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ORANGE COUNTY SOCIAL SERVICES AGENCY
ADULT SERVICES
POLICY AND PROCEDURE MANUAL

Program:	**Adult Protective Services**	**Number:**	SH 20.3.1
Subject:	**Investigation, Assessment, & Intervention Plan**	**Date:**	9/1/00
Approved:	Signature On File	**Replaces:**	
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I. PURPOSE

The purpose of this procedure is to provide guidelines and instructions for the investigation of Adult Protective Services (APS) reports, the assessment of clients, and the development of an intervention plan.

II. POLICY

An investigation of the alleged abuse of an elder or dependent adult will be conducted in order to:

· Collect evidentiary facts to determine whether the abuse occurred and/or whether there is potential for, or the existence of, condition(s), which place the elder or dependent adult at risk and in need of services.

· Determine the need for services to protect the interests and welfare of the elder or dependent adult.

· Determine the need for referral to other community services.

An assessment of the elder or dependent adult will be conducted in order to:

· Understand the client's capacity, ability to protect him/herself, and willingness to be involved in the problem-solving process.

· Identify problems and issues related to the client's need for protective intervention and to evaluate immediate and ongoing risk factors.

· Identify personal strengths and resources available to the client and/or the client's family that could alleviate the risk to the family.

An intervention plan will be developed in order to:

· Identify the problems to be alleviated based on the assessment.

· Develop goals and timelines to address the problems.

· Identify resources to be used in order to reduce or eliminate risk.

The Adult Protective Services Investigation Summary (AIS) (FE-APS-7) is the form whichOrange social workers will use to document investigation findings, client assessment, and the intervention plan. The AIS is located on the (O:) drive. See Forms, SH 20.8.County.

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III. PROCEDURE

A. APS field social workers shall respond to all reports of abuse to an elder or dependent adult referred by the Registry. Dispensation of all APS reports not referred by the Registry for investigation by field social workers is specified in Jurisdiction, Referral and Cross-Reporting, SH 20.1.2.

1. An in-person face-to-face response is required within 24 hours (or sooner, as appropriate) of the time the report is received under the following circumstances:

a. The report indicates immediate life threatening circumstances.

b. APS assistance is requested by law enforcement.

2. An in-person face-to-face response is required within 10 days of the time the report is received for all other reports of alleged abuse, except under the following circumstances:

a. The social worker has attempted, and documented attempts, to locate the elder or dependent adult or their families, but has been unsuccessful, and the supervisor documents that the social worker made all reasonable attempts to contact the victim or the family.

b. The elder or dependent adult has moved out-of-state or out-of-country and the social worker has reported the abuse and provided follow-up telephone contact to the appropriate county or out-of-state agency, and documented that fact.

c. The elder or dependent adult is deceased and based on an evaluation of the circumstances, there is no indication that another elder or dependent adult is at risk.

d. The mandated reporter is reporting a past occurrence of abuse wherein no new allegations are made or there are no present risks as confirmed by the social worker through collateral contacts, and the social worker's supervisor has determined that additional attempts are unnecessary.

B. The social worker shall attempt to obtain consent to enter the residence of, and meet privately with, the elder or dependent adult about whom the report was made.

1. If the elder or dependent adult does not give consent for the social worker to enter the residence and meet privately, the social worker should make attempts to meet with the elder or dependent adult privately, at some other convenient place (e.g., senior center), or in the presence of a person of the elder or dependent adult's choice.

2. If the social worker has been denied access to the premises by the person or persons in possession of the premises, other than the elder or dependent adult, and the worker has reason to believe an elder or dependent adult on those premises is subject to abuse, the social worker shall consult with their supervisor regarding the advisability of requesting assistance from law enforcement. Law enforcement shall be the responsible party for determining whether exigent circumstances exist that justify a forced entry.

C. The social worker shall conduct an investigation of the protection issues, including, but not limited to, social, medical, environmental, physical, emotional, socioeconomic, or developmental issues.

D. The social worker shall summarize the investigative findings on the Adult Protective Services Investigation Summary (AIS) (FÉ-APS-7) , including:

1. The social worker's written observations of the alleged victim, environment, and indicators of abuse.

2. Statements of elder/dependent adults and collateral contacts.

3. The observations and opinions of other professionals (e.g., Older Adult Services).

4. Statements of the alleged abuser, if available.

5. Written outcome of investigation, identifying types of abuse, the frequency of abuse, the identity of the alleged abuser, and whether the report is confirmed, inconclusive, or unfounded.

a. Confirmed – based upon credible evidence, the social worker can conclude that abuse occurred or most likely occurred.

b. Inconclusive – there is insufficient evidence for the social worker to determine whether the abuse occurred, but the report is not unfounded.

c. Unfounded – the social worker concluded abuse did not occur.

E. When it has been determined services are needed and the client is willing to accept services, the social worker shall conduct an assessment of the elder or dependent adult about whom the report was made. If the client lacks an ability to either accept or refuse services, the social worker shall proceed with the assessment with the purposes of determining what services or interventions are needed, if any, to serve the client's best interests.

1. The social worker shall complete the assessment as soon as appropriate for the case, depending on the risk involved, but no later than 21 calendar days from the initial face-to-face contact with the client.

2. The assessment shall include:

a. The reason for referral and the investigative findings (page 1 of the AIS).

b. Identification of the concerns and needs of the elder or dependent adult, and when appropriate, other members of the family or household or other significant individuals (page 6 of the AIS).

c. Analysis of the client's strengths and identification of resources (pages 4-6 of the AIS).

d. A description of the functional level of the client, his/her limitations and problems, and the risk factors that are present (pages 2-4, and 6 of the AIS).

e. A description of the client's history relevant to protective issues with APS or other agencies (page 3 of the AIS).

F. The social worker shall also develop an intervention plan with the goal of providing for the safety of the client in the least restrictive environment.

1. The intervention plan shall be completed within 30 calendar days from the initial face-to-face contact.

2. The intervention plan (pages 6-7 of the AIS) shall include:

a. Measurable, time-limited objectives based on the client's problems and strengths identified in the assessment, including:

(1.) The services to be provided and the activities to be performed in order to meet the intervention plan goals.

(2.) A description of the anticipated nature, frequency, and duration of services to be provided directly by APS or other agencies or individuals.

(3.) Identification of resources needed to accomplish objectives (e.g., family, friends, church, other agencies). The social worker shall make referrals to other agencies and provide advocacy when needed to obtain the service required in order to stabilize the client's situation.

b. The planned frequency of face-to-face contact between the client and the social worker. This must be at least once every 30 days unless both a supervisor and program manager have approved an alternate visitation plan. See Case Management and Reassessment, SH 20.3.2.

c. The length of time the case is expected to be open.

3. The social worker shall ensure the client's input and acceptance of the intervention plan and shall discuss the voluntary nature of the APS program.

a. The social worker shall summarize the client's agreement to the intervention plan on pages 6 and 7 of the AIS. The social worker may request the client to sign a statement that indicates their willingness to receive services in accordance with the intervention plan.

b. Preventative and remedial services shall be delivered only with the consent of the victim. A victim of elder or dependent adult abuse may refuse or withdraw consent, at any time, to the provision of services by APS.

(1.) If the elder or dependent adult refuses services, the social worker shall document in the case record the refusal of services and the reason, if known.

(2.) The social worker shall refer the elder or dependent adult to other agencies for services, if appropriate.

(3.) A copy of the intervention plan shall be provided to the client, if requested.

4. Upon completion of the intervention plan, the social worker shall sign and date the plan and submit it to his/her supervisor for approval. See Mandatory Supervisory Reviews, SH 20.3.4.

G. All contacts made by the social worker in the course of conducting the investigation, assessing the client, and formulating the intervention plan shall be documented in the Assessment and Intervention Narrative section of the AIS. Each individual contact must be documented as soon as practically possible, but no later than 7 calendar days after its occurrence.

H. The social worker must complete the Case Assignment and Activity Datasheet (F063-43-28) as follows: See Forms, SH 20.8.

1. Correct and/or complete client information such as name, address, social security number, date of birth, ethnic origin, language, etc, and submit to office technician.

2. Complete allegation (investigation) findings, and submit to office technician.

IV. REFERENCES

California Department of Social Services (CDSS) AllCounty Letter No. 99-95, December 17, 1999

Welfare and Institutions Code (WIC) sections 15610-15610.65, 15760, 15762, 15763, and 15753

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