operated facilities must provide initial and ongoing training for all facility staff to ensure that resident rights are fully respected and implemented, as specified in the new law in Section 1569.267(d) of the Health and Safety Code. This training must be on all of the resident rights specified in the new law in Section 1569.269 of the Health and Safety Code. Licensees must also continue to provide initial and ongoing training for all facility staff on all of the personal rights specified in the CCR, Title 22, Section 87468 as required by the CCR, Title 22, Section 87411. In addition, licensees must update personnel records to include documentation of this training and have personnel records available for inspection by their Licensing Program Analyst.

### **Civil Penalties**

All licensees, both public-sector and private, are subject to civil penalties for noncompliance with the requirement to assist residents in having a resident council at the facility as specified in Section 1569.157 of the Health and Safety Code or the requirement to permit the formation of a family council as specified in Section 1569.158

of the Health and Safety Code. Both violations are subject to a daily civil penalty of \$250 until the violation is corrected as specified in Sections 1569.157(i) or 1569.158(j) of the Health and Safety Code. (For more information, please also refer to the Implementation Plan for AB 1572 (Chapter 177, Statutes of 2014).)

Licensees of privately operated facilities are subject to civil penalties as specified in CCR, Title 22, Section 87761 for noncompliance with nondiscrimination requirements and resident personal rights specified in the new law in Section 1569.269 of the Health and Safety Code and for violations of nondiscrimination requirements and personal rights specified in CCR, Title 22, Sections 87118 and 87468 to the extent not otherwise superseded by the new statutes.

### **Residents**

The new law includes provisions for resident choice and flexibility in program options and in exercising their personal rights. It also permits residents to have choices in programs that may restrict personal rights. Residents may voluntarily choose program options based on the new law as specified below. Residents have the right to:

- To make choices concerning their daily life in the facility. [Health and Safety Code Section 1569.269(a)(8)]
- To fully participate in planning their care, including the right to attend and participate in meetings or communications regarding the care and services to be provided in accordance with Section 1569.80, and to involve persons of their choice in the planning process. The licensee shall provide necessary information and support to ensure that residents direct the process to the maximum extent possible, and are enabled to make informed decisions and choices. [Health and Safety Code Section 1569.269(a)(9)]
- To reasonable accommodation of individual needs and preferences in all aspects of life in the facility, except when the health or safety of the individual or other residents would be endangered. [Health and Safety Code Section 1569.269(a)(16)]

It is essential for licensees to balance the health, safety and personal rights of all residents in a facility. Should residents' choices impair their own health and safety or that of other residents in a facility, licensees are not required to comply with the request of the resident.

Any violation of these and any other personal rights may result in a licensee being cited under the new law.

## **Licensing Program Analysts**

Although the requirement to comply with AB 2171 only applies to licensees of privately operated facilities, Licensing Program Analysts must monitor all licensees for compliance with resident personal rights. Licensing Program Analysts shall use the protocols for implementation below.

For noncompliance with personal rights occurring prior to January 1, 2015, Licensing Program Analysts shall continue to cite personal rights regulations in the Title 22, CCR, RCFE. For noncompliance occurring after January 1, 2015, Licensing Program Analysts shall cite privately-owned licensees from the new statutes when the identified noncompliance applies to the new statute or continue to cite from other applicable regulations in the Title 22, CCR, RCFE that apply and are not superseded by the new statutes in question. For public-sector licensees, Licensing Program Analysts shall only cite for noncompliance with personal rights found in the other applicable regulations in the Title 22, CCR, RCFE that apply. For further guidance, please also see the table titled "Existing Personal Rights Requirements in the California Code of Regulations (CCR), Title 22 and New Personal Rights Requirements in AB 2171" at the end of this document.

### **Plans of Operation**

**Applications:** When reviewing applications submitted on or after January 1, 2015, Licensing Program Analysts and Staff Services Analysts shall carefully review plans of operation to determine whether applicants for licensure as privately operated facilities comply with the requirements specified above.

No application for licensure that includes a plan of operation that does not comply with the new law may be approved.

**Inspections and Complaints:** According to inspection protocols, Licensing Program Analysts shall carefully review plans of operation approved prior to January 1, 2015 to determine whether licensees of privately operated facilities have plans of operation that comply with the new law.

Licensing Program Analysts shall review plans of operation according to inspection protocols during inspections or when investigating complaints. If the licensee is noncompliant in regard to plans of operation on or after January 1, 2015, Licensing Program Analysts shall cite from the new law in Sections 1569.267 or 1569.269 of the Health and Safety Code and continue to cite from applicable regulations in the CCR, Title 22, Section 87208. The following scenarios based on the new law are provided as examples to assist Licensing Program Analysts.

## Nondiscrimination

**Inspections and Complaints:** According to inspection protocols, Licensing Program Analysts shall carefully consider and determine whether licensees of privately operated facilities comply with the nondiscrimination requirements specified for those licensees above. When investigating complaints, Licensing Program Analysts shall use the date the alleged noncompliance occurred to determine whether the new law or existing regulations apply.

If noncompliance occurred in regard to nondiscrimination after January 1, 2015, Licensing Program Analysts shall cite from the new law in Section 1569.269 of the Health and Safety Code, if applicable, or applicable regulations in the CCR, Title 22, Section 87118 that are not otherwise superseded by the new statutes. Licensing Program Analysts shall also cite from any other regulations in the CCR, Title 22, RCFE that apply. The following scenarios are provided only as examples to assist Licensing Program Analysts.

Scenario	Cite
Before January 1, 2015:	
A prospective resident was not allowed into a facility in November of 2014 because of his or her actual or perceived sexual orientation.	CCR, Title 22, Section 87118(a).
After January 1, 2015:	
A resident is not allowed to participate in an activity at the facility in February of 2015 because of his or her registered domestic partner status.	Health and Safety Code Section 1569.269(b).

For plans of correction, licensees are to agree that licensee policies, procedures, or practices will be revised to address deficiencies or substantiated allegations in regard to nondiscrimination.

If the licensee is noncompliant with the nondiscrimination requirements, licensees are subject to civil penalties as specified in the CCR, Title 22, Section 87761.

## Resident Personal Rights, Resident Notification, and Posting of Resident Personal Rights

**Inspections and Complaints:** According to inspection protocols, Licensing Program Analysts shall carefully consider and determine whether licensees of privately operated facilities comply with the resident personal rights, resident notification, and posting of resident personal rights requirements specified for those licensees above. When

investigating complaints, Licensing Program Analysts shall use the date the alleged noncompliance occurred to determine whether the new law or existing regulations applies.

If noncompliance occurred in regard to resident personal rights, resident notification, and posting of resident personal rights after January 1, 2015, Licensing Program Analysts shall cite from the new Section 1569.269 of the Health and Safety Code, if applicable, or applicable regulations in the CCR, Title 22, Section 87468 that have not been superseded by the new code sections. Licensing Program Analysts shall also cite from any other regulations in the CCR, Title 22, RCFE that apply. The following scenarios are provided only as examples to assist Licensing Program Analysts.

<b>Scenario</b>	<b>Cite</b> <b><u>Before January 1, 2015</u></b>	<b>Cite</b> <b><u>After January 1, 2015</u></b>
A resident was subject to a hurtful remark by facility staff.	CCR, Title 22, Section 87468(a)(1).	Health and Safety Code Section 1569.269(a)(1).
A resident was not allowed to spend his or her own money on a treat that is not harmful to his or her well-being.	CCR, Title 22, Section 87468(a)(12).	Health and Safety Code Section 1569.269(a)(30)
A resident and his or her friends in the facility who want to start a resident council are told they cannot when they talk with the administrator about forming the councils.	CCR, Title 22, Section 87221, relating to resident councils.	Health and Safety Code Section 1569.157(a), relating to resident councils.
There are no resident personal rights posted in Spanish to accommodate residents in a facility who primarily read in Spanish.	CCR, Title 22, Section 87468(c), requiring that personal rights be posted in facilities licensed for 7 or more residents and (d), requiring that personal rights be posted in other languages that can be read by residents when a significant number of residents in a facility primarily read in other languages.	Health and Safety Code Section 1569.267(c), requiring that personal rights be posted in all facilities and that personal rights be posted in other languages that can be read by residents when 5% or more of residents in a facility primarily read in other languages.

For plans of correction, licensees are to agree that licensee policies, procedures, or practices will be revised to address noncompliance in regard to resident personal rights, resident notification, and posting of resident personal rights.

If noncompliance of resident and family council requirements occur, licensees are subject to civil penalties specified in Sections 1569.157(i) or 1569.158(j) of the Health and Safety Code. If noncompliance of resident personal rights, resident notification, and posting of resident personal rights requirements of the new statutes occur, licensees are subject to civil penalties as specified in the CCR, Title 22, Section 87761.

### Admission Agreements

**Applications:** When reviewing applications submitted on or after January 1, 2015, Licensing Program Analysts and Staff Services Analysts shall carefully review admission agreements to determine whether applicants for licensure as privately operated facilities have agreements that comply with the requirements specified above.

No application for licensure that includes an admission agreement that does not comply with the new law may be approved.

**Inspections and Complaints:** According to inspection protocols, Licensing Program Analysts shall carefully review admission agreements to determine whether licensees of privately operated facilities have existing or new admission agreements that include the information required for those licensees above.

For noncompliance occurring after January 1, 2015, Licensing Program Analysts shall cite from the new Section 1569.269 of the Health and Safety Code, if applicable, and continue to cite from applicable regulations in the CCR, Title 22, Section 87507 if not otherwise superseded by the new statutes. The following scenarios based on the new law are provided as examples to assist Licensing Program Analysts.

Scenario	Cite
Admission agreement does not include a comprehensive description of the method for evaluating residents' service needs.	Health and Safety Code Section 1569.269(a)(14).
Admission agreement includes a clause that requires a resident to waive the right to Supplemental Security Income benefits in order to remain in the facility.	Health and Safety Code Section 1569.269(c).

For plans of correction, licensees are to agree to comply with the new law by revising the admission agreement and/or using an addendum.

## Staff Training

**Inspections and Complaints:** According to inspection protocols, Licensing Program Analysts shall carefully review personnel records to determine whether licensees of privately operated facilities comply with the staff training requirements specified for those licensees above.

If noncompliance occurred in regard to staff training requirements on or after January 1, 2015, Licensing Program Analysts shall cite from the new Section 1569.267 of the Health and Safety Code, if applicable, and continue to cite from applicable regulations in the CCR, Title 22, Section 87411. The following scenario based on the new law is provided as an example to assist Licensing Program Analysts.

Scenario	Cite
Licensee does not provide staff training that includes all of the resident personal rights in the new law and all of the personal rights in CCR, Title 22, Section 87468.	Health and Safety Code Section 1569.267(a) and (d).

Licensees shall develop plans of correction to comply with staff training requirements.

Regulations, including, but not limited to, revisions to California Code of Regulations, Title 22, Sections 87468 and 87508, revisions to forms (Personal Rights – Residential Care Facilities for the Elderly (LIC 613C), and revisions to Evaluator Manual sections will be developed.

**For legislative information related to this law, see: [Bill Text - AB-2171 Residential care facilities for the elderly.](#)**

The following table on page 30 provides a review of provisions for nondiscrimination, personal rights, and admission agreements in existing regulations and AB 2171.

**[ADDITIONAL INFORMATION CONTAINED ON PAGE 33]**

**EXISTING PERSONAL RIGHTS REQUIREMENTS IN THE CALIFORNIA CODE OF REGULATIONS (CCR), TITLE 22 and NEW PERSONAL RIGHTS REQUIREMENTS IN AB 2171**

**Key:** *Italicized* text indicates how the new law changes requirements specified in regulations.

Please note that licensees must ensure that they comply with the requirements of the new law and continue to comply with the requirements of the CCR, Title 22, RCFE.

<b>NONDISCRIMINATION</b>		
<b>Existing Nondiscrimination Requirements CCR, Title 22, Section 87118</b>	<b>New Nondiscrimination Requirements Added in Section 1569.269 of the Health and Safety Code by AB 2171</b>	<b>Other Regulations in CCR, Title 22, Applicable to Nondiscrimination</b>
<i>Cited if noncompliance occurred <u>before</u> January 1, 2015.</i>	<i>Cited for privately-operated facilities if noncompliance occurred <u>after</u> January 1, 2015.</i>	<i>May also be cited, if applicable to citations based on existing nondiscrimination requirements <u>before</u> January 1, 2015 or if applicable to citations based on new nondiscrimination requirements <u>after</u> January 1, 2015.</i>
<ul style="list-style-type: none"> <li>All licensed facilities shall receive persons on a nondiscriminatory basis according equal treatment and services without regard to race, color, religion, national origin, actual or perceived sexual orientation or ancestry. [CCR, Title 22, Section 87118(b)]</li> </ul>	<ul style="list-style-type: none"> <li>A licensed residential care facility for the elderly shall not discriminate against a person seeking admission or a resident based on sex, race, color, religion, national origin, <i>marital status, registered domestic partner status</i>, ancestry, actual or perceived sexual orientation, or <i>actual or perceived gender identity</i>. [Health and Safety Code Section 1569.269(b)]</li> </ul>	<ul style="list-style-type: none"> <li>An exception shall be made in the case of any bona fide nonprofit religious, fraternal or charitable organization which can demonstrate to the satisfaction of the Department or the licensing agency that its primary or substantial purpose is not to evade this section.               <ul style="list-style-type: none"> <li>It may establish reception policies limiting or giving preference to its own members or adherents, provided,</li> </ul> </li> </ul>

		<p>however, such membership is nondiscriminatory and such policies shall not be construed as a violation of this section.</p> <ul style="list-style-type: none"> <li>○ Any reception of nonmembers or nonadherents shall be subject to the requirements of this section. [CCR, Title 22, Section 87118(c)]</li> </ul>
--	--	---

Please note that licensees must ensure that they comply with the requirements of the new law and continue to comply with the requirements of the CCR, Title 22, RCFE.

<b>Resident Personal Rights</b>		
<b>Existing Personal Rights in CCR, Title 22, Section 87468</b>	<b>New Personal Rights Added in Section 1569.269 of the Health and Safety Code by AB 2171</b>	<b>Other Regulations in CCR, Title 22, Applicable to Personal Rights</b>
<i>Cited if noncompliance occurred <u>before</u> January 1, 2015</i>	<i>Cited for privately-operated facilities if noncompliance occurred <u>after</u> January 1, 2015.</i>	<i>May also be cited, if applicable to citation based on existing personal rights <u>before</u> January 1, 2015 or if applicable to citation based on new personal rights <u>after</u> January 1, 2015 if not otherwise superseded by statute.</i>
<ul style="list-style-type: none"> <li>• To be accorded dignity in his/her personal relationships with staff, residents, and other persons. [CCR, Title 22, Section 87468(a)(1)]</li> </ul>	<ul style="list-style-type: none"> <li>• To be accorded dignity in their personal relationships with staff, residents, and other persons. [Health and Safety Code Section 1569.269(a)(1)]</li> </ul>	<ul style="list-style-type: none"> <li>• Care and supervision of residents shall be provided without physical or verbal abuse, exploitation or prejudice. Licensee must provide for and encourage all personnel</li> </ul>

		<p>to report observations or evidence of abuse, exploitation, or prejudice. [CCR, Title 22, Section 87413(a)(2) and (3)]</p> <ul style="list-style-type: none"> <li>• Licensees with facilities that specialize in dementia care must ensure that staff receive regularly scheduled training in promoting resident dignity, independence, individuality, privacy and choice. [CCR, Title 22, Section 87707(a)(2)(A)(5)]</li> </ul>
<ul style="list-style-type: none"> <li>• To have access to individual storage space for private use. [CCR, Title 22, Section 87468(a)(13)]</li> <li>• To have reasonable access to telephones, to both make and receive confidential calls. The licensee may require reimbursement for long distance calls. [CCR, Title 22, Section 87468(a)(14)]</li> <li>• To mail and receive unopened correspondence in a prompt manner. [CCR, Title 22, Section 87468(a)(15)]</li> </ul>	<ul style="list-style-type: none"> <li>• To be granted a reasonable level of personal privacy in accommodations, <i>medical treatment, personal care and assistance</i>, visits, <i>communications</i>, telephone conversations, <i>use of the Internet</i>, and <i>meetings of resident and family groups</i>. [Health and Safety Code Section 1569.269(a)(2)]</li> </ul>	<ul style="list-style-type: none"> <li>• To permit a free exchange of ideas at resident council meetings, at least part of each meeting must be conducted without the presence of any facility personnel. (CCR, Title 22, Section 87221)</li> <li>• The facility shall provide comfortable living accommodations and privacy for residents. Individual privacy shall be provided in all toilet, bath and shower areas. [CCR, Title 22, Section 87307(a) and (c)]</li> <li>• There shall be adequate privacy for first aid treatment of minor injuries and for examination by a physician if required. [CCR, Title 22, Section 87465(a)(8)]</li> <li>• Privacy shall be</li> </ul>

		afforded when specified care is being provided. [CCR, Title 22, Sections 87621(b); 87622(b)(2); 87623(b)(4); and 87625(b)(8)]
<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• To confidential treatment of their records and personal information and to approve their release, except as authorized by law. [Health and Safety Code Section 1569.269(a)(3)]</li> </ul>	<ul style="list-style-type: none"> <li>• All information and records obtained from or regarding residents must be kept confidential. Licensees are responsible for storing active and inactive records and for safeguarding the confidentiality of their contents. Licensee and all employees shall only disclose confidential information upon the resident's written consent or consent of the resident's designated representative. [CCR, Title 22, Section 87506(c)(1)]</li> <li>• The register of residents in a facility shall be treated as confidential information. [CCR, Title 22, Section 87508(c)(1)]</li> </ul>
<ul style="list-style-type: none"> <li>• To be free from corporal or unusual punishment, humiliation, intimidation, mental abuse, or other actions of a punitive nature, such as withholding of monetary allowances or interfering with daily living functions such as eating or sleeping patterns or elimination.</li> </ul>	<ul style="list-style-type: none"> <li>• To be encouraged and assisted in exercising their rights as citizens and as residents of the facility. Residents shall be free from <i>interference, coercion, discrimination, and retaliation in exercising their rights.</i> [Health and Safety Code Section 1569.269(a)(4)]</li> </ul>	<ul style="list-style-type: none"> <li>• Licensees shall encourage residents to maintain and develop their fullest potential for independent living through participation in planned activities. [CCR, Title 22, Section 87219(a)]</li> <li>• Licensees shall permit</li> </ul>

<p>[CCR, Title 22, Section 87468(a)(3)]</p>		<p>the formation of a resident council, provide space and post notice for meetings, and provide assistance in attending meetings for residents upon request. In order to permit a free exchange of ideas, at least part of each meeting shall be allowed to be conducted without the presence of any facility personnel. Residents shall be encouraged, but not compelled, to attend. (CCR, Title 22, Section 87221)</p> <p><b>Note: Please also see requirements in Section 1569.157 regarding resident councils (AB 1572, Statutes of 2014).</b></p>
<ul style="list-style-type: none"> <li>To be accorded safe, healthful and comfortable accommodations, furnishings and equipment. [CCR, Title 22, Section 87468(a)(2)]</li> </ul>	<ul style="list-style-type: none"> <li>To be accorded safe, healthful, and comfortable accommodations, furnishings, and equipment. [Health and Safety Code Section 1569.269(a)(5)]</li> </ul>	<ul style="list-style-type: none"> <li>Fire Clearance (CCR, Title 22, Section 87202); Fire Safety (CCR, Title 22, Section 87203); Limitations on Capacity and Ambulatory Status (CCR, Title 22, Section 87204); Maintenance and Operation (CCR, Title 22, Section 87303 and Personal Accommodations and Services (CCR, Title 22, Section 87307) also apply.</li> </ul>
<ul style="list-style-type: none"> <li>Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>To care, supervision, and services that meet their individual needs and are delivered by</li> </ul>	<ul style="list-style-type: none"> <li>The use of alternate concepts, programs, services, procedures, techniques, equipment,</li> </ul>

	<p>staff that are sufficient in numbers, qualifications, and competency to meet their needs. [Health and Safety Code Section 1569.269(a)(6)]</p>	<p>space, personnel qualifications or staffing ratios, or the conduct of experimental or demonstration projects are not prohibited provided specified conditions are met. [CCR, Title 22, Section 87209(a)]</p>
<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• To be served food of the quality and in the quantity necessary to meet their nutritional needs. [Health and Safety Code Section 1569.269(a)(7)]</li> </ul>	<ul style="list-style-type: none"> <li>• Residents' daily diet must be of the quality and in the quantity necessary to meet their needs and meet specified nutritional standards. All food must be selected, stored, prepared and served in a safe and healthful manner. [CCR, Title 22, Section 87555(a)]</li> </ul>
<ul style="list-style-type: none"> <li>• To have the freedom of attending religious services or activities of his/her choice and to have visits from the spiritual advisor of his/her choice. Attendance at religious services, either in or outside the facility, shall be on a completely voluntary basis. [CCR, Title 22, Section 87468(a)(5)]</li> <li>• To leave or depart the facility at any time and to not be locked into any room, building, or on facility premises by day or night. [CCR, Title 22, Section 87468(a)(6)]</li> <li>• To wear his/her own</li> </ul>	<ul style="list-style-type: none"> <li>• <i>To make choices concerning their daily life in the facility.</i> [Health and Safety Code Section 1569.269(a)(8)]</li> </ul>	<ul style="list-style-type: none"> <li>• Planned Activities (CCR, Title 22, Section 87219) and Resident Councils (CCR, Title 22, Section 87221), also apply.</li> </ul>

<p>clothes; to keep and use his/her own personal possessions, including his/her toilet articles; and to keep and be allowed to spend his/her own money. [CCR, Title 22, Section 87468(a)(12)]</p> <ul style="list-style-type: none"> <li>• To receive assistance in exercising the right to vote. [CCR, Title 22, Section 87468(a)(17)]</li> </ul>		
<ul style="list-style-type: none"> <li>• To have his/her family or responsible persons regularly informed by the facility of activities related to his care or services including ongoing evaluations, as appropriate to the resident's needs. [CCR, Title 22, Section 87468(a)(8)]</li> <li>• To have communications to the facility from his/her family and responsible persons answered promptly and appropriately. [CCR, Title 22, Section 87468(a)(9)]</li> <li>• To receive or reject medical care, or other services. [CCR, Title 22, Section 87468(a)(16)]</li> </ul>	<ul style="list-style-type: none"> <li>• <i>To fully participate in planning their care, including the right to attend and participate in meetings or communications regarding the care and services to be provided in accordance with Section 1569.80, and to involve persons of their choice in the planning process. The licensee shall provide necessary information and support to ensure that residents direct the process to the maximum extent possible, and are enabled to make informed decisions and choices.</i> [Health and Safety Code Section 1569.269(a)(9)]</li> </ul>	<ul style="list-style-type: none"> <li>• Licensees must meet with and involve a resident and others as specified in preparing, reviewing, and revising a written record of the care the resident will receive at the facility. [CCR, Title 22, Sections 87463(c) and 87467(a)]</li> <li>• Upon admission, licensees must provide residents, and representatives or responsible persons of residents, with written information about the right to make decisions concerning medical care. Information must include, but is not limited to, the Department brochure "Your Right To Make Decisions About Medical Treatment." [CCR, Title 22, Section 87469(a)]</li> </ul>
<ul style="list-style-type: none"> <li>• To be free from corporal or unusual punishment, humiliation, intimidation, mental abuse, or other</li> </ul>	<ul style="list-style-type: none"> <li>• To be free from <i>neglect, financial exploitation, involuntary seclusion, punishment, humiliation,</i></li> </ul>	<ul style="list-style-type: none"> <li>• Bonding (CCR, Title 22, Section 87216); Safeguards for Resident Cash, Personal</li> </ul>

<p>actions of a punitive nature, such as withholding of monetary allowances or interfering with daily living functions such as eating or sleeping patterns or elimination. [CCR, Title 22, Section 87468(a)(3)]</p> <ul style="list-style-type: none"> <li>• To leave or depart the facility at any time and to not be locked into any room, building, or on facility premises by day or night. [Title 22, CCR, Section 87468(a)(6)]</li> </ul>	<p>intimidation, and <i>verbal</i>, mental, <i>physical</i>, or <i>sexual</i> abuse. [Health and Safety Code Section 1569.269(a)(10)]</p>	<p>Property, and Valuables (CCR, Title 22, Section 87217); Theft and Loss (CCR, Title 22, Section 87218); and Personnel Operations (CCR, Title 22, Section 87413), also apply.</p>
<ul style="list-style-type: none"> <li>• To be informed by the licensee of the provisions of law regarding complaints and of procedures to confidentially register complaints, including, but not limited to, the address and telephone number of the complaint receiving unit of the licensing agency. [CCR, Title 22, Section 87468(a)(4)]</li> <li>• Personal right regarding freedom from punishment. [CCR, Title 22, Section 87468(a)(3)] also applies.</li> </ul>	<ul style="list-style-type: none"> <li>• <i>To present grievances and recommend changes in policies, procedures, and services to the staff of the facility, the facility's management and governing authority, and to any other person without restraint, coercion, discrimination, reprisal, or other retaliatory actions. The licensee shall take prompt actions to respond to residents' grievances.</i> [Health and Safety Code Section 1569.269(a)(11)]</li> </ul>	<ul style="list-style-type: none"> <li>• Licensees are required to have procedures for addressing complaints. [CCR, Title 22, Section 87155)</li> </ul> <p>Note: Please see Health and Safety Code Sections 1569.157 and 1569.158 regarding resident councils and family councils.</p>
<ul style="list-style-type: none"> <li>• To be informed by the licensee of the provisions of law regarding complaints and of procedures to confidentially register complaints, including, but not limited to, the</li> </ul>	<ul style="list-style-type: none"> <li>• <i>To contact the State Department of Social Services, the long-term care ombudsman, or both, regarding grievances against the licensee. The licensee shall post the telephone</i></li> </ul>	<ul style="list-style-type: none"> <li>• Notice to leave the facility must include a statement informing residents of their right to file a complaint with the licensing agency. [CCR, Title 22, Section 87224(d)(1)(C)]</li> </ul>

<p>address and telephone number of the complaint receiving unit of the licensing agency. [CCR, Title 22, Section 87468(a)(4)]</p> <ul style="list-style-type: none"> <li>Facilities licensed for 7 or more shall prominently post personal rights and procedures for filing confidential complaints in areas accessible to the residents and their relatives. [CCR, Title 22, Section 87468(c)]</li> <li>Information on personal rights and procedures for filing confidential complaints shall be posted in English, and in facilities where a significant portion of the residents cannot read English, in the language they can read. [CCR, Title 22, Section 87468(d)]</li> </ul>	<p><i>numbers and addresses for the local offices of the State Department of Social Services and ombudsman program, in accordance with Section 9718 of the Welfare and Institutions Code, conspicuously in the facility foyer, lobby, residents' activity room, or other location easily accessible to residents. [Health and Safety Code Section 1569.269(a)(12)]</i></p> <ul style="list-style-type: none"> <li><i>Licensees shall prominently post, in areas accessible to the residents and their representatives, a copy of the residents' rights. [Health and Safety Code Section 1569.267(b)]</i></li> <li><i>The rights posted pursuant to subdivision (b) shall be posted both in English and in any other language in a facility in which 5 percent or more of the residents can only read that other language. [Health and Safety Code Section 1569.267(c)]</i></li> </ul>	
<ul style="list-style-type: none"> <li>To be informed of the facility's policy concerning family visits and other communications with residents, as specified in Health and Safety Code Section 1569.313. [CCR, Title 22, Section 87468(a)(10)]</li> <li>At admission, a resident and the resident's</li> </ul>	<ul style="list-style-type: none"> <li>To be fully informed, as evidenced by the resident's written acknowledgement, prior to or at the time of admission, of all rules governing residents' conduct and responsibilities. In accordance with Section 1569.885, all rules established by a</li> </ul>	<ul style="list-style-type: none"> <li>Admission agreements must include general policies for the purpose of making it possible for residents to live together. [CCR, Title 22, Sections 87224(a)(3) and 87507(c)(7)]</li> </ul>

<p>responsible person or conservator shall be personally advised of and given a list of these rights. The licensee shall have each resident and the resident's responsible person or conservator sign a copy of these rights, and the signed copy shall be included in the resident's record. [CCR, Title 22, Section 87468(b).]</p>	<p><i>licensee shall be reasonable and shall not violate any rights set forth in this chapter or in other applicable laws or regulations. [Health and Safety Code Section 1569.269(a)(13)]</i></p> <ul style="list-style-type: none"> <li>• At admission, a <i>facility staff person</i> shall personally advise a resident and the resident's <i>representative</i> of, and give a <i>complete written copy of, the rights in this article and the personal rights in Section 87468 of Title 22 of the California Code of Regulations.</i> The licensee shall have each resident and the resident's <i>representative</i> sign and <i>date</i> a copy of the resident's rights, and the licensee shall include the signed and dated copy in the resident's record. [Health and Safety Code Section 1569.267(a)]</li> </ul>	
<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• <i>To receive in the admission agreement a comprehensive description of the method for evaluating residents' service needs and the fee schedule for the items and services provided, and to receive written notice of any rate increases pursuant to Sections 1569.655 and 1569.884. [Health and Safety Code Section 1569.269(a)(14)]</i></li> </ul>	<ul style="list-style-type: none"> <li>• Admission agreements must specify basic and optional services, basic and optional services rates, and modification conditions. [CCR, Title 22, Section 87507(c)]</li> </ul>

<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• <i>To be informed in writing at or before the time of admission of any resident retention limitations set by the state or licensee, including any limitations or restrictions on the licensee's ability to meet residents' needs.</i> [Health and Safety Code Section 1569.269(a)(15)]</li> </ul>	<ul style="list-style-type: none"> <li>• Admission agreements must specify actions, circumstances, or conditions specified in regulations which may result in the resident's eviction from the facility. [CCR, Title 22, Section 87507(c)(8)]</li> </ul>
<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• To reasonable accommodation of individual needs and preferences in all aspects of life in the facility, except when the health or safety of the individual or other residents would be endangered. [Health and Safety Code Section 1569.269 (a)(16)]</li> </ul>	<ul style="list-style-type: none"> <li>• Planned Activities (Title 22, CCR, Section 87219); Resident Councils (Title 22, CCR, Section 87221); and Resident Participation in Decision-making (CCR, Title 22, Section 87467), also apply.</li> </ul>
<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• To reasonable accommodation of resident preferences concerning room and roommate choices. [Health and Safety Code Section 1569.269 (a)(17)]</li> </ul>	<ul style="list-style-type: none"> <li>• Admission agreements must include general policies for the purpose of making it possible for residents to live together. [CCR, Title 22, Sections 87224(a)(3) and 87507(c)(7)]</li> <li>• Married couples may be provided with one appropriate sized bed. [CCR, Title 22, Section 87307(a)(3)(A)]</li> <li>• If a roommate of a resident receiving hospice care withdraws his or her agreement to accommodate hospice care verbally or in writing, a licensee must make alternative</li> </ul>

		arrangements that fully meet the needs of the resident receiving hospice care. [CCR, Title 22, Section 87633 (h)(5)(A)]
<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• To written notice of any room changes at least 30 days in advance unless the request for a change is agreed to by the resident, required to fill a vacant bed, or necessary due to an emergency. [Health and Safety Code Section 1569.269(a)(18)]</li> </ul>	<ul style="list-style-type: none"> <li>• If a resident must be evicted by a licensee or is subject to a health relocation order issued by the department, a licensee must follow procedures to reduce transfer trauma to the resident. [CCR, Title 22, Sections 87224(i)(1) and 87637(b)(2)]</li> </ul>
<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• To share a room with the resident's spouse, domestic partner, or a person of resident's choice when both spouses, partners, or residents live in the same facility and consent to the arrangement. [Health and Safety Code Section 1569.269(a)(19)]</li> </ul>	<ul style="list-style-type: none"> <li>• Married couples may be provided with one appropriate sized bed. [CCR, Title 22, Section 87307(a)(3)(A)]</li> </ul>
<ul style="list-style-type: none"> <li>• To receive or reject medical care or other services. [CCR, Title 22, Section 87468(a)(16)]</li> </ul>	<ul style="list-style-type: none"> <li>• To <i>select their own physicians, pharmacies, privately paid personal assistants, hospice agency, and health care providers, in a manner that is consistent with the resident's contract of admission or other rules of the facility, and in accordance with this act.</i> [Health and Safety Code Section 1569.269(a)(20)]</li> </ul>	<ul style="list-style-type: none"> <li>• Licensees must meet with and involve a resident and others as specified in preparing, reviewing, and revising a written record of the care the resident will receive at the facility and the resident's preferences regarding the services provided at the facility. [CCR, Title 22, Sections 87463(c) and 87467(a)]</li> <li>• Upon admission, licensees must provide</li> </ul>

		<p>residents, and representatives or responsible persons of residents, with written information about the right to make decisions concerning medical care. Information must include, but is not limited to, the Department brochure "Your Right To Make Decisions About Medical Treatment." [CCR, Title 22, Section 87469(a)]</p>
<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• To have prompt access to review all of their records and to purchase photocopies. Photocopied records shall be promptly provided, not to exceed two business days, at a cost not to exceed the community standard for photocopies. [Health and Safety Code Section 1569.269(a)(21)]</li> </ul>	<ul style="list-style-type: none"> <li>• All information and records obtained from or regarding residents must be kept confidential. Licensees are responsible for storing active and inactive records and for safeguarding the confidentiality of their contents. Licensee and all employees shall only disclose confidential information upon the resident's written consent or consent of the resident's designated representative. [CCR, Title 22, Section 87506(c)(1)]</li> </ul>
<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• To be protected from involuntary transfers, discharges, and evictions in violation of state laws and regulations. Facilities shall not involuntarily transfer or evict residents for grounds</li> </ul>	<ul style="list-style-type: none"> <li>• Licensees may, upon 30 days' written notice to the resident, evict the resident for one or more specified reasons. [CCR, Title 22, Section 87224(a)]</li> <li>• Licensees may, upon obtaining prior written</li> </ul>

	<p>other than those specifically enumerated under state law or regulations, and shall comply with enumerated eviction and relocation protections for residents. For purposes of this paragraph, "involuntary" means a transfer, discharge, or eviction that is initiated by the licensee, not by the resident. [Health and Safety Code Section 1569.269(a)(22)]</p>	<p>approval from the licensing agency, evict a resident upon 3 days written notice to quit. Licensing agency may grant approval for the eviction upon finding of good cause. Good cause exists if the resident is engaging in behavior which is a threat to the mental and/or physical health or safety of him/herself or to the mental and/or physical health or safety of others in the facility. [CCR, Title 22, Section 87224(b)]</p>
<ul style="list-style-type: none"> <li>To move from the facility. [Title 22, CCR, Section 87468(a)(18)]</li> </ul>	<ul style="list-style-type: none"> <li>To move from a facility. [Health and Safety Code Section 1569.269(a)(23)]</li> </ul>	<ul style="list-style-type: none"> <li>Not addressed by other applicable regulations.</li> </ul>
<ul style="list-style-type: none"> <li>To be informed of the facility's policy concerning family visits and other communications with residents, as specified in Health and Safety Code Section 1569.313. [CCR, Title 22, Section 87468(a)(10)]</li> <li>To have his/her visitors, including ombudspersons and advocacy representatives permitted to visit privately during reasonable hours and without prior notice, provided that the rights of other residents are not infringed upon. [Title 22, CCR, Section 87468(a)(11)]</li> </ul>	<ul style="list-style-type: none"> <li>To <i>consent to have relatives and other individuals of the resident's choosing</i> visit during reasonable hours, privately and without prior notice. [Health and Safety Code Section 1569.269(a)(24)]</li> </ul>	<ul style="list-style-type: none"> <li>Plan of operation and admission agreement must include a statement of the facility's policy concerning family visits and other communication with residents. [CCR, Title 22, Sections 87208(a)(10) and 87507(c)(9)]</li> </ul>

<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• To receive written information on the right to establish an advanced health care directive and, pursuant to Section 1569.156, the licensee's written policies on honoring those directives. [Health and Safety Code Section 1569.269(a)(25)]</li> </ul>	<ul style="list-style-type: none"> <li>• Upon admission, licensees must provide residents, and representatives or responsible persons of residents, with written information about the right to make decisions concerning medical care. Information must include, but is not limited to, the Department brochure "Your Right To Make Decisions About Medical Treatment," and a copy of specified regulations describing what licensees must do to honor residents' Request to Forego Resuscitative Measures, Advance Health Care Directive and/or a Do-Not-Resuscitate (DNR) form. [CCR, Title 22, Section 87469(a)]</li> </ul>
<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• To be encouraged to maintain and develop their fullest potential for independent living through participation in activities that are designed and implemented for this purpose, in accordance with Section 87219 of Title 22 of the California Code of Regulations. [Health and Safety Code Section 1569.269(a)(26)]</li> </ul>	<ul style="list-style-type: none"> <li>• Licensees shall encourage residents to maintain and develop their fullest potential for independent living through participation in planned activities. [CCR, Title 22, Section 87219(a)]</li> </ul>
<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• To organize and participate in a resident council that is established pursuant to</li> </ul>	

	Section 1569.157. [Health and Safety Code Section 1569.269(a)(27)]	
<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• To protection of their property from theft or loss in accordance with Sections 1569.152, 1569.153, and 1569.154. [Health and Safety Code Section 1569.269(a)(28)]</li> </ul>	<ul style="list-style-type: none"> <li>• Licensees must safeguard residents' cash resources, personal property and valuables entrusted to the licensee or facility staff. [CCR, Title 22, Section 87217(b)]</li> </ul>
<ul style="list-style-type: none"> <li>• To wear his/her own clothes; to keep and use his/her own personal possessions, including his/her toilet articles; and to keep and be allowed to spend his/her own money. [CCR, Title 22, Section 87468(a)(12)]</li> </ul>	<ul style="list-style-type: none"> <li>• To <i>manage their financial affairs. A licensee shall not require residents to deposit their personal funds with the licensee. Except as provided in approved continuing care agreements, a licensee, or a spouse, domestic partner, relative, or employee of a licensee, shall not do any of the following:</i> <ul style="list-style-type: none"> <li>○ <i>Accept appointment as a guardian or conservator of the person or estate of a resident.</i></li> <li>○ <i>Become or act as a representative payee for any payments made to a resident, without the written and documented consent of the resident or the resident's representative.</i></li> <li>○ <i>Serve as an agent for a resident under any general or special power of attorney.</i></li> <li>○ <i>Become or act as a joint tenant on any</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• If residents are incapable of handling their own cash resources, as documented by initial or subsequent appraisals, licensees must safeguard their cash resources in accordance with regulations. [CCR, Title 22, Section 87217(a)]</li> </ul>

	<p><i>account with a resident.</i></p> <ul style="list-style-type: none"> <li>○ <i>Enter into a loan or promissory agreement or otherwise borrow money from a resident without a notarized written agreement outlining the terms of the repayment being given to the resident.</i></li> </ul> <p>[Health and Safety Code Section 1569.269(a)(29)]</p>	
<ul style="list-style-type: none"> <li>• To wear his/her own clothes; to keep and use his/her own personal possessions, including his/her toilet articles; and to keep and be allowed to spend his/her own money. [CCR, Title 22, Section 87468(a)(12)]</li> </ul>	<ul style="list-style-type: none"> <li>• To <i>keep, have access to, and use their own personal possessions</i>, including toilet articles, and to keep and be allowed to spend their own money, <i>unless limited by statute or regulation.</i> [Health and Safety Code Section 1569.269(a)(30)]</li> </ul>	<ul style="list-style-type: none"> <li>• If residents are incapable of handling their own cash resources, as documented by initial or subsequent appraisals, licensees must safeguard their cash resources in accordance with regulations. [CCR, Title 22, Section 87217(a)]</li> </ul>
<ul style="list-style-type: none"> <li>• Not addressed by existing personal rights regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• Residents' family members, friends, and representatives have the right to organize and participate in a family council that is established pursuant to Section 1569.158. [Health and Safety Code Section 1569.269(d)]</li> </ul>	<ul style="list-style-type: none"> <li>• Not addressed by other applicable regulations.</li> </ul>

Please note that licensees must ensure that they comply with the requirements of the new law and continue to comply with the requirements of the CCR, Title 22, RCFE.

<b>Admission Agreements</b>		
<b>Existing Admission Agreements Requirements in CCR, Title 22, Section 87507</b>	<b>New Admission Agreements Requirements Added in Section 1569.269 of the Health and Safety Code by AB 2171</b>	<b>Other Regulations in CCR, Title 22, Applicable to Admission Agreements</b>
<i>Cited if noncompliance occurred <u>before</u> or <u>after</u> January 1, 2015.</i>	<i>Cited for privately-operated facilities if noncompliance occurred <u>after</u> January 1, 2015.</i>	<i>Cited if noncompliance occurred <u>before</u> or <u>after</u> January 1, 2015.</i>
<ul style="list-style-type: none"> <li>• Not addressed by existing admission agreements regulations.</li> <li>• Existing admission agreements regulations continue to apply.</li> </ul>	<ul style="list-style-type: none"> <li>• No provision of a contract of admission, including all documents that a resident or his or her representative is required to sign as part of the contract for, or as a condition of, admission to a residential care facility for the elderly, shall require that a resident waive benefits or rights to which he or she is entitled under this chapter or provided by federal or other state law or regulation. [Health and Safety Code Section 1569.269(c)]</li> </ul>	<ul style="list-style-type: none"> <li>• Not addressed by other applicable regulations.</li> </ul>

## **ACTION REQUIRED**

### **Assembly Bill 2236 (Maienschein / Stone), Chapter 813, Statutes of 2014**

**This bill becomes effective July 1, 2015**

**Affects:** Residential Care Facilities for the Elderly (RCFEs)

**Subject:** Care facilities: civil penalties

**Summary:** [AB 2236](#) enacts new civil penalties in cases where the Department determines that a violation of licensing standards resulted in the death or serious bodily injury, or constitutes physical abuse of a resident in care. The bill establishes an appeal procedure specific to these civil penalties.

#### **Note on the Bill Language**

AB 2236 enacted new sections of statute to become operative on July 1, 2015, and placed these new sections directly below the previous, identically-numbered sections. The old sections became inoperative on that date, and on January 1, 2016, the old sections will be removed from statute.

Until that time, it can be difficult to distinguish between the operative and inoperative sections. The words “Inoperative July 1, 2015” are located in the italicized statement below the inoperative section, whereas the current, operative section has the following statement below it: “(Repealed (in Sec. 1) and added by Stats. 2014, Ch. 813, Sec. 2. Effective January 1, 2015. Section operative July 1, 2015, by its own provisions.)”

#### **New Civil Penalties in Cases of Death, Serious Bodily Injury or Physical Abuse**

AB 2236 imposes new civil penalties for a violation that results in death or serious bodily injury, or that constitutes physical abuse of a resident in care. The civil penalty for a violation that results in death is \$15,000. The civil penalty for a violation that results in serious bodily injury, or that constitutes physical abuse, is \$10,000.

This new statutory civil penalty amount for a violation resulting in the death of a resident takes precedence over existing regulations or statute, as applicable, which established an immediate civil penalty of \$150 for these violations. Licensees shall only be assessed the amount prescribed above, and shall not be assessed the \$150 in lieu of or in addition to this civil penalty.

However, existing regulations or statute that impose an immediate \$150 civil penalty for “injury” are still in effect – the Licensing Program Analyst, in consultation with the Enforcement Attorney, will have to determine whether a particular injury rises to the level of “serious bodily injury” or physical abuse, as defined in statute.

- **Definitions of “Serious Bodily Injury” and “Physical Abuse”:** This bill enacts specific definitions of these crucial terms, according to facility type.

**“Serious Bodily Injury” for an RCFE is defined in WIC §[15610.67](#):**

“Serious bodily injury’ means an injury involving extreme physical pain, substantial risk of death, or protracted loss or impairment of function of a bodily member, organ, or of mental faculty, or requiring medical intervention, including, but not limited to, hospitalization, surgery, or physical rehabilitation.”

**“Physical Abuse” for an RCFE is defined in WIC §[15610.63](#):**

“Physical abuse’ means any of the following:”

- Assault, as defined in PEN §[240](#).
- Battery, as defined in PEN §[242](#).
- Assault with a deadly weapon or force likely to produce great bodily injury, as defined in PEN §[245](#).
- Unreasonable physical constraint, or prolonged or continual deprivation of food or water.
- Sexual assault, that means any of the following:
  - Sexual battery, as defined in PEN §[243.4](#).
  - Rape, as defined in PEN §[261](#).
  - Rape in concert, as described in PEN §[264.1](#).
  - Spousal rape, as defined in PEN §[262](#).
  - Incest, as defined in PEN §[285](#).
  - Sodomy, as defined in PEN §[286](#).
  - Oral copulation, as defined in PEN §[288a](#).
  - Sexual penetration, as defined in PEN §[289](#).
  - Lewd or lascivious acts as defined PEN §[288\(b\)\(2\)](#).
- Use of a physical or chemical restraint or psychotropic medication under any of the following conditions:
  - For punishment.
  - For a period beyond that for which the medication was ordered pursuant to the instructions of a physician and surgeon licensed in the State of California, who is providing medical care to the elder or dependent adult at the time the instructions are given.
  - For any purpose not authorized by the physician and surgeon.

- **Requires Director’s Approval:** All civil penalties assessed for death, serious bodily injury, or physical abuse must first be approved by the Director.
- **Appeal Process:** AB 2236 enacted a separate appeal process applicable only to those civil penalties assessed under its provisions. This process is identical for all facility types, consisting of four levels (three within CCLD). Those levels are: 1) Regional Manager; 2) Program Administrator; and 3) CCLD Deputy Director. Licensees may further appeal a civil penalty to an Administrative Law Judge.

- ***Appeals of Civil Penalties to be Merged Into Administrative Actions:*** The bill provides that if the Department takes an action to suspend or revoke a license due to the violation that triggered an AB 2236 civil penalty, any separate appeal of the civil penalty must be halted, and the civil penalty instead reviewed in conjunction with the action against the licensee.

## **IMPLEMENTATION**

If a Licensing Program Analyst suspects that a violation may have resulted in death or serious bodily injury, or constitutes physical abuse, the Licensing Program Analyst should notify his or her Licensing Program Manager and Regional Manager. If the Licensing Program Analyst suspects that there is an immediate risk to the safety of a resident, the Licensing Program Analyst should follow established procedures to ensure the resident's safety.

If additional information is necessary to determine the facts of the case, the Investigations Branch may be asked to investigate. Please see the Evaluator Manual, Reference Material for Complaints, ([Section 3-2010](#)) regarding Priority I and II complaints, and the Evaluator Manual, Reference Material for Enforcement Actions ([Section 1-0620](#)) regarding referrals to the Investigations Branch.

The Licensing Program Analyst should cite violation(s) according to established procedures, and if necessary, should work with the licensee to develop a plan of correction. Notwithstanding civil penalties for violations that result in death, serious bodily injury or physical abuse, all other civil penalties are assessed according to established procedures. A civil penalty for a violation suspected of resulting in death, serious bodily injury or physical abuse will not be assessed at the time of the site inspection because the final determination on these types of violations can only be made by the CDSS Director or his or her designee. Instead, it should be noted on the licensing report that a civil penalty determination is pending.

The Licensing Program Analyst and his or her Licensing Program Manager and Regional Manager will together work with an enforcement attorney to discuss the circumstances of the violation. The enforcement attorney should assist in determining whether the violation meets the statutory definition of serious bodily injury or physical abuse, as opposed to other types of injury or sickness.

Once it has been tentatively established that a violation has resulted in death, serious bodily injury or physical abuse, the Regional Manager must notify the Assistant Program Administrator and Program Administrator, and request an approval of the assessment by the Director or the Director's designee. The request must include a copy of all relevant documentation, including all licensing reports (Facility Evaluation Report LIC 809, Complaint Investigation Report LIC 9099, Detail Supportive Information LIC 812, etc.), the complaint (when applicable), citation(s) and any supporting documentation regarding the investigation.

A civil penalty for a violation that resulted in death or serious bodily injury, or that constituted physical abuse, can be assessed only after it has been approved by the Director/Director's Designee. Once the Regional Office has tentatively established that such a violation occurred, the Regional Manager must notify the Assistant Program Administrator and Program Administrator, and request an approval of the assessment by the Director/Director's Designee. The request must include a copy of all relevant documentation, including all licensing reports (Facility Evaluation Report LIC 809, Complaint Investigation Report LIC 9099, Detail Supportive Information LIC 812, etc.), the complaint (when applicable), citation(s) and any supporting documentation regarding the investigation.

If approved by the Director/Director's Designee, the Licensing Program Analyst shall conduct a subsequent visit to the facility to issue the civil penalty, or if the Regional Office determines it is appropriate, a non-compliance conference may be held. The licensee should be notified using the interim civil penalty notice statement provided in Addendum A (in the case of death) or B (in the case of serious bodily injury or physical abuse), until the appropriate Civil Penalty Assessment form (LIC 421) series is developed. The penalty amount must be appropriate to the violation type. At the time of assessment, the Licensing Program Analyst should inform the licensee of his or her appeal rights specific to this type of civil penalty.

A copy of both the licensing report and the civil penalty notice statement should be forwarded to the Civil Penalty Coordinator for invoicing and collection.

If a licensee is assessed a civil penalty for a violation for serious bodily injury or physical abuse, and through later evidence the CCLD determines that the violation resulted in the death of a resident, the CCLD may revoke the initial assessment and issue a new one. When this occurs, the Licensing Program Analyst must obtain the approval outlined above and, once approved by the Director/Director's Designee, deliver an amended Facility Evaluation Report (LIC 809) or Complaint Investigation Report (LIC 9099) that includes the appropriate civil penalty notice statement (Addendum A) language to the licensee.

Until the Department has adopted regulations, developed forms and updated the Evaluator Manual, Licensing Program Analysts will, in applicable cases, follow statutory guidelines and utilize the interim forms (attached).

## **Appeals**

The licensee may appeal the assessment of a civil penalty for a violation that the CCLD determined resulted in death or serious bodily injury, or that constituted physical abuse. AB 2236 prescribes an appeals process specific to these types of civil penalties. Certain aspects of this process differ from the appeals process for other types of civil penalties. The specific appeal rights for these violations have been provided in Addendums A (death) and B (serious bodily injury/physical abuse).

The licensee must submit a request for a formal review in writing, within 10 days of receipt of the notice of the civil penalty assessment. All supporting documentation for the appeal must be submitted as part of the written request.

### **Level 1: Regional Manager**

When a Regional Manager receives an appeal for the assessment of a civil penalty, the Licensing Program Analyst must prepare the appropriate materials for the review. These materials include copies of the licensing reports (e.g., Facility Evaluation Report LIC 809, Complaint Investigation Report LIC 9099, Detail Supportive Information LIC 812, etc.), facility file, and any evidence or supporting documentation the Licensing Program Analyst may have gathered to support the initial violation determination.

If the Regional Manager determines that the civil penalty was assessed correctly, the Regional Manager must notify the licensee in writing of this determination within 60 days of the request to review the assessment of the civil penalty. Please use the attached letter in Addendum C for this purpose, which includes information on the licensee's right to further appeal, until the appropriate Civil Penalty Assessment form (LIC 421) series and the Applicant/Licensee Rights form (LIC 9058) are revised to include the specific appeal rights for licensees for a violation resulting in death, serious bodily injury or that constitutes physical abuse.

If the Regional Manager determines that the civil penalty was assessed incorrectly, then the Regional Manager may do one of the following using the Deficiency/Penalty Review form (LIC 178). Amended assessments should include the licensee's appeal rights for that violation.

- **Amended Violation (death):** If a violation occurred but it was determined upon review by the Regional Manager that the violation did not result in the death of a resident, the civil penalty can be amended for the amount appropriate for the violation (e.g., failure to correct the violation by the plan of correction date; immediate civil penalty for a specified serious violation; serious bodily injury or physical abuse). The Regional Manager must provide the Deficiency/Penalty Review (LIC 178) and include language from Addendum B for a violation that was determined upon review to have not resulted in death, but that did result in serious bodily injury or physical abuse.
- **Amended Violation (serious bodily injury or physical abuse):** If a violation occurred but it was determined upon review by the Regional Manager that the violation did not result in the serious bodily injury or physical abuse of a resident, the civil penalty can be amended for the amount appropriate for the violation (e.g., failure to correct a violation by the plan of correction date, or an immediate civil penalty for a specified serious violation). The Regional Manager must provide the Deficiency/Penalty Review form (LIC 178) to the licensee within 60 days of the licensee's request for review.

- **Deficiency Dismissed:** Upon review the Regional Manager determines that there is not sufficient evidence to support the citation for a violation. This information is noted on the Deficiency/Penalty Review form (LIC 178) and provided to the licensee within 60 days of request for review by the licensee.

A copy of both the amended licensing report and the amended civil penalty notice statement should be forwarded to the Civil Penalty Coordinator for invoicing and collection.

### **Level 2: Program Administrator**

When a Program Administrator receives an appeal for the assessment of a civil penalty, he or she should request all relevant material from the Regional Manager and be briefed by the Regional Manager who handled the initial appeal. The licensee shall be notified in writing of the program administrator's decision within 60 days of the request for review. Upon a final determination of the appeal, the Regional Manager must follow the procedure outlined above regarding the response to the licensee.

### **Level 3: Deputy Director**

When the Deputy Director receives an appeal for the assessment of a civil penalty, the Regional Manager must prepare information as described above. Upon a final determination of the appeal, the Regional Manager must follow the procedure outlined above regarding the response to the licensee. The licensee shall be notified in writing of the deputy director's decision within 60 days of the request for review. If the decision is upheld the licensee must be provided information on how to request an Administrative Law Judge review. Please see Addendum C for information to be provided to the licensee. Licensees should be directed to submit the request for an Administrative Law Judge review to the Regional Office with jurisdiction over the facility.

### **Level 4: Administrative Law Judge**

Upon receipt of the licensee's request for an Administrative Law Judge to the Regional Office, the Licensing Program Analyst will be tasked with preparing a Statement of Facts. The completed Statement of Facts packet is then given to the Licensing Program Manager to review, initial, and forward to the Regional Manager for approval. Following approval by the Regional Manager, the Statement of Facts will be sent to the Assistant Program Administrator for review and approval. After final approval by the Assistant Program Administrator, the original Statement of Facts (including exhibits) is submitted to the Legal Division.

If, in addition to an assessment of civil penalties, the CCLD files an administrative action to temporarily suspend or revoke the facility license that includes violations relating to the assessment of the civil penalties described above, the CCLD review of the pending appeal shall cease and the assessment of civil penalties shall be heard as part of the administrative action process.

CCLD is required to amend regulations to reflect these changes by January 1, 2016. The Department will adopt regulations to conform to new civil penalty and appeal

requirements, and will update the Evaluator Manual to account for these new civil penalties and for new statutory definitions of “serious bodily injury” and “physical abuse.” The CCLD will also develop forms specific to the new civil penalties enacted.

**For legislative information related to this law, see:**

**[Bill Text – AB-2236 Care facilities: civil penalties](#)**

**ADDENDUM A**  
ASSEMBLY BILL 2236 INTERIM CIVIL PENALTY NOTICE  
“Noticing Requirements”

**Death of a Child/Client/Resident**

The following statement shall be included in all reports (LIC 809 or LIC 9099) in which a civil penalty is being assessed for a violation that resulted in the death of a person receiving care and supervision by a licensee in specified facilities licensed by the Community Care Licensing Division pursuant to Health and Safety Code Sections 1548, 1568.0822, 1569.49, 1596.99, or 1597.58, until the appropriate Civil Penalty Assessment (LIC 421) form series is developed.

Civil penalties shall be assessed against any licensee cited for a violation that resulted in the death of a person receiving care and supervision from a licensee. Per Health and Safety Code section \_\_\_\_\_, you are hereby notified that a \$\_\_\_\_\_ civil penalty has been assessed.

You will receive an invoice in the mail. Payment is due when billed. Payment must be made by a personal, business or cashier’s check or money order made payable to the “California Department of Social Services”. Please write the facility number and invoice number on your check and include a copy of your invoice with payment. You will find the invoice number on the invoice. **DO NOT SEND CASH.**

**APPEAL RIGHTS**

The licensee has a right without prejudice to discuss any disagreement concerning the proper application of licensing laws and regulations with the licensing agency. When civil penalties are involved, the licensee may request a formal review by the licensing agency to amend, extend the due date, or to dismiss the penalty. Requests for civil penalty appeals must be in writing and must be postmarked within 10 days of receipt of this form providing notice of the civil penalty assessment. The request must be addressed to the Regional Manager of the licensing office with jurisdiction over the facility. The licensing agency review of the appeal may be conducted based upon information provided in writing by the licensee. The licensee may request an office interview to provide additional information. If the Regional Manager determines that the civil penalty was not assessed in accordance with applicable statutes or regulations of the Department, he or she may amend or dismiss the civil penalty. The licensee shall be notified in writing of the Regional Manager’s decision within 60 days of the request to review the assessment of the civil penalty.

The licensee may further appeal to the Program Administrator of the Community Care Licensing Division within 10 days of receipt of the notice of the Regional Manager’s decision and shall provide all supporting documentation at that time. If the Program Administrator determines that the civil penalty was not assessed in

accordance with applicable statutes or regulations of the Department, he or she may amend or dismiss the civil penalty. The licensee shall be notified in writing of the Program Administrator's decision within 60 days of the request to review the Regional Manager's decision.

The licensee may further appeal to the Deputy Director of the Community Care Licensing Division within 10 days of receipt of the notice of the Program Administrator's decision and shall provide all supporting documentation at that time. If the Deputy Director determines that the civil penalty was not assessed in accordance with applicable statutes or regulations of the Department, he or she may amend or dismiss the civil penalty. The licensee shall be notified in writing of the Deputy Director's decision within 60 days of the request to review the Program Administrator's decision.

Upon exhausting the Deputy Director review, a licensee may appeal to an Administrative Law Judge. The licensee must submit a written request for this review to the Regional Manager at the licensing office with jurisdiction over the facility. Proceedings shall be conducted in accordance with Chapter 5 (commencing with Section 11500) of Part 1 of Division 3 of Title 2 of the Government Code, and the Department shall have all the powers granted by those provisions. In all proceedings conducted in accordance with this section, the standard of proof shall be by a preponderance of the evidence.

**ADDENDUM B**  
ASSEMBLY BILL 2236 INTERIM CIVIL PENALTY NOTICE  
“Noticing Requirements”

**Physical Abuse or Serious Bodily Injury**

The following statement shall be included in all reports (LIC 809 or LIC 9099) in which a civil penalty is being assessed for a violation that constitutes physical abuse or resulted in serious bodily injury of a person receiving care and supervision by a licensee of specified facilities licensed by the Community Care Licensing Division pursuant to Health and Safety Code Sections 1548, 1568.0822, 1569.49, 1596.99, or 1597.58, until the appropriate Civil Penalty Assessment (LIC 421) form series is developed.

Civil penalties shall be assessed against any licensee cited for a violation that constitutes physical abuse or resulted in serious bodily injury of a person receiving care and supervision from a licensee. Per Health and Safety Code section \_\_\_\_\_, you are hereby notified that a \$\_\_\_\_\_ civil penalty has been assessed.

You will receive an invoice in the mail. Payment is due when billed. Payment must be made by a personal, business or cashier’s check or money order made payable to the “California Department of Social Services”. Please write the facility number and invoice number on your check and include a copy of your invoice with payment. You will find the invoice number on the invoice. **DO NOT SEND CASH.**

**APPEAL RIGHTS**

The licensee has a right without prejudice to discuss any disagreement concerning the proper application of licensing laws and regulations with the licensing agency. When civil penalties are involved, the licensee may request a formal review by the licensing agency to amend, extend the due date, or to dismiss the penalty. Requests for civil penalty appeals must be in writing and must be postmarked within 10 days of receipt of this form providing notice of the civil penalty assessment. The request must be addressed to the Regional Manager of the licensing office with jurisdiction over the facility. The licensing agency review of the appeal may be conducted based upon information provided in writing by the licensee. The licensee may request an office interview to provide additional information. If the Regional Manager determines that the civil penalty was not assessed in accordance with applicable statutes or regulations of the Department, he or she may amend or dismiss the civil penalty. The licensee shall be notified in writing of the Regional Manager’s decision within 60 days of the request to review the assessment of the civil penalty.

The licensee may further appeal to the Program Administrator of the Community Care Licensing Division within 10 days of receipt of the notice of the Regional Manager’s decision and shall provide all supporting documentation at that time. If

the Program Administrator determines that the civil penalty was not assessed in accordance with applicable statutes or regulations of the Department, he or she may amend or dismiss the civil penalty. The licensee shall be notified in writing of the Program Administrator's decision within 60 days of the request to review the Regional Manager's decision.

The licensee may further appeal to the Deputy Director of the Community Care Licensing Division within 10 days of receipt of the notice of the Program Administrator's decision and shall provide all supporting documentation at that time. If the Deputy Director determines that the civil penalty was not assessed in accordance with applicable statutes or regulations of the Department, he or she may amend or dismiss the civil penalty. The licensee shall be notified in writing of the Deputy Director's decision within 60 days of the request to review the Program Administrator's decision.

Upon exhausting the Deputy Director review, a licensee may appeal to an Administrative Law Judge. The licensee must submit a written request for this review to the Regional Manager at the licensing office with jurisdiction over the facility. Proceedings shall be conducted in accordance with Chapter 5 (commencing with Section 11500) of Part 1 of Division 3 of Title 2 of the Government Code, and the Department shall have all the powers granted by those provisions. In all proceedings conducted in accordance with this section, the standard of proof shall be by a preponderance of the evidence.

**ADDENDUM C**  
**SAMPLE LETTER**  
**CIVIL PENALTY DETERMINATION UPHELD**

[Date]

[Facility Name]  
[Facility Address]

**Re: REQUEST FOR REVIEW OF CIVIL PENALTY**

In response to your request for a formal review of a civil penalty that was assessed pursuant to Health and Safety Code section \_\_\_\_\_ for a violation determined to have resulted in the death or serious bodily injury or constitutes physical abuse of a person receiving care and supervision, **you are hereby notified that the initial civil penalty determination has been upheld.**

Any outstanding civil penalties are due at this time.

As provided by statute, you have the right to appeal this penalty. Within the Community Care Licensing Division (CCLD), you have the right to request a formal review of the penalty by a Regional Manager, then by a Program Administrator, and then by the Deputy Director of the CCLD. Any request for review within CCLD must be made within 10 days from your receipt of this notice. Upon exhausting the appeals process within CCLD, you may appeal this civil penalty to an Administrative Law Judge by submitting a request in writing to the Regional Manager of the Community Care Licensing Division licensing office with jurisdiction over the facility.

If you wish to pursue a further appeal of this civil penalty, please submit a written request, along with all supporting documentation and the invoice number of the initial penalty, to:

\_\_\_\_\_  
[Name of next potential reviewer; title]

\_\_\_\_\_  
[Contact information]

\_\_\_\_\_  
[Contact information]

Sincerely,

[Name, position]  
[Office # and Name]  
[Contact information]  
Community Care Licensing Division

## ACTION REQUIRED

### ASSEMBLY BILL 2386 (Mullin), Chapter 503, Statutes of 2014

This law became effective January 1, 2015.

**Affects:** Community Care Facilities (CCFs)  
Children's Residential Facilities and Certified Family Homes  
Residential Care Facilities for the Elderly (RCFE)  
Residential Care Facilities for the Chronically Ill (RCF-CI)  
Child Care Centers (CCCs) and Family Child Care Homes (FCCHs)

**Subject:** Care facilities: carbon monoxide detectors

**Summary:** [AB 2386](#) amended Sections [1597.45](#) and [1597.46](#) and added Sections [1503.2](#), [1568.043](#), [1569.311](#), [1596.954](#), and [1597.543](#) to the Health and Safety Code, establishing carbon monoxide detector requirements for all licensed facilities and certified family homes.

### OVERVIEW

Effective January 1, 2015, this law requires all licensed facilities and certified family homes, as specified, to have one or more carbon monoxide (CO) detectors in the facility that meet specific standards, and requires the Department to account for their presence during inspections.

### IMPLEMENTATION

During inspections, the Licensing Program Analyst (LPA) will ensure the presence of one or more State Fire Marshal approved CO detectors and shall ensure that the power/alarm light indicator is on.

In California, the marketing, distribution, or sale of CO devices is prohibited unless they are approved and listed by the State Fire Marshal (SFM), who is required to develop a certification and decertification process to list CO devices and to disapprove and remove previously approved devices from the list, if necessary.

A current online list of approved CO detectors from the California State Fire Marshal is available at: [http://osfm.fire.ca.gov/strucfireengineer/strucfireengineer\\_bml.php](http://osfm.fire.ca.gov/strucfireengineer/strucfireengineer_bml.php)

**Note: This list is annually or periodically updated**

The LPA, using the most *current* list found online, will ensure the CO detector(s) in the facility has been approved for use by the SFM.

Until regulations are updated, LPAs will cite the following statutes for noncompliance, based on the type of facility or home:

- Health and Safety Code Section [1503.2](#) for CCFs including Children's Residential Facilities and Certified Family Homes
- Health and Safety Code Section [1596.954](#) for CCCs
- Health and Safety Code Section [1597.543](#) for FCCHs
- Health and Safety Code Section [1568.043](#) for RCF-CI
- Health and Safety Code Section [1569.311](#) for RCFE

## ACTION REQUIRED

[Senate Bill 855 \(Committee on Budget and Fiscal Review\), Chapter 29, Statutes of 2014](#)

[Senate Bill 873 \(Committee on Budget and Fiscal Review\), Chapter 685, Statutes of 2014](#)

**Affects:** Residential Care Facilities for the Elderly (RCFE)

This bill also affects [Adult Residential Facilities \(ARFs\)](#), [Adult Residential Facility for Persons with Special Health Care Needs \(ARFPSHN\)](#), [Residential Care Facilities for the Chronically Ill \(RCFCI\)](#), [Social Rehabilitation Facilities \(SRFs\)](#), [Children's Residential Facilities](#) and [Child Day Care Facilities](#).

**Subject:** Human Services

**Summary:** [Senate Bill \(SB\) 855](#), effective on June 20, 2014, amended [added, repealed and replaced] Health and Safety Code sections [1569.20](#), [1569.48](#), [1569.185](#), [1569.525](#), and [1569.682](#); and amended, renumbered, and added [1569.481](#) and [1569.482](#) on a variety of subjects outlined below.

[SB 855](#) addressed temporary **managers and receivers** in sections [1569.481](#), [1569.482](#), and [1569.682](#).

[SB 873](#), effective on September 27, 2014, amended [added, repealed and added] sections [1569.481](#), [1569.482](#) and [1569.682](#) to provide authority to obtain a civil monetary judgment to collect for any reimbursement due to the California Department of Social Services (CDSS) for the costs associated with a temporary manager, the salary of a receiver, or related expenses.

### *Licensing Fees*

- Increased initial application and annual fee schedules for RCFEs. [Health and Safety Code section [1569.185](#)].
- Provides that all revenues generated by fees by licenses are not subject to Article XIII B of the California Constitution. [Health and Safety Code section [1569.185\(a\)\(2\)\(A\)](#)]. In 1979, California voters approved Proposition 4, commonly known as the Gann Initiative, which is now Article XIII B, and provides limits to the amount of tax proceeds state and local governments can spend each year. This means that the fees from licensees are not subject to this spending limit.
- Requires CDSS, at least every five (5) years, to analyze the initial application and annual fees to ensure appropriate amounts are charged, and to recommend to the

Legislature necessary fee adjustment. [Health and Safety Code section [1569.185\(a\)\(2\)\(B\)](#)].

- Requires CDSS to adjust fees collected to ensure they do not exceed the costs described in those sections. [Health and Safety Code section [1569.185\(c\)\(1\)](#)].

#### *Special Permits and Certificate Holders*

Allows CDSS to suspend or revoke any special permit and certificate of approval. Also, added that a holder of a special permit or certificate will be subject to the provisions established by Health and Safety Code sections [1550](#) and [1551](#).

#### *Technical Assistance Fund: Emergency Resident Contingency Account*

- Allows an Emergency Resident Contingency Account to be established within the Technical Assistance Fund for the care and relocation of residents when a facility's license is revoked or temporarily suspended. The money in the account will cover costs, including, but not limited to, transportation expenses, expenses incurred in notifying family members, and any other costs directly associated with providing continuous care and supervision to the residents. [Health and Safety Code section [1569.48](#)].
- For the purpose of the Emergency Resident Contingency Account, not more than 50 percent of each penalty assessed is deposited for use by the Community Care Licensing Division of the CDSS. [Health and Safety Code section [1569.48](#)].
- In order to ensure this flexibility in the Technical Assistance Fund to allow for an emergency resident contingency account, SB 855 made specific that revenues received by CDSS from payment of civil penalties may be used but is no longer required to be used by the CDSS for the technical assistance, training, and education of licensees. [Health and Safety Code section [1569.48](#)].
- CDSS may use funds from the emergency resident contingency account when needed to supplement the operation of the facility or the transfer of resident under the control of the temporary manager appointed under this section if facility revenues are unavailable or exhausted. [Health and Safety Code section [1569.48](#)].

#### *Temporary Suspension Order and Resident Removal Procedures*

SB 855 addresses temporary suspension orders, resident transfers and relocations as follows:

- Replaced placement with placement or advocacy in reference to any local agency with resident advocacy responsibilities. This language change means that the CDSS will have to contact placement or advocacy agencies after a decision is made to temporarily suspend the license or special permit of the facility and prior to its implementation. [Health and Safety Code section [1569.525](#)].

- Requires CDSS to work together with these placement and advocacy agencies as well as the licensee in order to provide onsite evaluation of the residents and to locate alternative placement sites, and to contact relatives or other persons responsible for the care of these residents. [Health and Safety Code section [1569.525](#).]
- Replaced “physicians and surgeons” with “appropriate skilled professionals” that CDSS must consult when a resident should be removed from the facility and how transfer trauma can be minimized as well as to determine if it’s appropriate that the CDSS work together with local agencies to provide onsite evaluation of the resident. [Health and Safety Code section [1569.525](#).]
- Requires that in any case where the CDSS orders the temporary suspension of a licensee or holder of a special permit, a resident who has a health condition or health conditions which cannot be cared for within the limits of the license or special permit or requires inpatient care in a health facility must be removed from the facility. [Health and Safety Code section [1569.525](#).]

#### *Civil Monetary Judgment*

SB 873 provides that if the revenues are insufficient to reimburse CDSS for the costs of a temporary manager, the salary of a receiver, or related expenses, imposes grounds for a civil monetary judgment and lien upon the assets of the facility or the proceeds from the sale with judgment creditor priority. [Health and Safety Code section [1569.482\(k\)\(2\)](#).]

#### **Temporary Manager**

Established in Health and Safety Code section [1569.481](#).

When CDSS determines that residents of a facility are likely to be in imminent danger of serious physical harm or death, CDSS is authorized to appoint a temporary manager. The temporary manager will act as a provisional licensee to minimize the effects of transfer trauma and to protect the health and safety of residents. The temporary manager will assume the operation of the facility in order to bring it into compliance with law, facilitate a transfer of ownership to a new licensee, or ensure the orderly transfer of residents should the facility be required to close. [Health and Safety Code section [1569.481\(a\)\(1\)](#).]

#### Temporary Manager Defined

“Temporary manager” means the person, corporation, or other entity appointed temporarily by CDSS as a substitute facility licensee or administrator with authority to hire, terminate, reassign staff, obligate facility funds, alter facility procedures, and manage the facility to correct deficiencies identified in the facility’s operation. The temporary manager will have the final authority to direct the care and supervision activities of any person associated with the facility, including superseding the authority of the licensee and the administrator. [Health and Safety Code section [1569.481\(b\)](#).]

### CDSS Authorized to Take Quick Action to Appoint Temporary Manager

Authorizes CDSS to take quick, effective action to protect the health and safety of residents of community care facilities and to minimize the effects of transfer trauma that accompany the abrupt transfer of residents by appointing a temporary manager to assume the operation of a facility that is found to be in a condition in which continued operation by the licensee or his or her representative which presents imminent danger of serious physical harm or death to the residents. [Health and Safety Code section [1569.481\(a\)\(1\)](#)].

### Director's Authority to Appoint Temporary Manager

The director may appoint a temporary manager when it is determined that it is necessary to temporarily suspend any license of a community care facility when any of the following circumstances exist:

- The immediate relocation of the residents is not feasible based on transfer trauma, lack of alternate placements, or other emergency considerations for the health and safety of the residents.
- The licensee is unwilling or unable to comply with the requirements for the safe and orderly relocation of residents when ordered to do so by CDSS.
- The licensee has opted to secure a temporary manager. [Health and Safety Code section [1569.481\(c\)](#)].

### Necessary Qualifications of Temporary Manager

- Be qualified to oversee correction of deficiencies on the basis of experience and education.
- Not be the subject of any pending actions by CDSS or any other state agency nor have ever been excluded from a CDSS licensed facility or had a license or certification suspended or revoked by an administrative action by CDSS or any other state agency.
- Have no financial ownership interest in the facility and have no member of his or her immediate family who has a financial ownership interest in the facility.
- Not currently serve, or within the past two years have served, as a member of the staff of the facility.

[Health and Safety Code section [1569.481\(i\)](#)].

### Written Agreement with Temporary Manager

The appointment will be made by a written agreement between the temporary manager and CDSS that outlines when and how the temporary manager may spend funds. [Health and Safety Code section [1569.481\(a\)\(2\)](#).]

### Appointment of Temporary Manager is Immediate

The appointment of a temporary manager will be immediately effective and will continue for a period not to exceed 60 days unless extended at the discretion of CDSS or terminated earlier by any of the following events:

- The temporary manager notifies CDSS and CDSS verifies, that the facility meets state and, if applicable, federal standards for operation, and will be able to continue

to maintain compliance with those standards after the termination of the appointment of the temporary manager.

- CDSS approves a new temporary manager.
- A new operator is licensed.
- CDSS closes the facility.
- A hearing or court order ends the temporary manager appointment, including the appointment of a receiver.

[Health and Safety Code section [1569.481\(e\)\(1\)](#).]

#### Automatic Stay Upon Appointment of Temporary Manager

There will be an automatic stay for a 60-day period subsequent to the appointment of a temporary manager of any action that would interfere with the functioning of the facility, including, but not limited to, termination of utility services, attachments or set-offs of resident trust funds, and repossession of equipment in the facility. [Health and Safety Code section [1569.481\(d\)\(2\)](#).]

#### Temporary Manager Assumes Operations

A temporary manager appointed will assume the operation of the facility in order to bring it into compliance with the law, facilitate a transfer of ownership to a new licensee, or ensure the orderly transfer of residents should the facility be required to close. Upon a final decision and order of revocation of the license or forfeiture by operation of law, CDSS will immediately issue a provisional license to the appointed temporary manager. Notwithstanding the applicable sections of this code governing the revocation of a provisional license the provisional license issued to a temporary manager will automatically expire upon the termination of the temporary manager. [Health and Safety Code section [1569.481\(a\)\(2\)](#).]

#### Temporary Manager Must Complete an Application

Upon appointment, the temporary manager will complete an application for a provisional license to operate a community care facility. For purposes of a provisional license issued to a temporary manager, the licensee's existing fire safety clearance will serve as the fire safety clearance for the temporary manager's provisional license. [Health and Safety Code section [1569.481\(d\)\(1\)](#).]

#### Responsibilities of the Temporary Manager

The responsibilities of the temporary manager may include, but are not limited to, the following:

- *Paying Wages to Staff:* The temporary manager will have the full power to hire, direct, manage, and discharge employees of the facility, subject to employees' contractual rights. The temporary manager will pay employees at the same rate of compensation, including benefits, that the employees would have received from the licensee or wages necessary to provide adequate staff for the protection of residents and compliance with the law. [Health and Safety Code section [1569.481\(k\)\(1\)\(A\)](#)].

- *Preserving Resident Funds:* The temporary manager will be entitled to, and will take possession of, all property or assets of residents that are in the possession of the licensee or administrator of the facility. The temporary manager will preserve all property, assets, and records of residents of which the temporary manager takes possession. [Health and Safety Code section [1569.481\(k\)\(1\)\(B\)](#)]
- *Outside Contracting:* Contracting for outside services as may be needed for the operation of the facility. Any contract for outside services in excess of five thousand dollars (\$5,000) will be approved by the director. [Health and Safety Code section [1569.481\(k\)\(1\)\(C\)](#)].
- *Commercial Creditors:* Paying commercial creditors to operate the facility. The temporary manager will honor all leases, mortgages, and secured transactions affecting the building in which the facility is located and all goods and fixtures in the building, but only to the extent of payments that, in the case of a rental agreement, are for the use of the property during the period of the temporary management, or that, in the case of a purchase agreement, come due during the period of the temporary management. [Health and Safety Code section [1569.481\(k\)\(1\)\(D\)](#)].
- *Sound Fiscal Policies and Conserving Assets:* The temporary manager will take action as is reasonably necessary to protect or conserve the assets or property of which the temporary manager takes possession and may use those assets or property only in the performance of the powers and duties set out in this section. [Health and Safety Code section [1569.481\(k\)\(1\)\(E\)](#)].
- *Expenditure and Limits:* The temporary manager may make payments of less than \$5,000, and any payments greater must be approved by the director. The temporary manager is limited to pay no more than the sum of forty-nine thousand nine hundred ninety-nine dollars (\$49,999) unless approved by the director in writing. [Health and Safety Code section [1569.481\(k\)\(2\)](#)].
- *Capital Improvements:* The temporary manager will make no capital improvements to the facility costing more than five thousand dollars (\$5,000) without the approval of the director. [Health and Safety Code section [1569.481\(k\)\(2\)](#)].

#### Director May Rescind Appointment

The director may rescind the appointment of a temporary manager and appoint a new temporary manager at any time that the director determines the temporary manager is not adhering to the conditions of the appointment. [Health and Safety Code section [1569.481\(e\)\(3\)](#)].

#### The Licensee May Challenge the Appointment

The licensee of a community care facility may contest the appointment of the temporary manager by filing a petition with the Office of Administrative Hearings for an order to terminate the appointment of the temporary manager. [Health and Safety Code section [1569.481\(f\)\(1\)](#)].

### Hearing Before Judge When Appointment is Disputed

Upon receipt of a petition challenging the appointment of a temporary manager, the Office of Administrative Hearings will set a hearing date and time and will promptly notify the licensee and CDSS of the date, time, and place of the hearing. At the hearing, relevant evidence may be presented. The administrative law judge will issue a written decision on the petition. [Health and Safety Code section [1569.481\(f\)\(2\)](#)].

### Standard of Review by Administrative Law Judge on Appointment of Temporary Manager

The administrative law judge will uphold the appointment of the temporary manager if CDSS proves, by a preponderance of the evidence, that it is necessary to appoint the temporary manager. The administrative law judge will terminate the temporary manager if the burden of proof is not satisfied. [Health and Safety Code section [1569.481\(f\)\(3\)](#)].

### Review of the Administrative Law Judge's Decision by Court

The decision of the administrative law judge is subject to judicial review by the superior court of the county where the facility is located. This review may be requested by the licensee of the facility or CDSS by filing a petition. The petition may also request a temporary injunctive order. [Health and Safety Code section [1569.481\(f\)\(4\)](#)].

### No Protest by Licensee

If the licensee of the community care facility does not protest the appointment or does not prevail at either the administrative hearing or the superior court hearing the temporary manager will continue to operate the facility. [Health and Safety Code section [1569.481\(g\)](#)].

### Appointment Continues Until Terminated by Order

If the licensee of the community care facility petitions the Office of Administrative Hearings, the appointment of the temporary manager by the director will continue until it is terminated by the administrative law judge or by the superior court, or it will continue until certain conditions are satisfied, whichever is earlier. Those conditions include the following:

- The temporary manager notifies CDSS, and CDSS verifies, that the facility meets state and, if applicable, federal standards for operation, and will be able to continue to maintain compliance with those standards after the termination of the appointment of the temporary manager.
- CDSS approves a new temporary manager.
- A new operator is licensed.
- CDSS closes the facility.
- A hearing or court order ends the temporary manager appointment, including the appointment of a receiver.
- The appointment is terminated by CDSS or the temporary manager.

[Health and Safety Code section [1569.481\(h\)\(1\)](#)].

### Extension of Appointment of the Temporary Manager

At any time during the appointment of the temporary manager, the director may request an extension of the appointment by filing a petition for hearing with the Office of Administrative Hearings and serving a copy of the petition on the licensee. The administrative law judge may extend the appointment of the temporary manager an additional 60 days upon a showing that the conditions upon which the temporary manager was appointed continue to exist. Either the licensee or CDSS may challenge the extension of the temporary manager by the Administrative Law Judge by requesting review of that decision. [Health and Safety Code section [1569.481\(h\)\(2\)](#)].

### Requirements for Payment of Costs of Temporary Manager

The temporary manager is to be paid from the revenues of the facility. If the licensee disagrees with paying the temporary manager from the facility revenues, CDSS may pay those costs and require the licensee to reimburse CDSS. [Health and Safety Code section [1569.481\(j\)\(1\)](#)].

### Direct Costs

Direct costs of the temporary manager will be equivalent to the sum of the following:

- The prevailing fee paid by licensees for positions of the same type in the facility's geographic area.
- Additional costs that reasonably would have been incurred by the licensee if the licensee and the temporary manager had been in an employment relationship.
- Any other reasonable costs incurred by the temporary manager in furnishing services.
- May exceed the above noted amounts if CDSS is unable to attract a qualified temporary manager.

[Health and Safety Code section [1569.481\(j\)\(2\)](#)].

### Limit on Liability of the Temporary Manager

The temporary manager is responsible for damages resulting from gross negligence in the operation of the facility or intentional acts. This means that a temporary manager is only liable for any gross negligence that occurred during the time the facility is under control of the temporary manager. What occurred or was omitted when the facility was operated by the licensee and facility owners is not the liability of the temporary manager. [Health and Safety Code section [1569.481\(q\)](#)].

### Governmental Immunities Apply

Governmental immunities protect government entities from certain types of claims against them. All governmental immunities applicable to the state will also apply to the state in the use of a temporary manager in the operation of a facility. [Health and Safety Code section [1569.481\(q\)](#)].

### Reimbursement of Costs

When CDSS advances the costs of the temporary manager or other expenses in connection with a facility's management, the temporary manager will reimburse CDSS from the revenues accruing to the facility or to the licensee or an entity related to the

licensee. Any reimbursement received by CDSS will be redeposited in the account from which CDSS funds were advanced. [Health and Safety Code section [1569.481\(l\)\(1\)](#)].

If the revenues are insufficient to reimburse CDSS, the unreimbursed amount will become a lien upon the assets of the facility or the proceeds from its sale. The lien against the personal assets of the facility or an entity related to the licensee will be filed with the Secretary of State. The lien will not attach to the interests of a lessor, unless the lessor is operating the facility. The authority to place a lien against the personal and real property of the licensee for the reimbursement of any state funds used will be given judgment creditor priority.

### **Receivers**

Established in Health and Safety Code section [1569.482](#).

When CDSS determines that residents or residents of a facility are likely to be in imminent danger of serious physical harm or death, CDSS is authorized to seek court appointment of a receiver. The receiver will act as a provisional licensee to minimize the effects of transfer trauma and to protect the health and safety of residents. The receiver will assume the operation of the facility in order to bring it into compliance with law, facilitate a transfer of ownership to a new licensee, or ensure the orderly transfer of residents should the facility be required to close. [Health and Safety Code section [1569.482\(a\)](#)]

#### CDSS Authorized to Take Quick Action to Install a Receiver

Authorizes CDSS to take quick, effective action to install a receiver to protect the health and safety of residents of community care facilities by applying for a court order appointing a receiver to temporarily operate a facility. The receivership is intended to protect the residents in the absence of other reasonably available alternatives. [Health and Safety Code sections [1569.482\(a\)](#), [\(b\)](#)].

#### Director's Authority and Factual Basis to Request Court Appointment of Receiver

Whenever circumstances exist indicating that continued management of a community care facility by the current licensee would present imminent danger of serious physical harm or death to the residents, or the facility is closing or intends to terminate operation as a community care facility and adequate arrangements for relocation of residents have not been made at least 30 days prior to the closing or termination, the director may petition the superior court for an order appointing a receiver to temporarily operate the facility. [Health and Safety Code section [1569.482\(b\)\(1\)](#)].

#### Procedural Issues for Appointment of a Receiver

A petition for a receiver must allege facts why it is necessary to protect residents and residents of a facility, and must have an affidavit of the director. [Health and Safety Code section [1569.482\(b\)\(2\)](#)].

### Petition to Court for Receiver May Also Include Temporary Receiver

If the director files a petition for appointment of a receiver to operate a community care facility, the director may also petition the court for an order appointing a temporary receiver. A temporary receiver will serve until the court has made a final determination on the petition for appointment of a receiver. Upon the director filing a petition for a receiver, the receiver will complete an application for a provisional license to operate a community care facility. For purposes of a provisional license issued to a receiver, the licensee's existing fire safety clearance will serve as the fire safety clearance for the receiver's provisional license. [Health and Safety Code section 1569.482(c)(1)].

### Requirements Regarding Appointment of Receiver

At the time of the hearing, CDSS will provide to the licensee of the name of the proposed receiver. The receiver must be a certified community care facility administrator or other responsible person or entity, as determined by the court, from a list of qualified receivers established by CDSS. Individuals on the list will not be the subject of any pending actions by CDSS or any other state agency, and will not have ever been excluded from a department licensed facility nor have had a license or certification suspended or revoked by an administrative action by CDSS or any other state agency. The receivers will have sufficient background and experience in management and finances to ensure compliance with orders issued by the court. The owner, licensee, or administrator will not be appointed as the receiver unless authorized by the court. [Health and Safety Code section [1569.482\(c\)\(2\)](#)].

### Court Determination to Appoint Receiver

If at the conclusion of the hearing, the court determines that the appointment of a receiver is necessary and that there is no other reasonably available remedy to protect the residents, the court may issue an order appointing a receiver to temporarily operate the community care facility and enjoining the licensee from interfering with the receiver in the conduct of his or her duties. An appropriate bond must be filed by the receiver and paid for by the licensee. The bond will be in an amount necessary to protect the licensee in the event of any failure on the part of the receiver to act in a reasonable manner. The bond requirement may be waived by the licensee. [Health and Safety Code section [1569.482\(c\)\(3\)](#)].

### Licensee May be Allowed to Continue in Operations

The court may permit the licensee to participate in the continued operation of the facility during a receivership. [Health and Safety Code section 1569.482(c)(4)].

### Licensee's Failure to Appear is Admission

Failure of the licensee to appear at the hearing on the petition will be an admission of all factual allegations contained in the petition for purposes of these proceedings only. [Health and Safety Code section [1569.482\(c\)\(5\)](#)].

### Notice to Licensee and Opportunity to Respond

The licensee will receive notice and a copy of the application each time the receiver applies to the court or CDSS for instructions. The licensee will have an opportunity to

object or participate in those proceedings. [Health and Safety Code section [1569.482\(c\)\(6\)](#)].

#### No Interference with Operation of Receiver

There will be an automatic stay for a 60-day period subsequent to the appointment of a receiver of any action that would interfere with the facility, including, but not limited to, cancellation of insurance policies executed by the licensees, termination of utility services, attachments or setoffs of resident trust funds and working capital accounts, and repossession of equipment in the facility. [Health and Safety Code section [1569.482\(c\)\(6\)](#)].

#### Authority to Divest Licensee of Facility

When a receiver is appointed, the licensee may be divested of possession and control of the facility in favor of the receiver. If the court divests the licensee of possession and control of the facility in favor of the receiver, CDSS will immediately issue a provisional license to the receiver. This provisional license will automatically expire upon the termination of the receivership. The receiver will possess the provisional license solely for purposes of carrying out the responsibilities authorized by this section and the duties ordered by the court. The receiver will have no right to appeal the expiration of the provisional license. [Health and Safety Code section [1569.482\(e\)](#)].

#### Rights and Authority of Appointed Receiver

A receiver appointed:

- May exercise powers and perform duties ordered by the court and required by statutes.
- Will operate the facility in a manner that ensures the safety and adequate care for the residents.
- Will have the same rights to possession of the building in which the facility is located, and of all goods and fixtures in the building at the time the petition for receivership is filed, as the licensee and administrator would have had if the receiver had not been appointed.
- May use the funds, building, fixtures, furnishings, and any accompanying consumable goods in the provision of care and services to residents and to any other persons receiving services from the facility at the time the petition for receivership was filed.
- Will use facility revenues for the following purposes in descending order of priority. First, to pay wages to staff. Next, to preserve resident funds. Third, to contract for outside services as may be needed for the operation of the community care facility. Fourth, to pay commercial creditors of the facility. Fifth, to receive a salary, as approved by the court. Sixth, to maintain and operate the facility in accordance with sound fiscal policies. Seventh, to ask the court for direction in the treatment of debts incurred prior to the appointment, if the licensee's debts appear extraordinary, of questionable validity, or unrelated to the normal and expected maintenance and operation of the facility, or if payment of the debts will interfere with the purposes of receivership. [Health and Safety Code section [1569.482\(f\)](#)].

### Liability Owed to the Receiver

A person who is served with notice of an order of the court appointing a receiver will be liable to pay the receiver, rather than the licensee, for any goods or services provided by the community care facility after the date of the order. The receiver will give a receipt for each payment and will keep a copy of each receipt on file. The receiver will deposit amounts received in a special account and will use this account for all disbursements. Payment to the receiver will discharge the obligation to the extent of the payment and will not be the basis of a claim by the licensee or any other person. A resident will not be evicted nor may any contract or rights be forfeited or impaired, nor may any forfeiture be instituted or liability increased, by failure to pay the licensee, operator, or other person a sum paid to the receiver. [Health and Safety Code section [1569.482\(g\)\(1\)](#)].

### Licensee's Tax, Business License and Other Obligations Remain with the Licensee

Appointment of a receiver does not relieve the licensee of any obligation of the licensee for payment of local, state, or federal taxes. [Health and Safety Code section [1569.482\(g\)\(2\)](#)].

### Past Services of Receiver May be Paid

The court may order immediate payment to the receiver for past services that have been rendered and billed and may order one month's advance payment to the receiver of any sums that may become payable under the Medi-Cal program. [Health and Safety Code section [1569.482\(g\)\(3\)](#)].

### Receiver Relieved of Collusive or Fraudulent Contracts

A receiver will not be required to honor a lease, mortgage, or secured transaction entered into by the licensee of the facility and another party if the court finds that the agreement between the parties was entered into for a collusive, fraudulent purpose or that the agreement is unrelated to the operation of the facility. [Health and Safety Code section [1569.482\(h\)\(1\)](#)].

### Monthly Accounting

A monthly accounting will be made by the receiver to CDSS and the remainder of income over expenses for that month will be returned to the licensee. A copy of the accounting will be provided to the licensee. The licensee or owner of the community care facility may petition the court for a determination as to the reasonableness of any expenditure made. [Health and Safety Code section [1569.482\(i\)](#)].

### Receiver's Initial Three (3) Month Appointment

The receiver will be appointed for an initial period of not more than three months. The initial three-month period may be extended for additional periods not exceeding three months, as determined by the court. At the end of one month, the receiver will report to the court on its assessment of the probability that the community care facility will meet state standards for operation by the end of the initial three-month period and will continue to maintain compliance with those standards after termination of the receiver's management.

[Health and Safety Code section [1569.482\(j\)\(1\)](#)].

#### Factors for Evaluating the Probability that a Community Care Facility Will Continue in Compliance

In evaluating the probability that a community care facility will maintain compliance with state standards of operation after the termination of receiver management ordered by the court, the court will consider at least the following factors:

- The duration, frequency, and severity of past violations in the facility.
- History of compliance in other care facilities operated by the proposed licensee.
- Efforts by the licensee to prevent and correct past violations.
- The financial ability of the licensee to operate in compliance with state standards.
- The recommendations and reports of the receiver.

[Health and Safety Code section [1569.482\(j\)\(3\)](#)].

#### Owner of the Facility May at any Time Sell, Lease, or Close the Facility

The owner of the facility may at any time [Health and Safety Code section [1569.482\(j\)\(5\)](#)].

#### Transfer Plan

If the owner closes the facility, or the sale or lease results in the closure of the facility, the court will determine if a transfer plan is necessary. If the court so determines, the court will adopt and implement a transfer plan. [Health and Safety Code section [1569.482\(j\)\(5\)\(A\)](#)].

#### Receiver's Compensation:

The salary of the receiver will be set by the court commensurate with community care facility industry standards, giving due consideration to the difficulty of the duties undertaken, and will be paid from the revenue coming to the facility. If the revenue is insufficient to pay the salary in addition to other expenses of operating the facility, the receiver's salary will be paid from the emergency resident contingency account. [Health and Safety Code section [1569.482\(k\)\(1\)](#)].

The director will approve any CDSS advances of funds in excess of five thousand dollars (\$5,000) and any advances beyond the sum of forty-nine thousand nine hundred ninety-nine dollars (\$49,999). [Health and Safety Code section [1569.482\(k\)\(1\)](#)].

#### *Civil Penalties*

Health and Safety Code Section [1569.525\(j\)](#) provides authority for a civil penalty of five hundred dollars (\$500) per violation per day to be assessed against a licensee who violates the provisions set forth in Section 1569.525 of the Health and Safety Code specific to a temporarily suspension order or an order to revoke any license.

### *Temporary Suspension Order and Resident Transfer Procedures*

Health and Safety Code section [1569.525](#) has been amended to address a temporary suspension order and resident transfer procedures, to include the following:

- Require CDSS to contact local agencies with placement and advocacy responsibilities after a decision is made to temporarily suspend either the license or special permit of the facility.
- Require CDSS to work with licensee (if determined to be appropriate by the Director) to contact other persons responsible for the care of the residents, provide on-site evaluations, and assist in the transfer of the residents.
- Replace the words “physicians and surgeons” with “appropriate skilled professionals.”
- Allow CDSS to require the licensee or a special permit holder to prepare and submit a written relocation plan, comply with all terms and conditions of the approved plan, and provide any required information when CDSS orders the temporary suspension of a license or order the relocation of a resident.
- Prohibit licensee from accepting new residents or entering into admission agreements for new residents upon receipt of an order to temporarily suspend or revoke a license.
- Require licensee to submit a final list of names and new locations of all residents to the Department and the local ombudsman program within twenty-four (24) hours after each resident who is transferring has left the facility.
- Health and Safety Code section [1569.525\(i\)](#) requires licensees to reimburse CDSS and local agencies for the cost of providing services related to relocation.

### *Transfer of Residents to Another Facility*

Health and Safety Code section [1569.682](#) has been amended and addresses the transfer of a resident to another facility or an independent living arrangement as a result of the forfeiture of a license, or a change of use of a facility. It provides, in part:

- The licensee will prepare a relocation evaluation of the needs of that resident prior to any transfer.
- The licensee will prepare a list of and recommend the type of facility that would meet the current needs of that resident.
- The licensee will provide notice at least sixty (60) days before any transfer or eviction, to the resident or the resident’s responsible person (with the reason for the transfer, specific facts, witnesses, circumstances for the transfer, a copy of the relocation evaluation, and a list of referral agencies).
- The licensee will submit a written report of any transfer to the licensing agency within five (5) days.
- The licensee will prepare and provide a closure plan to the Department for approval if seven (7) or more residents will be transferred.
- Within fifteen (15) working days of receipt of a proposed closure plan, the Department shall promptly approve or disapprove the proposed closure plan. If

an amended plan is submitted, the Department will approve or disapprove the amended proposed closure plan within ten (10) working days.

- If the Department fails to take action within twenty (20) working days of receipt of either the originally submitted plan, or the amended plan, the proposed closure plan shall be deemed approved.
- No residents may be transferred until the Department has approved the licensee's closure plan.

Health and Safety Code section [1569.682\(c\)\(1\)](#) also provides, in part, that CDSS will contact local agencies with assessment, placement, protective or advocacy responsibilities after a decision is made to temporarily suspend the license or special permit of the facility.

Health and Safety Code section [1569.525](#) requires the Department take necessary action to minimize transfer trauma, including, and not limited to the following:

- Contact residents' relatives, legal representatives, authorized agents, or responsible parties.
- Assist in the transfer of residents.
- Provide on-site evaluations.
- Arrange for or coordinate care and supervision.
- Arrange for the distribution of medications.
- Arrange for the preparation and service of meals and snacks.
- Arrange for the preparation of the residents' records and medications for transfer of each resident.
- Check on the status of each transferred resident within twenty-four (24) hours of the transfer.

### **Implementation:**

Fees were increased with [SB 855](#) effective 7/1/14. Then [SB 1382](#) (Statutes of 2014) provided an additional increase effective 1/1/15. New fee schedules were posted on the CCLD website.

For legislative information related to these laws, see: [SB 855](#) and [SB 873](#).

## ACTION REQUIRED

### **SENATE BILL 895 (Corbett), Chapter 704, Statutes of 2014**

**This law became effective January 1, 2015.**

**Affects:** Residential Care Facilities for the Elderly

**Subject:** Residential care facilities for the elderly

**Summary:** [Senate Bill \(SB\) 895](#) amends Section 1569.33 and 1569.335, and adds Section 1569.331 to the Health and Safety Code, relating to residential care facilities for the elderly.

SB 895 requires:

- The licensee to remedy deficiencies cited by the Department within 10 days of the notification, unless otherwise specified in the plan of correction.
- The department to post on its Internet Web site information on how to obtain an inspection report. (This is currently available at <http://cclid.ca.gov/PG3581.htm>.)
- The department to design a poster that contains information on the appropriate reporting agency in case of emergencies or complaints, and the licensees to post this poster in the main entryway of its facility.
- The department to provide the Office of the State Long-Term Care Ombudsman with a precautionary notification if the department starts preparing to issue a temporary suspension or revocation of any license.

### **IMPLEMENTATION**

#### **Licensees**

Licensees who receive a notice of deficiency are required to correct the deficiency within 10 days of the notification, unless the plan of correction specifies a different date. Licensees should continue to correct deficiencies as indicated in their plan of correction as documented on the LIC 809 – Facility Evaluation Report.

Every Residential Care Facility for the Elderly (RCFE) licensee shall post in the main entryway of its facility the poster that contains information on the appropriate reporting agency to contact in case of a complaint or emergency. The main entryway is interpreted to mean that the poster shall be posted in a conspicuous place accessible to residents, families and staff.

This required poster, Licensing Complaint Poster [PUB 475](#) is available on the CDSS website at <http://cclid.ca.gov/>. The poster size must be 20 inches by 26 inches. Facilities may display alternate posters of this size as long as the content of the poster

is consistent with the PUB 475.

### **Licensing Program Analysts**

Licensing Program Analysts shall continue to issue plan of correction dates according to existing Evaluator Manual policies. Licensing Program Analysts may continue to allow up to 30 days for correction.

All RCFEs must post the required poster in a conspicuous place accessible to residents, families and staff starting January 1, 2015. For the first three months of 2015, Licensing Program Analysts will also provide the poster during facility inspections. If a licensee does not have the required poster posted in a conspicuous place, the facility can be cited under the following applicable statute:

- *Residential Care Facilities for the Elderly Act, Health and Safety Code Section 1569.33(h)(2)*

Prior to January 1, 2015, RCFEs licensed to care for seven (7) or more residents were required to post, in areas accessible to residents and their relatives, procedures for filing confidential complaints. Complaints regarding facilities licensed to care for seven (7) or more residents alleging that, prior to January 1, 2015, the licensee did not meet these prior posting requirements should be investigated and if substantiated, the Licensing Program Analysts shall cite the facility under the following applicable statute:

- *Residential Care Facilities for the Elderly Act, California Code of Regulations Section 87468(c)(1)*

Compliance with this regulation will no longer be applicable after January 1, 2015 by virtue of compliance with the new law.

RCFEs licensed to care for seven (7) or more residents are still required to be in compliance with *Residential Care Facilities for the Elderly Act, California Code of Regulations Section 87468(d)*, whereby licensees are required to post complaint information in English, and in facilities where a significant portion of the residents cannot read English, in the language they can read.

The Program Administrator or his/her designated representative, the Assistant Program Administrator, will notify the Office of the State Long-Term Ombudsman if the department begins to prepare to issue a temporary suspension or revocation of a licensee.

Regulations will be developed for Health and Safety Code section 87468 related to the posting of the complaint poster, as well as Regulation Interpretations and Procedures for Personal Rights, Section 87468.

For legislative information related to this new law: [Bill Text - SB-895 Residential care facilities for the elderly.](#)

## **ACTION REQUIRED**

### **SENATE BILL 1153 (Leno), Chapter 706, Statutes of 2014**

**This law became effective January 1, 2015.**

**Affects:** Residential Care Facilities for the Elderly

**Subject:** Suspension of new admissions

**Summary:** [Senate Bill \(SB\) 1153](#) adds Section 1569.545 to the Health and Safety Code.

In summary, SB 1153:

- Authorizes the Department to order a suspension of new admissions for a Residential Care Facility for the Elderly (RCFE) that has violated statute and/or regulation which presents a direct and immediate risk to the health, safety, or personal rights of a resident(s) of the facility and the violation is not immediately corrected. The suspension remains in effect until the Department determines that the licensee has corrected the violation.
- Authorizes the Department to order a suspension of new admissions for a licensee that has failed to pay a fine assessed by the Department after the licensee's appeal rights has been exhausted. The suspension remains in effect until the licensee pays the fine assessed by the Department.
- Authorizes the Department to make unannounced visits after a suspension of new admissions is lifted to ensure the licensee continues to maintain the correction of the violation. If the licensee has not maintained correction of the violation, the Department can order another suspension of new admissions or take other appropriate enforcement action if the licensee does not maintain correction of the violation.
- Allows a licensee to appeal the suspension of new admissions to the Director. The Department shall adopt regulations that specify the appeal process.
- States a suspension of new admissions ordered under this section shall not be stayed pending the licensee's appeal or request for review.

### **IMPLEMENTATION**

#### **Licensees**

Licensees must comply with the provisions of this law in all aspects of facility operation, including, but not limited to, facility policies, procedures and practice.

Upon the Department's suspension of new admissions order for failure to immediately correct a violation that presents a direct and immediate risk to the health, safety, or

personal rights of a resident(s), the licensee must cease the admittance of new residents until the Department notifies the licensee that the suspension on admissions order has been lifted.

Prior to the Department's suspension of new admissions order for failure to pay a fine (civil penalty), the licensee will have already been provided the opportunity to dispute the civil penalty assessment through the existing appeal process (Title 22, Section 87763). Once the licensee exhausts their appeal rights and continues to have an unpaid civil penalty, the Department may issue a suspension of new admissions order. Upon issuance of such order, the licensee must cease the admittance of new residents until the licensee pays the civil penalty assessed by the Department and the Department notifies the licensee that the suspension on new admissions order has been lifted.

A licensee may appeal either type of suspension of new admissions order to the Director. The suspension of new admissions order shall not be stayed pending the licensee's appeal or request for review. Once the Department issues the suspension order, and the licensee submits an appeal, the order to suspend new admissions remains in effect. New residents can only be admitted once the Department lifts the suspension on new admissions.

### **Licensing Program Analysts**

**Violation presents a direct and immediate risk to the health, safety or personal rights of residents** – The Licensing Program Analyst will continue to use existing processes when, during a facility or complaint visit of any type, the Licensing Program Analyst identifies violations presenting a direct and immediate risk to the health, safety or personal rights of resident(s). Some examples of violations that may rise to the level of issuing a suspension of new admissions order may include, but is not limited to:

- Any violation resulting in the injury or death of a resident
- Facility has no food, heat and/or water
- Inadequate level of supervision which could lead to the death, physical abuse or serious bodily injury to the resident

The suspension of new admissions order will be used for egregious violations. While Type A violations can present a direct or immediate risk to residents, not all Type A violations will rise to the level of warranting a suspension of new admissions.

The decision to issue a suspension will not be made by the Licensing Program Analyst, Licensing Program Manager or the Regional Manager. The decision to issue a suspension of new admission order for violations which present a direct and immediate risk to the health, safety or personal rights of residents will be made by the Director or Director's designee pursuant to:

*Residential Care Facilities for the Elderly Act, Health and Safety Code Section 1569.545(b)(1).*

Upon enforcement of the suspension of new admissions order, the Licensing Program Analyst will provide such notice in writing to the licensee. The Licensing Program Analyst will receive direction from the Regional Manager to determine inspection frequency following a suspension of new admissions order until the suspension has been lifted. Each situation will be evaluated on a case-by-case basis.

The authority to lift the suspension of new admissions order will also be made by the Director or the Director's designee. The Licensing Program Analyst and Regional Manager will not make this determination. Upon notification that a suspension of new admission order will be lifted, the Licensing Program Analyst will provide such notice in writing to the licensee.

**Failure to pay a civil penalty fee assessed by the department** – The process used by Licensing Program Analysts and/or civil penalty coordinators to assess and collect civil penalty fees will remain the same. The Licensing Program Analyst and/or civil penalty coordinators will alert management to cases where licensees have failed to respond to the second collection letter.

The decision to issue a suspension of new admission order for failure to pay a civil penalty fee assessed by the department will be made by the Director or the Director's designee, pursuant to:

- *Residential Care Facilities for the Elderly Act*, Health and Safety Code Section 1569.545(b)(2).

Upon enforcement of the suspension of new admissions order, the Licensing Program Analyst will provide such notice in writing to the licensee. The suspension of new admissions order will remain in place until the licensee pays the civil penalty assessed by the Department. Upon notification by the Director or Director's designee that the suspension of new admission order will be lifted, the Licensing Program Analyst will provide such notice in writing to the licensee.

Regulations, Evaluator Manual updates and forms will be developed regarding these suspensions and the appeal process when a suspension occurs.

**For legislative information related to this law, see: [Bill Text - SB-1153 Residential care facilities for the elderly.](#)**

**“INFORMATION ONLY – NO ACTION REQUIRED”**

**SENATE BILL 1382 (Block), Chapter 707, Statutes of 2014**

**This law became effective January 1, 2015.**

**Affects:** Residential Care Facilities for the Elderly

**Subject:** Residential care facilities for the elderly

**Summary:** [Senate Bill \(SB\) 1382](#) amends Section 1569.185 of the Health and Safety (H&S) Code related to initial and annual licensing fees.

SB 1382 increases initial and annual licensing fees for Residential Care Facilities for the Elderly. This fee increase is in addition to the ten percent fee increase approved by the Legislature effective July 1, 2014.

Effective January 1, 2015, the following fees apply:

FEE SCHEDULE		
Capacity	Initial Application	Annual
1-3	\$495.60	\$495.60
4-6	\$990.00	\$495.60
7-15	\$1,486.80	\$742.80
16-30	\$1,980.00	\$990.00
31-49	\$2,476.80	\$1,238.40
50-74	\$2,972.40	\$1,448.00
75-100	\$3,469.20	\$1,734.00
101-150	\$3,964.80	\$1,982.40
151-200	\$4,622.40	\$2,311.20
201-250	\$5,280.00	\$2,640.00
251-300	\$5,940.00	\$2,970.00
301-350	\$6,600.00	\$3,300.00
351-400	\$7,260.00	\$3,630.00
401-500	\$8,580.00	\$4,290.00
501-600	\$9,900.00	\$4,950.00
601-700	\$11,220.00	\$5,610.00
701+	\$13,200.00	\$6,600.00

The annual fee increase will be reflected on licensing invoices having a due date of January 1, 2015. Annual licensing notices may reflect fees rounded down to the nearest

dollar. Licensees should review their annual licensing invoice carefully as the fees have increased and are different from the bill received the previous year.

Any application received on or after January 1, 2015, must conform to the new fee. If an application received on or after January 1, 2015, included a fee less than what is now in law, the Regional Office shall contact the applicant to request a check for the balance owed.

As a result of the changes to annual fee, late, change of location and probation fees are also amended. The revised fee chart will be available January 1, 2015 on the department's website.

Regulations will be revised for Section 87156 of the Code of Regulations.

**For legislative information related to this new law: [Bill Text - SB 1382 - Residential care facilities for the elderly](#)**