

INSPECTIONS & APPEALS

TERRY E. BRANSTAD
GOVERNOR

KIM REYNOLDS
LT. GOVERNOR

RODNEY A. ROBERTS, DIRECTOR

July 15, 2011

Sarah Hand, Manager
Colonial Estates
815 Colonial Lane
Columbus Junction, IA 52738

RE: Final Initial Certification Monitoring Evaluation Report, Colonial Estates, Columbus Junction, IA

Dear Ms. Hand:

Enclosed is the **Final Initial Certification Monitoring Evaluation Report** completed by the Department of Inspections and Appeals (DIA) in accordance with Iowa Code chapter 231C and Iowa Administrative Code (IAC) chapters 481—67 and 481—69. Based upon a complete review of the Report and your actions to correct the identified Regulatory Insufficiencies, DIA accepts your POC and certification of Colonial Estates will continue.

Enclosed you will find the Assisted Living Program Certificate **S0311** with effective dates of **July 28, 2010** through **July 27, 2012**. This certificate is to be posted in the building for public viewing.

If you have any questions regarding this certification, please contact me at 515/281-4116.

Sincerely,

Jim Berkley

Jim Berkley
Program Coordinator
Adult Services Bureau

Enclosure

Iowa Department of Inspections and Appeals
Assisted Living Program
Final Initial Certification Monitoring Evaluation Report

Assisted Living Program:

Sarah Hand, Assisted Living Manager
Colonial Estates
815 Colonial Lane
Columbus Junction, IA 52738

Date of Monitoring Visit:

June 13, 2011

Monitor(s):

Stephanie Cummins, MA
Margaret Kaltefleiter, RN MS

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. IAC r. 481-67.10(5). 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 an Initial Certification Monitoring Evaluation 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 481 IAC -chapter 69 that: serves fewer than fifty-five (55) tenants and has five (5) or more tenants who have dementia between Stages 4 and 7 on the Global Deterioration Scale or serves 55 or more tenants and 10 percent or more of the tenants have dementia between Stages 4 and 7 on the Global Deterioration Scale or holds itself out as providing specialized care for persons with dementia, such as Alzheimer's disease, in a dedicated setting.

Overview:

An on-site monitoring evaluation was conducted at Colonial Estates on June 13, 2011. In preparing this report, the following information was considered:

Current Program Census:

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

Current number of tenants without cognitive disorder:	7
Current number of tenants with cognitive disorder:	1
Total Population:	8

Dementia Specific Program (DSP)* – Not applicable.

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

Tenant/Family Satisfaction Results – A community meeting was held with five tenants. The tenants enjoyed living there and stated housekeeping services were completed appropriately. Tenants stated maintenance repairs were addressed immediately and buildings and grounds were clean and sanitary. Nursing services were available and staff responded within five to six seconds. The tenants stated staff was trained appropriately and treated them well. The tenants liked the food, reported there was a good variety of items and the temperature of the food was appropriate. They did not offer any suggestions for improvement. Tenants stated there were enough activities offered and they enjoyed playing Bingo and cards. Tenants felt safe, were generally satisfied and had recommended the Program to others.

Program History – There were substantiated regulatory insufficiencies found during this certification period in the areas of Evaluation of Tenants and Transportation.

On-Site Monitoring Evaluation – The monitor(s) made the observations detailed in the following areas.

A. Evaluation of Tenant

Monitoring Observation: Three tenant files were reviewed.

Tenant #1, an 85 year old was admitted on 12-3-10 and diagnoses include: Coronary Artery Disease, Stent Placement and Diabetes. A health evaluation was not completed within 30 days of taking occupancy.

Tenant #2, (the Tenant), an 80 year old, was admitted on 1-7-11 and diagnoses include: Hyperlipidemia, Hypothyroidism and Dizziness. The Tenant was staged at a four on the Global Deterioration Scale, which indicated moderate cognitive decline. A health evaluation was not completed within 30 days of taking occupancy.

Tenant #3, a 61 year old was admitted on 2-18-11 and diagnoses include: Major Depressive Disorder with psychotic features and Cognitive disorder. A health evaluation was not completed within 30 days of taking occupancy.

- Regulatory Insufficiency: A program shall evaluate each tenant's functional, cognitive and health status within 30 days of occupancy. A program shall also evaluate each tenant's functional, cognitive and health status as needed with significant change, but not less than annually, to determine the tenant's continued eligibility for the program and to determine any changes to services needed. The evaluation shall be conducted by a health care professional or human service professional. A licensed practical nurse may complete the evaluation via nurse delegation when the tenant has not exhibited a significant change.
(IAC r. 481-69.22 (2))

B. Transportation

Monitoring Observation: The Program had a van and provided transportation. The Iowa driver's license provided by the Assisted Living Manager who had driven the van was a Class C license. The Assisted Living Manager did not have an appropriate driver's license to drive the van.

- Regulatory Insufficiency: When transportation services are provided directly or under contract with the program: The driver shall have a valid and appropriate Iowa driver's license or commercial driver's license as required by law for the vehicle being utilized for transport. If the driver is licensed in another state, the license shall be valid and appropriate for the vehicle being utilized for transport. The driver shall meet any state or general requirements for licensure or certification for the vehicle operated. (IAC r. 481-69.33(6))

Dated this 14th day of July, 2011