

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

Assisted Living Program:

Complaint Intake #:12833-R1

Dawn Statton, Administrator
Bickford Cottage Assisted Living
5050 Hawthorne Drive
West Des Moines, IA 50265-5353

Date of Investigation:

February 4, 2008

Monitor(s):

Hal L. Chase, RN BSN MPH
Michael Streepy, RN

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 Bickford Cottage Assisted Living on February 4, 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: 8

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: 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 Tenants, Criteria for Exclusion of Tenants, Service Plan, Staffing and Record Checks.

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

A. Evaluation of Tenant - The program evaluates each tenant's functional and cognitive abilities and health status and the determination of needed services as required. [321 IAC 25.23(1) and/or (2)]

During the course of complaint investigation #12833, on July 24, 2007, the program received a regulatory insufficiency related to not completing functional, cognitive and health evaluations when a change in condition existed for Tenants #1, #2 and #3.

- Monitoring Observation: Tenant #1, an 87 year old, was admitted on 1-2-07 and had diagnoses of: Osteoporosis and Hypertension (HTN). Progress notes of 7-31-07 indicated the tenant was discharged from the program on 7-31-07.

Tenant #2, a 76 year old, was admitted on 6-24-06 and had diagnoses of: Pulmonary Embolism/Infarction, Renal Cancer with Bone Metastasis and a History of Left Hip Fracture. Progress notes of 7-27-07 indicated the tenant was discharged from the program on 7-27-07.

Tenant #3, an 82 year old, was admitted on 6-23-06 and has diagnoses of: Senile Dementia Uncompensated, Alzheimer's Disease, Hypothyroidism Not Origin Specific, General Osteoarthritis, and Slow Decline in Memory. A cognitive evaluation was completed on 11-19-07, staging the tenant at five on the Global Deterioration Scale (GDS), indicating moderately severe cognitive decline. A functional evaluation was completed on 8-2-07, cognitive and health evaluations were completed on 8-1-07 as stated in the program's plan of correction of 9-27-07.

Progress notes 10-23-07 indicated the tenant needed two staff to assist with toileting. The program completed health and cognitive evaluations on 10-23-07 as the tenant was being considered for transfer into the program's dementia unit. The program completed functional, cognitive and health evaluation on 11-19-07, which indicated a change in condition. Progress notes of 11-26-07 indicated the tenant was a two person assist with transfer and ambulation. The program received a 30-day waiver related to exceeding occupancy and transfer criteria beginning 12-3-07 through 1-3-08 while the family sought appropriate placement in a nursing facility. The tenant was discharged from the program on 12-29-07.

During the course of the complaint revisit investigation, the following information was obtained.

- Monitoring Observation: Tenant #4, an 84 year old, was admitted on 6-10-07 and has diagnoses of: Chronic Airway Obstruction, Diverticulosis of the Colon without Hemorrhage, Senile Dementia Uncompensated, Anxiety, Depressive Disorder, Chronic Obstructive Airway Disease, Dementia and Dyspepsia. Progress notes of 1-30-08 indicated the tenant was hospitalized and returned to the program on 2-1-08. The program completed functional, cognitive and health evaluation.

Tenant #5, an 83 year old, was admitted 12-06-02 and has diagnoses of: Cystic Bronchitis, Hypertension, Depression, Anxiety and Dementia. Progress notes from 01-21-08 indicate the tenant complained of burning and frequency on urination with laboratory results indicating a Urinary Tract Infection (UTI) and physician ordered

antibiotic for 10 days ordered on 01-29-08. The notes indicate the tenant needing two person assist for transfers and weakness and increased requests for assistance through 01-30-08. The program completed functional, health and cognitive evaluations on 02-01-08.

Tenant #6, an 85 year old, was admitted 11-12-07 and has diagnoses of: Chronic Renal Failure and Senile Dementia. Progress notes of 01-30-08 indicate cold symptoms with physician order for Claritin. Nurses notes of 02-01-08 indicate a fall with no apparent injuries, a decision was made to transfer to the hospital on 02-01-08. The program completed functional, health and cognitive evaluations on 02-01-08.

Tenant #7, an 80 year old, was admitted 01-04-08 and has diagnoses: including Alzheimer's Dementia, Hyperlipidemia and Hypertension. The program completed functional, health and cognitive evaluations on 01-21-08.

- Regulatory Insufficiency: None noted.

B. 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]

During the course of complaint investigation #12833 the program received a regulatory insufficiency related to not excluding Tenant #2 who exceeded occupancy and retention criteria.

- Monitoring Observation: Tenant #2 was discharged from the program on 7-27-07.
- Regulatory Insufficiency: None noted.

C. Service Plan – Program has an individualized service plan developed and updated for each tenant as required. [321 IAC 25.28]

During the course of complaint investigation #12833 the program received a regulatory insufficiency related to not consistently updating service plans to reflect the identified needs of Tenants #1, #2 and #3.

- Monitoring Observation: Tenant #1 was discharged from the program on 7-31-07. Tenant #2 was discharged from the program on 7-27-07. Tenant #3's service plan was updated on 8-2-07 and 11-10-07 to reflect identified needs of the tenant. The tenant was discharged from the program on 12-29-07

During the course of the complaint investigation, the following information was obtained.

- Monitoring Observation: Tenant #4's progress notes of 1-30-08 indicated the tenant was admitted to the hospital. Progress notes of 2-1-08 indicated the tenant returned to the program. The program completed a service plan update on 2-1-08.

Tenant #5, an 83 year old, was admitted 12-06-02. Progress notes from 01-21-08 indicate the tenant complained of burning and frequency on urination with laboratory results indicating a UTI and physician ordered antibiotic for 10 days ordered on 01-

29-08. The notes indicate the tenant needing two person assist for transfers and weakness and increased requests for assistance through 01-30-08. The program updated the service plan on 02-01-08.

Tenant #6, an 85 year old, was admitted 11-12-07. Progress notes of 01-30-08 indicate cold symptoms with physician order for Claritin. Nurses notes of 02-01-08 indicate a fall with no apparent injuries, a decision was made to transfer to the hospital on 02-01-08. The program updated service plan on 02-01-08.

Tenant #7, an 80 year old, was admitted 01-04-08. The program completed functional, health and cognitive evaluations and the updated service plan on 01-21-08.

- Regulatory Insufficiency: None noted.

D. 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]

During the course of complaint investigation #12833, the program received a regulatory insufficiency related to not having sufficiently trained staff available at all times to meet identified needs of tenants and for not having an activated 24-hour personal emergency response system available that automatically identifies a tenant in distress.

- Monitoring Observation: The Administrator and Divisional Director of Resident Services stated the program completes a system check weekly of the Home Free System, and staff are required to check the pager daily, to make certain the pager is working properly and is on at all times. Program records indicated the program conducted a staff in-service on the Home Free System on 8-24-07 and has scheduled another in-service on 2-12-08. Staff #1, #2 and #3 stated the Home Free System is working.
- Regulatory Insufficiency: None noted.

Dated this 25th day of February, 2008