

APPLICATION AND SUPPORTING DOCUMENTATION CHECKLIST**Short-Term Residential Therapeutic Program**

This checklist is intended to assist an applicant in completing and submitting an initial application package and may also be used to submit revised/updated information to the Department by a licensed Short-Term Residential Therapeutic Program.

FACILITY INFORMATION (Please type or print clearly.)

Applicant/Licensee Name	Facility License Number , If known	
Applicant/Licensee Mailing Address		
Contact Person Name	Title	Phone Number

*For each form or document submitted, please check "initial" for new application. For a current licensee, please check "revised" and note the revision date, if you are updating information contained in any of the forms or documents listed below. **The following pages of the Application and Supporting Documentation checklist include a detailed description of the content below.***

APPLICATION AND SUPPORTING DOCUMENTATION		
1. Application for Community Care Facility (LIC 200)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
2. Orientation Certificate	Date Completed:	
3. County Letter of Recommendation	Date of Letter:	
4. Applicant Information (LIC 215)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
5. Designation of Facility Responsibility (LIC 308)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
6. Affidavit Regarding Client Cash Resources (LIC 400)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
7. Surety Bond (LIC 402)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
8. Monthly Operating Statement (LIC 401)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
9. Supplemental Financial Information (LIC 401A)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
10. Balance Sheet (LIC 403)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
11. Balance Sheet Supplemental Schedule (LIC 403A)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
12. Financial Information Release And Verification (LIC 404)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
13. Personnel Report (LIC 500)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
14. Personnel Record (LIC 501)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
15. Health Screening Report Facility Personnel (LIC 503)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
16. Criminal Record Statement (LIC 508)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
17. Emergency Disaster Plan (LIC 610C)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
18. Fire Inspection (LIC 9054)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
19. Board of Directors Statement (LIC 9165 contained in PUB 326)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
20. Control of Property	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
21. Bacterial Analysis of Water	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
22. Application or Documentation of Accreditation	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:
23. Plan of Operation/Program Statement (LIC 9106A)	<input type="checkbox"/> Initial / <input type="checkbox"/> Revised	Date:

INTRODUCTION

These instructions are intended to help you file an application for a Short-Term Residential Therapeutic Program (STRTP) license. The above checklist guides an applicant in filing the application. Before a license can be issued, the licensing agency must review the Application and Supporting Documentation submitted to verify you meet the minimum requirements for the license.

The initial application fee plus all Application and Supporting Documentation, including the Plan of Operation and Program Statement must be completed and sent to the licensing agency as a packet. **The application fee is non-refundable.** Your application cannot be started until all the forms are filed with the licensing agency. The STRTP shall submit a copy of its program statement to all county placing agencies with which placements are coordinated or services provided for, including the county in which the facility is located, for optional review when the STRTP updates its plan of operation/program statement. Once the letter of recommendation(s) has been received, the initial application (LIC 200) must be filled out with the attached Letter of recommendation(s), and submitted to the licensing agency for review.

Submit two complete copies of all Application and Supporting Documentation in the same sequence as they are listed above, tabbed and in binders. If the forms are incomplete, the licensing agency may return the packet to you. To prevent delays, be sure that you have all the necessary information completed, properly signed, with original signatures, and dated. Make a photocopy of your Application and Supporting Documentation before you give it to the licensing agency.

CREDIT REPORT - The purpose of a consumer credit report is to report your credit history and whether or not you repay loans on time for the things you buy.

Your rights of privacy are protected by law. The Department of Social Services obtains credit reports per Section 604 of the Fair Credit Reporting Act:

“A consumer reporting agency may furnish a consumer report under the following circumstances and no other ... (3) To a person which it has reason to believe... (D) intends to use the information in connection with a determination of the consumer's eligibility for a license or other benefit granted by a governmental instrumentality required by law to consider an applicant's financial responsibility or status:...”

Your consumer credit report is maintained in the confidential section of your facility file which is maintained in your local regional office.

REGULATIONS - The regulations that govern STRTPs covered by these application instructions are under California Code of Regulations, Title 22, Division 6 and interim licensing standards, Chapter 7.5 Short-Term Residential Therapeutic Program, Articles 1-10.

Copies of the regulations and amendments can be downloaded from <http://www.cdss.ca.gov/cdssweb/PG71.htm>.

APPLICATION AND SUPPORTING DOCUMENTATION – DESCRIPTIONS

1. APPLICATION FOR A COMMUNITY CARE FACILITY LICENSE (LIC 200)

- All items are filled out completely.
- All applicants must sign the application.
- The application should contain original signatures. The licensing agency will not accept photocopied signatures on this form.
- If the application indicates that the applicant previously held a license for a facility, the licensing agency will compare the Applicant Information Form (LIC 215), and verify that the applicant is not subject to disciplinary action.
- All persons signing the application must be authorized by the board resolution and the board resolution must be submitted with this form.

2. ORIENTATION CERTIFICATE

- Proof of attendance to the Community Care Licensing STRTP Orientation **MUST** be submitted with an application.

3. COUNTY LETTER OF RECOMMENDATION

- Prior to submitting an application, a STRTP shall obtain at least one letter of recommendation in support of its program from a county placing agency.
- The applicant must submit a list of all county placing agencies they sent their program statement to.
- If the applicant submits their application without a letter of recommendation in support of its program, the department shall cease review of the application.

4. APPLICANT INFORMATION (LIC 215)

- The form is completed for the person designated to act for the board, the signatory and the administrator.
- If the applicant previously held a license, held a beneficial ownership of 10 percent or more or was an administrator, general partner, corporate officer, or director of a licensed facility, the licensing agency will research to determine if the applicant is subject to disciplinary action.
- The form must contain original signatures. The licensing agency will not accept photocopied signatures on this form. Reference statements must be current and should not be from relatives.
- This form will be used as necessary to verify qualifications when an applicant also intends to be the Administrator/Director.

5. DESIGNATION OF FACILITY RESPONSIBILITY (LIC 308)

- At least one individual must be designated as the authorized person of the STRTP to act in the licensee's absence. **A LICENSEE CANNOT DESIGNATE HIM OR HERSELF.** More than one staff person may be designated on a form.
- A board resolution must authorize the delegation and be submitted with this form.
- The form must contain the original signatures of the applicants/licensees. The licensing agency will not accept photocopied signatures on this form.

6. AFFIDAVIT REGARDING CLIENT CASH RESOURCES (LIC 400)

- Make sure the form is completed and the appropriate box is checked.
- Make sure a bond is obtained if needed.
- The form must contain the original signatures of the applicants/licensees. The licensing agency will not accept photocopied signatures on this form.

7. SURETY BOND (LIC 402)

- Make sure the bonding agency uses the language found on the LIC 402, if the form itself is not used. The State of California must be identified as the beneficiary and there must be an effective date and expiration date.
- Compare the LIC 402 to ensure that the bond is in the amount indicated on the LIC 400.
- Below are examples of situations when a bond is needed. (Because a licensee or facility employee is handling client cash resources).
 - The licensee/facility employee cashes client's check at the bank and returns the money to the client. In this situation, the licensee/facility employee has handled the client's money.
 - The licensee/facility employee keeps client money in a safe place, including a bank or other financial institution, and controls its distribution (i.e. hands out money).
- The original bond with original seal and signatures must be submitted. The form must contain the original signatures of the applicants/licensees. The licensing agency will not accept photocopied signatures on this form.

8. MONTHLY OPERATING STATEMENT (LIC 401)

- Instructions are found on the reverse side of the form.
- Make sure the number of clients corresponds with the requested capacity.
- Other facility income must be clear and documented.
- All facility operating costs must be indicated and reasonable (i.e. salaries shown as at least minimum wage).
- Approximately 25 percent of the salaries should normally be added for fringe benefits. If fringe benefits are applicable, the application should so state and explain why.
- Make sure rent amount corresponds with the lease/rental agreement/mortgage payment.
- If the applicant is the licensee of another facility, a separate LIC 401 must also be submitted for each licensed facility. For facilities in operation, this information must reflect the actual operating budget, not an estimate. At the top of the LIC 401, the applicant is to indicate whether the information contained on the form is estimated or actual.
- Make sure the form contains both the name of the preparer and the original signature of the applicant(s). The licensing agency will not accept photocopies of signatures on this form.

THE FOLLOWING FINANCIAL FORMS ARE NECESSARY IN ORDER TO CAPTURE THE OVERALL FINANCIAL STATUS OF THE APPLICANT AND TO DETERMINE IF THE APPLICANT HAS SUFFICIENT FINANCIAL RESOURCES TO OPERATE THE FACILITY (I.E. MEET EXPENSES). THESE FORMS AND A CREDIT REPORT WILL BE REVIEWED IN CONJUNCTION WITH ONE ANOTHER.

9. SUPPLEMENTAL FINANCIAL INFORMATION (LIC 401A)

- Instructions are found on the reverse side of the form.
- Part I is to reflect all other incomes and expenses, excluding facility income.
- Part I is to only be completed by sole proprietors and each general partner.
- Part II is to be completed by all applicants.
- Make sure the form contains both the name of the preparer and the original signature of the applicant(s).
The licensing agency will not accept photocopies of signatures on this form.

10. BALANCE SHEET (LIC 403)

- **STOP: The LIC 403A should be completed before filling out this form.**
- Instructions are found on the reverse side of the form.
- The information provided is to reflect assets and liabilities concerning all activities of the owners, not just those related to the operation of the facility.
- Figures must be realistic.
- Life insurance amount must be the cash value or surrender value, not "face value," (normally the amount to be paid upon death).
- The cost of the real estate should be indicated, not the appraised value.
- On-site furnishings and equipment listed should indicate the market value.
- Only cash and cash equivalents should be considered for meeting the three month start-up funds requirement. Cash equivalents are those assets which are readily converted to cash in one week or less.
- All information on the LIC 403A corresponds with information on LIC 403.
- Make sure the form contains both the name of the preparer and the original signature of the applicant(s).
The licensing agency will not accept photocopies of signatures on this form.

11. BALANCE SHEET SUPPLEMENTAL SCHEDULE (LIC 403A)

- This is a detailed balance sheet to be completed prior to completing the LIC 403.
- Instructions are found on the reverse side of the form.
- Cash in the bank will be verified with the use of the LIC 404.
- The licensing agency verifies liabilities by obtaining a credit report on the applicant.
- Make sure the form contains both the name of the preparer and the original signature of the applicant(s).
The licensing agency will not accept photocopies of signatures on this form.

12. FINANCIAL INFORMATION RELEASE AND VERIFICATION (LIC 404)

- This information is used to verify approximately three months of operating funds.
- If readily accessible, a verifiable line of credit from a reputable financial institution (i.e. a bank, savings and loan, credit union or major credit card) is acceptable for use as start-up funds. The credit check process requires certain past debts be brought current.
- Start-up funds should not be consumed on renovation or repair work to the facility.
- The licensing agency will send this form to the financial institution. The verification must be sent by the financial institution directly to the licensing agency. **THE LICENSEE CANNOT HAND CARRY IT.**
- One form or set of forms is required for each bank.
- Bank accounts must be in the applicant's name.
- The licensing agency will not accept photocopied signatures on this form.

13. PERSONNEL REPORT (LIC 500)

- All planned employee positions are to be shown on this form. Include days and hours staff will be scheduled for duty. The licensing agency will review to ensure there is required staff coverage for all hours of operation.
- The Director/Administrator and any staff hired at the time of the application should be on the form. Other positions with staff not yet hired must be listed as "to be hired" and designated by position title.
- The licensing agency will make sure anyone designated as **EXEMPT** from fingerprinting requirements is appropriate pursuant to Health and Safety Code Section 1522.
- Ensure that the reverse side of the LIC 500 is signed by the applicant/licensee or designated representative if there are exempt personnel at the facility.
- If the applicant is the license of another facility, a separate LIC 500 must also be submitted for each licensed facility.
- The licensing agency will **NOT** accept photocopied signatures on this form.

14. PERSONNEL RECORD (LIC 501)

- Only those who do not complete a LIC 215 should complete this form.
- This form is to be signed and submitted to the licensing agency with the application only for the directors/administrators. All other staff forms are to be kept on file for review at the facility.
- Verification of education and experience will be done against official transcripts and/or references.

15. HEALTH SCREENING REPORT FACILITY PERSONNEL (LIC 503)

(This form is not required, under certain circumstances, of persons who are adherents of a well-recognized church relying solely upon prayer or spiritual means of healing. Facilities must, however, present satisfactory evidence to the licensing agency that individuals are free from any communicable disease. Such evidence shall be a written statement from a practitioner recognized by this religion for the purpose of healing.)

- One form each is required for the applicant or designee and administrator.
- Health screening, at time of application, must be less than one year old.
- If the applicant has other licensed facilities, or the administrator has worked at another facility with the same licensee, and there is an exam on file, a new health exam is not required unless there are obvious health problems.
- The LIC 503 must be signed and dated by a qualified medical professional. The licensing agency will **NOT** accept photocopied signatures on this form.
- There must be a health screening with the TB clearance for the Board President, Chief Executive Officer or person designated by the board resolution.
- The Tuberculosis (TB) test portion of the form must be filled out, including result, or a separate test verification is needed.

16. CRIMINAL RECORD STATEMENT (LIC 508)

- One form each is required for the applicant or designee and administrator.

17. EMERGENCY DISASTER PLAN (LIC 610C)

- The plan must show two fire cleared relocation sites away from the facility that are able to accommodate the number of clients the facility is licensed for.
- If the property is not currently occupied by the applicant, the use of the relocation site requires authorization from the agency or person currently in possession. The authorization should be verified in writing.

18. LOCAL FIRE INSPECTION AUTHORITY INFORMATION (LIC 9054)

- The fire authority is identified.
- Ensure the fire authority is correct.

19. BOARD OF DIRECTORS STATEMENT (LIC 9165, PUB 326)

- Licensees are required to provide a copy of the Community Care Licensing's publication 326, Facts You Need to Know, Short-Term Residential Therapeutic Program Board of Directors, to each member of their board of directors.
- Provide a copy of the signed Board of Directors Statement (LIC 9165) from each member of your board of directors to the licensing agency.

20. CONTROL OF PROPERTY

It is necessary for the licensing agency to determine that the applicant/licensee has control over the facility property. Once licensed, the licensee must be able to ensure that the facility and grounds are maintained and are in compliance with regulations (i.e. repairs made to physical plant, swimming pools fenced, etc.).

- Provide the name(s) and address(es) of the property owner(s) of the facility.
- A copy of the lease agreement or rental agreement must be provided. (There are no requirements related to length of the lease or rental agreement).
 - If the agreement precludes the use of the property as a facility, prevents the applicant/licensee from achieving compliance with regulations, or the operation of a facility is contrary to the terms of the agreement, the license must be denied/withdrawn as the licensee would not have adequate control over the property (i.e. the agreement states that Susie and Mary are to be the persons residing in the house and anyone else needs to be approved or the agreement states that the property cannot be used for business purposes and the applicant wishes to operate a STRTP for more than six persons).
- Proof of ownership must be provided if the applicant is the owner of the property.
 - The licensing agency can verify this by a Property Tax bill, Deed or other related document. The documents provided must contain the facility street address within the document or its attachments.
- The Lease agreement must be consistent with the LIC 401.

21. BACTERIAL ANALYSIS OF WATER (if applicable)

- As a condition of initial licensure, the applicant shall provide evidence of an on-site inspection of the source of the water and a bacteriological analysis which establishes the safety of the water, conducted by the local health department, the State Department of Public Health or a licensed commercial laboratory.
- Subsequent to initial licensure, the licensee shall provide evidence of a bacteriological analysis of the private water supply as frequently as is necessary to ensure the safety of the clients.

22. APPLICATION OR DOCUMENTATION OF ACCREDITATION

An STRTP shall obtain national accreditation from an entity identified by the department.

The three approved accreditation agencies are:

- The Commission on Accreditation of Rehabilitation Facilities (CARF): <http://www.carf.org/>
- The Council on Accreditation (COA): <http://www.coanet.org/>
- The Joint Commission (JC): <http://www.jointcommission.org/>

For an STRTP that has been licensed before January 1, 2017 the following will apply:

- Shall have until December 31, 2018 to obtain accreditation.
- Shall submit documentation of accreditation or application for accreditation or a copy of its application for accreditation to the licensing agency as part of an updated program statement.
- Shall provide documentation to the department reporting its accreditation status as of January 1, 2017, January 1, 2018 and July 1, 2018.

For an STRTP that has been licensed on and after January 1, 2017 the following will apply:

- Shall have up to 24 months from the date of licensure to obtain accreditation.
- Shall submit documentation of accreditation or application or a copy of its application for accreditation with its application for licensure.
- The licensing agency may request additional information from a STRTP regarding its accreditation status.
- Shall provide a copy of its final accreditation summary report to the licensing agency within 30 days of its release date.

23. PLAN OF OPERATION/PROGRAM STATEMENT (LIC 9106A)