DEPARTMENT OF INSPECTIONS AND APPEALS

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:	(X2) MULTIPLE CONSTRUCTION	(X3) DATE SURVEY COMPLETED
	S0377	A. BUILDING: _____ B. WING _____	11/28/2018

NAME OF PROVIDER OR SUPPLIER	STREET ADDRESS, CITY, STATE, ZIP CODE
ASPEN COTTAGE ASSISTED LIVING	1922 5TH AVENUE NW WAVERLY, IA 50677

(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)	ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)	(X5) COMPLETE DATE
A 000	Initial Comments Assisted Living Programs for People with Dementia are defined by the population served. The census numbers were provided by the Program at the time of the on-site. Number of tenants without cognitive disorder: 4 Number of tenants with cognitive disorder: 4 TOTAL Census of Assisted Living Program for People with Dementia : 8 The following regulatory insufficiencies were cited during the initial certification conducted to determine compliance with certification for a Dementia-Specific Assisted Living Program.	A 000	See attached POC 2/2/19	
A 084	481-69.26(2) Service Plans 481-69.26(231C) Service plans. 69.26(2) Prior to the tenant's signing the occupancy agreement and taking occupancy of a dwelling unit, a preliminary service plan shall be developed by a health care professional or human service professional in consultation with the tenant and, at the tenant's request, with other individuals identified by the tenant, and, if applicable, with the tenant's legal representative. All persons who develop the plan and the tenant or the tenant's legal representative shall sign the plan. This REQUIREMENT is not met as evidenced by: Based on interviews and record reviews, the program failed to ensure all persons who	A 084		

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A 084	Continued From page 1 developed the initial service plan, as well as the tenant or tenant's representative, signed the plan to indicate agreement for 2 out of 3 tenants reviewed (Tenant #1, Tenant #2) Findings include: A review of Tenant #1's record revealed an admission date of 10/5/18. Tenant #1's initial service plan was implemented on 10/3/18. No signatures of the service plan team or the tenant or tenant's representative were obtained to show participation/agreement. A review of Tenant #2's record revealed an admission date of 9/24/18. Tenant #2's initial service plan was implemented on 9/21/18. Signatures of the service plan team and the tenant's representative were obtained 62 days after the plan was implemented to show agreement with the plan. On 11/28/18 at 11:33 AM and 12:30 PM, the RN Coordinator confirmed the above findings. The Team Leader confirmed the above findings on 11/28/18 at 2:00 PM.	A 084		
A 085	481-69.26(3) Service Plans 481-69.26(231C) Service plans. 69.26(3) When a tenant needs personal care or health-related care, the service plan shall be updated within 30 days of the tenant's occupancy and as needed with significant change, but not less than annually. This REQUIREMENT is not met as evidenced by:	A 085		

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A 085	Continued From page 2 Based on interviews and record reviews, the program failed to ensure 2 out of 3 tenants received an update to their initial service plan within 30 days (Tenant #1, Tenant #2). Findings included: A review of Tenant #1's record revealed an admission date of 10/5/18 with an initial service plan implemented on 10/3/18. Tenant #1's 30 day service plan was due by 11/5/18, but was amended/implemented on 11/19/18. A review of Tenant #2's record revealed an admission date of 9/24/18 with an initial service plan implemented on 9/21/18. Tenant #2's 30 day service plan was due by 10/24/18, but was amended/implemented on 11/19/18. On 11/28/18 at 2:00 PM, the Team Leader and RN Coordinator confirmed the above findings.	A 085		
A 224	481-69.26(3)d Service Plans 481-69.26(231C) Service plans. 69.26(3) When a tenant needs personal care or health-related care, the service plan shall be updated within 30 days of the tenant ' s occupancy and as needed with significant change, but not less than annually. d. The service plan updated within 30 days of the tenant ' s occupancy shall be signed and dated by all parties. This REQUIREMENT is not met as evidenced by: Based on interviews and record reviews, the	A 224		

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A 224	Continued From page 3	A 224		

program failed to ensure all persons who developed the 30-day service plan signed the plan to indicate participation/agreement for 3 out of 3 tenants reviewed (Tenant #1, Tenant #2, Tenant #3).

Findings included:

A review of Tenant #1's record revealed an admission date of 10/5/18. Tenant #1's 30 day service plan was implemented on 11/19/18. No signatures of the service plan team were obtained to show participation/agreement.

A review of Tenant #2's record revealed an admission date of 9/24/18. Tenant #2's 30 day service plan was implemented on 11/19/18. Signatures of the service plan team were obtained 3 days after the plan was implemented to show agreement with the plan.

A review of Tenant #3's record revealed an admission date of 10/29/18. Tenant #3's 30 service plan was implemented on 11/16/18. No signatures of the service plan team were obtained to show participation/agreement.

On 11/28/18 at 2:00 PM, the Team Leader and RN Coordinator confirmed the above findings.

OK

ID Prefix Tag – A 084

Service Plans will be signed by all legal representation before or at time of move in before Occupancy Agreement. If service plan is changed and legal representation is not available, management team will document every contact attempt to resident's legal representation for signature on the updated service plan. All signatures are up to date as of 02/02/2019.

ID Prefix Tag – A 085

Education has been provided on policies and procedures that are in place for assessments (02/01/2019). Residents 30 day service plan review will be followed up by Aspen Cottage RN and Team Lead. End of month reviews have been put in place to review upcoming assessments.

ID Prefix Tag – A 224

Service Plans will be signed by all legal representation after 30 day assessment. If service plan is changed and legal representation is not available, management team will document every attempt to contact resident's legal representation for signature on the updated service plan. All signatures are up to date as of 02/02/2019.