

**Iowa Department of Inspections and Appeals
Assisted Living Program
Complaint Investigation Report**

Assisted Living Program:

Complaint Intake #: 12061

SunnyBrook Assisted Living
Ms. Betty Howell
3000 W. Madison
Fairfield, IA 52556

Date of Investigation:

January 24, 2005

Monitor(s):

Hal L. Chase RN BSN MPH

Definitions:

The following definitions are relevant:

Regulatory Insufficiency - A violation of a statutory or rule provision within the Iowa Code or Iowa Administrative Code (IAC) governing assisted living programs. A regulatory insufficiency requires a plan of correction to be presented to, and approved by, the Department of Inspections and Appeals (DIA).

Plan of Correction - A written response to one or more regulatory insufficiencies that are rule violations [321 IAC 26.2(5)(a)]. The plan should identify how, and by a specific date, an insufficiency will be corrected. The plan is due to DIA within ten (10) working days of the program's receipt of a Complaint Investigation Report. Depending on the circumstances, DIA may re-visit the assisted living program to confirm progress in fulfilling a plan's corrective measures.

Dementia-specific assisted living program - An assisted living program certified under 321 IAC - chapter 25 that either serves five or more tenants with dementia or cognitive disorder staged between 4 and 7 on the Global Deterioration Scale or holds itself out as providing special care for persons with cognitive disorder or dementia, such as Alzheimer's disease, in a dedicated setting.

Overview:

A complaint investigation on-site visit was conducted at SunnyBrook Assisted Living on January 24, 2005. In preparing this report, the following information was considered:

Current Program Census:

General Population Program (GPP) – Not applicable.

Dementia Specific Program (DSP) – A program that is a Dementia Specific Program by definition or holds itself out as providing specialized care in a dedicated setting but may have tenants without cognitive disorder.

Current number of tenants in a DSP that serves 5 or more tenants with dementia or cognitive disorder staged between 4 and 7 on the Global Deterioration Scale (GDS): 12

Current number of tenants without cognitive disorder: 39

Total Population: 51

Accreditation Status – Not applicable.

Complaint History – There were substantiated complaints in the areas of service plan and staffing during this certification period.

Complaint Investigation – The complaint investigator(s) made the observations detailed in the following areas.

A. Criteria for exclusion of tenants - Program does not admit or retain tenants that require a higher level of care, unless a written exception has been applied for and approved. [321 IAC 25.23(3); 25.24]

Complaint Allegation: It is alleged that the program is retaining tenants who exceed the criterion allowed in an assisted living program.

- Monitoring Observation: A current tenant list was obtained and staff interviews were conducted with three direct care staff and the program nurse. Tenants identified for review were recently admitted, recently hospitalized, were the most frail, had moderate dementia determined by their GDS scores, and/or exhibited behavioral issues. Of seven tenant files reviewed, one file indicated that Tenant #1 exceeds the level of care allowed in an assisted living program. Despite interventions from the program, Tenant #1 continues to strike out towards a spouse and staff, wanders into other tenant rooms, and makes threatening statements to staff and tenants. Staff interviews also substantiate those allegations. Incident reports note that Tenant #1 has wandered into other tenant's rooms repeatedly, and the program has requested other tenants lock apartment doors to prevent Tenant #1 from wandering in.
- Regulatory Insufficiency: The program did not transfer a tenant who exceeded the criterion allowed in an assisted living program.

Dated this 26th day of January, 2005