IOWA DEPARTMENT OF
INSPECTIONS & APPEALS

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Complaint/Incident Intake #: 39307-C

June 13, 2012

Ms. Julie Waterman, Administrator
Vintage Hills at Prairie Trail Assisted Living
1275 SW State Street
Ankeny, IA 50023

RE: Final Complaint/Incident Investigation Report – Vintage Hills at Prairie Trail Assisted Living, Ankeny, IA

Dear Ms. Waterman:

Enclosed is the **Final Complaint/Incident Investigation Report** from the on-site monitoring visit of June 5, 2012, 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. **No Regulatory Insufficiencies were identified.**

If you have any questions regarding the enclosed Report, please contact me at 515/281-7039 or **Rose.Boccella@dia.iowa.gov**

Sincerely,

Rose Boccella

Rose Boccella
Program Coordinator
Adult Services Bureau

Enclosure

IOWA DEPARTMENT OF INSPECTIONS AND APPEALS
Assisted Living Program
Final Complaint/Incident Investigation Report

Assisted Living Program: **Complaint/Incident Intake #: 39307-C**

Julie Waterman, Administrator
Vintage Hills at Prairie Trail Assisted Living
1275 SW State Street
Ankeny, IA 50023

Date of Complaint/Incident Investigation:

June 5, 2012

Monitor(s):

Hal L. Chase, RN BSN MPH

Definitions: ***The following definitions are relevant:***

Assisted Living Program – A program certified under 481 IAC 69 that provides housing with contracted services to three or more tenants in a physical structure that provides a homelike environment. Services may include but are not limited to health-related care, personal care, and assistance with instrumental activities of daily living. A General Population Program is an Assisted Living Program that is not dementia-specific but may have tenants with cognitive disorder.

Dementia-Specific Assisted Living Program - An assisted living program certified under 481 IAC 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 (GDS), or serves 55 or more tenants and 10 percent or more of the tenants have dementia between Stages 4 and 7 on the GDS, or holds itself out as providing specialized care for persons with dementia, such as Alzheimer's disease, in a dedicated setting.

Regulatory Insufficiency - A violation of a statutory or rule provision within the Code of Iowa (2011) or the 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 statutory or rule violations. The plan should identify how and by what date each regulatory insufficiency will be corrected, and what measures will be taken to ensure the problem does not recur. The plan is due to DIA within ten (10) working days of the program's receipt of a Complaint/Incident Investigation Report. Depending on the circumstances, DIA may revisit the assisted living program to confirm progress in fulfilling a plan's corrective measures.

Overview: ***In preparing this report, the following information was considered:***

Current Program Census

Assisted Living Programs are defined by the type of population served. The census numbers below were provided by the Program at the time of the on-site visit.

General Population Program	
Number of tenants without cognitive disorder:	15
Number of tenants with cognitive disorder:	1
Total Population of Program at time of on-site	16

Dementia-Specific Program by Dedication	
Number of tenants without cognitive disorder:	1
Number of tenants with cognitive disorder:	6
Total Population of Program at time of on-site	7

TOTAL census of Assisted Living Program	23

Program History – The program received a regulatory insufficiency in the area of Medications during the Initial Certification and Complaint (39194-C) Investigation of May 25, 2012.

Complaint/Incident Investigation – The Complaint/Incident investigator(s) made the observations detailed in the following areas:

A. Staffing

Complaint/Incident Allegation: It was alleged a staff person had been in a tenant's room without a valid reason and asking other staff for money and cigarettes. On 5-24-12 an investigation (Complaint # 39191-C) was conducted related to an earlier allegation a staff person recently hired had been acting suspicious, going into another tenant's apartment one evening with no reason to be in the tenant's apartment

- Monitoring Observation: On the monitoring visit of 5-24-12 the following information was obtained. The Administrator was interviewed and reported tenants have not reported any concerns or complaints of staff coming into their apartments without reason or while they were gone from their apartment. The Administrator reported Tenant #2 had spoken to her about how he/she felt regarding Staff #2's demeanor. The Administrator spoke to Staff #2 regarding her behavior toward Tenant #2 and assigned Staff #2 to the memory care unit. The Administrator reported there had been no verbal or written warnings regarding Staff #2's behavior or actions towards Tenant #2.

  A review of the Program's policy on the acceptance of gifts indicated staff was not to accept any type of personal gratuity, including money, jewelry or gifts from tenants, families or their responsible party. Any employee accepting prohibited gifts would be subject to disciplinary action, including termination.

A community meeting was held with nine tenants in attendance. Tenants reported staff had not asked to borrow money nor had complained of not having enough money to pay their bills. Tenants reported staff treated them well and treated them with respect and consideration and felt safe living at the Program. During the meeting, one tenant asked to speak privately to the monitor.

Tenant #2 reported he/she had spoken to the Administrator regarding Staff #2's behavior. Tenant #2 reported Staff #2 came to his/her apartment one day about a week and half earlier. Staff #2 had knocked on his/her apartment door and entered. Staff #2 immediately sat down and complained about the cost of her apartment. Staff #2 told Tenant #2 she had asked other staff to borrow money from them and complained of being broke and not having any money. Staff #2 asked Tenant #2 if she could have a bottle of water. Tenant #2 gave Staff a bottle of water and Staff #2 left the apartment. Tenant #2 reported he/she felt intimidated.

Staff #1 and Staff #2 were interviewed privately. Staff #1 was interviewed and reported there had been rumors of Staff #2 asking other staff to borrow money, but he hadn't heard of tenants reporting of missing money or personal items or of staff asking tenants to borrow money. Staff #1 reported he hadn't seen any staff going into tenants' apartments when they were not present.

Staff #2 was interviewed and reported she had not heard of any staff asking tenants for money and she hadn't asked tenants for money. Staff #2 stated she didn't have any concerns or suspicions of staff acting inappropriately toward tenants and hadn't seen any staff going into tenant's apartments without reason.

- Regulatory Insufficiency: None noted.

Complaint/Incident Allegation: It was alleged Staff #2 got angry with one of the tenant's in the dementia unit and raised her voice and made hand gestures in the tenant's face.

- Monitoring Observation: Staff #4 and Staff #5 were interviewed privately and a Licensed Practical Nurse (LPN) 1 was interviewed by telephone. Each identified Staff #2 and Tenant #3 regarding this incident. The Program nurse was off-site and prepared a written statement.

  Tenant #3, a 76 year old, was admitted on 2-18-12 and had diagnoses of: Pre-Senile Dementia, Coronary Artery Disease, Hyperlipidemia, Hypertension and Hypothyroidism. A Global Deterioration Scale (GDS) was completed on 5-11-12 and staged Tenant #3 at six, which indicated severe cognitive decline. Tenant #3 resided in the dementia unit. A review of Tenant #3's service plan and nurse's notes indicated Tenant #3 had not displayed any verbal or physical aggressive behavior.

  Staff #4 reported she had been present when Tenant #3 asked her why Staff #2 was angry with him/her. Saff #4 reported Tenant #3 thought Staff #2 was male. Staff #4 reported she heard Staff #2 yell back to Tenant #3 "I am a she, not a he." Staff #4 reported there was no other discussion or inappropriate behavior from either Staff #2 or Tenant #3.

Staff #5 reported Staff #2 was inappropriate toward Tenant #3 by making physical gestures and telling Tenant #3 he/she "was going to take a shower." According to Staff #5, Staff #2's voice was aggressive and demanding toward Tenant #3. Staff #2 told Staff #5 Tenant #3 was swearing at her and she wasn't going to accept Tenant #3's behavior. Staff #5 reported this was the only incident involving Staff #2 and Tenant #3. Staff #5 reported there were no other incidents involving Staff #2 with other tenants.

LPN 1 was interviewed by phone and reported Staff #5 was frustrated with Staff #2, as Staff #2 was verbally aggressive toward Tenant #3. LPN 1 counseled both Staff #2 and Staff #5 about the incident. LPN 1 reported there were no other incidents involving Staff #2 and tenants in the dementia unit.

The Program nurse, in a written statement, indicated Staff #5 reported she didn't like the interaction Staff #2 had toward Tenant #3. When the Program nurse asked Staff #5 what Staff #2 had done, Staff #5 could not give any specifics other than Staff #2 was asking Tenant #3 to do things.

Tenant #3's family was interviewed by a monitor and reported staff treated Tenant #3 appropriately and had no issues related to staff's care and treatment.

The Administrator reported and Staff #2's personnel file indicated Staff #2 no longer worked at the Program as of 6-1-12.

- Regulatory Insufficiency: None noted.

B. Other

Complaint/Incident Allegation: It was alleged tenants residing in the dementia unit were missing money.

- Monitoring Observation:

Staff #4 reported she heard from staff that Tenant #4 had $18.00 in his/her wallet. When Tenant #4's laundry was taken to wash staff found Tenant #4's wallet in a pants pocket and found only $3.00. Staff #4 reported she didn't know if any money was missing or if the family was aware of any missing money.

Staff #5 reported she had heard Tenant #4 may have money missing but didn't have any first hand information. Staff #5 reported family had not raised any concerns regarding any missing money.

LPN 1 reported staff had made an allegation Tenant #4 had money missing. LPN 1 had spoken with Tenant #4's family and they had reported Tenant #4 had money in his/her wallet to pay the barber for a haircut. LPN 1 reported there had not been any other allegations of missing money from tenants.

The Program nurse reported she had a conversation with Tenant #4's family about Tenant #4's billfold and the money inside the wallet. The Program nurse reported

Tenant #4 wanted to have his/her wallet in his/her pocket all the time. Family reported there was #1.00 to $2.00 in Tenant #4's wallet unless Tenant #4 is getting a haircut. Family would put in $12.00 in Tenant 4's wallet to pay for the haircut. Family reported there had not been any money missing.

- Regulatory Insufficiency: None noted.