

2018 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 44,000 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, 2018 through December 31, 2018.

## Executive Summary

As of January 2, 2019, there were 1,149 licensed personal care homes in Pennsylvania. Approximately 68% (778) were for-profit and 32% (371) were non-profit.

The total PCH capacity on average in 2018 was approximately 65,000 with the total number of persons served at approximately 44,000. This demonstrates an occupancy rate of approximately 68%. The average maximum capacity of a personal care home was 56.

Residents who are 60 years of age or older made up 92% of all people served in PCHs. Residents who received the state Supplemental Security Income (SSI) PCH supplement comprised up to 12% of all people served. Of the total number of PCHs, 48% served at least one person who received SSI.

BHSL completed 2,303 inspections in 2018. Nearly 53% of all PCHs had more than one inspection during the year.

There were 10,559 regulatory violations found during the inspections, with an average of 7.47 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 2018, BHSL received 1,555 complaints and 29,413 incident reports. Approximately 75% of the complaints required an on-site investigation.

BHSL issued 68 enforcement actions, most of which were provisional (warning) licenses. One home was closed under an emergency removal order in response to an immediate life safety danger of the residents.

In 2018, BHSL assessed \$57,281 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 54 regulatory waivers and denied one. 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 2018, BHSL provided approximately 500 hours of free training to PCH providers. In addition, BHSL awarded nine 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 2, 2019, there were 1,149 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 56.

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 2019 represents the number of residents and their needs on any given day in calendar year 2018.

### *Size of Personal Care Homes*

Maximum Capacity	Percent of Homes in Size Range
4 – 9 Residents	11%
10 – 29 Residents	24%
30 – 49 Residents	19%
50 – 74 Residents	17%
75 – 99 Residents	12%
100 – 199 Residents	16%
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.

<b>Total Capacity</b>	64,571
<b>Total Number of Residents Served</b>	44,082
<b>Occupancy Rate</b> (Percentage of Total Capacity Occupied)	68%
<b>Vacancy Rate</b> (Percentage of Total Capacity Vacant)	32%

Percent of Residents with a Dementia-Related Diagnosis	Number of PCHs	Percent of PCHs
None	891	78%
1% - 49%	198	17%
50% - 99%	15	1%
All Residents	45	4%
<b>Total</b>	<b>1,149</b>	<b>100%</b>

Percent of Residents Over 60 Years of Age	Number of PCHs	Percent of PCHs
None	38	3%
1% - 49%	131	11%
50% - 99%	397	35%
All Residents	583	51%
<b>Total</b>	<b>1,149</b>	<b>100%</b>

Percent of Residents Served with Low Income	Number of PCHs	Percent of PCHs
None	600	52%
1% - 49%	272	24%
50% - 99%	200	17%
All Residents	77	7%
<b>Total</b>	<b>1,149</b>	<b>100%</b>

Percent of Residents with Mental Illness	Number of PCHs	Percent of PCHs
None	520	45%
1% - 49%	385	33%
50% - 99%	122	11%
All Residents	122	11%
<b>Total</b>	<b>1,149</b>	<b>100%</b>

Percent of Residents with an Intellectual Disability	Number of PCHs	Percent of PCHs
None	737	64%
1% - 49%	381	33%
50% - 99%	20	2%
All Residents	11	1%
<b>Total</b>	<b>1,149</b>	<b>100%</b>

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

<b>Resident Description</b>	<b>Number Served</b>	<b>Percent of Total Served</b>
Total Served	44,082	100%
Residents 60 years of age or older	40,497	92%
Residents with mental illness	5,808	13%
Residents with a dementia-related diagnosis	6,196	14%
Residents with an intellectual disability	1,356	3%
Residents who received the state Supplemental Security Income (SSI) PCH supplement	5,398	12%
Residents who pay privately or who are funded through a source other than SSI supplement	38,684	88%

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

At the time of the 2018 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.

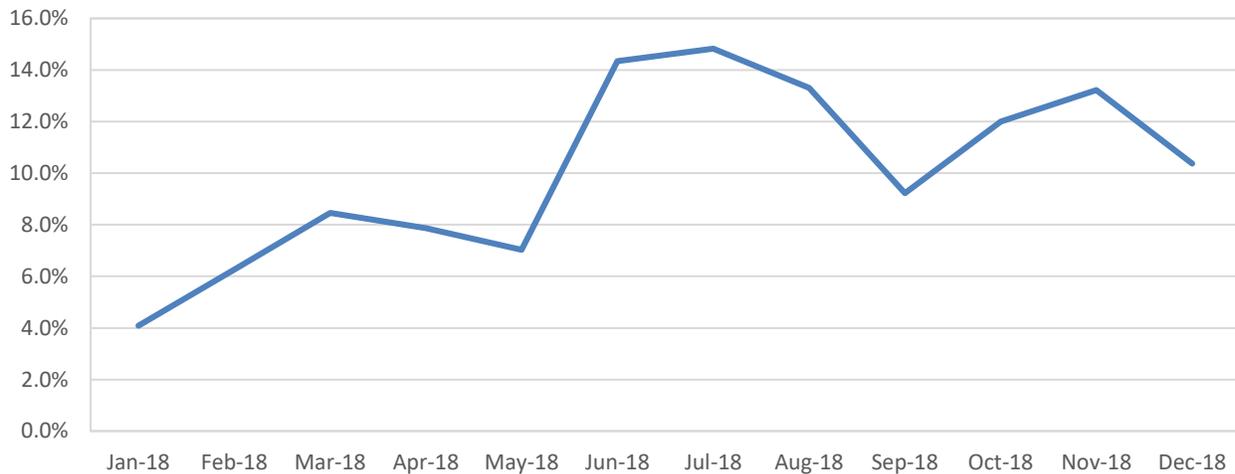
# Inspections

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 2018, BHSL completed 2,303 inspections. Approximately 4% of the PCHs had more than one full inspection during the year and 53% of all PCHs inspected had more than one inspection in 2018.

*Percentage of Personal Care Homes without an Annual Full Inspection*



*Number of Inspections Completed*

Type of Inspection	Number Completed
Full	1,014
Partial	1,257
Initial	32
All Inspections	2,303

*Count of Inspections for Homes that Had at Least One Inspection in 2018*

Number of Inspections	Percentage of PCHs
1 Inspection	46%
2 – 5 Inspections	50%
6 – 10 Inspections	3%
Over 10 Inspections	<1%

## 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 2018 was 10,559. The average number of violations found per PCH in full inspections conducted in 2018 was 7.47. The table below shows the most frequently cited violations that occurred in calendar year 2018.

### *Number of Violations Found*

Number of Violations Identified During Each Full Inspection	Percentage of Full Inspections
0 Violations	12%
1 – 10 Violations	63%
11 – 30 Violations	23%
31 – 50 Violations	1%
51 – 100 Violations	<1%
Over 100 Violations	0%

### *Ten Most Frequently Cited Violations*

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.	18%
187(d) - The home shall follow the directions of the prescriber.	14%

Regulation 55 Pa. Code § 2600	Percent of Inspections with Cited Regulatory Violation
<p>187(a) - A medication record shall be kept to include the following for each resident for whom medications are administered:</p> <ol style="list-style-type: none"> <li>(1) Resident's name.</li> <li>(2) Drug allergies.</li> <li>(3) Name of medication.</li> <li>(4) Strength.</li> <li>(5) Dosage form.</li> <li>(6) Dose.</li> <li>(7) Route of administration.</li> <li>(8) Frequency of administration.</li> <li>(9) Administration times.</li> <li>(10) Duration of therapy, if applicable.</li> <li>(11) Special precautions, if applicable.</li> <li>(12) Diagnosis or purpose for the medication, including pro re nata (PRN).</li> <li>(13) Date and time of medication administration.</li> <li>(14) Name and initials of the staff person administering the medication.</li> </ol>	14%
<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"> <li>(1) A general physical examination by a physician, physician's assistant or nurse practitioner.</li> <li>(2) Medical diagnosis including physical or mental disabilities of the resident, if any.</li> <li>(3) Medical information pertinent to diagnosis and treatment in case of an emergency.</li> <li>(4) Special health or dietary needs of the resident.</li> <li>(5) Allergies.</li> <li>(6) Immunization history.</li> <li>(7) Medication regimen, contraindicated medications, medication side effects and the ability to self-administer medications.</li> <li>(8) Body positioning and movement stimulation for residents, if appropriate.</li> <li>(9) Health status.</li> <li>(10) Mobility assessment, updated annually or at the Department's request.</li> </ol>	12%
85(a) - Sanitary conditions shall be maintained.	11%

Regulation 55 Pa. Code § 2600	Percent of Inspections with Cited Regulatory Violation
225(c) - The resident shall have additional assessments as follows: <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>	10%
141(b) - A resident shall have a medical evaluation: <ol style="list-style-type: none"> <li>(1) At least annually.</li> </ol>	10%
18 - A home shall comply with applicable Federal, State and local laws, ordinances and regulations.	8%
183(d) - Only current prescription, OTC, sample and CAM for individuals living in the home may be kept in the home.	8%
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.	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 2018, BHSL received 29,413 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	34.5%
Death of a resident	23.1%
Incident requiring the services of emergency management agency, fire department, or police department	22.1%
Prescription medication error	16.1%
Physical or sexual assault of a resident	4.2%
Complaint of abuse, suspected resident abuse, or referral of a complaint of abuse to local authority	2.2%
Outbreak of a serious communicable disease	1.5%
Unexplained absence of a resident for 24 hours or more, or any absence of a resident from a secure dementia care unit	1.0%
Emergency such as natural disaster or utility outage	1.0%
Violation of a resident's rights	0.6%
Misuse of a resident's funds by the home's staff or legal entity	0.4%
Suicide attempt	0.2%
Utility termination notice or an actual service termination	0.1%
Violation of health and safety laws	0.1%
Fire or structural damage to a home	< 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 62% of the complaints received in 2018 required an on-site investigation. Approximately 1% of the complaints were high-risk, requiring an investigation within 72 hours.

### *Number of Complaints Received and Investigated*

<b>Number of Complaints Received</b>	1,555
<b>Number of Complaints Requiring an On-Site Investigation</b>	965
<b>Percent of Complaints Requiring an On-Site Investigation</b>	62%
<b>Percent of Complaints Where One or More Regulatory Violations Were Identified</b>	63%

## 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*

<b>Type of Enforcement Action</b>	<b>2018 Totals</b>
Emergency Relocations	1
License Revocations	5
Nonrenewal of License	4
Denial of Initial License	0
Illegal Operations	1
Court Filings	0
Orders to Limit Access	0
Provisional Licenses Due to Enforcement	49
Fines Issued	8
Court Appointment of Master	0
<b>Total Enforcement Actions</b>	<b>68</b> <b>(Avg 6 per month)</b>

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 2018, 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	2018 Totals
Warnings of Possible Fines	41
Number of PCHs Issued Warnings	41
Number of Fines Issued	8
Number of PCHs Issued Fines	8
Number of Violations With Invoiced Fines	18
- Class I	0
- Class II	9
- Class III	9
<b>Total Fine Amount Assessed</b>	<b>\$57,281</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; and
- Residents benefit from the waiver.

### Waiver Determination Summary

More Information Needed/Pending	Waiver Withdrawn	Waiver Not Needed	Granted	Denied	Total
4	0	57	54	1	116

### 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)	62	2	0	57	3	0
64(a) - Administrator training and orientation	21	20	1	0	0	0
22,141(a), 224(a) - Documentation of Medical Evaluation and Preadmission Screening forms (due to wanting to use their own forms/electronic forms in lieu of using DHS's forms)	13	13	0	0	0	0
16 (d), 22,141(a), 224(a) Reportable Incident, Documentation of Medical Evaluation and Preadmission Screening forms (all due to wanting to use their own forms/electronic forms instead of using DHS's forms)	8	8	0	0	0	0
53(a) - Qualifications and responsibilities of administrators forms)	5	4	0	0	1	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 nine PCHs that applied for and received the scholarships in 2018. 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 120 training sessions offered by BHSL totaling nearly 500 hours of free training at multiple locations throughout the commonwealth in 2018. Courses included:

- Plans of Correction: An Opportunity to Improve Staff Supervision
- Workplace Strategies for Hiring, Communicating, and Facilitating Teamwork
- Sexuality, Consent, and Sexual Abuse in Later Life
- Time Management, After all it's YOUR Time!
- Incident Reporting: Requirements and Best Practices
- The Top 5 PCH Violations and Best Practices in Avoiding Them
- Quality Management for Compliance
- Orientation and Training for Direct Care Staff in PCH and ALR
- Diversity and Cultural Awareness in PCH
- Verbal/Non-verbal Communication in Dementia Care
- Best Practices in Medication Safety and Prevention of Drug Diversion
- Pharmacology in Common Health Conditions
- The Gift of Music in Dementia Care
- The Life Story and it's Benefits in Dementia Care
- Accident Prevention and Investigation
- Infection Control
- Preventive Skin Care
- Blood-borne Pathogens and Hazard Communication
- Diabetes Education
- End of Life: Hospice and Bridge Care Programs
- Emergency Action and Fire Prevention Plans
- Environmental Concerns and Integrated Pest Management
- Nutrition and Dietary Supervision in the PCH
- Person Centered Care and Aging in Place
- Walking and Working Surfaces in PCH
- Common Medical Emergencies
- Caregiver Burnout – Stress and Time Management

## Workload

In addition to a small component of management and support staff, as of January 2019, BHSL employed 45 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	7	238	1:34
Northeast	8	249	1:31
Southeast	8	246	1:31
West	22	416	1:19
<b>Statewide</b>	<b>45</b>	<b>1,149</b>	<b>1:26</b>

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	397	301	26	3	1	3	3	2	6	3
ALLEGHENY	127	7,591	5,248	564	55	12	28	60	27	90	37
ARMSTRONG	23	541	384	87	17	7	9	7	-	20	3
BEAVER	18	919	680	113	8	1	6	8	3	17	1
BEDFORD	2	120	87	10	2	-	-	2	-	2	-
BERKS	30	2,214	1,676	227	12	-	6	17	7	25	5
BLAIR	15	845	575	73	7	-	4	9	2	8	7
BRADFORD	6	284	199	40	3	-	2	4	-	5	1
BUCKS	48	2,768	2,153	57	12	10	6	22	10	21	27
BUTLER	23	1,790	1,256	43	9	-	4	13	6	13	10
CAMBRIA	26	1,093	691	181	17	-	8	18	-	21	5
CAMERON	1	10	9	-	-	-	1	-	-	-	1
CARBON	7	382	268	5	2	2	2	1	2	6	1
CENTRE	15	700	479	11	5	2	2	10	1	10	5
CHESTER	47	2,713	1,797	110	17	13	5	17	12	34	13
CLARION	4	231	148	29	4	-	-	4	-	1	3
CLEARFIELD	7	383	263	20	6	-	2	4	1	5	2
CLINTON	4	172	124	60	2	1	1	2	-	4	-
COLUMBIA	3	179	108	8	1	-	-	3	-	3	-
CRAWFORD	4	309	189	43	2	-	1	2	1	1	3
CUMBERLAND	24	1,649	1,090	52	13	6	-	12	6	12	12
DAUPHIN	19	1,180	848	115	10	6	-	10	3	4	15
DELAWARE	31	1,987	1,425	64	8	7	6	9	9	17	14
ELK	2	134	87	6	2	-	-	2	-	-	2
ERIE	27	1,457	824	116	16	8	4	8	7	14	13
FAYETTE	29	891	615	159	17	4	11	14	-	29	-
FOREST	0	-	-	-	-	-	-	-	-	-	-
FRANKLIN	17	919	621	36	7	3	4	7	3	9	8
FULTON	1	38	32	26	1	-	-	1	-	1	-
GREENE	5	119	112	51	4	2	1	2	-	5	-
HUNTINGDON	2	76	63	18	1	-	-	2	-	-	2
INDIANA	24	685	498	164	17	3	8	13	-	21	3
JEFFERSON	9	313	242	59	7	-	3	6	-	7	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	104	31	3	1	3	1	-	5	-
LACKAWANNA	17	1,077	865	239	9	-	1	15	1	14	3
LANCASTER	56	3,748	2,589	313	31	5	9	25	17	26	30
LAWRENCE	12	508	349	63	6	1	3	8	-	7	5
LEBANON	19	784	542	94	6	1	5	13	-	11	8
LEHIGH	34	2,392	1,503	63	8	2	8	14	10	24	10
LUZERNE	28	2,032	1,374	193	18	2	5	13	8	22	6
LYCOMING	15	717	425	87	9	1	6	7	1	10	5
MCKEAN	3	173	105	10	3	-	1	1	1	1	2
MERCER	17	735	419	56	10	4	4	7	2	10	7
MIFFLIN	2	167	124	7	1	-	-	2	-	1	1
MONROE	9	464	349	59	5	1	2	5	1	8	1
MONTGOMERY	53	4,433	2,764	34	10	2	6	26	19	30	23
MONTOUR	4	221	151	26	2	-	1	3	-	1	3
NORTHAMPTON	30	2,319	1,376	78	5	3	4	15	8	25	5
NORTHUMBERLAND	16	740	420	161	13	-	9	6	1	15	1
PERRY	1	65	43	1	1	-	-	1	-	-	1
PHILADELPHIA	67	2,952	1,938	694	47	5	33	20	9	44	23
PIKE	3	108	96	-	-	1	-	2	-	3	-
POTTER	1	30	19	4	1	-	-	1	-	-	1
SCHUYLKILL	7	511	346	28	2	-	2	4	1	7	-
SNYDER	1	95	75	-	-	-	-	1	-	1	-
SOMERSET	14	583	376	96	10	-	6	7	1	10	4
SULLIVAN	1	10	6	-	-	-	1	-	-	1	-
SUSQUEHANNA	2	101	79	1	1	-	-	2	-	2	-
TIOGA	4	169	112	17	3	-	1	3	-	1	3
UNION	5	307	194	10	2	-	1	3	1	3	2
VENANGO	7	159	146	66	6	-	5	2	-	2	5
WARREN	6	260	181	29	5	-	4	1	1	1	5
WASHINGTON	20	848	609	89	9	2	6	11	1	17	3
WAYNE	3	114	73	-	-	-	2	1	-	2	1
WESTMORELAND	49	2,324	1,691	171	21	7	10	27	5	42	7
WYOMING	3	87	70	19	3	-	2	1	-	2	1
YORK	26	2,131	1,477	86	12	2	6	9	9	19	7
<b>TOTAL</b>	<b>1,149</b>	<b>64,571</b>	<b>44,082</b>	<b>5,398</b>	<b>549</b>	<b>128</b>	<b>273</b>	<b>549</b>	<b>199</b>	<b>778</b>	<b>371</b>

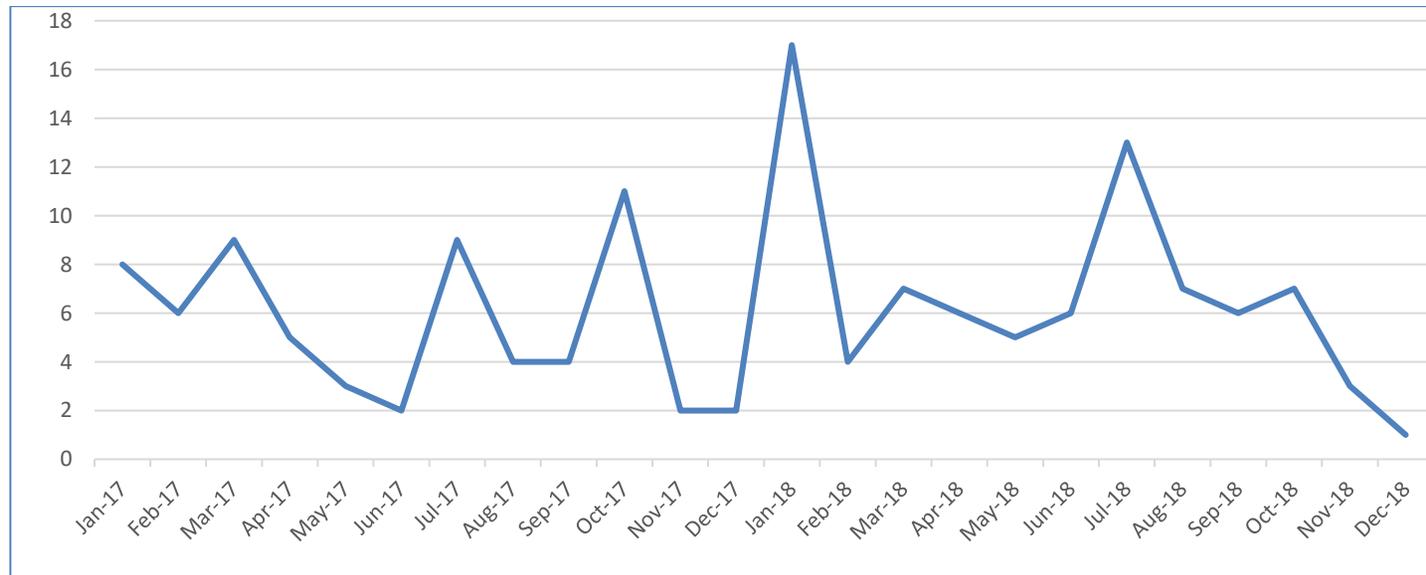
## Appendix B

### Applications, Inspections, Enforcement, and Facility Information

BHSL received 82 applications for licensure in the 2018 calendar year. Of those submitted, 24% were applications for new PCHs and 76% were applications for a new owner to operate an existing PCH.

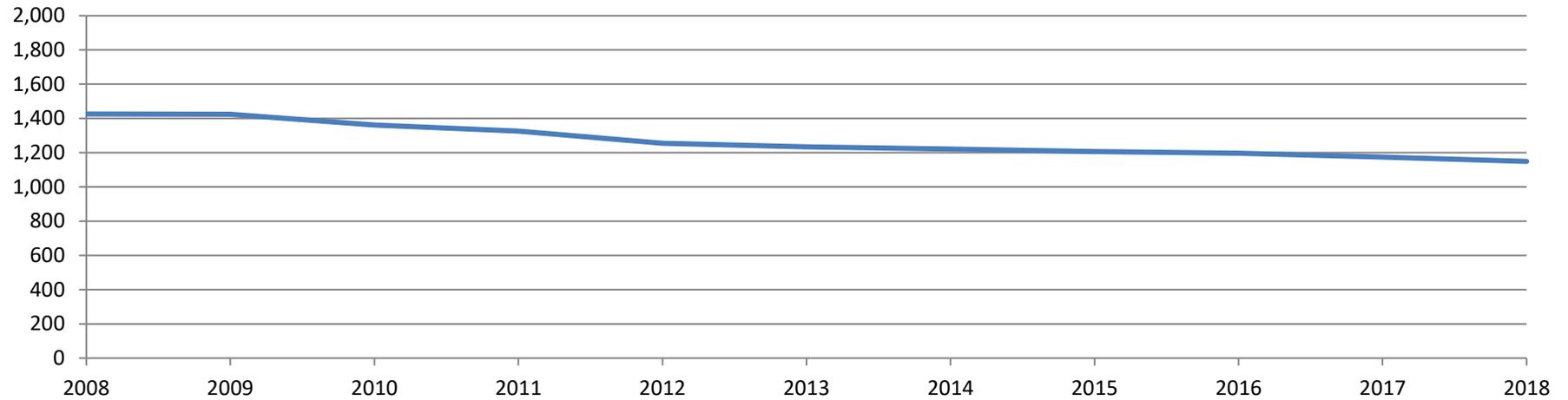
Application Status	Count Received in 2018	Percent
Denied	2	3%
Issued	52	63%
Still Pending	9	11%
Other (Not Needed or Withdrawn)	19	23%
<b>TOTAL</b>	<b>82</b>	<b>100%</b>

### *Applications Received January 2017 through December 2018*

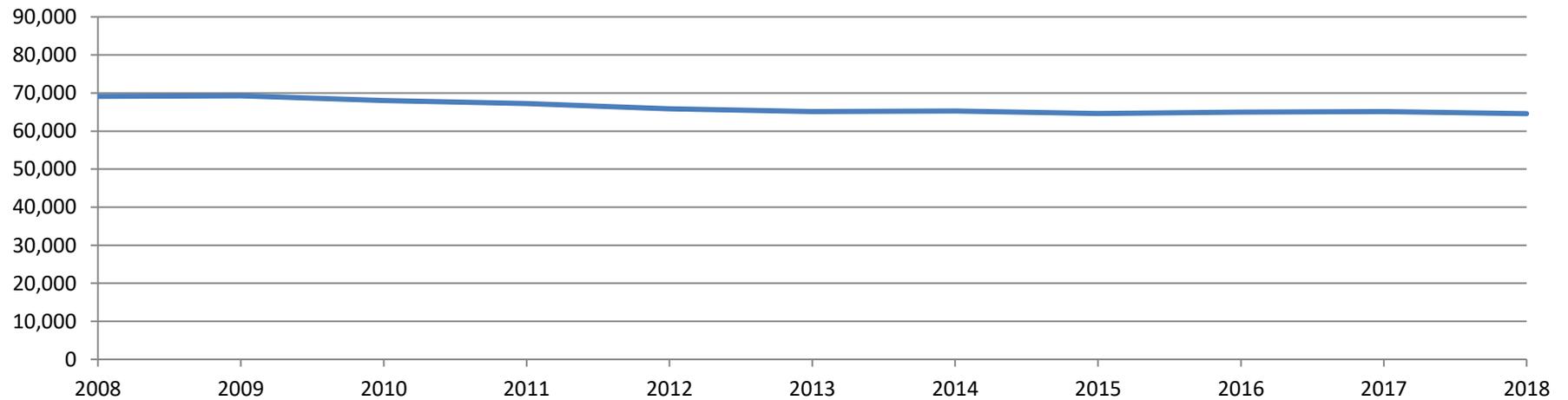


The total number of PCHs in Pennsylvania has been steadily declining. The tables below show the numbers of PCHs and total capacity between 2008 and 2018.

*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				
	2014	2015	2016	2017	2018
Full	738	566	1,212	1,204	1,014
Partial	1,331	1,198	1,272	1,637	1,257
Initial	9	17	69	53	32
All Inspections	2,078	1,781	2,553	2,894	2,303

Number of Inspections	PCHs in Category				
	2014	2015	2016	2017	2018
1 Inspection	60%	55%	62%	49%	46%
2-5 Inspections	37%	42%	37%	49%	50%
6-10 Inspections	3%	3%	1%	2%	3%
Over 10 Inspections	1%	1%	0%	<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				
	2014	2015	2016	2017	2018
0 Violations	6%	10%	14%	11%	12%
1 - 10 Violations	64%	64%	62%	63%	63%
11 - 30 Violations	28%	25%	23%	25%	23%
31 - 50 Violations	2%	1%	1%	1%	1%
51 - 100 Violations	1%	0%	0%	0%	<1%
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.

	2014	2015	2016	2017	2018
Number of Complaints Received	1,250	1,366	1,339	1,566	1,555
Number of Complaints Requiring On-site Investigation	1,022	767	1,007	933	965
Percent of Complaints Requiring On-site Investigation	82%	56%	75%	60%	62%
Percent of Complaints Where One or More Regulatory Violations Were Found	50%	28%	37%	49%	63%

## Enforcement History, January 2014 - December 2018

Type of Enforcement Action	2014	2015	2016	2017	2018
Emergency Relocations	1	2	0	0	1
License Revocations	5	5	0	4	5
Nonrenewal of License	2	10	3	4	4
Denial of Initial License	2	5	0	1	0
Illegal Operations	5	2	2	1	1
Court Filings	0	0	0	0	0
Orders to Limit Access	0	0	0	0	0
Provisional Licenses Due to Enforcement (not new PCHs)	55	46	39	62	49
Fines	20	17	26	11	8
Court Appointment of Master	0	0	0	0	0
<b>Total Enforcement Actions</b>	<b>90</b>	<b>87</b>	<b>70</b>	<b>83</b>	<b>68</b>
<b>Average Per Month</b>	<b>8 / month</b>	<b>7 / month</b>	<b>6 / month</b>	<b>7 / month</b>	<b>6 / month</b>

# Appendix C

## Licensing Status and Enforcement Actions by County

County	License Status as of January 2, 2019		Cumulative Enforcement Actions for 2018									
	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	8	1	-	-	-	-	-	-	-	-	-	-
ALLEGHENY	116	11	-	-	2	-	-	-	-	13	4	-
ARMSTRONG	22	1	-	-	-	-	-	-	-	2	-	-
BEAVER	15	3	-	-	-	-	-	-	-	1	-	-
BEDFORD	1	1	-	-	-	-	-	-	-	1	-	-
BERKS	30	-	-	-	-	-	-	-	-	1	-	-
BLAIR	15	-	-	-	-	-	-	-	-	2	-	-
BRADFORD	6	-	-	-	-	-	-	-	-	-	-	-
BUCKS	48	-	-	-	-	-	-	-	-	-	-	-
BUTLER	22	1	-	-	-	-	1	-	-	1	-	-
CAMBRIA	26	-	-	-	-	-	-	-	-	1	-	-
CAMERON	1	-	-	-	-	-	-	-	-	-	-	-
CARBON	7	-	-	-	-	-	-	-	-	-	-	-
CENTRE	15	-	-	-	-	-	-	-	-	-	-	-
CHESTER	45	2	-	-	-	-	-	-	-	1	-	-
CLARION	4	-	-	-	-	-	-	-	-	-	-	-
CLEARFIELD	7	-	-	-	-	-	-	-	-	-	-	-
CLINTON	4	-	-	-	-	-	-	-	-	-	-	-
COLUMBIA	3	-	-	-	-	-	-	-	-	-	-	-
CRAWFORD	3	1	-	-	-	-	-	-	-	2	1	-
CUMBERLAND	23	1	-	1	-	-	-	-	-	1	-	-
DAUPHIN	18	1	-	-	-	-	-	-	-	1	-	-
DELAWARE	29	2	-	-	-	-	-	-	-	1	-	-
ELK	2	-	-	-	-	-	-	-	-	-	-	-
ERIE	27	-	-	-	-	-	-	-	-	-	-	-
FAYETTE	26	3	-	-	2	-	-	-	-	1	-	-

County	License Status as of January 2, 2019		Cumulative Enforcement Actions for 2018									
	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	5	-	-	-	-	-	-	-	-	-	-	-
HUNTINGDON	2	-	-	-	-	-	-	-	-	-	-	-
INDIANA	23	1	-	-	-	-	-	-	-	2	-	-
JEFFERSON	9	-	-	-	-	-	-	-	-	-	-	-
JUNIATA	5	-	-	-	-	-	-	-	-	-	-	-
LACKAWANNA	16	1	-	-	-	-	-	-	-	1	-	-
LANCASTER	55	1	-	-	-	-	-	-	-	3	-	-
LAWRENCE	12	-	-	-	-	-	-	-	-	-	-	-
LEBANON	19	-	-	-	-	-	-	-	-	-	-	-
LEHIGH	32	2	-	-	-	-	-	-	-	2	1	-
LUZERNE	28	-	-	-	-	-	-	-	-	-	-	-
LYCOMING	14	1	-	-	-	-	-	-	-	1	-	-
MCKEAN	3	-	-	-	-	-	-	-	-	-	-	-
MERCER	17	-	-	-	-	-	-	-	-	-	-	-
MIFFLIN	2	-	-	-	-	-	-	-	-	-	-	-
MONROE	9	-	-	-	-	-	-	-	-	-	-	-
MONTGOMERY	51	2	1	1	-	-	-	-	-	-	1	-
MONTOUR	4	-	-	-	-	-	-	-	-	1	-	-
NORTHAMPTON	29	1	-	-	-	-	-	-	-	-	-	-
NORTHUMBERLAND	16	-	-	-	-	-	-	-	-	-	-	-
PERRY	1	-	-	-	-	-	-	-	-	-	-	-
PHILADELPHIA	63	4	-	-	-	-	-	-	-	3	-	-
PIKE	2	1	-	-	-	-	-	-	-	1	-	-
POTTER	1	-	-	-	-	-	-	-	-	-	-	-
SCHUYLKILL	7	-	-	1	-	-	-	-	-	-	-	-
SNYDER	1	-	-	-	-	-	-	-	-	-	-	-

County	License Status as of January 2, 2019		Cumulative Enforcement Actions for 2018									
	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	14	-	-	-	-	-	-	-	-	-	-	-
SULLIVAN	1	-	-	-	-	-	-	-	-	-	-	-
SUSQUEHANNA	2	-	-	-	-	-	-	-	-	-	-	-
TIOGA	4	-	-	-	-	-	-	-	-	-	-	-
UNION	4	1	-	-	-	-	-	-	-	1	-	-
VENANGO	7	-	-	-	-	-	-	-	-	-	-	-
WARREN	6	-	-	-	-	-	-	-	-	-	-	-
WASHINGTON	19	1	-	1	-	-	-	-	-	-	-	-
WAYNE	3	-	-	-	-	-	-	-	-	-	-	-
WESTMORELAND	45	4	-	-	-	-	-	-	-	4	1	-
WYOMING	3	-	-	-	-	-	-	-	-	-	-	-
YORK	25	1	-	1	-	-	-	-	-	1	-	-
<b>TOTAL</b>	<b>1,100</b>	<b>49</b>	<b>1</b>	<b>5</b>	<b>4</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>49</b>	<b>8</b>	<b>0</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, 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,  
625 Forster Street  
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**