

2015 Annual Report

Bureau of Human Services Licensing

A report on Licensed Personal Care Homes

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Introduction

Personal care homes provide safe, humane, comfortable and supportive residential settings for adults who do not require the services in or of a licensed long-term care facility, but who do require assistance or supervision with activities of daily living, instrumental activities of daily living, or both. Licensed personal care homes serve four or more adults and provide encouragement and assistance to develop and maintain maximum independence and self-determination.

Through the enforcement of state licensing regulations, the Department of Human Services, Bureau of Human Services Licensing (BHSL) protects the health, safety and well-being of approximately 46,000 vulnerable adults residing in personal care homes. BHSL also encourages the adoption of higher standards and recommends methods of improving care and services by providing technical assistance and consultation to personal care home providers.

The information contained in this report summarizes the BHSL annual efforts. The report describes the characteristics of personal care homes, needs of the individuals served, number and types of inspections completed, number of complaints investigated, enforcement action taken, provision of technical assistance to operators, and other methods used by BHSL to achieve its mission of protecting vulnerable individuals in its licensed settings.

Efforts have been put forth to ensure the reliability of all data including a manual cross-reference of data with system limitations for inspections, violations, incidents, and complaints. The identified data system limitations are opportunities for improvement. The report is produced pursuant to 62 P.S. § 1088 and will be updated and/or republished as necessary.

For this report, a personal care home is referred to as “PCH,” the Department of Human Services is referred to as the “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 January 1, 2015 through December 31, 2015.

Executive Summary

As of January 4, 2016, there were 1,207 licensed personal care homes in Pennsylvania. Approximately 69% (828) were for-profit and 31% (379) were non-profit.

The total PCH capacity on average in 2015 was approximately 65,000 with the total number of persons served at approximately 46,000. This demonstrates an occupancy rate of approximately 71%. The average maximum capacity of a personal care home was 54.

Residents who are 60 years of age or older made up 90% of all people served in PCHs. Residents who received the state Supplemental Security Income (SSI) PCH supplement comprised up to 14% of all people served. Of the total number of PCHs, 52% served at least one person who received SSI.

BHSL completed 1,781 inspections in 2015. Nearly 45% of all PCHs had more than one inspection during the year.

There were 7,453 regulatory violations found during the inspections, with an average of 8.26 violations with each full licensing inspection.

The most commonly found violations included: improper documentation of medication administration, not following the prescriber's directions when administering medications, and not maintaining sanitary conditions.

In 2015, BHSL received 1,366 complaints and 26,853 incident reports. Approximately 56% of the complaints required an on-site investigation.

BHSL issued 87 enforcement actions, most of which were provisional (warning) licenses. Two homes were closed under an emergency removal order in response to an immediate life safety danger of the residents.

In 2015, BHSL assessed approximately \$293,810 in fines to PCHs that did not properly correct regulatory violations. In accordance with Act 185 Personal Care Homes, collected fines are placed in an equity commitment account used to assist in the relocation of residents and needed basic essentials for PCHs that have closed.

BHSL granted 93 regulatory waivers and denied eight. The most common waiver request was relevant to qualifications of direct care staff of which most were related to non-United States high school diplomas.

In 2015, BHSL provided approximately 500 hours of free training to PCH providers. In addition, BHSL awarded eight full scholarships for the required 100-hour Administrator Training course to PCHs serving residents who receive SSI.

Characteristics of Pennsylvania

Personal Care Homes and Residents Served

As of January 4, 2016, there were 1,207 PCHs licensed in Pennsylvania, even though new PCHs open and others close periodically.

PCHs vary in size. The maximum capacity is the highest number of residents that can be legally served in the home and is indicated on the PCHs license. The smallest PCH has a minimum capacity of four residents with the largest having a maximum capacity of 250. The average maximum capacity of a PCH is 54.

Just as PCHs open and close throughout the year, the number of residents served in a particular PCH also changes based on admissions and discharges. Ongoing data on the number of residents in PCHs is not collected; however, the Department collects an overall view of the number and type of residents served during the annual inspection process. The following information from January 2016 represents the number of residents and their needs on any given day in calendar year 2015.

Size of Personal Care Homes

Maximum Capacity	Percent of Homes in Size Range
4 – 9 Residents	12%
10 – 29 Residents	25%
30 – 49 Residents	19%
50 – 74 Residents	17%
75 – 99 Residents	12%
100 – 199 Residents	15%
200 or More Residents	1%

Annual Trends

Residents in Pennsylvania Personal Care Homes

PCHs vary in size and population 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.

Total Capacity	64,588
Total Number of Residents Served	45,703
Occupancy Rate (Percentage of Total Capacity Occupied)	71%
Vacancy Rate (Percentage of Total Capacity Vacant)	29%

Percent of Residents with a Dementia-Related Diagnosis	Number of PCHs	Percent of PCHs
None	989	82%
1% - 49%	182	15%
50% - 99%	33	3%
All Residents	3	1%
Total	1,207	100%

Percent of Residents Over 60 Years of Age	Number of PCHs	Percent of PCHs
None	53	4%
1% - 49%	316	26%
50% - 99%	817	68%
All Residents	21	2%
Total	1,207	100%

Percent of Residents Served with Low Income	Number of PCHs	Percent of PCHs
None	573	48%
1% - 49%	372	31%
50% - 99%	234	19%
All Residents	28	2%
Total	1,207	100%

Percent of Residents with Mental Illness	Number of PCHs	Percent of PCHs
None	570	47%
1% - 49%	396	33%
50% - 99%	202	17%
All Residents	39	3%
Total	1,207	100%

Percent of Residents with an Intellectual Disability	Number of PCHs	Percent of PCHs
None	769	64%
1% - 49%	412	34%
50% - 99%	22	2%
All Residents	4	1%
Total	1,207	100%

Aggregate Snapshot of Residents by Age, Need, and Income

Resident Description	Number Served	Percent of Total Served
Total Served	45,703	100%
Residents 60 years of age or older	41,133	90%
Residents with mental illness	6,216	14%
Residents with a dementia-related diagnosis	5,302	12%
Residents with an intellectual disability	1,478	3%
Residents who received the state Supplemental Security Income (SSI) PCH supplement	6,454	14%
Residents who pay privately or who are funded through a source other than SSI supplement	39,249	86%

Note: Percentages do not add up to 100% because residents may fall into more than one category.

At the time of the 2015 Annual Report, PCHs were located in every Pennsylvania County except Forest. For county-specific information about the number and capacity of PCHs, see Appendix A.

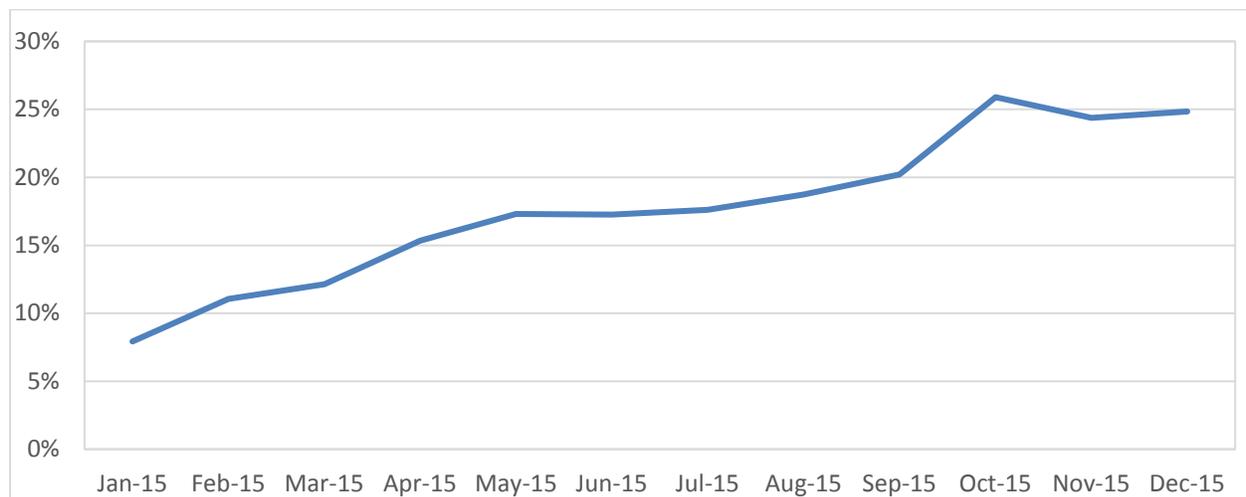
Inspections

BHSL completes three general types of licensing inspections:

- Full Inspections
 - Inspections during which all regulations are measured.
- Partial Inspections
 - Inspections where a portion of the regulations are measured in response to a complaint, a reported incident, or to monitor ongoing compliance of a PCH.
- Initial Inspections
 - Inspections where all of the regulations that can be measured are measured in a new PCH not yet serving residents.

BHSL is required by regulation to conduct at least one unannounced inspection of every licensed PCH every 12 months. In 2015, BHSL completed 1,781 inspections. Approximately 2% of the PCHs had more than one full inspection during the year and 45% of all PCHs inspected had more than one inspection in 2015.

Percentage of Personal Care Homes without an Annual Full Inspection



In January 2015, 66 PCHs were without an annual full inspection in the last 12 months, all of which were located in the Western Region. At that time, the Western Region was allocated 19 Adult Residential Licensing Representative positions of which three were vacant, increasing to seven by December 2015. During the same period, the number of PCHs without a full inspection in the last 12 months grew to 289 homes in the Western Region. The inability to fill vacancies was due in part to hiring freezes and later due to an insufficient number of qualified applicants. To address the lack of qualified applicants, the Department created a new job classification, Human Services Licensing Representative and Supervisor that opened December 9, 2015. The requirements for the new job title allowed additional candidates to qualify to assist BHSL in addressing the percentage of PCH that did not yet receive an annual full inspection.

Number of Inspections Completed

Type of Inspection	Number Completed
Full	566
Partial	1,198
Initial	17
All Inspections	1,781

Count of Inspections for Homes that Had at Least One Inspection in 2015

Number of Inspections	Percentage of PCHs
1 Inspection	55%
2 – 5 Inspections	42%
6 – 10 Inspections	3%
Over 10 Inspections	1%

Note: 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. The licensing indicator system was a shortened version of the full inspection process. The indicator inspections that were completed in 2015 were captured within the partial inspection category as they related to the ongoing monitoring of compliance of PCH. The licensing indicator system used 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 was in complete compliance with all of the regulations measured in the licensing indicator tool, high compliance with all of the regulations was statistically predicted. Although the inspection may have begun as a partial inspection, a full inspection was automatically triggered if one or more violations of regulations were found during an indicator inspection.

Violations

PCHs must comply with approximately 500 individual regulatory requirements. When non-compliance is identified during a licensing inspection, a violation of the regulatory requirement is recorded.

The total number of regulatory violations found during inspections conducted in 2015 was 7,453. The average number of violations found per PCH in full inspections conducted in 2015 was 8.26. The table below shows the most frequently cited violations that occurred in calendar year 2015.

Number of Violations Found

Number of Violations Identified During Each Full Inspection	Percentage of Full Inspections
0 Violations	10%
1 – 10 Violations	64%
11 – 30 Violations	25%
31 – 50 Violations	1%
51 – 100 Violations	0%
Over 100 Violations	0%

Ten Most Frequently Cited Violations

Regulation 55 Pa. Code § 2600	Percent of Inspections with Cited Regulatory Violation
187(a) - A medication record shall be kept to include the following for each resident for whom medications are administered: <ol style="list-style-type: none"> (1) Resident's name. (2) Drug allergies. (3) Name of medication. (4) Strength. (5) Dosage form. (6) Dose. (7) Route of administration. (8) Frequency of administration. (9) Administration times. (10) Duration of therapy, if applicable. (11) Special precautions, if applicable. (12) Diagnosis or purpose for the medication, including pro re nata (PRN). (13) Date and time of medication administration. (14) Name and initials of the staff person administering the medication. 	18%
187(d) - The home shall follow the directions of the prescriber.	17%
85(a) - Sanitary conditions shall be maintained.	10%

Regulation 55 Pa. Code § 2600	Percent of Inspections with Cited Regulatory 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 evaluation must include the following:</p> <ol style="list-style-type: none"> (1) A general physical examination by a physician, physician's assistant or nurse practitioner. (2) Medical diagnosis including physical or mental disabilities of the resident, if any. (3) Medical information pertinent to diagnosis and treatment in case of an emergency. (4) Special health or dietary needs of the resident. (5) Allergies. (6) Immunization history. (7) Medication regimen, contraindicated medications, medication side effects and the ability to self-administer medications. (8) Body positioning and movement stimulation for residents, if appropriate. (9) Health status. (10) Mobility assessment, updated annually or at the Department's request. 	10%
<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>	10%
<p>225(c) - The resident shall have additional assessments as follows:</p> <ol style="list-style-type: none"> (1) Annually. (2) If the condition of the resident significantly changes prior to the annual assessment. (3) At the request of the Department upon cause to believe that an update is required. 	8%
<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 registered 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%

Regulation 55 Pa. Code § 2600	Percent of Inspections with Cited Regulatory Violation
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.	7%
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.	7%
141(b)1 - A resident shall have a medical evaluation: At least annually.	7%

The specific details of regulatory violations are unique to each situation. For a historical overview of inspection-related efforts, see Appendix B.

Incidents

PCHs are required to report specific incidents to BHSL as found in the regulations Chapter 2600.16. In 2015, BHSL received 26,853 incident reports, approximately four percent of which required further investigation.

Types of Incidents Reported

Type of Incident	Percent Reported
Serious bodily injury or trauma requiring treatment at a hospital	37.6%
Death of a resident	21.3%
Prescription medication error	17.4%
Incident requiring the services of emergency management agency, fire department, or police department	14.2%
Physical or sexual assault of a resident	3.3%
Complaint of abuse, suspected resident abuse, or referral of a complaint of abuse to local authority	1.8%
Outbreak of a serious communicable disease	1.5%
Emergency such as natural disaster or utility outage	0.6%
Unexplained absence of a resident for 24 hours or more, or any absence of a resident from a secure dementia care unit	0.6%
Violation of a resident's rights	0.5%
Misuse of a resident's funds by the home's staff or legal entity	0.5%
Fire or structural damage to a home	0.3%
Suicide attempt	0.2%
Utility termination notice or an actual service termination	0.1%
Violation of health and safety laws	0.1%
Unscheduled closure of the home or relocation of the residents	> 0.1%
Criminal conviction against legal entity, administrator or staff (relating to criminal history background checks)	> 0.1%
Food Poisoning	> 0.1%
Bankruptcy filed by the legal entity	> 0.1%

Note: Percentages do not add up to 100% due to standard rounding principles.

Complaints

BHSL investigates all complaints with the potential of regulatory violations for PCHs. Complaints can be made by anyone at any time, including evenings and weekends. Approximately 56% of the complaints received in 2015 required an on-site investigation. Approximately 8% of the complaints were high-risk, requiring an investigation within 72 hours.

Number of Complaints Received and Investigated

Number of Complaints Received	1,366
Number of Complaints Requiring an On-Site Investigation	767
Percent of Complaints Requiring an On-Site Investigation	56%
Percent of Complaints Where One or More Regulatory Violations Were Identified	28%

Enforcement Actions

Enforcement action is taken in response to a serious life safety condition such as abuse of residents, criminal convictions, serious fire safety risks, resident neglect or abandonment, unsanitary conditions, falsification of documents, failure to seek necessary medical care, failure to provide staff supervision, lack of food or utilities, and building code violations.

Enforcement History

Type of Enforcement Action	2015 Totals
Emergency Relocations	2
License Revocations	5
Nonrenewal of License	10
Denial of Initial License	5
Illegal Operations	2
Court Filings	0
Orders to Limit Access	0
Provisional Licenses Due to Enforcement	46
Fines Issued	17
Court Appointment of Master	0
Total Enforcement Actions	87 (Avg 7 per month)

For a complete list of enforcement actions by county and a glossary of enforcement terms, 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 2015, the Department assessed a monetary fine for repeated regulatory violations that were not corrected in a timely manner by PCHs under licensing enforcement action.

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). PCHs were issued advanced warning that fines would be issued if violations were not corrected within the allowed timeframes. PCHs that did not correct violations were fined after the correction period ended.

In accordance with Act 185 Personal Care Homes, collected fines are placed in an equity commitment account used to assist in the relocation of residents and needed basic essentials for PCHs that have closed.

Administrative Fines Summary

Summary	2015 Totals
Warnings of Possible Fines	39
Number of PCHs Issued Warnings	35
Number of Fines Issued	17
Number of PCHs Issued Fines	17
Number of Violations With Invoiced Fines	44
- Class I	6
- Class II	31
- Class III	7
Total Fine Amount Assessed	\$293,810

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; and
- Residents benefit from the waiver.

Waiver Determination Summary

More Information Needed/Pending	Waiver Withdrawn	Waiver Not Needed	Granted	Denied	Total
33	0	36	93	8	170

Top Five 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 (mostly non- US high school diplomas)	93	44	1	21	27	0
22, 141(a), 224(a) - Documentation of Medical Evaluation and Preadmission Screening (all from PCHs wanting to use their own forms instead of DHS forms)	17	17	0	0	0	0
22, 224(a) - Documentation of Medical Evaluation and Preadmission Screening forms (all due to PCHs wanting to use their own forms instead of using DHS's forms)	9	9	0	0	0	0
64(a) - Administrator needs time to complete the DHS 100-hour course and competency test	7	7	0	0	0	0
225(a) - Preadmission Screening form (all due to PCHs wanting to use their own forms instead of using DHS's forms)	6	0	0	6	0	0

Training and Technical Assistance

BHSL is committed to the provision of training and technical assistance to PCH providers to support the provision of safe, highly compliant, residential settings.

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

Full scholarships for the required 100-hour Administrator Training course are granted to PCHs serving residents who receive SSI. There were eight PCHs that applied for and received the scholarships in 2015. Additionally, a direct care staff training course is available online at no cost to operators.

BHSL also provides training for PCH Administrators and staff. The training provided directly by BHSL is offered free of charge, as is most of the training arranged by BHSL, but not directly provide by BHSL. There were 135 training sessions offered by BHSL totaling nearly 500 hours of free training at multiple locations throughout the commonwealth in 2015. Courses included:

- Protecting Residents from Financial Abuse
- Engaging, Motivating and Retaining Staff
- Ethics
- Fall Prevention and Support Planning
- Understanding Hoarding Behaviors
- Sexual Abuse Response
- Safe Management Techniques
- Wellness
- Ergonomics
- Diversity
- Food Safety
- Occupational Safety
- Fire Safety
- Skin Care
- Prevention of Dehydration and Malnutrition
- Infection Control
- Depression
- Dementia and Delirium
- Understanding Mental Illness
- Blood borne Pathogens
- Diabetes Education
- Occupational Safety and OSHA

Workload

In addition to a small component of management and support staff, BHSL currently employs 34 PCH 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	8	276	1:35
Northeast	8	252	1:32
Southeast	6	207	1:35
West	12	472	1:39
Statewide	34	1,207	1:36

Note: Staffing data is a point in time and indicative of only filled positions.

A new licensing representative receives over 120-hours of training in the 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. BHSL also conducts annual training for each licensing representative that is optional to other BHSL staff. 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.

Appendix A

PCHs, Licensed Capacity, Residents, and Profit Status by County

County	PCHs	Licensed Capacity	# of PCH Residents	# SSI Residents	PCHs with SSI Residents	4-8 Beds	9-29 Beds	30-99 Beds	100+ Beds	Profit	Nonprofit
ADAMS	10	408	326	41	8	2	4	2	2	8	2
ALLEGHENY	134	7495	5642	736	68	17	30	61	26	98	36
ARMSTRONG	25	563	430	96	19	7	11	7	-	22	3
BEAVER	20	1006	798	132	12	2	6	9	3	19	1
BEDFORD	3	147	122	9	2	-	1	2	-	3	-
BERKS	30	2190	1681	224	14	-	6	17	7	25	5
BLAIR	17	930	710	118	9	-	5	10	2	10	7
BRADFORD	6	304	197	52	4	-	2	4	-	5	1
BUCKS	46	2658	1924	106	12	8	7	22	9	21	25
BUTLER	31	1987	1403	117	17	2	7	16	6	20	11
CAMBRIA	27	1229	826	163	17	-	7	19	1	22	5
CAMERON	2	18	14	4	1	1	1	-	-	1	1
CARBON	8	427	282	35	3	2	2	2	2	7	1
CENTRE	13	613	435	23	6	2	2	8	1	8	5
CHESTER	49	2812	1847	94	15	12	7	18	12	36	13
CLARION	5	242	141	33	5	-	1	4	-	2	3
CLEARFIELD	7	383	297	33	6	-	2	4	1	5	2
CLINTON	4	172	126	62	1	1	1	2	-	4	-
COLUMBIA	3	179	137	16	3	-	-	3	-	3	-
CRAWFORD	6	366	246	46	4	-	2	3	1	2	4
CUMBERLAND	22	1418	977	50	16	6	-	11	5	9	13
DAUPHIN	19	1082	866	128	11	6	-	11	2	4	15
DELAWARE	31	1986	1384	89	11	7	6	9	9	17	14
ELK	2	134	76	5	2	-	-	2	-	-	2
ERIE	24	1421	870	105	11	5	4	8	7	11	13
FAYETTE	31	905	625	152	19	5	12	14	-	30	1
FOREST	-	-	-	-	-	-	-	-	-	-	-
FRANKLIN	17	919	670	53	10	3	4	7	3	9	8
FULTON	1	38	35	31	1	-	-	1	-	1	-
GREENE	8	173	166	98	7	1	5	2	-	8	-

County	PCHs	Licensed Capacity	# of PCH Residents	# SSI Residents	PCHs with SSI Residents	4-8 Beds	9-29 Beds	30-99 Beds	100+ Beds	Profit	Nonprofit
HUNTINGDON	2	76	59	13	1	-	-	2	-	-	2
INDIANA	24	613	471	202	18	4	9	11	-	21	3
JEFFERSON	11	353	277	96	9	1	3	7	-	9	2
JUNIATA	5	118	110	33	3	1	3	1	-	5	-
LACKAWANNA	18	1112	817	236	8	-	1	16	1	14	4
LANCASTER	54	3588	2528	313	30	5	8	26	15	25	29
LAWRENCE	16	620	442	93	10	1	5	10	-	11	5
LEBANON	20	792	599	86	6	2	5	13	-	11	9
LEHIGH	29	2090	1475	99	8	1	7	12	9	19	10
LUZERNE	28	1905	1359	228	18	2	5	14	7	22	6
LYCOMING	14	637	405	84	8	1	6	6	1	9	5
MCKEAN	3	173	111	14	3	-	1	1	1	1	2
MERCER	17	782	468	51	10	4	4	6	3	10	7
MIFFLIN	3	219	165	9	2	-	-	3	-	2	1
MONROE	11	571	409	63	6	1	2	7	1	10	1
MONTGOMERY	53	4162	2690	59	11	2	7	28	16	30	23
MONTOUR	5	253	191	57	4	-	1	4	-	1	4
NORTHAMPTON	31	2301	1433	86	8	4	4	15	8	26	5
NORTHUMBERLAND	16	724	436	150	12	1	8	6	1	15	1
PERRY	2	76	59	11	2	-	1	1	-	1	1
PHILADELPHIA	77	3073	2175	837	57	7	41	20	9	48	29
PIKE	2	100	74	-	-	-	-	2	-	2	-
POTTER	1	30	18	3	1	-	-	1	-	-	1
SCHUYLKILL	8	530	383	36	3	-	3	4	1	8	-
SNYDER	1	95	89	-	-	-	-	1	-	1	-
SOMERSET	16	601	400	120	12	1	7	7	1	10	6
SULLIVAN	1	10	8	1	1	-	1	-	-	1	-
SUSQUEHANNA	2	101	103	2	2	-	-	2	-	2	-
TIOGA	5	201	135	40	4	-	1	4	-	2	3
UNION	5	277	177	14	3	-	1	3	1	3	2
VENANGO	5	157	124	55	3	-	2	3	-	2	3
WARREN	6	230	173	36	5	-	4	2	-	1	5
WASHINGTON	28	1024	825	172	13	6	8	13	1	25	3
WAYNE	5	159	112	40	3	-	4	1	-	4	1

County	PCHs	Licensed Capacity	# of PCH Residents	# SSI Residents	PCHs with SSI Residents	4-8 Beds	9-29 Beds	30-99 Beds	100+ Beds	Profit	Nonprofit
WESTMORELAND	53	2399	1657	179	26	7	14	28	4	46	7
WYOMING	4	102	83	24	3	-	3	1	-	3	1
YORK	25	2129	1410	61	10	2	5	9	9	18	7
TOTAL	1,207	64,588	45,703	6,454	637	142	309	568	188	828	379

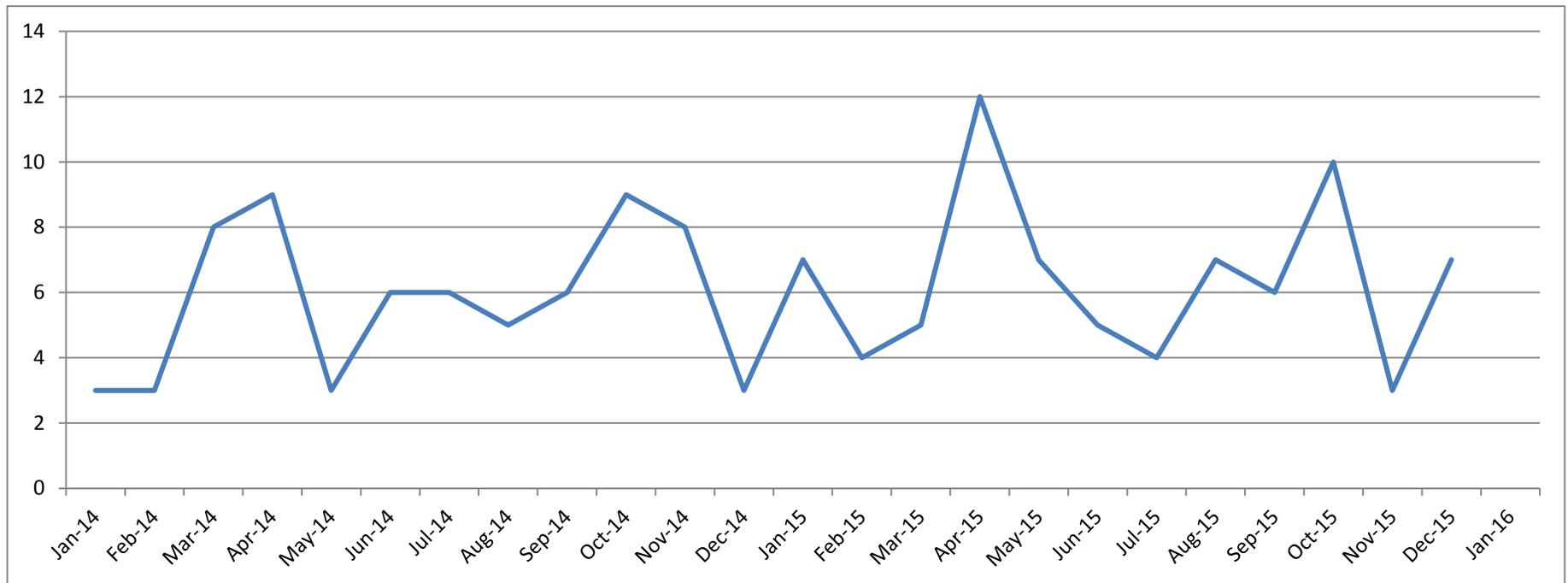
Appendix B

Applications, Inspections, Enforcement, and Facility Information

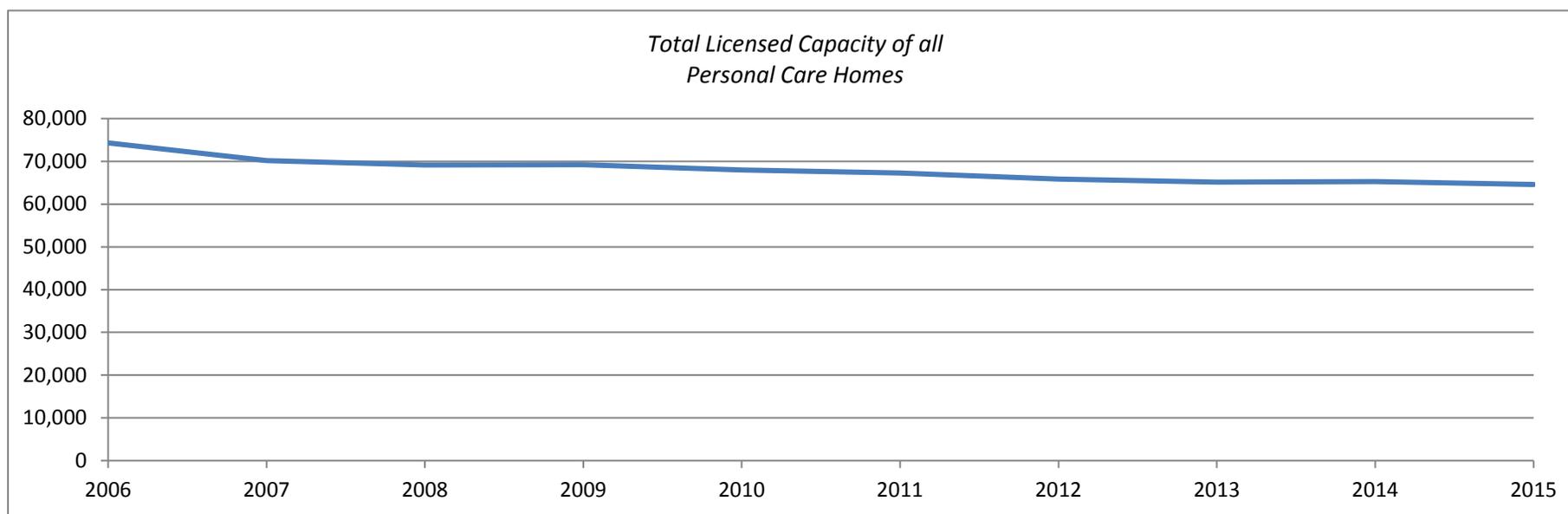
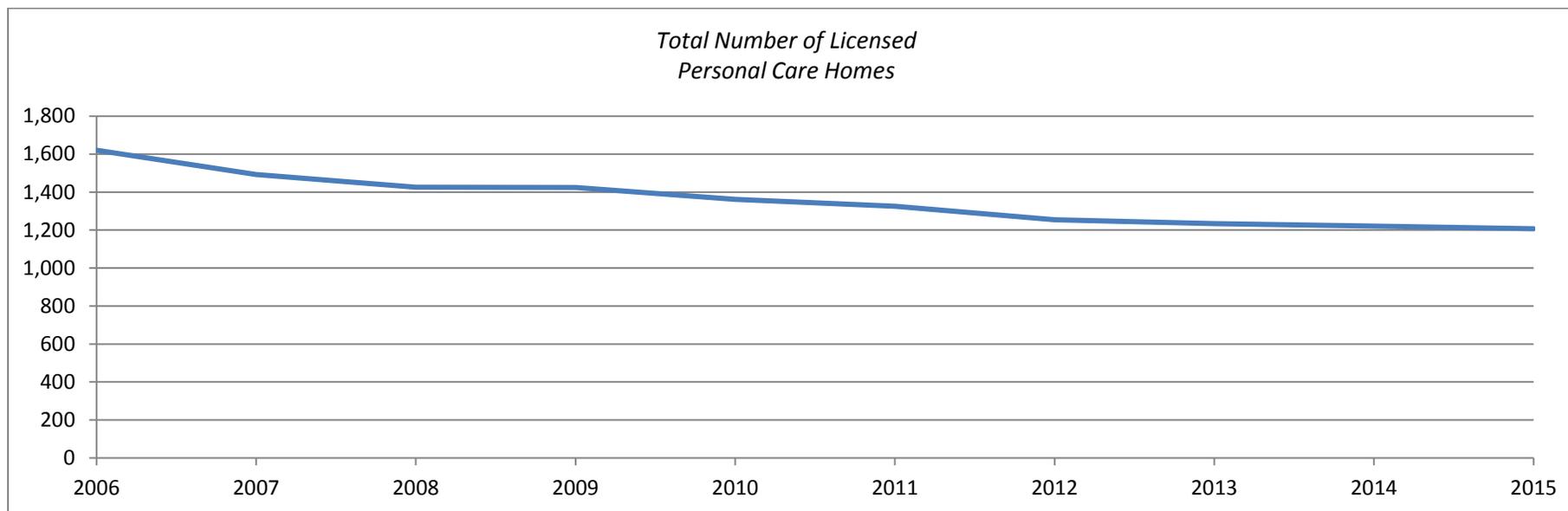
BHSL received 77 applications for licensure in the 2015 calendar year. Of those submitted, 40% were applications for new PCHs and 60% were applications for a new owner to operate an existing PCH.

Application Status	Count Received in 2015	Percent
Denied	7	9.1%
Issued	60	77.9%
Still Pending	3	3.9%
Other (Not Needed or Withdrawn)	7	9.1%
TOTAL	77	100%

Applications Received January 2014 through December 2015



The total number of PCHs in Pennsylvania has been steadily declining. The tables below show the numbers of PCHs and total capacity between 2006 and 2015.



Inspections

There continues to be a steady decline in the number of PCH inspections since 2010, consistent with the decrease in the number of PCHs.

Type of Inspections	Number Completed				
	2011	2012	2013	2014	2015
Full	889	877	826	738	566
Partial	1,684	1,565	1,514	1,331	1,198
Initial	26	64	11	9	17
All Inspections	2,599	2,506	2,351	2,078	1,781

Number of Inspections	PCHs in Category				
	2011	2012	2013	2014	2015
1 Inspection	52%	53%	54%	60%	55%
2-5 Inspections	43%	43%	43%	37%	42%
6-10 Inspections	4%	4%	3%	3%	3%
Over 10 Inspections	1%	1%	1%	1%	1%

Relevant to the number of decreasing PCHs and inspections, the total and average number of violations has decreased as well.

Number of Violations Found During Each Full Inspection	Inspections in Category				
	2011	2012	2013	2014	2015
0 Violations	6%	5%	10%	6%	10%
1 - 10 Violations	60%	65%	60%	64%	64%
11 - 30 Violations	33%	28%	27%	28%	25%
31 - 50 Violations	1%	1%	2%	2%	1%
51 - 100 Violations	1%	1%	1%	1%	0%
Over 100 Violations	0%	0%	0%	0%	0%

Complaints and Enforcement Actions

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

	2011	2012	2013	2014	2015
Number of Complaints Received	1,431	1,282	1,230	1,250	1,366
Number of Complaints Requiring On-site Investigation	1,315	1,014	1,059	1,022	767
Percent of Complaints Requiring On-site Investigation	92%	79%	86%	82%	56%
Percent of Complaints Where One or More Regulatory Violations Were Found	42%	41%	55%	50%	28%

Enforcement History, January 2011 - December 2015

Type of Enforcement Action	2011	2012	2013	2014	2015
Emergency Relocations	3	8	9	1	2
License Revocations	4	4	7	5	5
Nonrenewal of License	19	13	5	2	10
Denial of Initial License	8	10	3	2	5
Illegal Operations	13	12	10	5	2
Court Filings	0	0	9	0	0
Orders to Limit Access	1	2	3	0	0
Provisional Licenses Due to Enforcement (not new PCHs)	117	61	48	55	46
Fines	84	47	20	20	17
Court Appointment of Master	1	2	2	0	0
Total Enforcement Actions	250	159	116	90	87
Average Per Month	21 / month	13 / month	10 / month	8 / month	7 / month

Appendix C

Licensing Status and Enforcement Actions by County

County	License Status as of January 4, 2016		Cumulative Enforcement Actions for 2015									
	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	10	-	-	-	-	-	-	-	-	-	-	-
ALLEGHENY	134	13	-	1	2	4	-	-	-	3	1	-
ARMSTRONG	25	1	-	-	-	-	-	-	-	1	-	-
BEAVER	20	-	-	-	-	-	-	-	-	-	-	-
BEDFORD	3	1	-	-	-	-	-	-	-	-	-	-
BERKS	30	-	-	-	-	-	-	-	-	3	1	-
BLAIR	17	-	-	-	-	-	-	-	-	1	-	-
BRADFORD	6	1	-	-	-	-	-	-	-	-	-	-
BUCKS	46	2	-	-	-	-	-	-	-	1	1	-
BUTLER	31	2	-	-	1	-	-	-	-	1	1	-
CAMBRIA	27	-	-	-	-	-	-	-	-	4	-	-
CAMERON	2	-	-	-	-	-	-	-	-	1	-	-
CARBON	8	2	-	-	-	-	-	-	-	1	1	-
CENTRE	13	-	-	-	-	-	-	-	-	-	-	-
CHESTER	49	1	-	-	-	-	-	-	-	-	-	-
CLARION	5	-	-	-	-	-	-	-	-	1	1	-
CLEARFIELD	7	-	-	-	-	-	-	-	-	1	-	-
CLINTON	4	-	-	-	-	-	-	-	-	1	-	-
COLUMBIA	3	-	-	-	-	-	1	-	-	1	1	-
CRAWFORD	6	-	-	-	-	-	-	-	-	-	-	-
CUMBERLAND	22	-	-	-	-	-	-	-	-	-	-	-
DAUPHIN	19	-	-	-	-	-	-	-	-	-	-	-
DELAWARE	31	-	-	-	-	-	-	-	-	2	-	-
ELK	2	-	-	-	-	-	-	-	-	-	-	-
ERIE	24	-	-	-	-	-	-	-	-	-	-	-
FAYETTE	31	2	1	-	1	-	1	-	-	1	2	-

County	License Status as of January 4, 2016		Cumulative Enforcement Actions for 2015									
	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
FOREST	-	-	-	-	-	-	-	-	-	-	-	-
FRANKLIN	17	-	-	-	-	-	-	-	-	-	-	-
FULTON	1	-	-	-	-	-	-	-	-	-	-	-
GREENE	8	-	-	-	-	-	-	-	-	-	-	-
HUNTINGDON	2	-	-	-	-	-	-	-	-	-	-	-
INDIANA	24	-	-	-	-	-	-	-	-	1	-	-
JEFFERSON	11	-	-	-	-	-	-	-	-	-	-	-
JUNIATA	5	-	-	-	-	-	-	-	-	-	-	-
LACKAWANNA	18	3	-	-	-	-	-	-	-	3	1	-
LANCASTER	54	3	-	-	-	-	-	-	-	1	-	-
LAWRENCE	16	-	-	-	-	-	-	-	-	-	-	-
LEBANON	20	1	-	-	-	-	-	-	-	-	-	-
LEHIGH	29	-	-	-	-	-	-	-	-	4	1	-
LUZERNE	28	3	-	2	-	-	-	-	-	1	1	-
LYCOMING	14	1	-	-	-	-	-	-	-	2	-	-
MCKEAN	3	-	-	-	-	-	-	-	-	-	-	-
MERCER	17	1	-	-	1	-	-	-	-	2	-	-
MIFFLIN	3	-	-	-	-	-	-	-	-	-	-	-
MONROE	11	2	-	-	1	-	-	-	-	-	-	-
MONTGOMERY	53	1	-	-	-	-	-	-	-	1	1	-
MONTOUR	5	-	-	-	-	-	-	-	-	-	-	-
NORTHAMPTON	31	-	-	1	-	-	-	-	-	-	-	-
NORTHUMBERLAND	16	1	-	-	-	-	-	-	-	-	-	-
PERRY	2	-	-	-	-	-	-	-	-	-	-	-
PHILADELPHIA	77	3	1	1	1	-	-	-	-	5	3	-
PIKE	2	1	-	-	-	-	-	-	-	-	-	-
POTTER	1	-	-	-	-	-	-	-	-	-	-	-
SCHUYLKILL	8	1	-	-	-	-	-	-	-	-	-	-

County	License Status as of January 4, 2016		Cumulative Enforcement Actions for 2015									
	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
SNYDER	1	-	-	-	-	-	-	-	-	-	-	-
SOMERSET	16	2	-	-	1	-	-	-	-	-	-	-
SULLIVAN	1	-	-	-	-	-	-	-	-	-	-	-
SUSQUEHANNA	2	-	-	-	-	-	-	-	-	-	-	-
TIOGA	5	1	-	-	-	-	-	-	-	-	-	-
UNION	5	-	-	-	-	-	-	-	-	-	-	-
VENANGO	5	-	-	-	-	-	-	-	-	-	-	-
WARREN	6	-	-	-	-	-	-	-	-	-	-	-
WASHINGTON	28	5	-	-	2	-	-	-	-	1	1	-
WAYNE	5	2	-	-	-	-	-	-	-	-	-	-
WESTMORELAND	53	1	-	-	-	-	-	-	-	2	-	-
WYOMING	4	-	-	-	-	-	-	-	-	-	-	-
YORK	25	1	-	-	-	1	-	-	-	-	-	-
TOTAL	1,207	58	2	5	10	5	2	0	0	46	17	0

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, 62 P.S. § 1007

Provisional – A license issued to an operator for a specified period of not more than six months which can be renewed three times, based on substantial but not complete compliance – reference 55 Pa. Code §20.4, 62 P.S. § 1008 (serves as 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 Human Services 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, 1057.1(a)

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. §1057.1(b)

About the Report

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

Contact BHSL for questions on this report:

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

1-866-503-3926