

TERRY E. BRANSTAD
GOVERNOR

KIM REYNOLDS
LT. GOVERNOR

RODNEY A. ROBERTS, DIRECTOR

November 13, 2012

Mr. Jim Atty, CEO
Springvale Assisted Living
1050 15th Street North
Humboldt, IA 50548

RE: Final Recertification Monitoring Evaluation Report – Springvale Assisted Living, Humboldt, IA

Dear Mr. Atty:

Enclosed is the **Final Recertification 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.

DIA has completed the review of your Plan of Correction (POC) in response to the **Preliminary Recertification Monitoring Evaluation Report**. Based upon a complete review of the Report and your actions to correct the identified Regulatory Insufficiencies, DIA accepts your POC. The Final report is enclosed.

The review of the recertification documents you submitted has been completed and the documents are accepted. In addition, the State Fire Marshal's (SFM) inspection report has been received as well as the Facility Engineer's approval of the Evacuation Plans for your program.

Enclosed you will find the Assisted Living Program Certificate **S0203** with effective dates of **December 13, 2012** through **December 12, 2014**.

If you have any questions in regard to 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 Recertification Monitoring Evaluation Report

Assisted Living Program:

Jim Atty, CEO
Springvale Assisted Living
1050 15th Street North
Humboldt, IA 50548

Date of Monitoring Visit:

October 23, 2012

Monitor(s):

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 were provided by the Program at the time of the on-site.

General Population Program	
Number of tenants without cognitive disorder:	13
Number of tenants with cognitive disorder:	0
Total Population of Program at time of on-site	13
TOTAL census of Assisted Living Program	13

Tenant/Family Satisfaction Results – A meeting was held with 10 tenants. The best thing about the program was the food, the care received, and the staff. Housekeeping was completed to tenants' satisfaction in both apartments and common areas. Tenants reported using a call button to request assistance, and staff members were reported to respond in less than five minutes. Tenants indicated they received good care, and staff members treated them kindly and respectfully. The food was described as good with hot foods served hot. There were enough activities offered. Tenants reported feeling safe at the program, were generally satisfied with the program and would recommend it to others.

Program History – The program did not receive any regulatory insufficiencies during this certification period.

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

A. Food Service

Monitoring Observation: The assisted living program was attached to a hospital as well as a long-term care facility. According to the supervisor, the meals at the assisted living program were provided through the hospital and the program provided documentation of a current hospital license.

Staff #1 and #2 were interviewed. Both were employed as certified nursing assistants (CNAs) at the program. In interview, both stated they served food at the program but did not prepare meals. The supervisor stated assisted living staff only served food, and that dietary staff from the hospital came to the assisted living program to prepare breakfast daily, including eggs. Dietary staff also came over to the program to dish up the food for the assisted living staff to serve to the tenants.

During the noon meal on the day of the visit, a dietary aide was present and stated she worked in the hospital kitchen. The dietary aide was noted to be wearing a hairnet and gloves, and was observed in the assisted living kitchen plating the food. The dietary aide stated eggs, butter, cheese, milk, and juices were stored in the assisted living kitchen. The dietary aide stated dishes were washed in the kitchen in the assisted living program, as it was observed that tenants were served on non-disposable dishes.

The dietary manager stated during inspections the kitchens in the hospital and the nursing facility were inspected, but the kitchen in the assisted living program was not.

Iowa Code chapter 137F.4 states a food establishment requires a food license. A food establishment is defined as an operation that stores, prepares, packages, serves or otherwise provides food for human consumption.

The assisted living program was serving, preparing, and storing food. Non-disposable dishes were washed in the dishwasher in the assisted living kitchen. The assisted living kitchen did not have a food license.

Regulatory Insufficiency: Programs engaged in the preparation and service of meals and snacks shall meet the standards of state and local health laws and ordinances pertaining to the preparation and service of food and shall be licensed pursuant to Iowa Code chapter 137F. (IAC r. 481-69.28(6))