

(12/2020)

APS Assessment & Documentation Tool Summary

Select the safety risk and protective factors as indicated from the assessment. Briefly clarify those selected factors in the notes box below each section.

For general Adult Service Assessments, although not all screens in the ADT tool will be available, complete only the ones that are applicable to the assessment.

Section 2: Cognitive Capacity/ADL's/Level of Functioning

Adult Cognitive Capacity, Level of Functioning, Disability and Diagnosis (if known) Notes:

- Include a brief description of the victim;
- Describe how the alleged victim meets the definition of a vulnerable adult. Document any diagnosed mental or physical dysfunction, condition, or illness;
- List any known medications and health care providers;
- Include results of any mental status and/or functional assessment; and
- Document the adult's support system;

Activities of Daily Living (ADL) and Alleged Victim History Notes:

- Elaborate on the adults ability to meet their ADLs;
- Document what supports are in place for ADLs that the adult is unable to meet independently; and
- Document the alleged victim's history. (Include the Administrative Office of the Court (AOC) and TWIST history.)

Benefits, Education, and Skill Development Notes:

- Document education, employment benefits, training, and need for skill development or accommodations.

Section 3: Abuse/Neglect

Abuse/Neglect Notes:

- Document each safety threat and protective factor present in the case based on interviews, observations, and other factual evidence collected; and
- Include a brief description of the home environment, if applicable.

Section 4: Injuries (Including mental injury and complaint of pain)

Describe the Injury:

- Document the nature and extent of the injuries associated with the alleged victim; and
- If injury occurred, or a significant safety threat is present, detail the decline in the health and welfare, or the significant safety threat that is directly related to the abuse/neglect/exploitation.

Section 5: Alleged Perpetrator (Not required for self-neglect reports)

Notes:

- Provide justification if either the refused or unable to be interviewed boxes are checked, (i.e., permission not given, unknown perpetrator);
- Define the role and relationship with the victim: relative/caretaker/employee, and detail any responsibilities to the care of the victim;
- Document if the alleged perpetrator is an employee or volunteer of a vulnerable adult service provider, or is otherwise compensated. Include employment records, proof of payment, or proof of compensation (such as room/board or use of car, etc.);
- Verify that the alleged perpetrator's Social Security number is updated within TWIST; and
- Include the TWIST history and AOC records pertaining to the perpetrator; only include criminal convictions or pending charges related to the case being investigated.

Section 6: Chronology Information

Describe all attempts to locate victim:

- Document all efforts made to locate the victim prior to the first face-to-face contact.

No collateral contact:

- If applicable, describe why contact with a collateral was not made.

Investigation narrative:

- Document date, time, and location of all interviews, consultations, and court dates;
- Clearly state the date of the alleged incident near the beginning of the investigation narrative;
- List names and contact information of collateral interviews; include the cell phone number if collateral is willing to provide the number;
- Include collateral documentation obtained, i.e., photographs (labeling the name of victim, date, and time the photo was taken, and date of incident), financial statements, JC-3, medical records, mental health, educational, etc.;
- Documentation obtained should be uploaded into TWIST. Per SOP 20.2-DCBS staff should only make photographs, audio, or video recordings with the express permission of the alleged victim;
- When available, include collateral documentation and summary of investigations from authorized agencies, such as OIG, OAG, BHDID, etc. Include the outcome, explanation of the outcome, and any citations noted;
- Document date the Notice of Protective Services Investigative Findings Form sent; and
- Document the date the DPP 154, CHFS-300 HIPAA, or other forms are provided, as applicable.

Section 7: Maltreatment Factors

- Select all factors that apply in ALL severity screens.

Notes

- Document justification or rationale for why the factors are chosen.

Section 8: Assessment Results

- Within the determination screen, choose the investigative finding;
- Within the alleged perpetrator role screen, make sure the correct alleged perpetrator role is selected. This will determine whether the case moves forward for a hearing if it is a caregiver misconduct registry case; and
- Select the outcome of the case: Choose close assessment or in-home ongoing case.

Select Prevention Plan Notes/Aftercare Plan Notes:

- Document or upload the prevention plan, if implemented.

In Assessment Conclusion:

- Document findings of the investigation. The conclusion should be a very brief summary that states which allegation is substantiated or unsubstantiated and the simple factual/legal basis for the finding. List any evidence to support the finding; (Do NOT list an SOP section as justification for a finding.)
- State a conclusion for each allegation being investigated; and
- Describe any recommendations regarding opening or closing the case.

Section 9: Submit for Approval

- Document DCBS protective services provided, (i.e., 202A, ex-parte, guardianship, etc.);
- Document any community resource referrals made and services that were already in place prior to DCBS involvement; and
- Submit to FSOS for approval.

Additional Information To Consider For The Caregiver Misconduct Registry Cases:**Facility Investigations**

- To ensure what information needs to be obtained based on the allegations, a consultation with an APS nurse consultant is recommended prior to requesting medical records.
- The SSW should always request a copy of the facility policy/procedures, as well as any personnel/training records related to the allegation.
- The SSW should always obtain a copy of the internal investigation.

Adding New Allegations or Perpetrators

- The SSW should be on alert for any new allegations related to the initial allegation.
- The SSW should identify additional perpetrators when necessary.

Notification of Findings and Documentation

- The SSW should obtain the perpetrator's last known address to provide notice and documentation, and should use the correct last known address on the DPP-248 envelope.
- The SSW should make sure the green card or returned envelope is placed in the file when received and upload the documents into TWIST.