

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

Assisted Living Program:

Complaint Intake #: 15242

K'Lee Latham, Administrator
The Shores at Pleasant Hill
1500 Edgewater Drive
Pleasant Hill, IA 50327-0968

Date of Investigation:

January 15, 2008

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 revisit 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 The Shores at Pleasant Hill on January 15, 2008. In preparing this report, the following information was considered:

Current Program Census:

General Population Program (GPP)* – A program that does not include a Dementia Specific unit, but may include tenants with cognitive disorder.

Current number of tenants without cognitive disorder: 20

Current number of tenants with cognitive disorder: 2

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 holds itself out as providing specialized care in a dedicated setting: 6

Current number of tenants without cognitive disorder: 3

Total Population: 31

***These are the census numbers represented by the program to be applicable at the time of the on-site.**

Accreditation Status – Not applicable.

Complaint History – There were substantiated complaints in the areas of: Evaluation of Tenant, Tenant Documents, Service Plan, Medications, Nurse Review, Nursing Assistant Work Credit, Food Service, Staffing, Managed Risk, Record Checks and Life Safety during this certification period.

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

A. Medications – Program has a comprehensive written medication policy that allows tenant self-administration, but accommodates the need for tenant medication assistance via nurse delegation. The medication assistance is appropriately supervised and administered. Medications are appropriately stored. [231C.16A]

Complaint Allegation: It is alleged a medication bubble pack of Ultram is missing.

- Monitoring Observation: Tenant #1, an 85 year old, was admitted on 7-8-06 and has diagnoses of Congestive Heart Failure (CHF), Generalized Weakness, Shortness of Breath, Urinary Tract Infections, Hallucinations, Dizziness, Renal Disease, Gastro Esophageal Reflux Disease (GERD), Heart Murmurs, Hypertension (HTN), Anemia, Arthritis, Cancer, Edema and History of Stroke. Program records indicated eleven pills were discovered missing on 12-20-07. Service plan of 8-15-07 indicated the tenant received medication administration from the program. Medication Administration Records (MARs) for 12-2007 indicated the tenant was prescribed Tramadol 50mg, one tablet given at bedtime.

Program records indicated the Department of Human Services (DHS), the DIA and local police were contacted on 12-21-07 regarding this incident. The Administrator and registered nurse (RN) stated the tenant's medications are packaged 30 tablets in each bubble pack. Due to the number of daily medications taken by the tenant there are two locked medication boxes; one for day time medications and one for evening medications. Both medication lock boxes are stored under the tenant's bed. Staff who administer medications have access to the tenant's medications. The tenant does not have access to the medications. According to staff written statements, staff did not know how the medications came up missing. The RN stated she checked all of the medications administered to other tenants to determine if any other medications were missing and no other medications were missing with the tenant or other tenants. The Administrator stated she had informed the local police.

Staff were interviewed during this on-site investigation stated the following: Staff #1 stated he/she had no knowledge of missing medications and was not aware of any other medications missing. Staff #2 stated he/she had no first hand knowledge of missing medications but knows Tenant #1 has two medication boxes, one for day medications and the other for evening medications. Both medication boxes are locked, the tenant did not have access to medications and no other medications are missing. Staff #3 stated Tenant #1's medications are locked in the tenant's apartment, the tenant did not have access to medications, the evening medication manager noted Tenant #1's Ultram was missing and is not aware of any other medications missing.

- Regulatory Insufficiency: None noted.

B. Staffing - The provisions of this section address the program's staffing and training practices and associated documentation in responding to the identified needs of the tenant. [321 IAC 25.33]

Complaint Allegation: It is alleged Tenant #2 is missing \$68.00. It is alleged Tenant #3 is missing \$20.00.

- Monitoring Observation: Tenant #2, a 79 year old, was admitted on 12-27-07 and has diagnoses of: Cataracts, Dementia, Emphysema, High Blood Pressure, Chronic Obstructive Airway Disease, Hypotension, HTN, Depression and History of Hip Pain. The tenant scored 29/30 on the Mental Status Questionnaire on 12-21-07, indicating none or minimal brain syndrome severity. Health profile notes of 1-4-08 indicated the tenant's son reported \$150.00 was missing. The tenant was interviewed by the Administrator and RN and stated the money is kept in a purse, placed under the bed. The tenant remembers having \$68.00, three \$1.00 bills and larger bills equaling \$65.00. The Administrator and RN, with permission from the tenant, searched the tenant's apartment and was unable to locate any of the missing money.

Program records indicated DHS, DIA and local police were contacted on 1-4-08 regarding this incident. The program completed an investigation and interviewed staff. Staff did not have knowledge of money missing from the tenant's purse. A review of program's policy and procedure indicated staff were oriented related to their responsibilities as an employee, which included definitions of abuse, neglect and financial exploitation. The program has scheduled a mandatory in-service on theft on 1-16-08 with local police presenting.

Staff were interviewed during the on-site investigation. Staff #1 stated she had no first hand knowledge of the missing money. Staff #1 stated he/she only assists the tenant with medications and did not provide personal or health related cares and would not have any reason to access the tenant's personal belongings. Staff #2 stated she didn't have any knowledge of the missing money. Staff #3 stated she did not know anything about the missing money.

Tenant #3, an 87 year old, was admitted on 12-21-06 and has diagnoses of: Cataracts, History of Falls, Heart Disease, High Blood Pressure, Parkinson's Disease, HTN, Depression, Skin Cancer, Diabetes Mellitus and Edema. A cognitive evaluation was completed on 1-8-08 staging the tenant at a 3.2 on the Global Deterioration Scale (GDS), indicating mild cognitive decline. Tenant #3 resides in the memory care unit of the program. Health profile notes of 12-12-07 indicated the tenant's daughter informed the program that \$20.00 was missing from the tenant's wallet.

Program records indicated DHS was contacted on 12-13-07 and DIA on 12-14-07 regarding this incident. The program completed an investigation and interviewed staff. Staff #4 stated she saw two \$1.00 bills in the tenant's room and placed both in the tenant's wallet. No other staff knew about the money nor heard about the missing \$20.00. The program has scheduled a mandatory in-service on theft on 1-16-08 with local police presenting.

Staff were interviewed during the on-site investigation. Staff #1 stated he/she didn't about the tenant's missing money until asked by the Administrator sometime in December, 2007. Staff #2 stated she hadn't seen the tenant's wallet. It is night staff that gets the tenant up and dressing in the morning. The tenant is up eating breakfast

when she arrives at work. Staff #3 stated she didn't know about the tenant's missing money until interviewed by the Administrator in December, 2007.

- Regulatory Insufficiency: None noted.

Dated this 31st day of January, 2008