

1.0 Prior Approval Required

Requirement	Citation and Guidance ¹	Submit Request to Whom?	Manual Page Number
1.1 New License or Change of Ownership	HS 1265 72201(a)(1) & (2) AFL 15-13	CDPH	Page 9-11
1.2 Construction of New or Replacement of SNF	72201(b)(1)	CDPH	Page 12-13
1.3 Increase or Decrease in Licensed Bed Capacity	72201(b)(2)	CDPH	Page 13-14
1.4 Change in the Name of the Facility	72201(b)(3)	CDPH	Page 14-15
1.5 Change in Licensed Category	72201(b)(4)	CDPH	Page 15-16
1.6 Change of Location of the Facility	72201(b)(5)	CDPH	Page 16-17
1.7 Change in Bed Classification	72201(b)(6)	CDPH	Page 17-18
1.8 Addition or Deletion of any Special or Optional Units	HS 1252 72201(b)(7) 72401 AFL 07-23	CDPH	Page 18-20
1.9 Program Flexibility Requests	HS 1276 72213 AFL 06-13 AFL 07-23 AFL 20-23 AFL 13-08	CDPH	Page 21-23

1.10 Voluntary Suspension of License, Service or Licensed Beds	HS 1271.1 1271.15 72215	CDPH	Page 23-26
1.11 Request to Alter Standardized Admission Agreement	HS 1599.61(b)(1) 72516 AFL 11-42	CDPH	Page 26-28
1.12 Alterations to New or Existing Buildings	72009 72601	CDPH	Page 28-30
1.13 Space Conversion	72603	CDPH	Page 30-31
1.14 Patient Capacity	72607	CDPH	Page 31-32
1.15 Exit Door, Corridor Door, Yard Enclosure or Perimeter Fence Locked to Egress	72609	CDPH	Page 33-34
1.16 Management Company	HS 1265 HS 1267.5 AFL 08-18	CDPH	Page 34-38
1.17 Involuntary Transfer of Resident for Misrepresenting Assets/Liabilities	HS 1439.1 AFL 07-12 AFL 10-20	CDPH LTCO	Page 38-39
1.19 Categorical Waivers for Life Safety Code Requirements	42 CFR 482.70(a)(2) AFL 14-01 S&C 13-58	CDPH	Page 40

2.0 Notification/Reporting Requirements

Requirement	Citation and Guidance ¹	Submit Request to Whom?	Manual Page Number
2.1 Change of Administrator	72211(b)	CDPH	Page 42
2.2 Change of the Mailing Address	72211(c)	CDPH	Page 42-43
2.3 Change in the Principal Officer of a Corporate Licensee	72211(d)	CDPH	Page 43
2.4 Decrease in Licensed Bed Capacity	72211(e)	CDPH	Page 44
2.5 Unusual Occurrences	72513 72541 AFL 06-22 AFL 06-27	CDPH	Page 45-46
2.6 Communicable Disease, or Outbreak of Infectious or Parasitic Disease or infestation	72537 72537 Title 17, 2500(d)	CDPH LHO	Page 47-48
2.7 Patient Deaths (if requested by department)	72549	CDPH	Page 48
2.8 Commencement of any Construction, Remodeling or Alterations	72605	CDPH	Page 49
2.9 Unauthorized Access to, and Use or Disclosure of, Patient Medical Information	HS 1280.15 AFL 09-13 AFL 09-39	CDPH	Page 50-53
2.10 Notification of Final Judgement, Settlement or Claim for Damage	HS 1305	CDPH	Page 53-54
2.11 Judgement Lien, Refusal to Honor Check, Supplies Falling Below Required Amount, Financial Resources Falling Below 45-day Operational Reserves, or Failure to make Timely Payment for Insurance Policies/Bonds, Tax Liens	HS 1421.1	CDPH	Page 55-56
2.12 Bankruptcy	HS 1421.5	CDPH	Page 56-58

2.13 Theft of Patient Property	HS 1289.4(i)	LLE	Page 58-59
2.14 Incidents of Alleged or Suspected Abuse	HS 1418.91	CDPH	Page 59-60
2.15 Alleged Violations and Substantiated Incidents Related to Abuse, Neglect, Mistreatment and Misappropriation of Property	42 CFR 483.13(c)(2) 42 CFR 483.13(c)(4) S&C 02-20	CDPH	Page 61
2.16 Knowledge of any Action by a Court of Law that Employee Unfit for Service	42 CFR 483.13(c)(1)(iii)	CDPH Nurse Aide Registry or Other Licensing Board	Page 62-63
2.17 Reasonable Suspicion of Crime against a Resident (Elder Justice Act)	SSA, Title XI, Sec. 1150B AFL 11-40 AFL 12-01 S&C 11-30	LLE CDPH LTCO	Page 63-65
2.18 Individual Reporting Requirements under the Elder Abuse and Dependent Adult Civil Protection Act (EADACPA)	WI 15610.07 WI 15610.17 WI 15630 AFL 12-50 LeadingAge CA Fact Sheet	LTCO LLE CDPH	Page 65-71

3.0 Links to Resources

Resources	Link to Access
Forms	http://www.cdph.ca.gov/pubsforms/forms/Pages/LicensingandCertificationForms.aspx
All-Facility Letters (AFL)	http://www.cdph.ca.gov/certlic/facilities/Pages/LnCAFL.aspx
Survey & Certification Letters (S&C)	http://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertificationGenInfo/Policy-and-Memos-to-States-and-Regions.html
State Operations Manual (SOM) – Appendix P & PP	http://www.cms.gov/Regulations-and-Guidance/Guidance/Manuals/Downloads/som107_appendixtoc.pdf
State Statutes	http://leginfo.legislature.ca.gov/faces/codes.xhtml
State Regulations	https://govt.westlaw.com/calregs/Index?transitionType=Default&contextData=(sc.Default)
State Senate	http://senate.ca.gov/
State Assembly	http://assembly.ca.gov/

Purpose of the Manual

The purpose of this manual is to provide guidance to LeadingAge California skilled nursing facility communities about those changes, situations or plans about which the skilled nursing facility community are required to report, or to seek prior approval from, the California Department of Public Health, Licensing and Certification Program (CDPH/L&C).

Understanding these requirements will help ensure that the skilled nursing facility is in compliance with federal and state laws and regulations, and will strengthen positive communication with the CDPH/L&C.

Skilled nursing facilities may have (or are required to have) policies and procedures to address many of these notification or prior approval requirements. This manual provides information on the minimum expectations of the department, and can be used to augment other more specific policies and procedures.

How this Manual is organized

The manual is divided into two major sections: *Section 1.0 - Prior Approval Required*; and *Section 2.0 - Notification/Reporting Requirements*.

Each individual requirement has its own section with the following information:

- Description of requirement
- Explanation of requirement
- Statutory or regulatory text of requirement
- Suggested checklist for reporting
- Links to related All-Facilities Letters or Survey and Certification Letters (if applicable).

Please note: Only AFLs from 2005 to date are included in this manual. Only S&C Letters from 2001 to day are included in this Manual.

Federal or State laws and regulations, as well as guidance about those requirements, may change frequently. This manual also provides links to reference sites and other resources that may be helpful in maintaining compliance with the most current requirements.