

2013 Annual Report

# Bureau of Human Services Licensing

A report on Licensed Personal Care Homes



**pennsylvania**  
DEPARTMENT OF PUBLIC WELFARE

# Adult Residential Licensing 2013 Annual Report

Introduction . . . . .	.2
Executive Summary . . . . .	.3
Characteristics of Pennsylvania’s Personal Care Homes and Residents Served. . . . .	.4
Annual Trends . . . . .	.5
Inspections. . . . .	.7
Violations . . . . .	.8
Complaints . . . . .	10
Incidents . . . . .	11
Enforcement Actions . . . . .	12
Administrative Fines. . . . .	12
Waivers . . . . .	13
Training and Technical Assistance . . . . .	14
Workload . . . . .	15
Appendix A . . . . .	17
Appendix B . . . . .	20
Appendix C . . . . .	24



## Introduction

Personal care homes are residential facilities serving four or more adults who require assistance or supervision with activities of daily living. Personal care services can range from simple daily living activities such as helping residents to obtain clean clothing, to more extensive assistance like help with bathing and dressing.

The Department of Public Welfare's Bureau of Human Services Licensing program protects the health, safety, and well-being of more than 45,000 vulnerable adults who reside in personal care homes, through the formulation, application, and enforcement of state licensing regulations. The Bureau of Human of Services Licensing also encourages the adoption of higher standards and recommends methods of improving care and services by providing technical assistance and consultation to licensed personal care home operators.

This report describes the characteristics of personal care homes and the needs of the individuals they serve, data on the number and types of inspections completed, the number of complaints investigated and enforcement actions taken, the provision of technical assistance to operators, and other methods used by the Bureau of Human Services Licensing to achieve its overarching vision: Protection through Prevention and Partnership.

In this report, personal care homes are referred to as "PCHs," or "homes," the Department of Public Welfare is referred to as "department," and the Bureau of Human Services Licensing is referred to as "BHSL." Unless otherwise noted, the information in this report covers the period of Jan. 1, 2013 through Dec. 31, 2013.

## Executive Summary - 2013

As of Dec. 31, 2013, there were 1,234 licensed personal care homes in the Commonwealth of Pennsylvania. Of those, approximately 69 percent (854) were for-profit, and 31 percent (380) were non-profit.

The total personal care home capacity on any given day in 2013 was approximately 65,000, with the total number of persons served about 45,000. This constitutes an occupancy rate of 70 percent and a vacancy rate of 30 percent.

The average maximum capacity of a personal care home was 53 and 87 percent of personal care homes had a licensed capacity of 10 people or more.

Residents who are 60 years of age or older made up 89 percent of all people served in a personal care home. Residents with low income who receive the Supplemental Security Income (SSI) personal care home supplement made up 16 percent of all people served in a personal care home. Of the total number of personal care homes, 55 percent served at least one person who received SSI.

BHSL completed 23,351 inspections in 2013. Nearly 46 percent of all homes had more than one inspection.

A total of 9,892 regulatory violations were found during inspections, with an average of 9.19 violations found during each full licensing inspection.

The most commonly found violations included improper documentation of medication administration record content, annual assessment of resident(s), not following the prescriber's directions when administering medications, and incomplete medical evaluation.

In 2013, BHSL received 1,230 complaints and 22,933 incident reports. Approximately 86 percent of these complaints required an on-site investigation.

BHSL issued 116 enforcement actions, most of which were Provisional (warning) licenses. Nine of these actions were emergency closures in response to immediate life safety dangers.

In 2013, BHSL mailed 55 letters warning of possible fines if violations were not corrected to 54 homes, and assessed approximately \$240,724 in fines. In accordance with law, money collected through the fine process is placed in a special account used to relocate residents in homes closed by enforcement action.

BHSL granted 99 regulatory waivers and denied four waivers. The most common waiver request related to qualifications of direct-care staff (most due to staff holding a non-U S diploma).

BHSL provided 500 hours of free training to personal care home operators regarding Diabetes Education, Sexual Abuse Identification and Prevention, Working with Residents with Special Needs, Programs for Residents with Delirium, Dementia and Depression, and Fire Prevention and Preparedness.

In addition to the technical assistance that was provided by BHSL staff during home inspections, BHSL answered over 4,525 phone calls on its toll-free Operator Support Hotline, an increase of 22 percent from 2012.

# Characteristics of Pennsylvania's Personal Care Homes and Residents Served

As of Dec. 31, 2013, there were 1,234 personal care homes licensed in Pennsylvania. The exact number of homes changes as new homes open and other homes close.

Personal care homes vary in size. A PCH's maximum capacity is the highest number of people that can be served in the home and is indicated on the home's license. The smallest personal care home has a maximum capacity of four persons. The largest personal care home has a maximum capacity of 250 persons. The average maximum capacity of a personal care home is 53; the average number of persons served is 37.

Just as personal care homes open and close throughout the year, the number of residents served in a PCH also changes. This change occurs because residents move into a home, stay for a certain time, and then leave the home. Complete data on all persons who reside in personal care homes is not collected; however, the department collects a snapshot of the types of persons served during its annual inspections. The following information from December 2013 is representative of residents and their needs on any given day in calendar year 2013.

## Size of Personal Care Homes

Maximum Capacity	Percent of Homes in Size Range
9 or Fewer People	12.6%
10 – 29 People	25.6%
30 – 49 People	19.5%
50 – 74 People	15.8%
75 – 99 People	11.5%
100 – 199 People	14.0%
200 or Greater People	0.9%

# Annual Trends

## Residents in Pennsylvania Personal Care Homes

<b>Total Capacity</b>	65,152
<b>Total Number of Persons Served</b>	45,653
<b>Occupancy Rate</b> (Percentage of total capacity that is occupied)	70.1%
<b>Vacancy Rate</b> (Percentage of total capacity that is vacant)	29.9%

Personal care homes vary in size and populations served. Demographic information is collected by BHSL licensing staff during onsite inspections. The following information details the specific populations that were present and served based on age, need, and income.

Percent of Residents with a Dementia-Related Illness Over 60 Years of Age	Number of Homes	Percent of Homes
None	59	4.8%
1% - 49%	191	15.5%
50% - 99%	418	33.9%
All residents	566	45.8%
Total	1,234	100%

Percent of Residents with Mental Illness	Number of Homes	Percent of Homes
None	565	45.8%
1% - 49%	399	32.3%
50% - 99%	142	11.5%
All Residents	128	10.4%
Total	1,234	100%

Percent of Residents with an Intellectual Disability	Number of Homes	Percent of Homes
None	784	63.5%
1% - 49%	415	33.6%
50% - 99%	22	1.8%
All Residents	13	1.1%
Total	1,234	100%

Percent of Residents with a Dementia-Related Illness	Number of Homes	Percent of Homes
None	1,042	84.4%
1% - 49%	148	12.0%
50% - 99%	8	0.6%
All Residents	36	3.0%
Total	1,234	100%

Percent of Residents Served with Low Incomes	Number of Homes	Percent of Homes
None	548	44.4%
1% - 49%	340	27.5%
50% - 99%	255	20.7%
All Residents	91	7.4%
Total	1,234	100%

## Aggregate Snapshot of Residents by Age, Need, and Income

Resident Description	Number	Percent of
Total Served	45,653	100%
Residents 60 Years of Age or Older	40,542	88.8%
Residents with Mental Illness	6,298	13.8%
Residents with a Dementia Related Illness	4,784	10.5%
Residents with an Intellectual Disability	1,428	3.1%
Residents with low income who receive the Supplemental Security Income (SSI) PCH supplement	7,210	15.8%
Residents who pay privately or who are funded through a source other than SSI supplement	38,443	84.2%

Note: Percentages may not sum to 100 percent as residents may fall into more than one category.

Personal care homes are located in nearly every county in Pennsylvania. For county-specific information about the number and capacity of homes, please see Appendix A.

# Inspections

BHSL completes four basic types of licensing inspections. These include:

- Full Inspections, during which all regulations are measured.
- Indicator Inspections, during which a portion of the regulations are measured based on a history of regulatory compliance (see below).
- Partial Inspections, during which a portion of the regulations are measured in response to a complaint, a reported incident, or to monitor ongoing compliance.
- Initial Inspections, during which all of the regulations that can be measured are measured in a new home that does not yet serve four or more people.

BHSL is required by law to conduct at least one unannounced inspection of each of the commonwealth's licensed personal care homes every 12 months. In 2013, BHSL completed 2,351 inspections. Approximately three percent of the homes had more than one full inspection, and 46 percent of all homes inspected had more than one inspection in 2013.

## Number of Inspections Completed

Type of Inspection	Number Completed
Full	826
Indicator	230
Partial	1,284
Initial	11
All Inspections	2,351

## Percentage of Personal Care Homes with One or Multiple Inspections

Number of Inspections	Percentage of Homes in Category
1 Inspection	54.1%
2 - 5 Inspections	42.5%
6 - 10 Inspections	2.8%
Over 10 Inspections	0.5%

## Indicator Inspections

In July 2010, BHSL developed and implemented a licensing indicator system to increase the efficiency and effectiveness of the licensing program by refocusing the emphasis of the licensing process.

By using the licensing indicator system, less time is spent conducting license renewal inspections in personal care homes with a history of high regulatory compliance. This allows BHSL to spend more time providing technical assistance to and inspecting homes with a history of low regulatory compliance.

The licensing indicator system is a shortened version of the full inspection process. The licensing indicator system uses a tool designed to measure compliance with a small number of regulations determined through statistical methodology to predict compliance with all the regulations. If a home is in complete compliance with all the regulations measured in the licensing indicator tool, high compliance with all the regulations is statistically predicted.

The regulations selected by the statistical methodology are not the most common violations; rather, they are those regulatory violations found most often in low compliance homes, but not in high compliance homes. In other words, the regulations that are found most often out of compliance in low compliance homes and in compliance in high compliance homes are the indicator or predictor regulations.

A full inspection is automatically triggered if one or more violations of regulations are found during an indicator inspection. The full inspection is completed on the same day.

In 2013, 228 homes were eligible for an indicator inspection. No violations were found during 57 percent of the indicator inspections; 43 percent of the indicator inspections did identify violations, triggering a full inspection.

# Violations

Personal care homes must comply with approximately 500 different regulatory requirements. When noncompliance is found during a licensing inspection, a violation of the regulatory requirement is recorded. The table below shows the most frequently cited violations in calendar year 2013.

Total number of regulatory violations found (for all homes) = 9,892

Average number of violations found per home in full inspections = 9.19

## Most Frequently Cited Violations

Regulation 55 Pa.Code § 2600	Percent of Inspections Where Regulation Was Cited as a Violation																
<p>187(a) A medication record shall be kept to include the following for each resident for whom medications are administered:</p> <table border="0"> <tr> <td>(1) Resident's name.</td> <td>(9) Administration times.</td> </tr> <tr> <td>(2) Drug allergies.</td> <td>(10) Duration of therapy, if applicable.</td> </tr> <tr> <td>(3) Name of medication.</td> <td>(11) Special precautions, if applicable.</td> </tr> <tr> <td>(4) Strength.</td> <td>(12) Diagnosis or purpose for the medication, including pro re nata (PRN).</td> </tr> <tr> <td>(5) Dosage form.</td> <td>(13) Date and time of medication administration.</td> </tr> <tr> <td>(6) Dose.</td> <td>(14) Name and initials of the staff person administering the medication.</td> </tr> <tr> <td>(7) Route of administration.</td> <td></td> </tr> <tr> <td>(8) Frequency of administration.</td> <td></td> </tr> </table>	(1) Resident's name.	(9) Administration times.	(2) Drug allergies.	(10) Duration of therapy, if applicable.	(3) Name of medication.	(11) Special precautions, if applicable.	(4) Strength.	(12) Diagnosis or purpose for the medication, including pro re nata (PRN).	(5) Dosage form.	(13) Date and time of medication administration.	(6) Dose.	(14) Name and initials of the staff person administering the medication.	(7) Route of administration.		(8) Frequency of administration.		<p>13.4%</p>
(1) Resident's name.	(9) Administration times.																
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(6) Dose.	(14) Name and initials of the staff person administering the medication.																
(7) Route of administration.																	
(8) Frequency of administration.																	
<p>225(c) A resident shall have additional assessments as follows:</p> <ol style="list-style-type: none"> <li>(1) Annually.</li> <li>(2) If the condition of the resident significantly changes prior to the annual assessment.</li> <li>(3) At the request of the department upon cause to believe that an update is required.</li> </ol>	<p>10.9%</p>																
<p>187(d) The home shall follow the directions of the prescriber.</p>	<p>10.3%</p>																

Regulation 55 Pa.Code § 2600	Percent of Inspections Where Regulation Was Cited as a Violation												
<p>141(a) A resident shall have a medical evaluation by a physician, physician’s assistant or certified registered nurse practitioner documented on a form specified by the department, within 60 days prior to admission or within 30 days after admission. The medical evaluation shall include the following:</p> <table border="0"> <tr> <td>(1) A general physical examination by a physician, physician’s assistant or nurse practitioner.</td> <td>(7) Medication regimen, contraindicated medications, medication side effects and the ability to self-administer medications.</td> </tr> <tr> <td>(2) Medical diagnosis including physical or mental disabilities of the resident, if any.</td> <td>(8) Body positioning and movement stimulation for residents, if appropriate.</td> </tr> <tr> <td>(3) Medical information pertinent to diagnosis and treatment in case of an emergency.</td> <td>(9) Health status.</td> </tr> <tr> <td>(4) Special health or dietary needs of the resident.</td> <td>(10) Mobility assessment, updated annually or at the department’s request.</td> </tr> <tr> <td>(5) Allergies.</td> <td></td> </tr> <tr> <td>(6) Immunization history.</td> <td></td> </tr> </table>	(1) A general physical examination by a physician, physician’s assistant or nurse practitioner.	(7) Medication regimen, contraindicated medications, medication side effects and the ability to self-administer medications.	(2) Medical diagnosis including physical or mental disabilities of the resident, if any.	(8) Body positioning and movement stimulation for residents, if appropriate.	(3) Medical information pertinent to diagnosis and treatment in case of an emergency.	(9) Health status.	(4) Special health or dietary needs of the resident.	(10) Mobility assessment, updated annually or at the department’s request.	(5) Allergies.		(6) Immunization history.		9.9%
(1) A general physical examination by a physician, physician’s assistant or nurse practitioner.	(7) Medication regimen, contraindicated medications, medication side effects and the ability to self-administer medications.												
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(5) Allergies.													
(6) Immunization history.													
<p>225(a) A resident shall have a written initial assessment that is documented on the department’s assessment form within 15 days of admission. The administrator or designee, or a human service agency may complete the initial assessment.</p>	8.7%												
<p>227(d) Each home shall document in the resident’s support plan the medical, dental, vision, hearing, mental health or other behavioral care services that will be made available to the resident, or referrals for the resident to outside services if the resident’s physician, physician’s assistant or certified nurse practitioner, determine the necessity of these services. This requirement does not require a home to pay for the cost of these medical and behavioral care services.</p>	8.0%												
<p>16(c) The home shall report the incident or condition to the department’s personal care home regional office or the personal care home complaint hotline within 24 hours in a manner designated by the department. Abuse reporting shall also follow the guidelines in § 2600.15 (relating to abuse reporting covered by law).</p>	7.6%												
<p>185(a) The home shall develop and implement procedures for the safe storage, access, security, distribution and use of medications and medical equipment by trained staff persons.</p>	6.7%												
<p>85(a) Sanitary conditions shall be maintained.</p>	6.6%												
<p>224(a) Preadmission screening: a determination shall be made within 30 days prior to admission and documented on the department’s preadmission screening form that the needs of the resident can be met by the services provided by the home.</p>	6.1%												

The specific details of regulatory violations are unique to each situation. For a sample of the specific findings for each of the violations listed above, please see Appendix B.

### Number of Violations Found

Number of Violations Found During Each Full Inspection	Percent of Inspections in Category
0 Violations	10.2%
01 - 10 Violations	60.4%
11 - 30 Violations	27.0%
31 - 50 Violations	2.3%
51 - 100 Violations	0.1%
Over 100 Violations	0.0%

## Complaints

BHSL investigates all complaints of a potential regulatory violation in a personal care home. Complaints can be made by anyone at any time; including nights and weekends. Approximately 86 percent of the complaints received in 2013 required an on-site investigation. Approximately 11 percent of the complaints received were high-risk, requiring investigation within 72 hours.

### Number of Complaints Received and Investigated

Number of Complaints Received	1,230
Number of Complaints Requiring On-site Investigation	1,059
Percent of Complaints Requiring On-site Investigation	86.1%
Percent of Complaints Where One or More Regulatory Violations Were Found	54.7%

# Incidents

Personal Care Homes are required to report certain incidents to BHSL. BHSL received 22,933 incident reports in 2013, four percent (1,001) of which required further investigation. It is likely that some homes do not report all incidents that are required to be reported, and that some homes do not report any incidents even though they occur.

## Types of Incidents Reported

Type of Incident	Percent of Total Reported Incidents
Serious bodily injury or trauma requiring treatment at a hospital	42.8%
Death of a resident	20.5%
Prescription medication error	17.4%
Incident requiring the services of emergency management agency, fire department, or police department	9.5%
Physical or sexual assault of a resident	3.1%
Complaint of abuse, suspected resident abuse, or referral of a complaint of abuse to local authority	1.5%
Outbreak of a serious communicable disease	1.4%
Violation of a resident's rights	1.2%
Unexplained absence of a resident for 24 hours or more, or any absence of a resident from a secure dementia care unit	0.9%
Emergency such as natural disaster or utility outage	0.8%
Utility termination notice or actual service termination	0.2%
Suicide attempt	0.2%
Misuse of a resident's funds by the home's staff or legal entity	0.2%
Violation of health and safety laws	0.1%
Unscheduled closure of the home or relocation of the residents	0.1%
Food poisoning	0.1%
Fire or structural damage to a home	0.1%
Criminal conviction against legal entity, administrator or staff (relating to criminal history background checks)	0.1%
Bankruptcy filed by the legal entity	0.0%

Note: Percentages will not add to 100 percent due to rounding

## Enforcement Actions

Enforcement actions are taken in response to serious life safety conditions such as physical and sexual abuse of residents, criminal felony convictions, serious fire safety risks, resident neglect/abandonment, deplorable unsanitary conditions, falsification of documents, failure to seek necessary medical care, failure to provide staff supervision, lack of food, utilities, and building code violations.

### Enforcement History

Type of Enforcement Action	2013 Totals
Emergency Relocations	9
License Revocations	7
Nonrenewals of License	5
Denials of Initial License	3
Illegal Operations	10
Court Filings	9
Orders to Limit Access	3
Provisional Licenses due to Enforcement (not new homes)	48
Fines	20
Court Appointment of Master	2
<b>Total Enforcement Actions</b>	<b>116</b> (average 9.7 per month)

For a complete list of enforcement actions by county and a glossary of enforcement terms, please see Appendix C.

## Administrative Fines

Since 2009, the department has imposed an administrative fine process as an additional enforcement tool to compel regulatory compliance. Throughout 2013, the department assessed a monetary fine for a repeated regulatory violation that was not corrected timely in homes under licensing enforcement action. Administrative fines are used to compel compliance with state licensing regulations, not to generate revenue or punish homes for noncompliance.

Administrative fines are classified as Class I (requiring correction within 24 hours), Class II (requiring correction in five days), or Class III (requiring correction in 15 days). Homes were issued a warning that fines would be issued if violations were not corrected within the allowed timeframes homes that did not correct violations were fined after the correction period ended.

In accordance with law, money collected through the fine process is placed in a special account used to relocate residents in homes closed by enforcement action.

### Administrative Fines Summary

Summary	2013 Totals
Warnings of possible files	55
Number of homes issued warnings	54
Number of fines issued	21
Number of homes issued files	20
Number of violations for which fines were invoiced	21
- Class I	3
- Class II	10
- Class III	8
<b>Total Fine Amount Assessed</b>	<b>\$240,724</b>

# Waivers

Waivers of regulations may be granted by the department when all of the following conditions are met:

- There is no jeopardy to the residents.
- An alternative for meeting the health and safety needs of the residents is provided.
- Residents benefit from the waiver.

## Waiver Determination Summary

More Information Needed/Pending	Waiver Withdrawn	Waiver Not Needed	Granted	Denied	Total
17	1	41	99	4	162

## Top Regulations for which Waivers were Requested

Regulation 55 Pa.Code § 2600.	Total Number of Requests	Granted	Denied	Waiver Not Needed	Outcome Pending	Waiver Withdrawn
54(a) Qualifications for direct care staff (Most due to non-U.S. high school diplomas)	93	40	0	36	17	0
141(a) and 224(a) Documentation of Medical Evaluation and Preadmission Screening (all due to PCHs wanting to use their own forms instead of DPW forms)	29	29	0	0	0	0
224(a) and 231(c) Documentation of Preadmission Screening - PCHs with SDCUs (All due to PCHs wanting to use their own forms instead of DPW forms)	14	14	0	0	0	0
101(e) Ceiling Height of Resident Bedrooms	3	3	0	0	0	0
190(a), (b) Medication Administration Training (Most due to PCHs wanting to provide injections to residents with Osteoporosis)	3	2	0	1	0	0

## Training and Technical Assistance

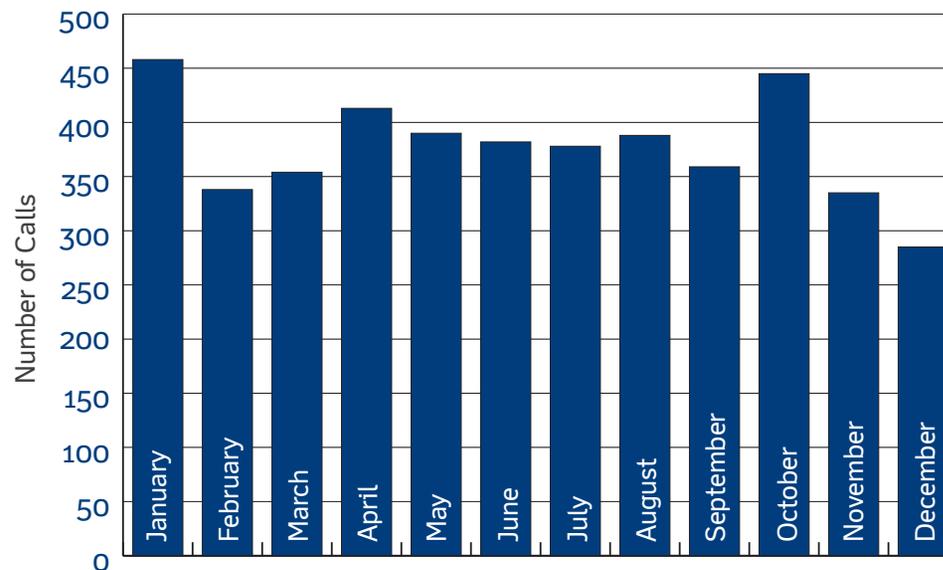
BHSL is committed to the provision of training and technical assistance to personal care home operators to support the provision of safe, highly compliant residential settings.

BHSL staff provides on-site, one-on-one technical assistance to homes having difficulty complying with the regulations that primarily serve persons who receive SSI. BHSL also conducts Risk Management Team meetings with other federal, state, and local agencies to develop coordinated, intra-agency strategies to assist struggling homes.

BHSL arranges and provides training courses for personal care home administrators and staff. All of the training provided directly by BHSL is offered free of charge, as is much of the training the BHSL arranges but does not provide directly. BHSL offered 127 training sessions totaling 500 hours of free training at multiple locations throughout the state in 2013. Courses included resident rights, fire safety, nutrition and food handling, coordinating with local services agencies, infection control, and elder abuse prevention. Full scholarships for the required 100-hour administrator-training course are granted to personal care homes serving residents who receive SSI; 22 homes applied for and 18 received such scholarships in 2013. Additionally, a direct care staff training course is available online at no cost to operators.

Since 2010, BHSL has maintained a toll-free Operator Support Hotline to provide personal care home operators a free resource to request technical assistance, provide comments and suggestions, and report unprofessional and inappropriate conduct. In 2013, BHSL received 4,525 calls to the Operator Support Hotline. Calls to the Operator Support Hotline do not result in unannounced inspections.

**Operator Support Hotline Call Volume**

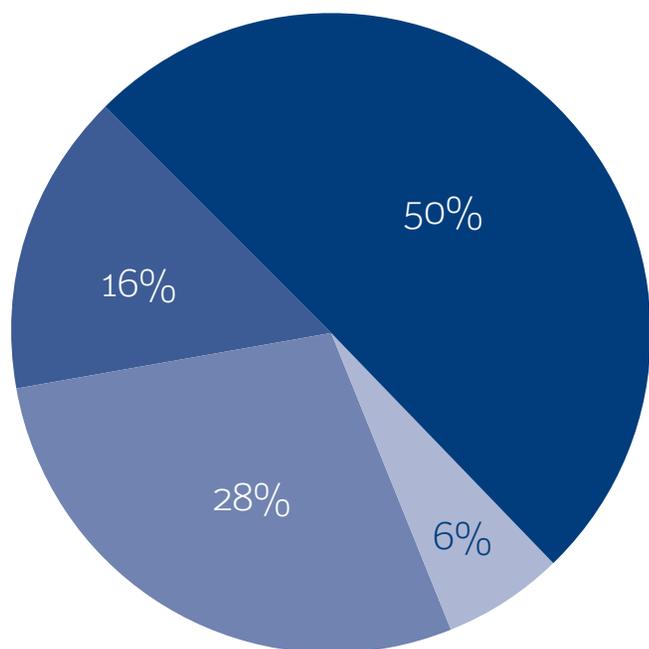


## Workload

In addition to a small component of management/support staff, BHSL currently employs 39 licensing inspectors who perform the inspection work described in this report. The volume and distribution of annual workload varies based on the number of licensing actions required, travel time, and the type of inspection required.

Region	Number of Inspectors	Number of Homes	Inspector to Home Workload Ratio
Central	9	276	1:31
Northeast	9	233	1:26
Southeast	4	254	1:64
West	17	471	1:28
<b>Statewide</b>	<b>39</b>	<b>1,234</b>	<b>1:32</b>

BHSL provides training per year to each licensing inspector. Training topics include inspection policies, PCH regulations, laws of other state agencies, investigation skills, financial administration, abuse prevention and investigation, fire safety, nutrition, program development, resident rights, elder care, mental health services, preventing the spread of communicable diseases, cultural awareness and medication practices. A new licensing inspector receives over 120 hours of training in his/her first six months of employment. Initial training includes participation in the department's medication administration program, attendance at administrator training courses, and on-the-job instruction.



### Distribution of Workload

- Licensing Duties\*
- Traveling to Homes
- Conducting Inspections
- Other\*\*

\*Licensing duties include preparing reports of violations, assisting homes to develop acceptable plans of correction for identified violations, and verifying compliance.

\*\*Other duties include training and technical assistance and other enforcement actions such as relocations, court testimony, and off-site investigations.

## About this Report

This report is produced and distributed pursuant to 62 P.S. § 1088.

### Report Prepared By:

Edward Slavinsky, Information Systems Manager  
Jacob Herzing, Enforcement Manager

### CONTACT for questions on this report:

Bureau of Human Services Licensing  
Pennsylvania Department of Public Welfare  
Room 631 Health and Welfare Building  
Seventh and Forster Streets  
Harrisburg, PA 17120; 717-783-3670  
ra-pwarlheadquarters@state.pa.us

The Personal Care Home Complaint Hotline is answered 24 hours a day, seven days a week. To make a complaint against a licensed personal care home, to report an emergency situation in a personal care home, or to report illegal operations, please call:

**1-877-401-8835**

The Operator Support Hotline is available from 9 a.m. – 4 p.m. on each business day. If you are a personal care home operator and have a question, comment or concern please call:

**1-866-503-3926**

# Appendix A

## Homes, Licensed Capacity, Residents, and Profit Status by County

County	Homes	Licensed Capacity	# PCH Residents	# SSI Residents	Homes w/SSI Residents	4-8 Beds	9-29 Beds	30-99 Beds	100+ Beds	Profit	Non Profit
Adams	10	408	269	39	6	2	4	2	2	8	2
Allegheny	136	7,877	5,939	876	71	16	30	63	27	97	39
Armstrong	25	544	437	112	20	8	10	7	-	22	3
Beaver	21	1,018	793	147	13	3	6	9	3	19	2
Bedford	3	147	108	15	3	-	1	2	-	3	-
Berks	31	2,212	1,619	234	13	-	6	18	7	26	5
Blair	20	942	671	129	14	2	6	10	2	12	8
Bradford	6	240	189	55	5	-	3	3	-	5	1
Bucks	42	2,394	1,714	59	12	4	8	23	7	19	23
Butler	32	2,026	1,468	140	20	3	7	16	6	21	11
Cambria	26	1,225	828	188	18	-	7	18	1	20	6
Cameron	3	38	26	11	2	1	2	-	-	1	2
Carbon	10	451	319	33	4	3	3	2	2	9	1
Centre	12	609	436	18	5	1	2	8	1	7	5
Chester	50	2,864	1,698	89	16	13	7	18	12	35	15
Clarion	5	242	143	30	5	-	1	4	-	2	3
Clearfield	7	383	309	38	5	-	2	4	1	5	2
Clinton	4	172	125	61	1	1	1	2	-	4	-
Columbia	3	179	136	18	3	-	-	3	-	3	-
Crawford	6	366	248	43	3	-	2	3	1	2	4
Cumberland	23	1,439	949	55	15	6	1	11	5	9	14
Dauphin	20	1,094	846	131	11	6	1	11	2	5	15
Delaware	32	1,993	1,363	118	13	8	6	9	9	18	14
Elk	2	134	83	6	2	-	-	2	-	-	2
Erie	23	1,460	824	102	13	3	4	9	7	14	9
Fayette	39	1,036	720	216	26	7	17	15	-	38	1
Forest	-	-	-	-	-	-	-	-	-	-	-
Franklin	17	909	636	59	10	3	4	7	3	9	8
Fulton	1	37	37	29	1	-	-	1	-	1	-

County	Homes	Licensed Capacity	# PCH Residents	# SSI Residents	Homes w/SSI Residents	4-8 Beds	9-29 Beds	30-99 Beds	100+ Beds	Profit	Non Profit
Greene	9	198	172	68	7	1	5	3	-	9	-
Huntingdon	2	76	63	18	1	-	-	2	-	-	2
Indiana	24	613	470	150	17	4	9	11	-	21	3
Jefferson	13	429	297	117	12	1	4	8	-	11	2
Juniata	5	118	111	42	4	1	3	1	-	5	-
Lackawanna	17	1,067	756	195	6	-	1	15	1	13	4
Lancaster	54	3,476	2,526	374	34	6	8	26	14	24	30
Lawrence	16	620	436	91	10	1	5	10	-	11	5
Lebanon	19	756	544	101	7	2	5	12	-	10	9
Lehigh	28	1,983	1,472	145	12	-	7	13	8	21	7
Luzerne	30	2,087	1,507	364	22	2	5	16	7	24	6
Lycoming	14	637	424	100	8	1	6	6	1	9	5
Mckean	3	173	106	20	3	-	1	1	1	1	2
Mercer	18	837	485	67	13	4	4	7	3	12	6
Mifflin	3	219	166	5	1	-	-	3	-	2	1
Monroe	11	549	359	57	6	1	2	7	1	9	2
Montgomery	51	3,927	2,584	56	11	2	7	28	14	27	24
Montour	5	253	183	56	4	-	1	4	-	1	4
Northampton	29	2,257	1,438	132	6	2	4	15	8	24	5
Northumberland	16	724	472	175	12	1	8	6	1	15	1
Perry	2	76	57	12	2	-	1	1	-	1	1
Philadelphia	79	3,277	2,217	916	60	7	40	23	9	49	30
Pike	2	100	86	-	-	-	-	2	-	2	-
Potter	1	30	20	4	1	-	-	1	-	-	1
Schuylkill	8	523	364	43	3	-	3	4	1	8	-
Snyder	1	95	81	-	-	-	-	1	-	1	-
Somerset	16	595	406	110	13	1	7	7	1	11	5
Sullivan	1	10	9	3	1	-	1	-	-	1	-
Susquehanna	1	36	35	1	1	-	-	1	-	1	-
Tioga	5	201	139	49	4	-	1	4	-	2	3
Union	4	243	170	16	4	-	1	2	1	2	2

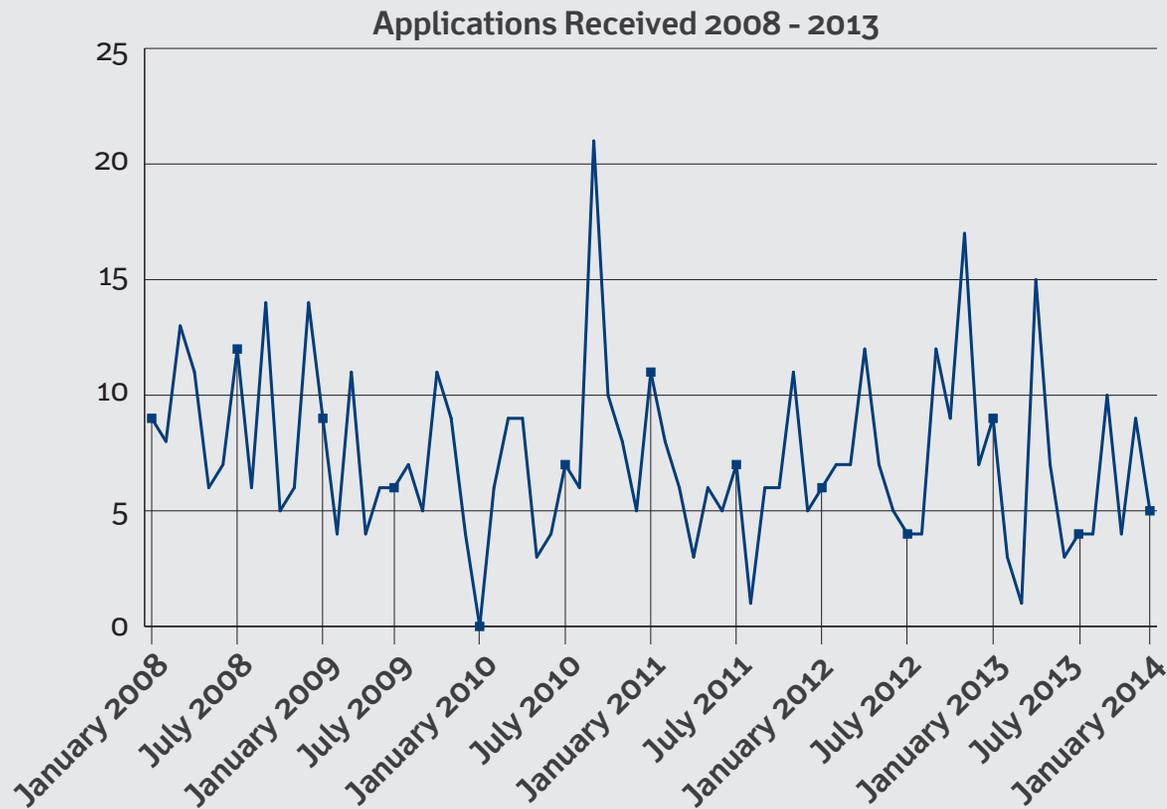
County	Homes	Licensed Capacity	# PCH Residents	# SSI Residents	Homes w/SSI Residents	4-8 Beds	9-29 Beds	30-99 Beds	100+ Beds	Profit	Non Profit
Venango	4	157	127	65	3	-	1	3	-	2	2
Warren	6	230	159	30	5	-	4	2	-	1	5
Washington	36	1,179	864	208	18	9	12	14	1	33	3
Wayne	6	230	188	52	4	-	4	2	-	5	1
Westmoreland	53	2,404	1,661	204	26	7	15	26	5	47	6
Wyoming	5	108	96	25	3	1	3	1	-	4	1
York	28	2,220	1,470	109	12	2	6	11	9	21	7
<b>Total</b>	<b>1,234</b>	<b>65,152</b>	<b>45,653</b>	<b>7,231</b>	<b>686</b>	<b>146</b>	<b>325</b>	<b>579</b>	<b>184</b>	<b>854</b>	<b>380</b>

# Appendix B

## Applications, Inspections, Enforcement and Facility Information

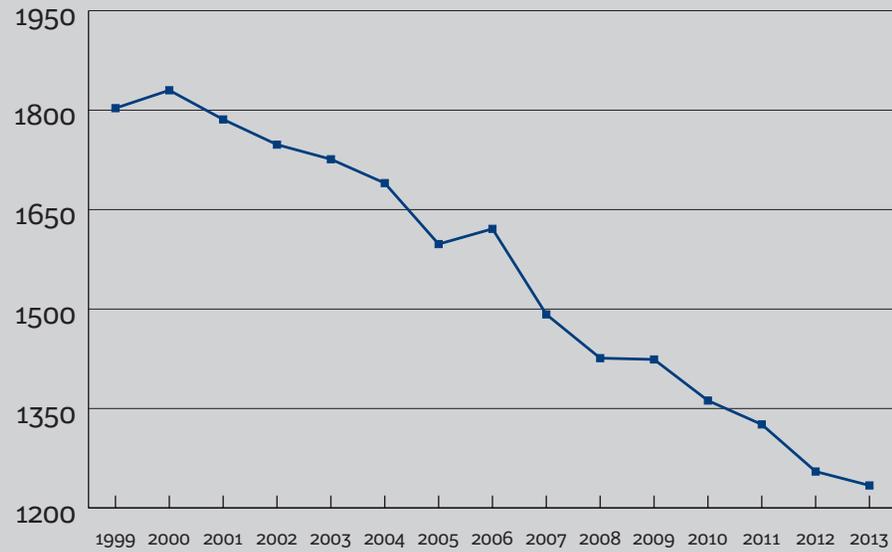
BHSL received 623 applications for licensure in between January 2008 and December 2013. Of these, 41 percent were applications for new homes, and 59 percent were applications for a new owner to operate an existing home. Most of the applications received by BHSL resulted in licensure.

Application Status	Number	Percent
Denied	49	7.9%
Issued	396	63.6%
Not Needed	159	25.5%
Other (Pending or Withdrawn)	19	3.0%
TOTAL	623	100.0%

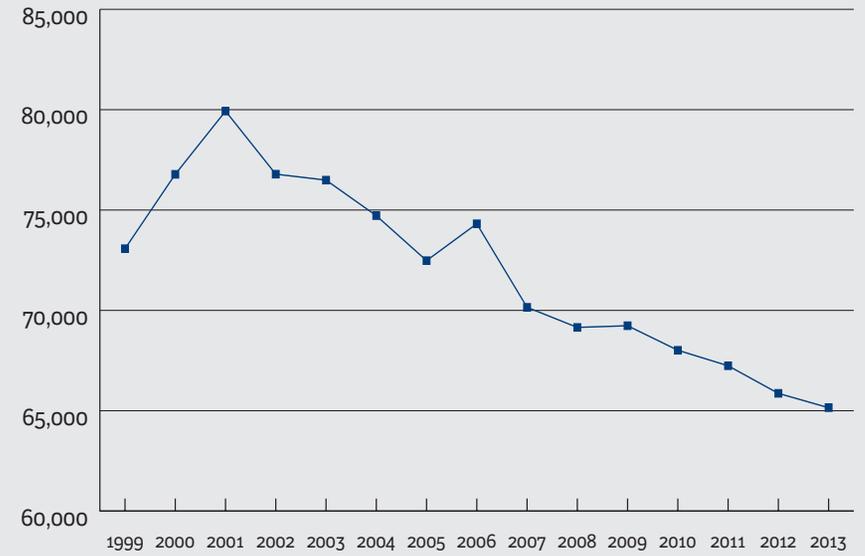


The total number and capacity of personal care homes in Pennsylvania has been steadily declining. The tables below show the numbers of homes and total capacity between January 2008 and December 2013.

**Total Number of Licensed Personal Care Homes**



**Total Licensed Capacity of all Personal Care Homes**



## Inspections

Since a peak in 2010, the number of personal care home inspections has seen a steady decline. This decrease is likely due to the decreasing number of homes, receipt of fewer complaints, and the provision of additional training.

Type of Inspection	Number Completed					
	2008	2009	2010	2011	2012	2013
Full	1,540	1,572	1,593	889	877	826
Partial	1,292	1,346	1,640	1,684	1,565	1,514
Initial	63	33	36	26	64	11
All Inspections	2,895	2,951	3,269	2,599	2,496	2,351

Number of Inspections	Percentage of Homes in Category					
	2008	2009	2010	2011	2012	2013
1 Inspection	50%	53%	57%	52%	53%	54%
2 - 5 Inspections	45%	43%	41%	43%	43%	43%
6 - 10 Inspections	4%	3%	2%	4%	4%	3%
Over 10 Inspections	1%	1%	1%	1%	1%	1%

Just as the number of inspections has decreased, the total and average numbers of violations has decreased as well.

Number of Violations Found During Each Full Inspection	Percentage of Inspections in Category					
	2008	2009	2010	2011	2012	2013
0 Violations	2%	3%	3%	6%	5%	10%
01 - 10 Violations	41%	55%	55%	60%	65%	60%
11 - 30 Violations	46%	37%	37%	33%	28%	27%
31 - 50 Violations	10%	4%	4%	1%	1%	2%
51 - 100 Violations	2%	1%	1%	1%	1%	1%
Over 100 Violations	0%	0%	0%	0%	0%	0%

## Complaints and Enforcement Actions

The total number of complaints received against personal care homes has remained relatively consistent. However, more complaints required an on-site investigation, and more regulatory violations were found during complaint investigations. The total number of enforcement actions has decreased.

	2008	2009	2010	2011	2012	2013
Number of Complaints Received	1,683	1,441	1,317	1,431	1,282	1,230
Number of Complaints Requiring On-site Investigation	1,503	1,260	1,033	1,315	1,014	1,059
Percent of Complaints Requiring On-site Investigation	89%	87%	78%	92%	79%	86%
Percent of Complaints Where One or More Regulatory Violations Were Found	30%	36%	36%	42%	41%	55%

## Enforcement History January 2008 - December 2013

Type of Enforcement Action	2008	2009	2010	2011	2012	2013
Emergency Relocations	3	2	7	3	8	9
License Revocations	4	5	3	4	4	7
Nonrenewals of License	31	34	37	19	13	5
Denials of Initial License	7	8	15	8	10	3
Illegal Operations	11	4	27	13	12	10
Court Filings	1	2	1	0	0	9
Orders to Limit Access	9	8	2	1	2	3
Provisional Licenses due to Enforcement (not new homes)	247	212	204	117	61	48
Fines	N/A	133	170	84	47	20
Court Appointment of Master	0	1	1	1	2	2
<b>TOTAL ENFORCEMENT ACTIONS</b>	<b>313</b>	<b>409</b>	<b>467</b>	<b>250</b>	<b>159</b>	<b>116</b>
<b>AVERAGE PER MONTH</b>	<b>26/month</b>	<b>34/month</b>	<b>39/month</b>	<b>21/month</b>	<b>13/month</b>	<b>10/month</b>

# Appendix C

## Licensing Status and Enforcement Actions by County

County	License Status as of Jan. 2, 2013		Cumulative Enforcement Actions for 2013									
	Regular Licenses	Provisional Licenses	Emergency Relocations	License Revocations	Nonrenewal of License	Denial of Initial License	Illegal Operations	Court Filings	Orders to Limit Access	Provisional Licenses Issued	Fines	Court Appointment of Master
Adams	9	1	1	-	-	-	-	-	-	1	-	-
Allegheny	127	9	2	-	-	1	4	1	-	9	5	-
Armstrong	24	1	1	2	-	-	-	1	1	-	1	-
Beaver	21	0	-	-	-	-	-	-	-	1	-	-
Bedford	3	0	-	-	-	-	-	-	-	-	-	-
Berks	30	1	-	-	-	-	-	-	-	2	-	-
Blair	20	0	-	-	-	-	-	-	-	-	-	-
Bradford	5	1	-	-	-	-	-	-	-	-	-	-
Bucks	41	1	-	-	-	-	-	-	-	-	-	-
Butler	30	2	-	-	1	-	1	1	-	-	1	-
Cambria	26	0	-	-	-	-	-	-	-	2	-	-
Cameron	3	0	-	-	-	-	-	-	-	-	-	-
Carbon	7	3	-	-	-	1	2	-	-	1	2	-
Centre	12	0	-	-	-	-	-	-	-	-	-	-
Chester	48	2	-	-	-	-	-	-	-	1	-	-
Clarion	5	0	-	-	-	-	-	-	-	-	-	-
Clearfield	7	0	-	-	-	-	-	-	-	-	1	-
Clinton	2	2	-	-	-	-	-	-	-	1	-	-
Columbia	3	0	-	-	-	-	-	-	-	-	-	-
Crawford	6	0	-	-	-	-	1	-	-	-	1	-
Cumberland	21	2	-	-	-	-	-	-	-	1	-	-
Dauphin	19	1	1	1	-	-	-	-	-	1	-	-
Delaware	32	0	-	-	-	-	-	1	-	-	-	-
Elk	2	0	-	-	-	-	-	-	-	-	-	-
Erie	23	0	-	-	-	-	-	-	-	1	-	-
Fayette	35	4	1	1	-	-	-	-	-	2	1	-
Forest	0	0	-	-	-	-	-	-	-	-	-	-

County	License Status as of Jan. 2, 2013		Cumulative Enforcement Actions for 2013									
	Regular Licenses	Provisional Licenses	Emergency Relocations	License Revocations	Nonrenewal of License	Denial of Initial License	Illegal Operations	Court Filings	Orders to Limit Access	Provisional Licenses Issued	Fines	Court Appointment of Master
Franklin	17	0	-	-	-	-	-	-	-	-	-	-
Fulton	1	0	-	-	-	-	-	-	-	-	-	-
Greene	9	0	-	-	-	-	-	-	-	-	-	-
Huntingdon	2	0	-	-	-	-	-	-	-	-	-	-
Indiana	21	3	-	-	-	-	-	-	-	2	1	-
Jefferson	13	0	-	-	-	-	-	-	-	-	-	-
Juniata	5	0	-	-	-	-	-	-	-	-	-	-
Lackawanna	14	3	-	-	-	-	-	-	-	2	-	-
Lancaster	52	2	-	-	-	-	-	-	-	1	1	-
Lawrence	16	0	-	-	-	-	-	-	-	-	-	-
Lebanon	18	1	-	-	-	-	-	-	-	-	1	-
Lehigh	25	3	-	-	-	-	-	-	-	2	1	-
Luzerne	29	1	-	-	-	-	-	-	1	3	1	-
Lycoming	14	0	-	-	-	-	-	-	-	-	-	-
Mckean	3	0	-	-	-	-	-	-	-	-	-	-
Mercer	16	2	-	-	-	-	-	-	-	1	1	-
Mifflin	3	0	-	-	-	-	-	-	-	-	-	-
Monroe	11	0	-	-	-	-	-	-	-	1	-	-
Montgomery	50	1	-	-	1	-	-	2	-	2	-	1
Montour	5	0	-	-	-	-	-	-	-	-	-	-
Northampton	28	1	-	-	-	-	-	-	-	2	-	-
Northumberland	15	1	-	-	1	-	-	-	-	-	-	-
Perry	2	0	-	-	-	-	-	-	-	-	-	-
Philadelphia	74	5	3	1	-	1	2	1	-	3	1	-
Pike	2	0	-	-	-	-	-	-	-	-	-	-
Potter	1	0	-	-	-	-	-	-	-	-	-	-
Schuylkill	7	1	-	-	1	-	-	-	-	-	-	-
Snyder	1	0	-	-	-	-	-	-	-	-	-	-
Somerset	16	0	-	-	-	-	-	-	-	-	-	-

County	License Status as of Jan. 2, 2013		Cumulative Enforcement Actions for 2013									
	Regular Licenses	Provisional Licenses	Emergency Relocations	License Revocations	Nonrenewal of License	Denial of Initial License	Illegal Operations	Court Filings	Orders to Limit Access	Provisional Licenses Issued	Fines	Court Appointment of Master
Sullivan	1	0	-	-	-	-	-	-	-	-	-	-
Susquehanna	1	0	-	-	-	-	-	-	-	-	-	-
Tioga	5	0	-	1	-	-	-	-	-	-	-	-
Union	4	0	-	-	-	-	-	-	-	-	-	-
Venango	4	0	-	-	-	-	-	-	-	-	-	-
Warren	6	0	-	-	-	-	-	-	-	-	-	-
Washington	35	1	-	-	1	-	-	1	-	4	-	1
Wayne	5	1	-	1	-	-	-	1	1	-	-	-
Westmoreland	49	4	-	-	-	-	-	-	-	-	-	-
Wyoming	4	1	-	-	-	-	-	-	-	1	-	-
York	27	1	-	-	-	-	-	-	-	1	1	-
<b>Total</b>	<b>1,172</b>	<b>62</b>	<b>9</b>	<b>7</b>	<b>5</b>	<b>3</b>	<b>10</b>	<b>9</b>	<b>3</b>	<b>48</b>	<b>20</b>	<b>2</b>

## License Status and Enforcement Glossary

- Regular** . . . . . A document issued to a legal entity permitting it to operate a specific type of facility or agency, at a given location, for a specified period of time, and according to appropriate departmental program licensure or approval regulations - 55 Pa.Code §20.4
- Provisional** . . . . . A license issued to an operator based on substantial but not complete compliance - 62 P.S. § 1008 (serves a warning of substantive regulatory violations)
- Emergency relocation** . . . . . An action to close a premises issued by a local jurisdiction such as the police or local building codes official, or an order issued by the Department of Public Welfare under 55 Pa. Code §20.37.
- Revocation** . . . . . Taking back a previously issued license before it expires – 62 P.S. §1026(b)
- Nonrenewal** . . . . . Refusal to renew a license upon its expiration – 62 P.S. §1026(b)
- Denial** . . . . . Refusal to grant a license to a new applicant – 62 P.S. § 1007
- Illegal operation** . . . . . Operating a personal care home without a license – 62 P.S. §§1002, 1031, 1052, 1053, 1057.2, 1086(e)
- Court filing** . . . . . Action taken pursuant to 62 P.S. §§ 1052, 1053, 1055, 1056, 1057
- Orders to limit access** . . . . . Prohibition of access for a specific person, due to abuse or other dangerous circumstances
- Fine** . . . . . A monetary penalty for a regulatory violation – 62 P.S. §1085, 1087(a) (1)
- Court appointment of master** . . . . Individual or agency designated by the department to assume operation of home at operator’s expense – 62 P.S. §1057(b)



**pennsylvania**  
DEPARTMENT OF PUBLIC WELFARE