

U.S. Department of Labor
Occupational Safety and Health Administration
7935 East Prentice Avenue, Suite 209
Greenwood Village, CO 80111
Phone: 303-843-4500 Fax: 303-843-4515



Citation and Notification of Penalty

To:
12th Street Operations LLC, dba Pioneer Health Care
Center
and its successors
900 S. 12th Street
Rocky Ford, CO 81067

Inspection Site:
900 S. 12th Street
Rocky Ford, CO 81067

Inspection Number: 1253610
Inspection Date(s): 08/07/2017 - 09/05/2017
Issuance Date: 01/29/2018

The violation(s) described in this Citation and Notification of Penalty is (are) alleged to have occurred on or about the day(s) the inspection was made unless otherwise indicated within the description given below.

This Citation and Notification of Penalty (this Citation) describes violations of the Occupational Safety and Health Act of 1970. The penalty(ies) listed herein is (are) based on these violations. You must abate the violations referred to in this Citation by the dates listed and pay the penalties proposed, unless within 15 working days (excluding weekends and Federal holidays) from your receipt of this Citation and Notification of Penalty **you either call to schedule an informal conference (see paragraph below) or** you mail a notice of contest to the U.S. Department of Labor Area Office at the address shown above. Please refer to the enclosed booklet (OSHA 3000) which outlines your rights and responsibilities and which should be read in conjunction with this form. Issuance of this Citation does not constitute a finding that a violation of the Act has occurred unless there is a failure to contest as provided for in the Act or, if contested, unless this Citation is affirmed by the Review Commission or a court.

Posting - The law requires that a copy of this Citation and Notification of Penalty be posted immediately in a prominent place at or near the location of the violation(s) cited herein, or, if it is not practicable because of the nature of the employer's operations, where it will be readily observable by all affected employees. This Citation must remain posted until the violation(s) cited herein has (have) been abated, or for 3 working days (excluding weekends and Federal holidays), whichever is longer.

Informal Conference - An informal conference is not required. However, if you wish to have such a conference you may request one with the Area Director during the 15 working day contest period. During such an informal conference you may present any evidence or views which you believe would support an adjustment

to the citation(s) and/or penalty(ies).

If you are considering a request for an informal conference to discuss any issues related to this Citation and Notification of Penalty, you must take care to schedule it early enough to allow time to contest after the informal conference, should you decide to do so. Please keep in mind that a written letter of intent to contest must be submitted to the Area Director within 15 working days of your receipt of this Citation. The running of this contest period is not interrupted by an informal conference.

If you decide to request an informal conference, please complete, remove and post the Notice to Employees next to this Citation and Notification of Penalty as soon as the time, date, and place of the informal conference have been determined. Be sure to bring to the conference any and all supporting documentation of existing conditions as well as any abatement steps taken thus far. If conditions warrant, we can enter into an informal settlement agreement which amicably resolves this matter without litigation or contest.

Right to Contest – You have the right to contest this Citation and Notification of Penalty. You may contest all citation items or only individual items. You may also contest proposed penalties and/or abatement dates without contesting the underlying violations. **Unless you inform the Area Director in writing that you intend to contest the citation(s) and/or proposed penalty(ies) within 15 working days after receipt, the citation(s) and the proposed penalty(ies) will become a final order of the Occupational Safety and Health Review Commission and may not be reviewed by any court or agency.**

Penalty Payment – Penalties are due within 15 working days of receipt of this notification unless contested. (See the enclosed booklet and the additional information provided related to the Debt Collection Act of 1982.) Make your check or money order payable to “DOL-OSHA”. Please indicate the Inspection Number on the remittance. You can also make your payment electronically on www.pay.gov. On the left side of the pay.gov homepage, you will see an option to Search Public Forms. Type “OSHA” and click Go. From the results, click on **OSHA Penalty Payment Form**. The direct link is:

<https://www.pay.gov/paygov/forms/formInstance.html?agencyFormId=53090334>.

You will be required to enter your inspection number when making the payment. Payments can be made by credit card or Automated Clearing House (ACH) using your banking information. Payments of \$25,000 or more require a Transaction ID, and also must be paid using ACH. If you require a Transaction ID, please contact the OSHA Debt Collection Team at (202) 693-2170.

OSHA does not agree to any restrictions or conditions or endorsements put on any check, money order, or electronic payment for less than the full amount due, and will process the payments as if these restrictions or conditions do not exist.

Notification of Corrective Action – For each violation which you do not contest, you must provide **abatement certification** to the Area Director of the OSHA office issuing the citation and identified above. This abatement certification is to be provided by letter within 10 calendar days after each abatement date. Abatement certification includes the date and method of abatement. If the citation indicates that the violation was corrected during the inspection, no abatement certification is required for that item. The abatement certification letter must be posted at the location where the violation appeared and the corrective action took place or employees must otherwise be effectively informed about abatement activities. A sample abatement certification letter is enclosed with this Citation. In addition, where the citation indicates that **abatement documentation** is necessary, evidence of the purchase or repair of equipment, photographs or video, receipts, training records, etc., verifying that abatement has occurred is required to be provided to the Area Director.

Employer Discrimination Unlawful – The law prohibits discrimination by an employer against an employee for filing a complaint or for exercising any rights under this Act. An employee who believes that he/she has been discriminated against may file a complaint no later than 30 days after the discrimination occurred with the U.S. Department of Labor Area Office at the address shown above.

Employer Rights and Responsibilities – The enclosed booklet (OSHA 3000) outlines additional employer rights and responsibilities and should be read in conjunction with this notification.

Notice to Employees – The law gives an employee or his/her representative the opportunity to object to any abatement date set for a violation if he/she believes the date to be unreasonable. The contest must be mailed to the U.S. Department of Labor Area Office at the address shown above and postmarked within 15 working days (excluding weekends and Federal holidays) of the receipt by the employer of this Citation and Notification of Penalty.

Inspection Activity Data – You should be aware that OSHA publishes information on its inspection and citation activity on the Internet under the provisions of the Electronic Freedom of Information Act. The information related to these alleged violations will be posted when our system indicates that you have received this citation. You are encouraged to review the information concerning your establishment at www.osha.gov. If you have any dispute with the accuracy of the information displayed, please contact this office.



NOTICE TO EMPLOYEES OF INFORMAL CONFERENCE

An informal conference has been scheduled with OSHA to discuss the citation(s) issued on 01/29/2018. The conference will be held by telephone or at the OSHA office located at 7935 East Prentice Avenue, Suite 209, Greenwood Village, CO 80111 on _____ at _____. Employees and/or representatives of employees have a right to attend an informal conference.

CERTIFICATION OF CORRECTIVE ACTION WORKSHEET

Inspection Number: 1253610

Company Name: 12th Street Operations LLC, dba Pioneer Health Care Center

Inspection Site: 900 S. 12th Street, Rocky Ford, CO 81067

Issuance Date: 01/29/2018

List the specific method of correction for each item on this citation in this package that does not read "Corrected During Inspection" and return to: **U.S. Department of Labor – Occupational Safety and Health Administration, 7935 East Prentice Avenue, Suite 209, Greenwood Village, CO 80111**

Citation Number _____ and Item Number _____ was corrected on _____
By (Method of Abatement): _____

Citation Number _____ and Item Number _____ was corrected on _____
By (Method of Abatement): _____

Citation Number _____ and Item Number _____ was corrected on _____
By (Method of Abatement): _____

Citation Number _____ and Item Number _____ was corrected on _____
By (Method of Abatement): _____

Citation Number _____ and Item Number _____ was corrected on _____
By (Method of Abatement): _____

Citation Number _____ and Item Number _____ was corrected on _____
By (Method of Abatement): _____

I certify that the information contained in this document is accurate and that the affected employees and their representatives have been informed of the abatement.

Signature _____

Date _____

Typed or Printed Name _____

Title _____

NOTE: 29 USC 666(g) whoever knowingly makes any false statements, representation or certification in any application, record, plan or other documents filed or required to be maintained pursuant to the Act shall, upon conviction, be punished by a fine of not more than \$10,000 or by imprisonment of not more than 6 months or both.

POSTING: A copy of completed Corrective Action Worksheet should be posted for employee review



Citation and Notification of Penalty

Company Name: 12th Street Operations LLC, dba Pioneer Health Care Center
Inspection Site: 900 S. 12th Street, Rocky Ford, CO 81067

Citation 1 Item 1 Type of Violation: **Serious**

OSH ACT of 1970 Section (5)(a)(1): The employer did not furnish employment and a place of employment which were free from recognized hazards that were causing or likely to cause death or serious physical harm to employees in that employees were exposed to physical threats and assaults by residents:

a) On or about August 7, 2017, and at times prior, the employer, 12th Street Operations LLC d/b/a Pioneer Health Care Center failed to keep the workplace free of hazards. Certified Nursing Assistants (CNAs), were exposed to incidents of violent behavior by residents that have resulted in bites, sprains, broken skin, bruising, scratches, soft tissue trauma, and injuries to the head and torso from punches, kicks, and forceful grabs.

Among other methods, feasible and acceptable means to abate the workplace violence hazards at Pioneer include development and implementation of a comprehensive and effective workplace violence prevention (WPV) program which includes engineering and administrative controls, as well as training to materially reduce workplace violence hazards. These controls include:

Engineering and Work Practice Controls:

- 1) Install security cameras in common areas.
- 2) Provide two-way radios and personal panic alarms for the CNAs and other staff who may be in close proximity to residents who have exhibited violent behavior, in order to rapidly and reliably summon assistance to minimize or eliminate employee injury from workplace violence. In addition, provide training on use and limitations of the equipment.
- 3) Encourage staff to secure loose hair so that it is not accessible to residents, to minimize the risk of neck strains and hair pull injuries.
- 4) Remove unsecured items (i.e. glass cups, bowls, and metal silverware) to prevent the items from becoming a weapon for the resident to use against employees. When appropriate, make sure furniture is bolted to the floor to prevent residents from using them as a weapon.

See pages 1 through 4 of this Citation and Notification of Penalty for information on employer and employee rights and responsibilities.



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Company Name: 12th Street Operations LLC, dba Pioneer Health Care Center
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Training:

- 5) Conduct site specific training for all employees so they are aware of the specific hazards and relevant means to protect themselves and coworkers. The training should include what procedures and practices to follow in the workplace, including elements on how to anticipate and respond appropriately to de-escalate an agitated client and to utilize other techniques when de-escalation is not effective in order to avoid being injured.
- 6) Conduct the site specific training at the beginning of employment, when significant changes are made to the policies and/or procedures and annually thereafter.
- 7) Conduct training to ensure employees report all assaults or threats to a supervisor or manager, (for example, through a confidential interview). Keep logbooks and reports of such incidents to help determine any necessary actions to prevent recurrences. Establish a liaison with local police and service providers who can assist (e.g., counselors). When needed, give police physical layouts of facilities to expedite investigations.

Administrative Controls:

- 8) Develop and communicate written policy and procedures regarding potential violence in the workplace to employees. The policy must clearly define workplace violence hazards employees may encounter including, but not limited to, verbal and physical assaults and assign oversight and prevention responsibilities to appropriate staff.
- 9) Ensure the resident to staff ratio on all shifts is in accordance with state regulations, and is adequate to handle incidents of violent behavior. Also, ensure that if staff are assigned to respond to calls for assistance they don't have conflicting responsibilities.
- 10) Develop policy to determine when a buddy system should be implemented particularly for employees working alone with residents, such as resident quarters.
- 11) Establish a system to communicate to staff members any incident of workplace violence from the previous shift to ensure that the on-coming staff members are notified and aware of a resident's

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previous acts of violence or aggression.

Post Incident:

12) Investigate all workplace violence incidents resulting in a fatality, injury, or illness. Any near miss should be promptly investigated as well. Near misses are caused by the same conditions that produce more serious outcomes, and signal that some hazards are not being adequately controlled, or that previously unidentified hazards exist. Involve employees in the incident investigations and identify root causes. Implement appropriate recommendations resulting from incident investigations. Documenting and reviewing these incident investigations for trends or patterns will assist in identifying appropriate prevention and control measures.

Abatement Note: Abatement certification and documentation are required for this item (see enclosed "Sample Abatement-Certification Letter").

Date By Which Violation Must be Abated:
Proposed Penalty:

03/16/2018
\$9054.00

A handwritten signature in black ink, appearing to read "David Nelson", followed by a horizontal line.

David Nelson
Area Director

U.S. Department of Labor
Occupational Safety and Health Administration
7935 East Prentice Avenue, Suite 209
Greenwood Village, CO 80111
Phone: 303-843-4500 Fax: 303-843-4515



INVOICE / DEBT COLLECTION NOTICE

Company Name: 12th Street Operations LLC, dba Pioneer Health Care Center
Inspection Site: 900 S. 12th Street, Rocky Ford, CO 81067
Issuance Date: 01/29/2018

Summary of Penalties for Inspection Number	1253610
Citation 1, Serious	\$9054.00
TOTAL PROPOSED PENALTIES	\$9054.00

To avoid additional charges, please remit payment promptly to this Area Office for the total amount of the uncontested penalties summarized above. Make your check or money order payable to: "DOL-OSHA". Please indicate OSHA's Inspection Number (indicated above) on the remittance. You can also make your payment electronically on www.pay.gov. On the left side of the pay.gov homepage, you will see an option to Search Public Forms. Type "OSHA" and click Go. From the results, click on **OSHA Penalty Payment Form**. The direct link is <https://www.pay.gov/paygov/forms/formInstance.html?agencyFormId=53090334>. You will be required to enter your inspection number when making the payment. Payments can be made by credit card or Automated Clearing House (ACH) using your banking information. Payments of \$25,000 or more require a Transaction ID, and also must be paid using ACH. If you require a Transaction ID, please contact the OSHA Debt Collection Team at (202) 693-2170.

OSHA does not agree to any restrictions or conditions or endorsements put on any check, money order, or electronic payment for less than the full amount due, and will cash the check or money order as if these restrictions or conditions do not exist.

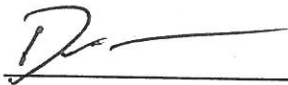
If a personal check is issued, it will be converted into an electronic fund transfer (EFT). This means that our bank will copy your check and use the account information on it to electronically debit your account for the amount of the check. The debit from your account will then usually occur within 24 hours and will be shown on your regular account statement. You will not receive your original check back. The bank will destroy your original check, but will keep a copy of it. If the EFT cannot be completed because of insufficient funds or closed account, the bank will attempt to make the transfer up to 2 times.

Pursuant to the Debt Collection Act of 1982 (Public Law 97-365) and regulations of the U.S. Department of Labor (29 CFR Part 20), the Occupational Safety and Health Administration is required to assess interest, delinquent charges, and administrative costs for the collection of delinquent penalty debts for violations of the Occupational Safety and Health Act.

Interest: Interest charges will be assessed at an annual rate determined by the Secretary of the Treasury on all penalty debt amounts not paid within one month (30 calendar days) of the date on which the debt amount becomes due and payable (penalty due date). The current interest rate is one percent (1%). Interest will accrue from the date on which the penalty amounts (as proposed or adjusted) become a final order of the Occupational Safety and Health Review Commission (that is, 15 working days from your receipt of the Citation and Notification of Penalty), unless you file a notice of contest. Interest charges will be waived if the full amount owed is paid within 30 calendar days of the final order.

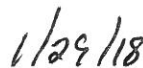
Delinquent Charges: A debt is considered delinquent if it has not been paid within one month (30 calendar days) of the penalty due date or if a satisfactory payment arrangement has not been made. If the debt remains delinquent for more than 90 calendar days, a delinquent charge of six percent (6%) per annum will be assessed accruing from the date that the debt became delinquent.

Administrative Costs: Agencies of the Department of Labor are required to assess additional charges for the recovery of delinquent debts. These additional charges are administrative costs incurred by the Agency in its attempt to collect an unpaid debt. Administrative costs will be assessed for demand letters sent in an attempt to collect the unpaid debt.



David Nelson

Area Director



Date