

TERRY E. BRANSTAD
GOVERNOR

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LT. GOVERNOR

Complaint/Incident Intake #: 47694-I

June 26, 2014

Ms. Carol Sheets, Administrator
Rose of Dubuque
3390 Lake Ridge Drive
Dubuque, IA 52003

RE: Final Complaint/Incident Investigation Report – Rose of Dubuque, Dubuque, IA

Dear Ms. Sheets:

Enclosed is the **Final Complaint/Incident Investigation Report** from the on-site monitoring visit of June 16, 17 and 18, 2014, 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 515/281-4116 or **James.Berkley@dia.iowa.gov**

Sincerely,

Jim Berkley

Jim Berkley
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 #: 47694-I

Carol Sheets, Administrator
The Rose of Dubuque
3390 Lake Ridge Drive
Dubuque, Iowa 52003

Date of Complaint/Incident Investigation:

June 16,17 & 18, 2014

Monitor(s):

Wendy E. Kuhse RN, BS

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:	<u>71</u>
Number of tenants with cognitive disorder:	<u> </u>
Total Population of Program at time of on-site	<u>71</u>
TOTAL census of Assisted Living Program	<u>71</u>

Program History – The program received regulatory insufficiencies in the areas of Service Plan, Nurse Review and Record Checks during this certification period.

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

A. Tenant Rights

Complaint/Incident Allegation: It was alleged that a tenant had a large sum of cash (\$1000) taken from her room by staff.

- **Monitoring Observation:** Review of a Program investigation summary identified Tenant #1 was involved in the alleged incident with staff.

Tenant #1, a 90 year old, was admitted on 06-19-13 and diagnoses include: “ocl art” (sic) (Occluded Artery) Without Infarct, Bronchopneumonia, Anxiety Disorder, and History of TIA (Transient Ischemic Accident)/Stroke. Tenant #1 was staged at moderate risk of memory loss.

During an interview on 06-16-14 at 3:50 p.m., Tenant #1 stated Tenant #1 had been saving money for several months to purchase a bed. Tenant #1 stated on a Friday night (Tenant #1 could not recall the exact date) that Tenant #1 went out to supper with family. Tenant #1 took the money along, with the intention of giving the money to family to make the bed purchase. However, Tenant #1 stated the family member intended to receive the money was not at the outing. Tenant #1 then brought the money back to his/her apartment.

Tenant #1 stated the money remained in Tenant #1’s pants pocket and alleged the following morning a staff person took the clothing to be laundered, potentially saw the money in the washing machine and took it.

According to the Programs investigation, Tenant #1 did not report the missing money until approximately three weeks after the alleged incident. The Program administrator also contacted Tenant #1's family and they were unaware of any missing money, however they were aware that Tenant #1 always hid money in the apartment.

During interviews with Staff (#1, #2, and #3) each stated they were unaware that Tenant #1 had any money in an envelope nor had they seen any money in Tenant #1's apartment. However staff indicated they believed what Tenant #1 said about having money.

Tenants #2, #3, and #4 were interviewed and each indicated nothing from their apartments had ever been missing.

Based on interviews, staff was not aware that Tenant #1's plan was to save money, nor had any staff seen any money in Tenant #1's apartment. Family was also not aware of Tenant #1 saving a large amount of money. According to other tenants interviewed, nothing had been missing from their apartments. In addition, an exact time frame for the missing money could not be determined and an alleged perpetrator could not be identified.

- Regulatory Insufficiency: none noted