
EVALUATOR MANUAL TRANSMITTAL SHEET

<u>Distribution:</u> <input type="checkbox"/> All Child Care Evaluator Manual Holders <input type="checkbox"/> All Residential Care Evaluator Manual Holders <input checked="" type="checkbox"/> All Evaluator Manual Holders	<u>Transmittal No.</u> 13APX6
	<u>Date Issued</u> August 2013

Subject:

Appendix A – Chaptered Legislation
 2011 Residential Care Facilities for the Elderly

Reason for Change:

Assembly Bill 313 amends Health and Safety Code sections 1569.38 and 1569.682 relating to revocations in residential care facilities for the elderly.

Filing Instructions:

REMOVE: 13APX-1 2011 Chaptered Legislation.

INSERT: 13APX6 2011 Chaptered Legislation.

Approved:

*Original Signed by Tricia Nishio for
 Fernando Sandoval*

8/2/2013

FERNANDO SANDOVAL Chief
 Policy Development Bureau
 Community Care Licensing Division

 Date

Contact Person: Trish Nishio

Phone Number: (916) 654-2462

**SUMMARY AND IMPLEMENTATION PLANS
2011 CHAPTERED LEGISLATION**

**RESIDENTIAL CARE FACILITIES
FOR THE ELDERLY**

BILL NUMBER	SUBJECT	PAGE
	ACTION REQUIRED	
AB 313/Monning	Residential Care Facilities for the Elderly	2
SB 74/Committee on Budget and Fiscal Review	Developmental Services	9
SB 897/Leno	Residential Care Facilities for the Elderly	12

Unless otherwise noted, all new legislation becomes effective on January 1, 2012. When conducting inspections, LPAs should ensure 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

AB 313 (Monning), CHAPTER 365, STATUTES OF 2011

Affects: All Residential Care Facilities for the Elderly

Subject: Residential Care Facilities for the Elderly

Summary: Assembly Bill 313 amends Health and Safety Code sections 1569.38 and 1569.682 relating to revocations in residential care facilities for the elderly.

Health and Safety Code Section 1569.38: Licensee Notification Requirements

Assembly Bill 313 requires the licensee of a residential care facility for the elderly to provide written notification to the resident, resident's responsible party (if any) and to the local Long-Term Care Ombudsman within 10 days when there is the occurrence of the following events:

- The Department of Social Services (Department) commences proceedings to suspend or revoke the license of the facility. This occurs when the accusation is served to the respondent.
- Criminal action that relates to the health and safety of the residents is brought against the licensed residential care for the elderly facility.

The written notice to the resident and the resident's responsible party is required to include the following:

- Name and contact information for the local Long-Term Care Ombudsman.
- Name and contact information for the Community Care Licensing Division along with a statement that directs the resident or the resident's responsible party to the Community Care Licensing Division for information on the status of the facility license. (This should be the licensing office that has licensing responsibilities for the facility).
- The reason for the commencement of the temporary suspension order or revocation of the license or the reason given for criminal action.

Upon providing the notice listed above, the licensee is also required to post a separate written notice within the facility when the Department commences proceedings to suspend or revoke the license of the facility or when there is criminal action that relates to the health and safety of the residents is brought against the licensed residential care facility for the elderly. The written notice, written in at least 14-point type, is required to be posted within the facility, in a conspicuous location, that may include where the mail boxes are located, where the facility license is posted, or any other easily accessible

location in the facility. The notice shall remain posted until the deficiencies that gave rise to the notice are resolved. This posted notice is required to include the following information:

- The date of the notice.
- The name of the facility.
- A statement that a copy of the most recent licensing report prepared by the Department, and any additional reports of facility evaluation visits, within the preceding 12 months, may be obtained at the facility.
- The name and telephone number of the contact person designated by the Community Care Licensing Division to provide information on the facility license status.

Responsible party is defined in Health and Safety Code section 1569.38(h) to mean an individual, including the resident's relative, health care surrogate decision maker, or a placement agency, which assists the resident in placement or assumes varying degrees of responsibility for the well-being of the resident as designated by the resident in writing.

In order to comply with provisions of this law, a licensee who is required to provide the above described notice shall do so effective January 1, 2012.

Civil Penalty Assessments

A \$100 civil penalty shall be assessed for the following:

- Each day that the licensee fails to provide written notification of 1) the Department commencing proceedings to suspend or revoke the license of the facility or 2) there is criminal action that relates to the health and safety of the residents is brought against the licensed residential care facility for the elderly, to the resident, the resident's responsible party, if any, within the required 10 days.
- Each day the licensee fails to provide written notification, as specified, to the local Long-Term Care Ombudsman, within the required 10 days.
- The written notice, as specified, to the resident does not include the name and contact information for the local Long-Term Care Ombudsman and for the Community Care Licensing Division along with the statement that directs the resident or the resident's responsible party to contact the Community Care Licensing Division for license status information, within the required 10 days.

The total civil penalty for each day shall not exceed \$100 regardless of the number of notices the licensee fails to send that day. The total civil penalty for a continuous violation shall not exceed \$5,000.

Health and Safety Code Section 1569.682: Requirements of licensees for the transfer of residents when the license is revoked.

Assembly Bill 313 amended Health and Safety Code section 1569.682 related to revocations. Subsequent legislation (AB 2066, 2012) repealed these amendments.

IMPLEMENTATION

Violations

Licensing Program Analyst's should monitor compliance with the provisions of this law and cite licensees for failure to comply. See **Addendum A** (attached) for a summary of violations and civil penalty assessments. This statute does not apply to amended Accusations or any legal actions for which the initial Accusation was served prior to the effective date of this law.

The notice required by this law shall remain posted until the deficiencies that gave rise to the notice are resolved. The following are events which would require notice and when they are considered resolved:

- The Accusation is dismissed in the administrative hearing. The deficiency is considered resolved when the Accusation is dismissed.
- The Accusation results in a license revocation that is stayed for a probationary period subject to the issuance of a probationary license with conditions. The deficiency is considered resolved when the probationary period ends and all conditions of the probationary license period are resolved.
- The license is revoked with the appropriate time given to provide the residents with proper notice. Deficiency is considered resolved when the license is terminated.
- The license is revoked with a short stay to allow the facility to be sold and to provide notice to the residents. This would be done through a stipulation that would specify a date by when the facility must be sold and stay terminated. Deficiency is considered resolved when the facility is sold and the stay terminated.

The Department's Legal Division will provide licensees with a one-page notice of these statutes that will be included in the accusation packet for all RCFE license revocation actions.

Civil Penalty Assessments

The LIC 421 series that notifies licensees of the assessment of civil penalties is in the process of being changed to accommodate penalties created by this law. Interim

procedures have been developed for field staff to utilize until the new form is developed. Until the LIC 421D is available, the procedure for assessing a civil penalty for a violation of 1569.38(b) and/or 1569.38(c) is 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 **Addendum B** for civil penalty assessment language, instructions and appeal rights.
- Follow instructions provided in the Evaluator Manual Reference Material, section 3-3600 (Plan of Correction) 3-3605 (Clearing the Deficiency) and section 3-3700 (Proof of Correction/Non-Visits).
- 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 in 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.

Repeat Violations – Health and Safety Code section 1569.49(d) and (e)

Civil penalties for a repeat violation of the above-identified subsections within the same 12-month period shall be assessed using the Civil Penalty Assessment form (LIC 421).

The first repeat violation of any subsection in Health and Safety Code section 1569.38(b) or 1569.38(c), in a 12 month period will result in an immediate civil penalty of \$150 per cited violation and a \$50 civil penalty for each day the violation continues as specified in Health and Safety Code section 1569.49(d) and California Code of Regulations, Title 22, section 87761(d).

In the event the licensee repeats the violation again within 12 months of the last violation, the Licensing Program Analyst shall cite and assess an immediate civil penalty of \$1,000 per cited violation and \$100 for each day the violation continues as specified in Health and Safety Code section 1569.49(e) and California Code of Regulations, Title 22, section 87761(e).

Criminal Action

A licensee, whether an individual, or the accountable licensee representative for a corporation or other entity type, is required to notify residents, the residents' responsible persons, if any, and the local Long-Term Care Ombudsman when there is criminal action brought against the licensee that relates to the health and safety of the residents. Criminal action could refer to many different types of action. Penal Code section 683

states that a criminal action is known as the proceeding by which a party charged with a public offense is accused and brought to trial and punishment. A Licensing Program Analyst must consult with his/her Licensing Program Manager and enforcement attorney to discuss these situations on a case-by-case basis to determine if the licensee is required to notify the required parties and post a notice related to the specific action and at what point the notification can be removed from the facility.

For legislative information related to this new law, see:

http://www.leginfo.ca.gov/cgi-bin/postquery?bill_number=ab_313&sess=PREV&house=B&author=monning

ADDENDUM A

**Health and Safety (H&S) Code section 1569.38
Violations and Civil Penalty Assessments**

*Note: Civil penalty assessment is not to exceed \$100/day regardless of the number of notices the licensee fails to send. The total civil penalty for a continuous violation shall not exceed \$5,000.

Violation Examples	Appropriate Citation	Civil Penalty
Licensee fails to provide written notification to the resident/resident's responsible party within the required 10 days.	H&S Code section 1569.38(b)	\$100/day*
Licensee fails to provide written notification to the local Long-Term Care Ombudsman within the required 10 days.	H&S Code section 1569.38(b)	\$100/day*
The written notice was provided to the resident/resident's responsible party but does not include one or more of the following requirements: <ul style="list-style-type: none"> • The name and contact information of the local Long-Term Care Ombudsman. • The name and contact information for the Community Care Licensing Division – (local office). • A statement directing reader to contact the Community Care Licensing Division on the status of the license. 	H&S Code section 1569.38(c)	\$100/day*
The written notice was provided to the resident/resident's responsible party but does not include the reason for the temporary suspension order, the reason for the commencement of the revocation process or the reason that criminal action is being brought against the facility.	H&S Code section 1569.38(d)	No civil penalty
The licensee failed to post in a conspicuous location a written notice in the facility or the written notice was posted but did not contain one or more of the following: <ul style="list-style-type: none"> • The date of the notice. • The name of the residential care facility for the elderly. • A statement that the most recent licensing report prepared by the Department, and any additional reports of facility evaluation visits, within the preceding 12 months, may be obtained at the facility. • The name and contact telephone number of the Community Care Licensing Division that can provide information on the status of the facility license. 	H&S Code section 1569.38(e)	No civil penalty
The posted written notice in the facility was posted initially but was removed before the deficiencies that gave rise to the notice were resolved (i.e., the plan of correction was not cleared).	H&S Code section 1569.38(f)	No civil penalty
The licensee <u>repeated</u> a violation of subsections 1569.38(b) or 1569.38(c) within 12 months of the first violation. <i>2nd violation penalty</i>	H&S Code section 1569.49(d)	Immediate \$150 \$50/day
The licensee <u>repeated</u> a violation of subsections 1569.38(b) or 1569.38(c) within 12 months of being cited under 1569.49(d). <i>3rd violation penalty</i>	H&S Code section 1569.49(e)	Immediate \$1,000 \$100/day

ADDENDUM B

ASSEMBLY BILL 313 INTERIM CIVIL PENALTY NOTICE “Noticing Requirements”

Applies to Residential Care Facilities for the Elderly only

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 1569.38**, until the LIC 421D civil penalty form is developed.

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 1569.38, you are hereby notified that a \$100 civil penalty per day will be assessed until the violation is corrected. This assessment will not exceed \$100/day regardless of the number of notices the licensee fails to send. The total civil penalty for a continuous violation shall not exceed \$5,000.

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 a 10-day period. 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

Senate Bill 74 (Committee on Budget and Fiscal Review), Chapter 9, Statutes of 2011

Affects: All Community Care Facilities (CCF), Residential Care Facilities for the Chronically Ill (RCF-CI), Residential Care Facilities for the Elderly (RCFE) and all Child Care Facilities.

Subject: Developmental Services

Summary: Senate Bill 74 added Welfare and Institutions Code section 4648.14 to require the Department of Social Services to notify the California Department of Developmental Services of any administrative action initiated against a licensee serving consumers with a developmental disability. The bill defines administrative action to include, but not be limited to, the following:

- The issuance of a citation requiring corrective action for a health and safety violation.
- The temporary or other suspension or revocation of a license.
- The issuance of a temporary restraining order.

Implementation:

The Regional Offices are required to provide the above information to the Department of Developmental Services for all facilities licensed by the Community Care Licensing Division, caring for persons with developmental disabilities who are receiving services through a regional center (regional center consumers). Regional Offices are not required to provide information for facilities caring for persons with Developmental Disabilities who are not regional center consumers. Per the *Memorandum of Understanding between the California Department of Developmental Services and the California Department of Social Services for Implementation of a Coordinated System of Services to Regional Center Consumers Residing in Licensed Community Care Facilities*, the Department of Social Services already shares information on Temporary Suspension Orders with the Department of Developmental Services and this current process will continue in order to meet the mandates of this law.

The Department will submit copies of all required documentation to the Department of Developmental Services. This documentation is in addition to any required information that is sent to the Regional Centers as part of the *Memorandum of Understanding between the California Department of Developmental Services and the California Department of Social Services for*

Implementation of a Coordinated System of Services to Regional Center Consumers Residing in Licensed Community Care Facilities.

Citations:

- The licensing program analyst will print and compile copies of all applicable LIC 809s and LIC 9099s for facilities that care for regional center consumers when there is any Type A or Type B violation cited against the licensee.
- The licensing program analyst will review all LIC 809s and LIC 9099s to ensure that no confidential information is listed. In the event that confidential information is listed on the LIC 809 or LIC 9099, the licensing program analyst must alert the licensing program manager immediately so that the documents can be amended to remove the confidential information before they are sent to the Department of Developmental Services.
- Each Regional Office will compile copies of these LIC 809s and LIC 9099s and submit them to the Department of Developmental Services either via mail or scan and emailed. Emailing these documents is permitted as long as the information is encrypted using a secured file.
- The licensing program analyst is not required to send a copy of the report or other documentation clearing the plan of correction.

Temporary Suspensions and Revocations:

- In the event that the Department is initiating a revocation of a license for a facility caring for regional center consumers, the Regional Office will send a copy of the accusation to the Department of Developmental Services upon service of the accusation to the licensee.
- In the event that a Temporary Suspension Order is issued to a licensee of a facility caring for regional center consumers, the Regional Office will send a copy of the Temporary Suspension Order to the Department of Developmental Services upon service of the order.
- In the event that a license is revoked for a facility caring for regional center consumers, the Regional Office will send a copy of the decision and order to the Department of Developmental Services upon service of the decision.

Temporary Restraining Orders:

- In the event that a temporary restraining order is issued against the licensee for a facility caring for regional center consumers, the Program Office will send a copy of the order to the Department of Developmental Services upon service of the order. Please contact the enforcement attorney if there are questions related to what information can be shared with the Department of Developmental Services.

All information can be mailed to the following address:

California Department of Developmental Services
Residential Services and Monitoring Branch
Attention: Shelton Dent, Manager
1600 9th Street, MS 3-9
Sacramento, CA 95814

All information can be emailed, using an encrypted secure file, to the following email address:

DSSSB74Reports@dds.ca.gov

ACTION REQUIRED

SB 897 (Leno), CHAPTER 376, Statutes of 2011

Affects: Residential Care Facilities for the Elderly

Subject: Residential Care Facilities for the Elderly

Summary: Senate Bill 897 adds section 1569.686 to the Health and Safety Code, establishing the Residential Care Facility for the Elderly Residents Foreclosure Protection Act of 2011.

The Residential Care Facility for the Elderly Residents Foreclosure Protection Act of 2011 requires licensees to notify the following parties in writing within two business days of events, as specified, in a facility:

- The Department (California Department of Social Services)
- The Ombudsman (State Long-Term Care Ombudsman)
- Residents and, if applicable, their legal representatives

This act also requires the licensee to notify any applicant for potential residence, and if applicable, his/her legal representative prior to admission to a residential care facility for the elderly. How this notice is provided to the applicant/applicant's legal representative is not specified in law.

The act specifies the events as:

- Notice of default, notice of trustee's sale, or any other indication of foreclosure that is issued on the property.
- An unlawful detainer action initiated against the licensee.
- The licensee files for bankruptcy.
- The licensee receives a written notice of default of payment of rent (Code of Civil Procedures section 1161).
- A utility company has sent a notice of intent to terminate electricity, gas, or water service on the property within not more than 15 days of the notice.

In order to comply with the provisions of this law, a licensee who has encountered any of the above identified events is required to report them to the Department, the State Long Term-Care Ombudsman, residents and, if applicable, their legal representatives, beginning January 1, 2012.

This act requires the Department to act on the notice received by the licensee by initiating a compliance plan, noncompliance conference, or other appropriate action.

The Department may assess a civil penalty to a licensee who fails to provide the required notification of this act. The civil penalty cannot exceed \$100 for each day (\$2,000 in total) the licensee fails to provide the notification referenced above (Health and Safety Code section 1569.686).

In addition, if a resident is relocated and the notice required in Health and Safety Code section 1569.686 is not given by the licensee and the resident suffers transfer trauma or other harm to his or her health and safety, the licensee could have his/her license suspended, revoked, or a permanent revocation of the licensee's ability to operate or act as an administrator of any facility may occur.

The requirements of this bill do not apply to licensees of residential care facilities for the elderly that have obtained a certificate of authority to offer continuing care contracts.

Implementation:

The Licensing Program Analyst should cite any licensee that has failed to provide the notice required of the Residential Care Facility for the Elderly Residents Foreclosure Protection Act of 2011. The Licensing Program Analyst should use Health and Safety Code section 1569.686(a)(1) through (5), as appropriate, to cite a licensee that fails to provide one or more of these required notices.

Health and Safety Code section 1569.686 provides in pertinent part:

- (a) A licensee shall notify the department, the State Long-Term Care Ombudsman, all residents, and, if applicable, their legal representatives, in writing, within two business days, and shall notify all applicants for potential residence, and, if applicable, their legal representatives, prior to admission, of any of the following events, or knowledge of the event:
 - (1) A notice of default, notice of trustee's sale, or any other indication of foreclosure is issued on the property.
 - (2) An unlawful detainer action is initiated against the licensee.
 - (3) The licensee files for bankruptcy.
 - (4) The licensee receives a written notice of default of payment of rent described in section 1161 of the Code of Civil Procedure.
 - (5) A utility company has sent a notice of intent to terminate electricity, gas, or water service on the property within not more than 15 days of the notice.

The notice is required to be made to the Department, the State Long-Term Care Ombudsman, and the resident/applicant and legal representative, if any.

NOTE: Legal representative includes a person who is legally appointed to represent the resident such as a power of attorney that is in effect (Probate Code Section 4000 et seq. entitled the Power of Attorney Law) or a duly appointed court conservator [Probate Code section 1800 et seq. entitled the Guardianship-Conservatorship Law and California Code of Regulations, Title 22, section 87101(c)(11)].

A licensee is only required by law to send this notification to these persons and is not required by this law to send this notification to other "responsible persons" as defined in California Code of Regulations, Title 22, section 87101(r)(6). Notices to all parties are required to be made in writing except for the notice to the applicant/applicant's for potential residence, and, if applicable, their legal representatives. The licensee must report to the State Long-Term Care Ombudsman and may report to the local Long-Term Care Ombudsman. Notice to the local Long-Term Care Ombudsman does not satisfy the requirement to report to the State Long-Term Care Ombudsman

Per Health and Safety Code section 1569.686(c), the Licensing Program Analyst shall assess a civil penalty up to \$100 for each day the licensee did not provide the required notification. The total civil penalty cannot exceed \$2,000.

Violations

Licensing Program Analyst's should monitor compliance with the provisions of this law and cite licensees for failure to comply.

Civil Penalty Assessment

The LIC 421 series that notifies licensees of the assessment of civil penalties is in the process of being changed to accommodate penalties created by this law. Interim procedures have been developed for field staff to utilize until the new form is developed. A violation of Health and Safety Code section 1569.686(a)(1) through (5), as applicable, shall be documented on LIC 421D form (under development). Until the LIC 421D form is available, the procedure for assessing the civil penalty for a violation of one of the above-identified subsections is 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 **Addendum A** for civil penalty assessment language, instructions and appeal rights.
- Follow instructions provided in the Evaluator Manual Reference Material, section 3-3600 (Plan of Correction) 3-3605 (Clearing the Deficiency) and section 3-3700 (Proof of Corrections/Non-Visits).
- 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 in 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.

Repeat Violations

Civil penalties for a repeat violation of the above identified subsections within the same 12-month period shall be assessed using the Civil Penalty Assessment form (LIC 421).

The first repeat violation of any subsection in Health and Safety Code section 1569.686(a)(1) through (5), as applicable, within a 12 month period will result in an immediate civil penalty of \$150 per cited violation and a \$50 civil penalty for each day the violation continues as specified in Health and Safety Code section 1569.49(d) and California Code of Regulations, Title 22, section 87761(d).

In the event the licensee repeats the violation again within 12 months of the last violation, the Licensing Program Analyst shall cite and assess an immediate civil penalty of \$1000 per cited violation and \$100 for each day the violation continues as specified in Health and Safety Code section 1569.49(e) and California Code of Regulations, Title 22, section 87761(e).

Corrective Action

The licensee must submit satisfactory evidence to the Licensing Program Analyst that the required notices have been provided in order to stop the accruing civil penalty.

The Residential Care Facilities for the Elderly Residents Foreclosure Protection Act of 2011 also requires the Department to initiate a compliance plan, noncompliance conference or other appropriate action when the Department receives the required notice from the licensee to the Department. Licensing Program Analysts evaluate and follow-up on the information presented in any report in a timely and appropriate manner. The Licensing Program Analyst shall consult with his/her Licensing Program Manager to determine the most timely and appropriate course of action to take on all reports related to Health and Safety section 1569.686(a) or otherwise received.

Upon mandatory managerial review, it may be necessary to consult with an enforcement attorney. Referrals to the Audit Section should be made only upon approval of the Regional Manager. The decision on what action to take may be based on several factors including the type of event reported, the severity of the situation, how it may impact the health and safety of the residents in care, the history of the licensee's compliance with regulations, and any patterns of financial distress.

A Licensing Program Analyst may receive calls from the public regarding a facility and the facility's financial health. Any part of the public file may be disclosed to any person inquiring about the facility and any licensee reports as a result of this statute, using existing procedures regarding public records requests.

Addendum A

SENATE BILL 897 INTERIM CIVIL PENALTY NOTICE

“Indicators of Financial Distress”

Applies to Residential Care Facilities for the Elderly only

The following statement shall be included in all LIC 809s and LIC 9099s in which a civil penalty is being assessed for a violation of **Health and Safety Code section 1569.686**, until the LIC 421D civil penalty form is developed.

Per California Health and Safety Code section 1569.686, you are hereby notified that a \$100 civil penalty per day will be assessed until the violation is corrected. The total civil penalty for a continuous violation shall not exceed \$2,000.

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 your 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 of jurisdiction over the facility. The agency has a duty to review the facts presented without prejudice within a 10-day period. 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 an 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.