

TERRY E. BRANSTAD
GOVERNOR

KIM REYNOLDS
LT. GOVERNOR

RODNEY A. ROBERTS, DIRECTOR

Complaint/Incident Intake #: 39643-C

July 18, 2012

Mr. Jack Collins, Administrator
Walnut Ridge Assisted Living
1701 Campus Drive
Clive, IA 50325

RE: Final Complaint/Incident Investigation Report – Walnut Ridge Assisted Living, Clive, IA

Dear Mr. Collins:

Enclosed is the **Final Complaint/Incident Investigation Report** from the on-site monitoring visit of July 12, 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:

Walnut Ridge Assisted Living
Jack Collins, Administrator
1701 Campus Drive
Clive, IA 50325

Complaint/Incident Intake #:

39643-C

Date of Complaint/Incident Investigation:

July 12, 2012

Monitor(s):

Joyce Kix, RN
Lori Miner, RN BSN

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:	40
Number of tenants with cognitive disorder:	<u>1</u>
Total Population of Program at time of on-site	<u>41</u>
 Dementia-Specific Program by Dedication	
Number of tenants without cognitive disorder:	0
Number of tenants with cognitive disorder:	<u>17</u>
Total Population of Program at time of on-site	<u>17</u>
 TOTAL census of Assisted Living Program	 <u>58</u>

Program History -- The program received the following regulatory insufficiencies as the result of the January 12, 18 and 19, 2011 Recertification and Complaint (32548-C) on site: Evaluation, Criteria for Exclusion of Tenants, Service Plan, Medications, Nurse Review, Staffing, Tenant Rights and Other, (non-notification of elopement).

During the Recertification Revisit and Complaint Investigation (32548-C) of April 14th 2011 on-site, the program received regulatory insufficiencies in the areas of: Tenant Rights and Other (not following plan of correction).

The program received regulatory insufficiencies in the areas of: Evaluation, Service Plan, Medications, Nurse Review, Staffing, Tenant Rights, Program Notification to the Department and Plan of Correction during the April 26 and 27 and May 3, 4, 5, 2011, Second Recertification Revisit and Complaint and Incident Investigation (33811, 33653, 33852). The program was fined \$8,000.

The program received regulatory insufficiencies in the areas of Medications and Plan of Correction during the August 1 and 2, 2011, Third Recertification Revisit, Revisit to Complaints (33811-CR, 33653-CR and 33852-M).

The program received regulatory insufficiencies in the areas of Service Plan and Nurse Review during the January 31 through February 1, 2012 Complaint Investigation (37357-C).

Complaint/Incident Investigation -- The Complaint/Incident investigators made the observations detailed in the following areas:

Criteria for Admission and Retention

Complaint/Incident Allegation: It was alleged that a tenant who was a quadriplegic exceeded the allowed level of care for assisted living.

- Monitoring Observation: During interview, Staff #1 and #2 stated Tenant #1 takes excessive amounts of staff time and was often verbally abusive to staff. Both staff indicated there were no tenants who exceeded level of care.

The Director of Programming provided a written statement. She felt that Tenant #1 displayed behaviors that disrupted activities and other tenants started to let Tenant #1 know they were tired of his/her attitude. As a result, Tenant #1 attended fewer activities.

Tenant #1, a 76 year old, was admitted 1-13-09 to the general population with diagnoses of: Cauda Equina, (a condition resulting in paraplegia), Hypertension (HTN), Diabetes and Obesity. Tenant #1 scored 11 of 11 questions correct on the Mental Status Questionnaire which indicated normal cognitive function. The service plan directed for a two person transfer for showers only. Tenant #1 transferred with the use of a transfer board and one staff member. Due to lower body paralysis, Tenant #1 required staff assistance with catheterization four times a day and bowel evacuation every other day. Tenant #1 was independent with hygiene, grooming, eating, and medication administration. Tenant #1 was independently mobile once in the electric wheelchair. Tenant #1 was able to drive an adapted car. During interview, Tenant #1 reported that although he/she would like more consistency in caregivers, he/she is happy with cares provided and gets along well with staff and other tenants of the program. The monitor observed Tenant #1 attending a sewing activity appropriately visiting with other tenants. Incident reports were reviewed from 5-20, 5-26, 6-1, 6-16, and 6-18-12. All incidents were verbal altercations with staff members regarding care provided. The Director of nursing stated she was aware of staff concerns with Tenant #1 and had been alternating caregivers to relieve stress.

Tenant #2, a 93 year old, was admitted 10-5-10 with diagnoses of: Diabetes, Coronary Artery Disease, HTN, Degenerative Joint Disease, Osteoarthritis and Alzheimer's. Tenant #2 resided in the memory care unit. Tenant #2 scored six on the GDS which indicated severe cognitive decline. The service plan of 6-7-12 indicated Tenant #2 required two staff members with ambulation due to fear of falling. Tenant #2 was dependent on bathing and required staff assistance with all other activities of daily living. Tenant #2 was discharged 7-10-12 because he/she exceeded the level of care allowed in assisted living.

The monitors did not find that any tenants exceeded the criteria for level of care in assisted living.

- Regulatory Insufficiency: None noted.