



pennsylvania
DEPARTMENT OF HUMAN SERVICES

CERTIFICATE OF COMPLIANCE

This certificate is hereby granted to KNICKERBOCKER ACQUISITION, LLC
LEGAL ENTITY

To operate KNICKERBOCKER VILLA
NAME OF FACILITY OR AGENCY

Located at 304 SOUTH SECOND STREET, CLEARFIELD, PA 16830
(COMPLETE ADDRESS OF FACILITY OR AGENCY)

ADDRESS OF SATELLITE SITE

ADDRESS OF SATELLITE SITE

ADDRESS OF SATELLITE SITE

To provide Personal Care Homes
TYPE OF SERVICE(S) TO BE PROVIDED

The total number of persons which may be cared for at one time may not exceed 70
or the maximum capacity permitted by the Certificate of Occupancy, whichever is smaller.
(MAXIMUM CAPACITY)

Restrictions: _____

This certificate is granted in accordance with the Public Welfare Code of 1967, P.L. 31, as amended, and Regulations

55 Pa.Code Chapter 2600: Personal Care Homes
(MANUAL NUMBER AND TITLE OF REGULATIONS)

and shall remain in effect from August 5, 2015 until February 5, 2016,
unless sooner revoked for non-compliance with applicable laws and regulations.

No: 326941

Robert E. Robinson
ISSUING OFFICER

[Signature]
DIRECTOR

NOTE: This certificate is issued for the above site(s) only and is not transferable and should be posted in a conspicuous place in the facility.



pennsylvania
DEPARTMENT OF HUMAN SERVICES

CERTIFIED MAIL – RETURN RECEIPT REQUESTED

MAILING DATE: AUG 05 2015

Ms. Amy Speece, Partner
Knickerbocker Acquisition, LLC
P.O. Box 761
Hummelstown, Pennsylvania 17036

RE: Knickerbocker Villa
304 South Second Street
Clearfield, Pennsylvania 16830
License #: 326941

Dear Ms. Speece:

As a result of the Department of Human Services' (Department) licensing inspections on April 1, 2015 and April 2, 2015 of the above facility, the violations specified on the enclosed Licensing Inspection Summary were found.

Based on violations with 55 Pa.Code Ch. 2600 (relating to Personal Care Homes), your current license #326940 dated September 18, 2014 to September 18, 2015 is REVOKED. Additionally, your license dated September 18, 2015 to September 18, 2016 is REVOKED. A FIRST PROVISIONAL license is being issued based on your plan to correct the violations as specified on the Licensing Inspection Summary. This FIRST PROVISIONAL license replaces all previously issued licenses and is effective for six months from the date of issuance. The license dated September 18, 2015 to September 18, 2016 is NOT reinstated upon expiration of this FIRST PROVISIONAL license. This decision is made pursuant to 62 P.S. 1026(b)(1) and 55 Pa.Code § 20.71(a)(2) (relating to conditions for denial, nonrenewal or revocation.) Your FIRST PROVISIONAL license is enclosed.

All violations specified on the Licensing Inspection Summary must be corrected by the dates specified on the Licensing Inspection Summary and continued compliance with 55 Pa.Code Ch. 2600 must be maintained.

Pursuant to 62 P.S. 1085-1087 and 55 Pa.Code §§ 2600.261-268 (relating to enforcement), the Department intends to assess a fine for the following violations unless fully corrected on or before the mandated correction date.

| 55 Pa.Code Chapter 2600 Section no. | Class of Violation | Census at Inspection X | Fine Per resident Per day | Calculated Fine = Per day | Mandated Correction Date (to avoid Fine) |
|---|--------------------------|---------------------------|---------------------------------|---------------------------------|--|
| 228h | III | 54 | \$3 | \$162 | 15 calendar days from mailing date of this letter |

A fine will be assessed on a daily basis beginning with the date of this letter and will continue until the violation is fully corrected, and full compliance with the regulation has been achieved. If the violation is fully corrected, and full compliance with the regulation has been achieved, by the mandated correction date, no fine will be assessed. You must notify the Department's Regional Human Services Licensing office in writing as soon as each violation is fully corrected and submit written documentation of each correction. The Department will conduct an on-site inspection after the mandated correction date, and within 20 calendar days of the date of this letter. If one or more violations is not fully corrected and full compliance with the regulation has not been achieved, you will periodically receive invoices from the Department's Bureau Human Services Licensing with payment instructions. The fines will continue to accumulate until the violation is fully corrected and full compliance with the regulation has been achieved.

No fine is being assessed at this time; therefore, you may not appeal any fine at this time. If a violation is not corrected and full compliance with the regulation has not been achieved by the mandated correction date, a fine will be assessed and an invoice will be mailed. This invoice will contain the right to appeal the fine.

If you disagree with the decision to issue a PROVISIONAL license, you have the right to appeal through hearing before the Bureau of Hearings and Appeals, Department of Human Services in accordance with 1 Pa.Code Part II, Chs. 31-35. If you decide to appeal your PROVISIONAL license, a written request for an appeal must be received within 10 days of the date of this letter by:

Jacob Herzing, Enforcement Manager
Human Services Licensing
Department of Human Services
Room 631 Health and Welfare Building
625 Forster Street
Harrisburg, Pennsylvania 17120

Ms. Amy Speece

3

This decision is final 11 days from the date of this letter, or if you decide to appeal, upon issuance of a decision by the Bureau of Hearings and Appeals.

Sincerely,

A handwritten signature in black ink, appearing to read "Matthew J. Jones", with a long horizontal flourish extending to the right.

Matthew J. Jones
Director

Enclosures
License
Licensing Inspection Summary

VIOLATION REPORT
PERSONAL CARE HOMES - 55 Pa.Code Chapter 2600

| | | |
|---|--|-----------------------|
| PCH Name: KNICKERBOCKER VILLA | | License Number: 32694 |
| Address: 304 South Second Street, Clearfield, PA 16830 | | County: Clearfield |
| Administrator: Roxanne Sallurday | | Region: WEST |
| Legal Entity Name: Ms. Amy Speece, Partner | | |
| Legal Entity Address: Knickerbocker Acquisition, LLC, Hummelstown, PA 17036 | | |
| Certificate(s) of Occupancy C-2 LP 03/06/1998 L&I | | |
| Staffing Hours | | |
| Resident Support: 0 | Total Daily Staff: 56 | Waking Staff: 42 |
| Type of Inspection: Partial | BHA Docket Number: | Notice: Unannounced |
| Reason(s) for Inspection(s) Complaint | | |
| On-Site Inspections Dates and Department Representatives On-Site 04/01/2015: Williams, Jason; Rosol, Jennifer 04/02/2015: Williams, Jason; Rosol, Jennifer | | |
| Off-Site Inspection Dates and Inspectors, if Applicable 05/29/2015: Williams, Jason | | |
| Other Details | | |
| Partial or Full Triggers: | | Random Indicators: |
| Resident Demographic Data as of Inspection Dates | | |
| Licensed Capacity: 70 Number of Residents Served: 54 Secured Dementia Care Unit in Home: No Area: Secured Dementia Unit Capacity, if Applicable: Number of Residents Served in Secured Dementia Care Unit, if applicable: Number of Current Hospice Residents: 3 Number of Hospice Residents in past year: 4 | Number of Residents who: Receive Supplemental Security Income: 14 Are 60 Years of Age or Older: 49 Have Mental Illness: 10 Have an Intellectual Disability: 3 Have a Mobility Need: 2 Have a Physical Disability: 0 | |

MAY 15 2015

Violation Report: 32694 - 04/01/2015 - Williams, Jason
PCH Name: KNICKERBOCKER VILLA

1. REGULATION 55 Pa.Code §2600

2600.42(u) - A resident has the right to remain in the home, as long as it is operating with a license, except as specified in § 2600.228 (relating to notification of termination).

WILKES COUNTY
Human Services & Licensing

2a. DESCRIPTION OF VIOLATION

On 4/22/15, the home discharged resident #1 against the resident's will. In a 30-day notice dated 3/5/15, the home indicated the reason for discharge was "refusing to be redirected by staff during care, and refusing to be toileted every two hours as required for bladder incontinence," which are not allowable grounds for discharge under 2600.228h.

3. PLAN OF CORRECTION (POC) (Attach pages as necessary. Remember that you must sign and date any attached pages.)

Include steps to correct the violation described above and steps to prevent a similar violation from occurring again. If steps cannot be completed immediately, include dates by which the steps will be completed.

Steps to correct and prevent violation from occurring again, the Administrator will not issue a 30 day discharge notice unless it is a reason specified in 2600.228, effective immediately. The staff will be educated on implementing a plan of correction for non-compliant residents of personal hygiene, effective immediately, before a notice of discharge is given.

See Page 2A of 3

Repeat Violation: No

Date(s) of Previous Violation(s):

Signature of Legal Entity Representative
(Required on EVERY Page)

Roxanne Salley

Printed Name and Title of Legal Entity Representative
(Required on EVERY Page)

Roxanne Salley

Date

5/15/15

DEPARTMENT USE ONLY - HOMES MAY NOT WRITE BELOW THIS LINE!

The above plan of correction is approved as of

4/27/15
(Date)

Plan of correction implementation status as of

7/27/15
(Date)

The above plan of correction was approved by

(Signature)
(Initials)

- Fully Implemented
- Partially Implemented - Adequate Progress
- Partially Implemented - Inadequate Progress
- Not Implemented

03/17/2015

Violation Report: 32694 - 04/01/2015 - Williams, Jason
PCH Name: KNICKERBOCKER VILLA

1. REGULATION 85 Pa.Code §2600
2600.42(u) - A resident has the right to remain in the home, as long as it is operating with a license, except as specified in § 2600.228 (relating to notification of termination).

2a. DESCRIPTION OF VIOLATION
On 4/22/15, the home discharged resident #1 against the resident's will. In a 30-day notice dated 3/5/15, the home indicated the reason for discharge was "refusing to be redirected by staff during care, and refusing to be toileted every two hours as required for bladder incontinence," which are not allowable grounds for discharge under 2600.228h.

3. PLAN OF CORRECTION (POC) (Attach pages as necessary. Remember that you must sign and date any attached pages.)
Include steps to correct the violation described above and steps to prevent a similar violation from occurring again. If steps cannot be completed immediately, include dates by which the steps will be completed.

Immediately - Resident #1 will be offered the opportunity to return to the home at the same rate for room and board as previously agreed upon. The home will make the offer to the resident in writing. Documentation will be sent to the Department.

Immediately - The only grounds for discharge or transfer of a resident from the home will be in accordance with 2600.228h. All management staff will be reeducated on this requirement.
Documentation of training will be kept. 7/16/15

Immediately - If a resident or a resident's designated person disagrees with the home's decision to discharge, consultation with an appropriate assessment agency or the resident's physician will be made to determine if the resident requires a higher level of care

Immediately - All resident contracts will be updated to include the language "All residents have the right to remain in the home, as long as it is operating with a license, except as in regulation 2600.228."

Immediately - The administrator will review the home's current description of services and update and revise where necessary, to ensure the home can meet the needs of all residents who are admitted to the home.

Immediately - The administrator will review the home rules to ensure that no rules infringe on residents' rights. The home rules will be revised where necessary to ensure residents' rights are preserved.

By 8/15/15 - The administrator will review the care needs of all residents of the home, to ensure that the home is meeting their needs and that the needs of each resident meets the criteria as indicated in the description of services. If the home is unable to meet all the needs of all the residents, the home will issue a 30-day notice per regulation 2600.228b.

By 8/15/15 - All staff and residents will be reeducated on resident rights by an outside source approved by the Department, including residents' rights to remain in the home, except as in regulation 2600.228h, and for preservation of resident choice in moving to another personal care home when a resident is discharged from the home. Documentation will be kept.

By 8/31/15 - All staff, including management staff, will receive training on care for residents with mental illness, including positive interventions, by an outside source approved by the Department. Documentation will be kept.

Repeat Violation: No Date(s) of Previous Violation(s):

Signature of Legal Entity Representative (Required on EVERY Page)
Roxanne Sallurday 7/17/15
Roxanne Sallurday

7/27/15

Violation Report: 32694 - 04/01/2015 - Williams, Jason
PCH Name: KNICKERBOCKER VILLA

WILKES-BARRE COUNTY
PERSONAL CARE LICENSING

1. REGULATION 55 Pa.Code §2600

2600.228(h) - The only grounds for discharge or transfer of a resident from a home are for the following conditions:

- (1) If a resident is a danger to himself/herself or others.
- (2) If the legal entity chooses to voluntarily close the home, or a portion of the home.
- (3) If a home determines that a resident's functional level has advanced or declined so that the resident's needs cannot be met in the home. If a resident or the resident's designated person disagrees with the home's decision to discharge or transfer, consultation with an appropriate assessment agency or the resident's physician shall be made to determine if the resident needs a higher level of care. A plan for other placement shall be made as soon as possible by the administrator in conjunction with the resident and the resident's designated person, if any. If assistance with relocation is needed, the administrator shall contact appropriate local agencies, such as the area agency on aging, county mental health/mental retardation program or drug and alcohol program, for assistance. The administrator shall also contact the Department's personal care home regional office.
- (4) If meeting the resident's needs would require a fundamental alteration in the home's program or building site, or would create an undue financial or programmatic burden on the home.
- (5) If the resident has failed to pay after reasonable documented efforts by the home to obtain payment.
- (6) If closure of the home is initiated by the Department.
- (7) Documented, repeated violation of the home rules.

2a. DESCRIPTION OF VIOLATION

On 4/22/15, the home discharged resident #1 against the resident's will. In a 30-day notice dated 3/5/15, the home indicated the reason for discharge was "refusing to be redirected by staff during care, and refusing to be toileted every two hours as required for bladder incontinence," which are not allowable grounds for discharge under 2600.228h.

3. PLAN OF CORRECTION (POC) (Attach pages as necessary. Remember that you must sign and date any attached pages.)

Include steps to correct the violation described above and steps to prevent a similar violation from occurring again. If steps cannot be completed immediately, include dates by which the steps will be completed.

Resident #1 was issued a discharge for repeated violation of home rules, that were documented for refusing to be redirected by staff for toileting care. A verbal warning and written warning were given prior to 30 day discharge notice. Steps to correct and prevent violation from occurring again, the Administrator will add the specific regulation reason from 2600.228(h) on a discharge letter effective immediately.

Repeat Violation: Yes Date(s) of Previous Violation(s): 08/18/2014 See Page 3A of 3

Signature of Legal Entity Representative (Required on EVERY Page) *Roxanne Sallurca*

Printed Name and Title of Legal Entity Representative (Required on EVERY Page) Roxanne Sallurca, Administrator Date 5/15/15

DEPARTMENT USE ONLY - HOMES MAY NOT WRITE BELOW THIS LINE!

The above plan of correction is approved as of 7/27/15 (Date)

The above plan of correction was approved by [Signature] (Initials)

Plan of correction implementation status as of 7/27/15 (Date)
 Fully Implemented
 Partially Implemented - Adequate Progress
 Partially Implemented - Inadequate Progress
 Not Implemented

Violation Report: 32664 - 04/01/2015 - Williams, Jason
PCH Name: KNICKERBOCKER VILLA

JUL 17 2015

1. REGULATION 55 Pa.Code §2600

2600.228(h) - The only grounds for discharge or transfer of a resident from a home are for the following conditions:

- (1) If a resident is a danger to himself/herself or others.
- (2) If the legal entity chooses to voluntarily close the home, or a portion of the home.
- (3) If a home determines that a resident's functional level has advanced or declined so that the resident's needs cannot be met in the home. If a resident or the resident's designated person disagrees with the home's decision to discharge or transfer, consultation with an appropriate assessment agency or the resident's physician shall be made to determine if the resident needs a higher level of care. A plan for other placement shall be made as soon as possible by the administrator in conjunction with the resident and the resident's designated person, if any. If assistance with relocation is needed, the administrator shall contact appropriate local agencies, such as the area agency on aging, county mental health/mental retardation program or drug and alcohol program, for assistance. The administrator shall also contact the Department's personal care home regional office.
- (4) If meeting the resident's needs would require a fundamental alteration in the home's program or building site, or would create an undue financial or programmatic burden on the home.
- (5) If the resident has failed to pay after reasonable documented efforts by the home to obtain payment.
- (6) If closure of the home is initiated by the Department.
- (7) Documented, repeated violation of the home rules.

Immediately - Resident #1 will be offered the opportunity to return to the home at the same rate for room and board as previously agreed upon. The home will make the offer to the resident in writing. Documentation will be sent to the Department.

Immediately - The only grounds for discharge or transfer of a resident from the home will be in accordance with 2600.228h. All management staff will be reeducated on this requirement.

Immediately - If a resident or a resident's designated person disagrees with the home's decision to discharge, consultation with an appropriate assessment agency or the resident's physician will be made to determine if the resident requires a higher level of care.

Immediately - All resident contracts will be updated to include the language "All residents have the right to remain in the home, as long as it is operating with a license, except as in regulation 2600.228."

Immediately - The administrator will review the home's current description of services and update and revise where necessary, to ensure the home can meet the needs of all residents who are admitted to the home.

Immediately - The administrator will review the home rules to ensure that no rules infringe on residents' rights. The home rules will be revised where necessary to ensure residents' rights are preserved.

By 8/15/15 - The administrator will review the care needs of all residents of the home, to ensure that the home is meeting their needs and that the needs of each resident meets the criteria as indicated in the description of services. If the home is unable to meet all the needs of all the residents, the home will issue a 30-day notice per regulation 2600.228b.

By 8/15/15 - All staff and residents will be reeducated on resident rights by an outside source approved by the Department, including residents' rights to remain in the home, except as in regulation 2600.228h, and for preservation of resident choice in moving to another personal care home when a resident is discharged from the home. Documentation will be kept.

By 8/31/15 - All staff, including management staff, will receive training on care for residents with mental illness, including positive interventions, by an outside source approved by the Department. Documentation will be kept.

Broxanne Sallurday

Roxanne Sallo 7/17/15

7/17/15

Repeat Violation: Yes Date(s) of Previous Violation(s): 08/18/2014