

2016 Annual Report

Bureau of Human Services Licensing

A report on Licensed Personal Care Homes

Contents

- Introduction2
- Executive Summary3
- Characteristics of Pennsylvania.....4
- Annual Trends.....5
- Inspections7
- Violations9
- Incidents12
- Complaints13
- Enforcement Actions13
- Administrative Fines14
- Waivers15
- Training and Technical Assistance.....16
- Workload17
- Appendix A18
- Appendix B20
- Appendix C24

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, 2016 through December 31, 2016.

Executive Summary

As of January 3, 2017, there were 1,197 licensed personal care homes in Pennsylvania. Approximately 68% (817) were for-profit and 32% (380) were non-profit.

The total PCH capacity on average in 2016 was approximately 65,000 with the total number of persons served at approximately 46,000. This demonstrates an occupancy rate of approximately 70%. The average maximum capacity of a personal care home was 55.

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 13% of all people served. Of the total number of PCHs, 51% served at least one person who received SSI.

BHSL completed 2,553 inspections in 2016. Nearly 38% of all PCHs had more than one inspection during the year.

There were 9,808 regulatory violations found during the inspections, with an average of 7.02 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 incomplete medical evaluations. (A full listing of the top ten violations can be found beginning on page 9.)

In 2016, BHSL received 1,339 complaints and 26,377 incident reports. Approximately 75% of the complaints required an on-site investigation.

BHSL issued 70 enforcement actions, most of which were provisional (warning) licenses. No homes were closed under an emergency removal order in response to an immediate life safety danger of the residents.

In 2016, BHSL assessed \$150,089 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 103 regulatory waivers and denied seven. 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 2016, BHSL provided approximately 500 hours of free training to PCH providers. In addition, BHSL awarded five 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 3, 2017, there were 1,197 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 268. The average maximum capacity of a PCH is 55.

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 2017 represents the number of residents and their needs on any given day in calendar year 2016.

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	16%
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	64,993
Total Number of Residents Served	45,484
Occupancy Rate (Percentage of Total Capacity Occupied)	70%
Vacancy Rate (Percentage of Total Capacity Vacant)	30%

Percent of Residents with a Dementia-Related Diagnosis	Number of PCHs	Percent of PCHs
None	963	80%
1% - 49%	195	16%
50% - 99%	37	3%
All Residents	2	1%
Total	1,197	100%

Percent of Residents Over 60 Years of Age	Number of PCHs	Percent of PCHs
None	54	5%
1% - 49%	305	25%
50% - 99%	818	68%
All Residents	20	2%
Total	1,197	100%

Percent of Residents Served with Low Income	Number of PCHs	Percent of PCHs
None	587	49%
1% - 49%	359	30%
50% - 99%	222	19%
All Residents	29	2%
Total	1,197	100%

Percent of Residents with Mental Illness	Number of PCHs	Percent of PCHs
None	554	46%
1% - 49%	414	35%
50% - 99%	185	15%
All Residents	44	4%
Total	1,197	100%

Percent of Residents with an Intellectual Disability	Number of PCHs	Percent of PCHs
None	785	66%
1% - 49%	383	32%
50% - 99%	28	2%
All Residents	1	1%
Total	1,197	100%

Aggregate Snapshot of Residents by Age, Need, and Income

Resident Description	Number Served	Percent of Total Served
Total Served	45,484	100%
Residents 60 years of age or older	41,150	90%
Residents with mental illness	6,151	14%
Residents with a dementia-related diagnosis	5,770	13%
Residents with an intellectual disability	1,416	3%
Residents who received the state Supplemental Security Income (SSI) PCH supplement	6,050	13%
Residents who pay privately or who are funded through a source other than SSI supplement	39,434	87%

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

At the time of the 2016 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.

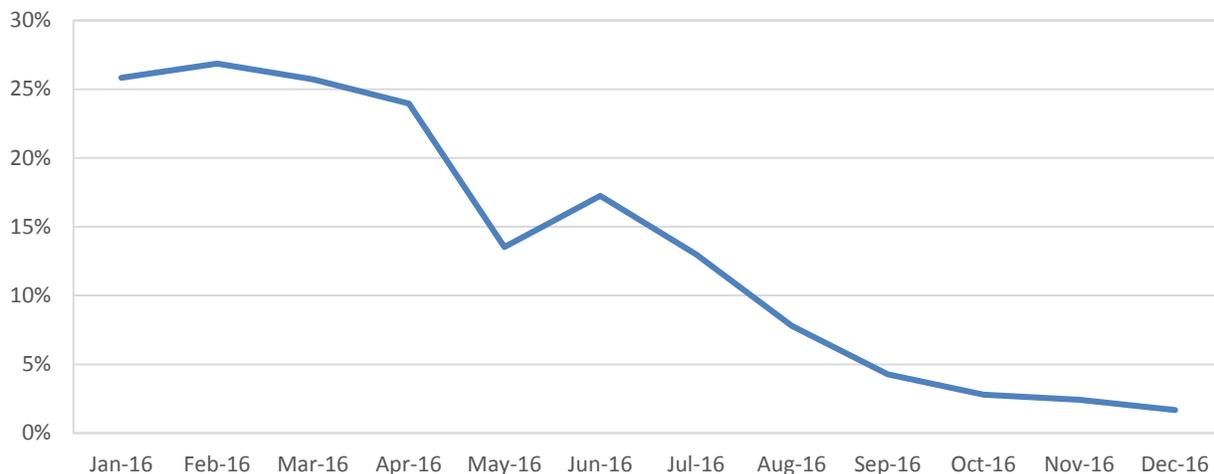
Inspections

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 2016, BHSL completed 2,553 inspections. Approximately 3% of the PCHs had more than one full inspection during the year and 38% of all PCHs inspected had more than one inspection in 2016.

Percentage of Personal Care Homes without an Annual Full Inspection



The inability to fill vacancies in 2015 was due in part to hiring freezes and later due to an insufficient number of qualified applicants and resulted in nearly one quarter of homes not having an annual full inspection. 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 for this position and afforded BHSL the opportunity to properly address the backlog of PCH that did not yet receive an annual full inspection. By the end of 2016, only 1.7% of PCH did not receive an annual full inspection.

Number of Inspections Completed

Type of Inspection	Number Completed
Full	1,212
Partial	1,272
Initial	69
All Inspections	2,553

Count of Inspections for Homes that Had at Least One Inspection in 2016

Number of Inspections	Percentage of PCHs
1 Inspection	62%
2 – 5 Inspections	37%
6 – 10 Inspections	1%
Over 10 Inspections	0%

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 2016 was 9,808. The average number of violations found per PCH in full inspections conducted in 2016 was 7.02. The table below shows the most frequently cited violations that occurred in calendar year 2016.

Number of Violations Found

Number of Violations Identified During Each Full Inspection	Percentage of Full Inspections
0 Violations	14%
1 – 10 Violations	62%
11 – 30 Violations	23%
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. 	21%
187(d) - The home shall follow the directions of the prescriber.	17%

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. 	15%
85(a) - Sanitary conditions shall be maintained.	13%
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.	12%
17 - Resident records shall be confidential, and, except in emergencies, may not be accessible to anyone other than the resident, the resident's designated person if any, staff persons for the purpose of providing services to the resident, agents of the Department and the long-term care ombudsman without the written consent of the resident, an individual holding the resident's power of attorney for health care or health care proxy or a resident's designated person, or if a court orders disclosure.	10%
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).	10%

Regulation 55 Pa. Code § 2600	Percent of Inspections with Cited Regulatory Violation
103(f) - Food requiring refrigeration shall be stored at or below 40°F. Frozen food shall be kept at or below 0°F. Thermometers are required in refrigerators and freezers.	10%
225(c) - The resident shall have additional assessments as follows: (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.	10%
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.	9%

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 2016, BHSL received 26,377 incident reports, approximately three 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	39.9%
Death of a resident	23.5%
Prescription medication error	19.9%
Incident requiring the services of emergency management agency, fire department, or police department	10.1%
Physical or sexual assault of a resident	3.7%
Complaint of abuse, suspected resident abuse, or referral of a complaint of abuse to local authority	1.6%
Violation of a resident's rights	0.8%
Unexplained absence of a resident for 24 hours or more, or any absence of a resident from a secure dementia care unit	0.7%
Emergency such as natural disaster or utility outage	0.6%
Outbreak of a serious communicable disease	0.5%
Misuse of a resident's funds by the home's staff or legal entity	0.5%
Suicide attempt	0.3%
Fire or structural damage to a home	0.1%
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 75% of the complaints received in 2016 required an on-site investigation. Approximately 5% of the complaints were high-risk, requiring an investigation within 72 hours.

Number of Complaints Received and Investigated

Number of Complaints Received	1,339
Number of Complaints Requiring an On-Site Investigation	1,007
Percent of Complaints Requiring an On-Site Investigation	75%
Percent of Complaints Where One or More Regulatory Violations Were Identified	37%

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	2016 Totals
Emergency Relocations	0
License Revocations	0
Nonrenewal of License	3
Denial of Initial License	0
Illegal Operations	2
Court Filings	0
Orders to Limit Access	0
Provisional Licenses Due to Enforcement	39
Fines Issued	26
Court Appointment of Master	0
Total Enforcement Actions	70 (Avg 6 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 2016, 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	2016 Totals
Warnings of Possible Fines	62
Number of PCHs Issued Warnings	58
Number of Fines Issued	26
Number of PCHs Issued Fines	25
Number of Violations With Invoiced Fines	30
- Class I	0
- Class II	10
- Class III	20
Total Fine Amount Assessed	\$150,089

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
38	0	39	103	7	187

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)	86	56	0	30	0	0
231(b) - Documentation of Medical Evaluation (all due to PCHs wanting to use their own forms instead of using DHS's forms)	10	10	0	0	0	0
141(a), 224(a), and 231(c) 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
141(a), and 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)	7	7	0	0	0	0
101(e) Ceiling height in resident bedrooms not meeting the regulation	7	7	0	0	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 five PCHs that applied for and received the scholarships in 2016. 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 127 training sessions offered by BHSL totaling nearly 500 hours of free training at multiple locations throughout the commonwealth in 2016. 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
- Becoming an Inclusive Home for Serving Protected Classes of Individuals and the LGBTQ Community
- Providing Person-Centered Supports
- Senior, Resident and Workplace Bullying
- Teaming: A Lesson in Leadership

Workload

In addition to a small component of management and support staff, as of January 2017, BHSL employed 49 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	9	272	1:30
Northeast	8	254	1:32
Southeast	9	210	1:23
West	23	461	1:20
Statewide	49	1,197	1:24

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	9	416	331	86	7	2	3	2	2	7	2
ALLEGHENY	131	7,520	5,531	672	63	15	30	59	27	93	38
ARMSTRONG	25	554	412	77	17	8	10	7	-	22	3
BEAVER	20	1,006	799	129	12	2	6	9	3	19	1
BEDFORD	3	147	115	9	3	-	1	2	-	3	-
BERKS	30	2,190	1,707	171	14	-	6	17	7	25	5
BLAIR	15	846	642	75	7	-	4	9	2	8	7
BRADFORD	6	284	174	40	3	-	2	4	-	5	1
BUCKS	48	2,800	2,000	48	12	9	7	22	10	22	26
BUTLER	27	1,951	1,328	105	13	-	5	16	6	16	11
CAMBRIA	27	1,210	830	220	18	-	7	19	1	22	5
CAMERON	2	18	13	3	1	1	1	-	-	1	1
CARBON	7	382	239	7	4	2	2	1	2	6	1
CENTRE	14	658	427	20	7	2	2	9	1	9	5
CHESTER	49	2,819	1,926	144	16	12	7	18	12	36	13
CLARION	4	231	84	20	3	-	-	4	-	1	3
CLEARFIELD	7	383	293	30	6	-	2	4	1	5	2
CLINTON	4	172	124	53	1	1	1	2	-	4	-
COLUMBIA	3	179	139	14	3	-	-	3	-	3	-
CRAWFORD	6	366	237	42	2	-	2	3	1	2	4
CUMBERLAND	22	1,418	997	41	15	6	-	11	5	9	13
DAUPHIN	19	1,180	867	122	11	6	-	10	3	4	15
DELAWARE	31	1,986	1,406	79	10	7	6	9	9	17	14
ELK	2	134	78	4	2	-	-	2	-	-	2
ERIE	25	1,427	869	116	12	6	4	8	7	12	13
FAYETTE	30	897	664	148	20	4	12	14	-	30	-
FOREST	0	0	0	-	-	-	-	-	-	-	-
FRANKLIN	17	919	687	49	9	3	4	7	3	9	8
FULTON	1	38	30	23	1	-	-	1	-	1	-
GREENE	8	173	151	83	7	1	5	2	-	8	-
HUNTINGDON	2	76	56	18	1	-	-	2	-	-	2
INDIANA	26	655	474	200	18	5	9	12	-	23	3
JEFFERSON	10	323	282	88	9	1	3	6	-	8	2

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
JUNIATA	5	118	95	32	3	1	3	1	-	5	-
LACKAWANNA	18	1,112	824	247	10	-	1	16	1	15	3
LANCASTER	55	3,688	2,586	308	31	5	8	26	16	26	29
LAWRENCE	15	603	429	79	9	1	4	10	-	10	5
LEBANON	20	792	591	87	6	2	5	13	-	12	8
LEHIGH	29	2,070	1,482	88	9	1	7	12	9	19	10
LUZERNE	29	2,011	1,425	224	17	2	5	14	8	23	6
LYCOMING	14	653	396	91	8	1	6	6	1	9	5
MCKEAN	3	173	116	13	3	-	1	1	1	1	2
MERCER	17	782	490	48	10	4	4	6	3	10	7
MIFFLIN	2	167	141	8	1	-	-	2	-	1	1
MONROE	10	530	395	63	5	1	2	6	1	9	1
MONTGOMERY	54	4,319	2,831	59	12	2	7	28	17	31	23
MONTOUR	5	253	193	31	3	-	1	4	-	1	4
NORTHAMPTON	31	2,399	1,390	89	6	3	4	16	8	26	5
NORTHUMBERLAND	17	740	427	158	12	1	9	6	1	16	1
PERRY	2	76	52	10	2	-	1	1	-	1	1
PHILADELPHIA	77	3,154	2,165	862	57	7	39	22	9	49	28
PIKE	3	106	75	-	-	1	-	2	-	3	-
POTTER	1	30	24	3	1	-	-	1	-	-	1
SCHUYLKILL	8	513	352	37	3	-	3	4	1	8	-
SNYDER	1	95	94	-	-	-	-	1	-	1	-
SOMERSET	15	593	384	108	10	-	7	7	1	9	6
SULLIVAN	1	10	7	-	-	-	1	-	-	1	-
SUSQUEHANNA	2	101	85	2	2	-	-	2	-	2	-
TIOGA	5	201	125	26	4	-	1	4	-	2	3
UNION	5	277	185	14	3	-	1	3	1	3	2
VENANGO	7	159	89	24	3	-	5	2	-	2	5
WARREN	6	230	183	38	5	-	4	2	-	1	5
WASHINGTON	25	950	741	107	11	5	7	12	1	22	3
WAYNE	5	159	119	35	3	-	4	1	-	4	1
WESTMORELAND	52	2,393	1,651	180	23	6	14	28	4	45	7
WYOMING	4	102	83	19	3	-	3	1	-	3	1
YORK	24	2,076	1,347	54	10	2	5	8	9	17	7
TOTAL	1,197	64,993	45,484	6,080	612	138	303	562	194	817	380

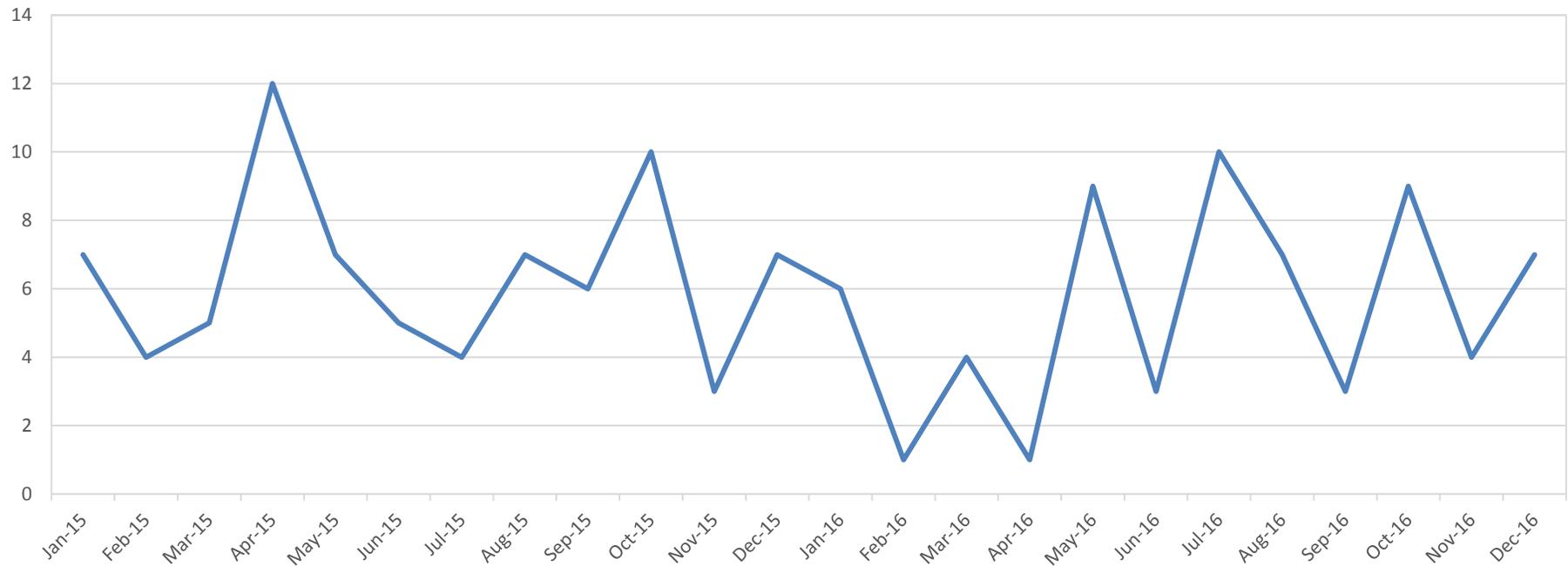
Appendix B

Applications, Inspections, Enforcement, and Facility Information

BHSL received 64 applications for licensure in the 2016 calendar year. Of those submitted, 44% were applications for new PCHs and 56% were applications for a new owner to operate an existing PCH.

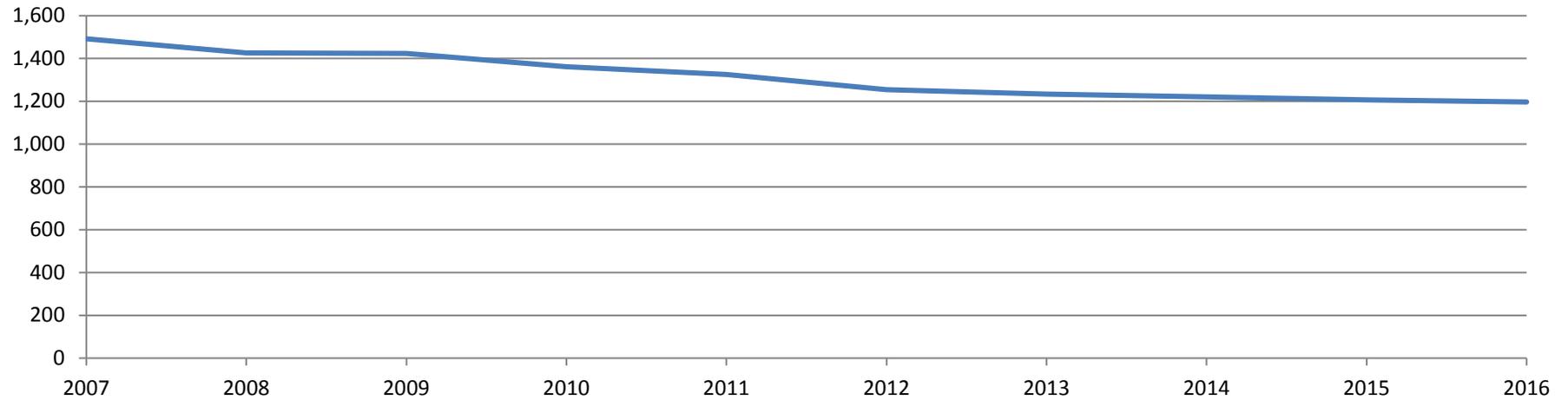
Application Status	Count Received in 2016	Percent
Denied	0	0%
Issued	55	86%
Still Pending	7	11%
Other (Not Needed or Withdrawn)	2	3%
TOTAL	64	100%

Applications Received January 2015 through December 2016

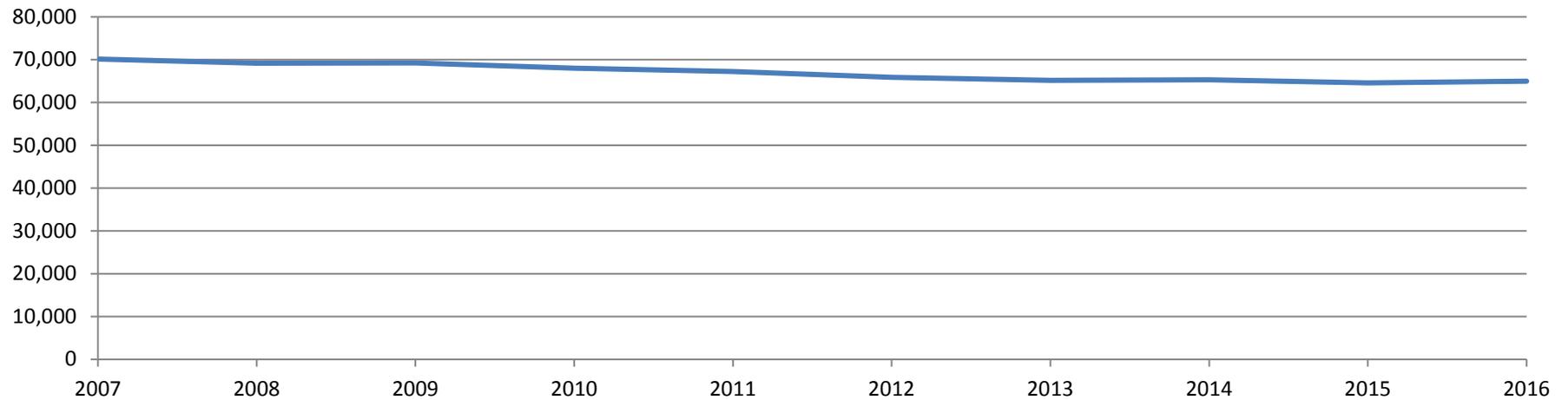


The total number of PCHs in Pennsylvania has been steadily declining. The tables below show the numbers of PCHs and total capacity between 2007 and 2016.

*Total Number of Licensed
Personal Care Homes*



*Total Licensed Capacity of all
Personal Care Homes*



Inspections

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

Type of Inspections	Number Completed				
	2012	2013	2014	2015	2016
Full	877	826	738	566	1,212
Partial	1,565	1,514	1,331	1,198	1,272
Initial	64	11	9	17	69
All Inspections	2,506	2,351	2,078	1,781	2,553

Number of Inspections	PCHs in Category				
	2012	2013	2014	2015	2016
1 Inspection	53%	54%	60%	55%	62%
2-5 Inspections	43%	43%	37%	42%	37%
6-10 Inspections	4%	3%	3%	3%	1%
Over 10 Inspections	1%	1%	1%	1%	0%

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				
	2012	2013	2014	2015	2016
0 Violations	5%	10%	6%	10%	14%
1 - 10 Violations	65%	60%	64%	64%	62%
11 - 30 Violations	28%	27%	28%	25%	23%
31 - 50 Violations	1%	2%	2%	1%	1%
51 - 100 Violations	1%	1%	1%	0%	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 while the total number of enforcement actions continue to decrease.

	2012	2013	2014	2015	2016
Number of Complaints Received	1,282	1,230	1,250	1,366	1,339
Number of Complaints Requiring On-site Investigation	1,014	1,059	1,022	767	1,007
Percent of Complaints Requiring On-site Investigation	79%	86%	82%	56%	75%
Percent of Complaints Where One or More Regulatory Violations Were Found	41%	55%	50%	28%	37%

Enforcement History, January 2012 - December 2016

Type of Enforcement Action	2012	2013	2014	2015	2016
Emergency Relocations	8	9	1	2	0
License Revocations	4	7	5	5	0
Nonrenewal of License	13	5	2	10	3
Denial of Initial License	10	3	2	5	0
Illegal Operations	12	10	5	2	2
Court Filings	0	9	0	0	0
Orders to Limit Access	2	3	0	0	0
Provisional Licenses Due to Enforcement (not new PCHs)	61	48	55	46	39
Fines	47	20	20	17	26
Court Appointment of Master	2	2	0	0	0
Total Enforcement Actions	159	116	90	87	70
Average Per Month	13 / month	10 / month	8 / month	7 / month	6 / month

Appendix C

Licensing Status and Enforcement Actions by County

County	License Status as of January 3, 2017		Cumulative Enforcement Actions for 2016									
	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	-	-	-	-	-	-	-	-	-	-	-
ALLEGHENY	131	10	-	-	1	-	1	-	-	8	4	-
ARMSTRONG	25	-	-	-	-	-	-	-	-	-	-	-
BEAVER	20	1	-	-	-	-	-	-	-	1	1	-
BEDFORD	3	-	-	-	-	-	-	-	-	-	-	-
BERKS	30	2	-	-	-	-	-	-	-	1	-	-
BLAIR	15	1	-	-	-	-	-	-	-	-	-	-
BRADFORD	6	-	-	-	-	-	-	-	-	-	-	-
BUCKS	48	2	-	-	-	-	-	-	-	1	2	-
BUTLER	27	1	-	-	-	-	-	-	-	-	-	-
CAMBRIA	27	-	-	-	-	-	-	-	-	-	-	-
CAMERON	2	-	-	-	-	-	-	-	-	-	-	-
CARBON	7	-	-	-	-	-	-	-	-	-	-	-
CENTRE	14	-	-	-	-	-	-	-	-	-	-	-
CHESTER	49	-	-	-	-	-	-	-	-	-	2	-
CLARION	4	1	-	-	-	-	-	-	-	-	-	-
CLEARFIELD	7	-	-	-	-	-	-	-	-	-	-	-
CLINTON	4	1	-	-	-	-	-	-	-	-	-	-
COLUMBIA	3	-	-	-	-	-	-	-	-	-	1	-
CRAWFORD	6	-	-	-	-	-	1	-	-	-	1	-
CUMBERLAND	22	-	-	-	-	-	-	-	-	-	1	-
DAUPHIN	19	-	-	-	-	-	-	-	-	-	1	-
DELAWARE	31	1	-	-	-	-	-	-	-	1	-	-
ELK	2	-	-	-	-	-	-	-	-	-	-	-
ERIE	25	2	-	-	-	-	-	-	-	-	-	-
FAYETTE	30	1	-	-	-	-	-	-	-	2	-	-

County	License Status as of January 3, 2017		Cumulative Enforcement Actions for 2016									
	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	0	-	-	-	-	-	-	-	-	-	-	-
FRANKLIN	17	-	-	-	-	-	-	-	-	-	-	-
FULTON	1	-	-	-	-	-	-	-	-	-	-	-
GREENE	8	1	-	-	-	-	-	-	-	1	-	-
HUNTINGDON	2	-	-	-	-	-	-	-	-	-	-	-
INDIANA	26	2	-	-	-	-	-	-	-	1	-	-
JEFFERSON	10	-	-	-	-	-	-	-	-	-	-	-
JUNIATA	5	-	-	-	-	-	-	-	-	-	-	-
LACKAWANNA	18	1	-	-	-	-	-	-	-	-	-	-
LANCASTER	55	-	-	-	-	-	-	-	-	-	-	-
LAWRENCE	15	-	-	-	-	-	-	-	-	-	-	-
LEBANON	20	1	-	-	-	-	-	-	-	1	1	-
LEHIGH	29	-	-	-	-	-	-	-	-	2	1	-
LUZERNE	29	-	-	-	-	-	-	-	-	1	-	-
LYCOMING	14	2	-	-	-	-	-	-	-	1	-	-
MCKEAN	3	-	-	-	-	-	-	-	-	-	-	-
MERCER	17	-	-	-	-	-	-	-	-	-	-	-
MIFFLIN	2	-	-	-	1	-	-	-	-	-	-	-
MONROE	10	2	-	-	-	-	-	-	-	4	2	-
MONTGOMERY	54	3	-	-	-	-	-	-	-	1	2	-
MONTOUR	5	-	-	-	-	-	-	-	-	-	-	-
NORTHAMPTON	31	2	-	-	-	-	-	-	-	2	-	-
NORTHUMBERLAND	17	3	-	-	-	-	-	-	-	1	-	-
PERRY	2	-	-	-	-	-	-	-	-	-	-	-
PHILADELPHIA	77	5	-	-	-	-	-	-	-	3	1	-
PIKE	3	1	-	-	-	-	-	-	-	-	-	-
POTTER	1	-	-	-	-	-	-	-	-	-	-	-
SCHUYLKILL	8	-	-	-	-	-	-	-	-	-	-	-
SNYDER	1	-	-	-	-	-	-	-	-	-	1	-

County	License Status as of January 3, 2017		Cumulative Enforcement Actions for 2016									
	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
SOMERSET	15	-	-	-	-	-	-	-	-	-	-	-
SULLIVAN	1	-	-	-	-	-	-	-	-	-	-	-
SUSQUEHANNA	2	-	-	-	-	-	-	-	-	-	-	-
TIOGA	5	-	-	-	-	-	-	-	-	1	-	-
UNION	5	-	-	-	-	-	-	-	-	-	-	-
VENANGO	7	-	-	-	-	-	-	-	-	-	-	-
WARREN	6	-	-	-	-	-	-	-	-	-	-	-
WASHINGTON	25	5	-	-	1	-	-	-	-	3	1	-
WAYNE	5	-	-	-	-	-	-	-	-	-	-	-
WESTMORELAND	52	1	-	-	-	-	-	-	-	2	2	-
WYOMING	4	-	-	-	-	-	-	-	-	-	-	-
YORK	24	1	-	-	-	-	-	-	-	1	2	-
TOTAL	1,197	53	0	0	3	0	2	0	0	39	26	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:

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

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