



**3. Other Facilities HSC 1569.15(a)(3)(C)-(D), 1569.15(a)(3)(B)**

a. Facilities: Provide information for all other health, residential or community care facilities owned, managed or operated by the applicant, licensee, and/or management company located anywhere in the United States.

(1) Do you have other such facilities?  Yes  No

(2) If yes, a separate list of facilities is attached including facility name, address, license number, licensing agency, and relationship to this applicant/licensee.  Yes  No

b. Parent Organizations: Provide information for all other health, residential or community care facilities owned, managed or operated by parent organizations of the applicant, licensee, and/or management company, and/or parent organizations of the parent organizations, etc., located in California or any other state.

(1) Do parent organizations have other such facilities?  Yes  No

(2) If yes, a separate list of facilities is attached including facility name, address, license number, licensing agency, and relationship to this applicant/licensee.  Yes  No

**Part 4. Real Property Owners and Right to Possession HSC 1569.15(a)(3)(E)**

a. Attach the following information about the owners of real property:

(1) Separate list is attached with names and addresses of the owners of the real property for this facility.  Yes  No

(2) Separate list is attached with names and addresses of the owners of the real property for all other facilities identified in Parts 3.a. and 3.b.  Yes  No

b. Evidence is attached showing right to possession of the facility, including the real property deed and all lease and sublease agreements.  Yes  No

**Part 5. Individuals and/or Entities with Operational Control HSC 1569.15(a)(5)**

a. Each applicant/licensee and each individual or entity identified as having operational control in response to Part 2.c. above must provide information regarding prior and present service in any RCFE, clinic, health facility, community care facility, or similarly licensed facility, in California or any other state within the past 10 years.

b. Separate list is attached providing the information regarding prior or present service about the applicant/licensee and individuals and entities with operational control of the facility:  Yes  No

(1) Name, title(s), and address of the individual or entity that controls the applicant or licensee;

(2) Name of facility, license number, and name of licensing agency; and,

(3) Dates of service in that role or roles at the facility.

**Part 6. Administrative Disciplinary Actions HSC 1569.16(a)(6)(A)-(B)**

a. The applicant/licensee and any individual or entity identified as having operational control in Part 2.c. must report information regarding all administrative disciplinary actions which meet all of the following criteria:

- (1) The action is or was a revocation, suspension, probation, exclusion order, or similar administrative disciplinary action,
- (2) that was filed and sustained, or is in the process of being adjudicated,
- (3) against the applicant, or against an individual or entity with operational control,
- (4) within the past 10 years.

Do you or the individuals and/or entities with operational control of your facility have any administrative disciplinary actions which meet the criteria in Part 6.a.?  Yes  No

If yes, answer Part 6.b. If no, skip to Part 7.

b. Separate list is attached with administrative disciplinary actions for the individuals and/or entities meeting the criteria, including:  Yes  No

- (1) Name of applicant, or individual and/or with operational control (identified in Part 2.c.);
- (2) Name of filing agency;
- (3) Name of the court in which the action is filed;
- (4) Case number;
- (5) Date filed;
- (6) Current status of case; and,
- (7) Copies are attached of related documents, including: accusations, final findings, orders and/or stipulations.  Yes  No

*Note: Similar administrative disciplinary actions may include, but are not limited to, actions by federal, state or local authorities to involuntarily terminate Medi-Cal/Medicaid and/or Medicare certification, to ban payment for new admissions, to ban all admissions or to appoint a temporary manager or receiver.*

**Part 7. Bankruptcy Filings HSC 1569.16(a)(6)(C)**

a. Any individual or entity identified in Part 5. above must report information regarding filings for bankruptcy relief which meet all of the following criteria:

- (1) The bankruptcy filing involved the operation or closure of a health, residential, or community care facility;
- (2) which is/was licensed in California or any other state,
- (3) by an applicant, or by an individual or entity with operational control (identified in Part 2.b),
- (4) within the 5 years prior to the date of application for applicants, or within 30 days of filing for bankruptcy for licensees.

Do you have any bankruptcy filings which meet the criteria in Part 7.a.?  Yes  No  
If yes, answer Part 7.b. If no, skip to Part 8.

b. A list is attached disclosing bankruptcy filings matching the criteria, including:  Yes  No

- (1) Name of the applicant or individual or entity with operational control (identified in Part 2.b.);
- (2) Name of the court in which the action is filed;
- (3) Case number;
- (4) Date filed;
- (5) Current status of case, including whether a discharge has or has not been granted; and,
- (6) Attach copies of related documents, including: documents filed, court findings, and documents supporting discharge or denial of discharge.  Yes  No

**Part 8. Chains of Licensees HSC 1569.15(a)(3)(D)**

- a. A facility is part of a "chain" when an applicant or licensee is part of a group of two or more licensees whose operation or management is controlled and/or directed by the same individuals or entities.
- b. When updating information, a licensee of multiple facilities (a chain) may provide a single notice of changes to DSS that clearly states it is on behalf of all licensed facilities within a chain. Such notice should include names, license numbers, and licensee names of the facilities it covers.
- c. Is this facility's applicant or licensee part of a chain?  Yes  No  
If yes, attach the following information as separate sheets. If no, skip to Part 9.
- (1) A diagram is attached indicating the relationship between the applicant and/or licensee, and the individuals and/or entities that are part of the chain including percentages of ownership; and,  Yes  No
- (2) A separate sheet is attached providing the name, address, license number if any, and the percentage of ownership for each individual and entity in the diagram.  Yes  No

**Part 9. Management Companies HSC 1569.15(a)(3)(C)-(F)**

- a. Does the applicant or licensee include a management company serving the facility as co-licensee?  Yes  No
- If yes, provide the following information on separate sheets, if it has not already been provided above. If no, skip to Part 10.  Yes  No
- (1) Name and address of any management company serving the facility; and,  
(2) Name and address of any person that has operational control of the management company
- b. Is the management company part of a chain?  Yes  No
- If yes, attach the following information as separate sheets, if it has not already been provided above. If no, skip to Part 10.
- (1) A diagram is attached indicating the relation between the management company and the individuals and/or entities that are part of the chain including percentages of ownership; and,  Yes  No
- (2) A separate sheet is attached providing the name, address, and license number if any, for each individual and/or entity in the diagram.  Yes  No

**Part 10. Updating Information due to Changes HSC 1569.15(d)(1)-(2)**

You may use this worksheet to notify DSS of any changes in information in currently licensed facilities.

- a. Licensees are required to abide by the new disclosure requirements on a flow basis, specific to any change that occurs on or after January 1, 2016. When a change occurs, licensees must provide updates to information to DSS within 30 calendar days unless a different timeframe is required by statute or regulation.
- b. Information pertaining to facilities operating outside California may be updated annually on or before December 31st of each calendar year, except in the following instances where a shorter time period applies:"
  - (1) Administrative disciplinary actions and bankruptcies must be updated within 30 calendar days after the change. Complete Part 6. and/or Part 7., above.
  - (2) Other facilities and parent organizations must be updated within 6 months after the change. Complete Part 3., above.
- c. If there is a change in information identified on this worksheet that was not previously reported to DSS, sufficient information should be provided by the licensee to allow DSS to understand the context of the change.
- d. A licensee of multiple facilities (a chain) may provide a single notice of changes to DSS that clearly states it is on behalf of all licensed facilities within a chain. Such notice should include names, license numbers, and licensee names of the facilities it covers.
- e. **Where to send updated information:**
  - (1) If your updates pertain to an application that is pending, for which a license has not yet been issued, send the updates to the Analyst handling your application to: Centralized Applications Unit, 744 P Street, MS 8-3-91, Sacramento, CA 95814.
  - (2) If your updates pertain to a facility which is already licensed, send the updates to the Regional Office where the facility is located. See [www.cclid.ca.gov/res/pdf/ASC.pdf](http://www.cclid.ca.gov/res/pdf/ASC.pdf) for Regional Office contact information.

**Part 11. Notice regarding Actions CDSS may take now for Failure to Disclose Required Information HSC 1569.15(f)(1)-(3)**

- a. If an applicant or licensee fails to disclose full and complete information within the timeframes specified by existing law and the changes made by AB 601 (Chapter 628, Statutes of 2015), CDSS has additional remedies.
  - (1) CDSS may deny an application for licensure or may subsequently revoke a license if the applicant:
    - (a) Knowingly withheld material information or made a false statement of material fact in the information provided.
    - (b) Did not disclose administrative disciplinary actions on the application as required under Part 6.a., above.
  - (2) In addition to any other remedies provided, DSS may, subsequent to licensure, assess a civil penalty of one thousand dollars (\$1,000) for a material violation of the disclosure requirements.