Adult Maltreatment

Table of Contents

Module Introduction

Vulnerable adult (VA) maltreatment reporting includes:

- Common Entry Point (CEP) intake
- Evaluation of report and identification of lead investigative agency
- Distribution of report to identified lead investigative agency
- Notices of initial disposition
- Assessment and investigation of maltreatment
- Determinations of maltreatment made by lead investigative agency
- Final notices of findings to victim, guardian, perpetrator, and interested parties
- Report summary and disposition to DHS Adult Protection Services.

Creation of a CEP intake is a two-part process that occurs before the lead investigative agency can be notified. The steps in creating a CEP intake are similar to those used to create a Child Protection Report which begins with creating a New Intake Workgroup. The Intake workgroup contains basic information about the report. The next step is to add an Adult Maltreatment Report to the Intake workgroup. The Adult Maltreatment Report contains many of the same fields as did the CEP form (#3293) and allows the worker to identify and send to lead investigative agency. The CEP can be sent electronically to DHS Licensing and to the Department of Health (MDH) – Office of Health Facility Complaints (OHFC) or another County. The CEP paper form #3293 is no longer required.

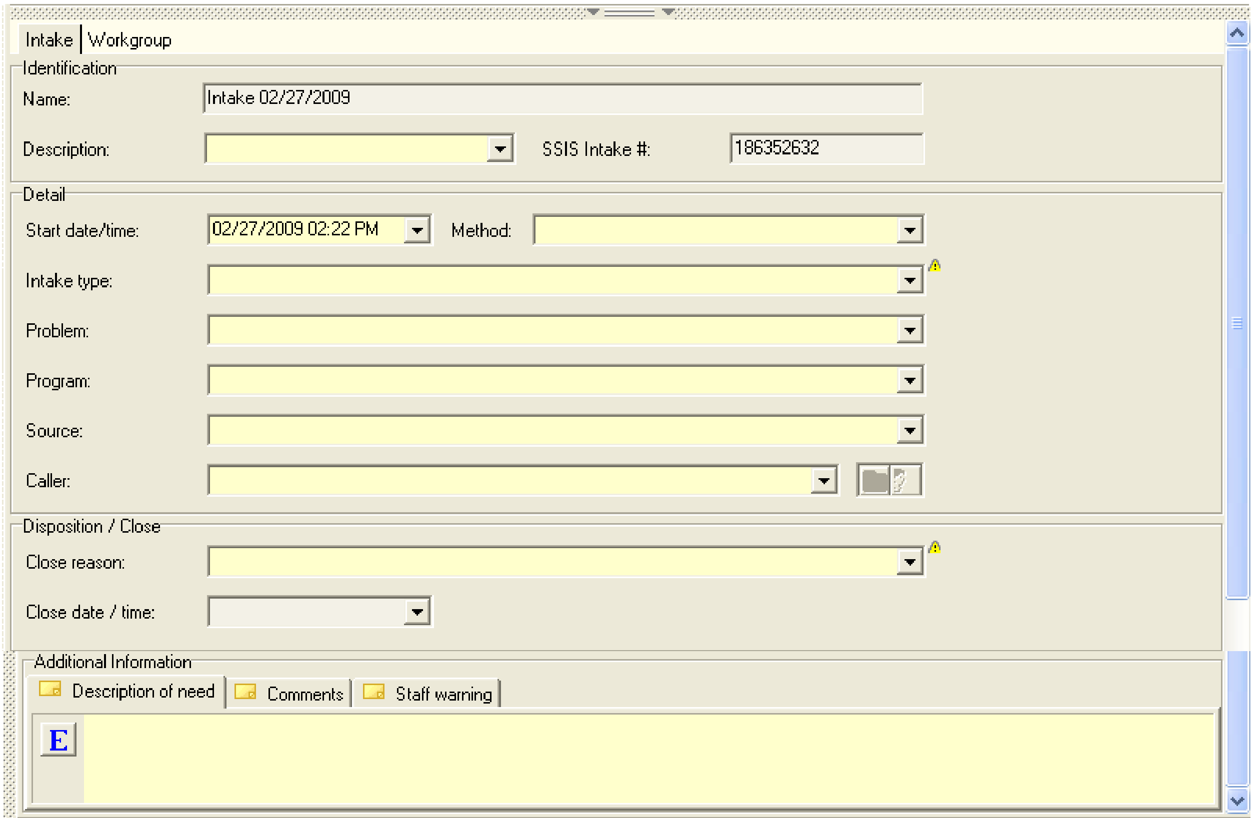
When the county accepts a report for immediate protective services or for county investigation, an Assessment workgroup can be opened. Maltreatment determinations, notices of determination, case notes, and activities can be created and completed in the Assessment workgroup. If necessary, a Case Management workgroup can also be initiated.

Implementation of the CEP into SSIS eliminates the need for workers to complete the Adult Maltreatment Report, paper form #2494, to report investigative findings. DHS will obtain this information from counties on a monthly basis utilizing the monthly Repository upload. This is the same process already in place for child protection data.

Step-by-Step Navigation

New Intake Workgroup

New Intake Workgroup



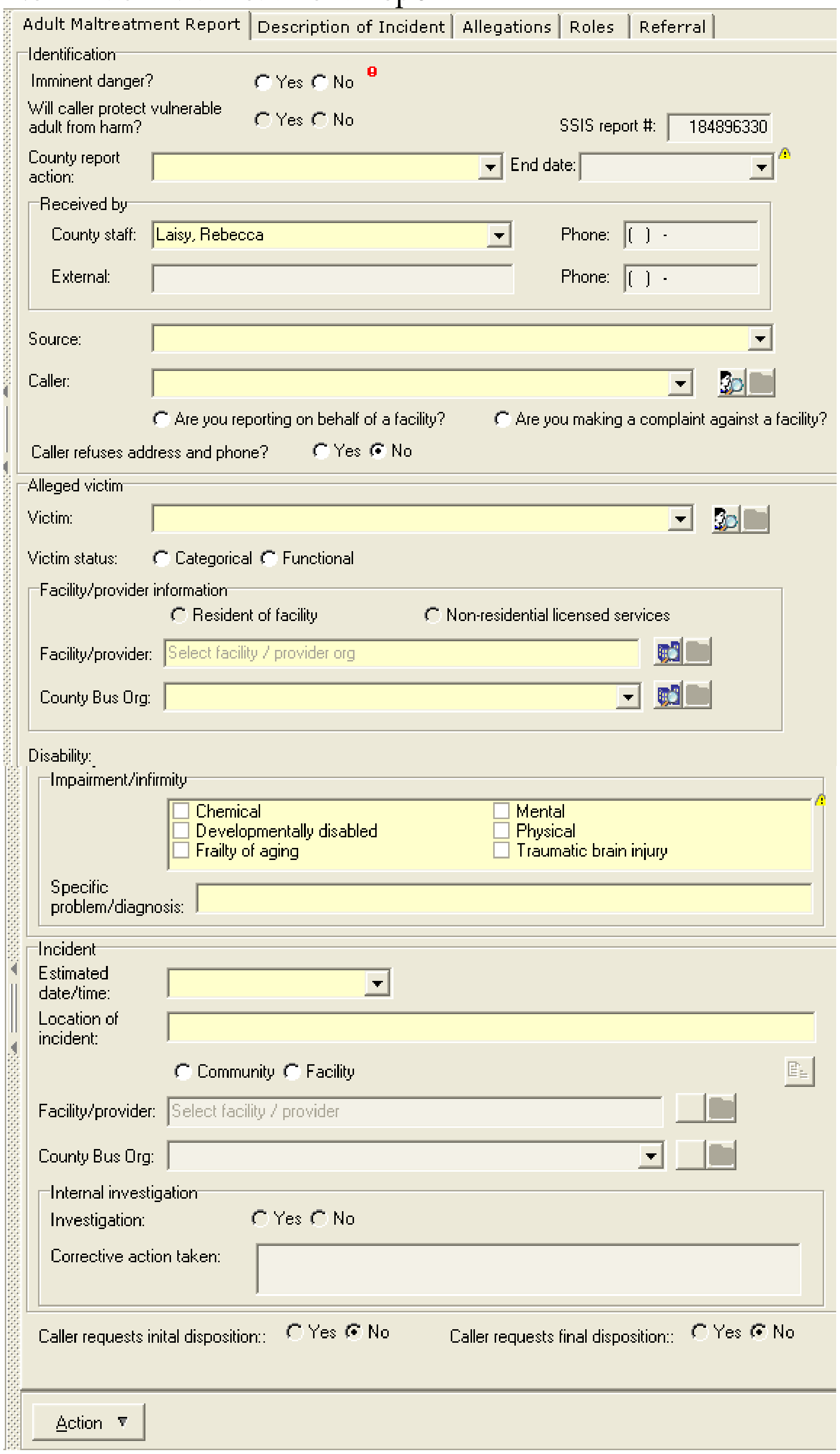
Create a New Intake Workgroup:

1. Click the **Intake Search** button on the Application toolbar.
2. Select the **New Intake Workgroup** quick add button.
3. Complete the Intake workgroup fields except the **Close reason** and **Close date/time** fields.
4. Complete the **Additional Information** section, including, when applicable: **Description of need**, **Comments**, and **Staff warning** tabs.
5. **Add New or Existing Clients** for alleged victim and alleged perpetrator (if applicable) using the **Client** quick add button.

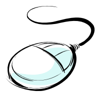
6. **Add New or Existing Collaterals** for caller or others involved in the report using the **Collateral** quick add button.
7. Complete **Description** and **Caller** fields.
8. Click **Save**.

New Adult Maltreatment Report

New Adult Maltreatment Report



Create a New Adult Maltreatment Report – Accepted for Emergency Protective Services:



1. Highlight **APS Intake** workgroup in the Tree View.
2. Select **New Adult Maltreatment Report** quick add button.
3. Complete **Identification** section, selecting **Accepted for emergency protective services** in the **County report action** field.
4. Complete **Alleged victim** and **Incident** sections.
5. Click **Description of Incident** tab.
6. Complete **Description of incident** or click **Copy "Description of need" from Intake** button.
7. Right-click on **Allegations** tab.
8. Select **New Allegation**.
9. Complete **Alleged perpetrator** and **Nature of Allegation** sections.
10. If applicable, continue to add allegations by right-clicking on **Allegations** tab and selecting **New Allegation**.
11. Click **Roles** tab.
12. If additional roles are needed, right-click on **Roles** tab and select **New Role**.
13. Complete **Name** and **Role in report** fields.
14. If applicable, continue to add additional roles by right-clicking on **Roles** tab and selecting **New Role**.
15. Click on **Referral** tab.
16. Select **Yes** in **Are county emergency protective services needed?** field.
17. Select your county in the **County** field.
18. Select date and time in **Date notified** field.
19. Select internal staff person in **Internal staff** field.
20. Select **Yes** in **Referred to lead agency** field.
21. Select date and time in the **Date referred** field.
22. Select identified **Lead agency** in the **Lead agency** field.
23. If another county is lead agency, select **County** in **Lead agency** field and select identified county in the **County** field.
24. If applicable, complete the **Criminal** section.
25. Click **Save**.

Create a New Adult Maltreatment Report – Accepted for County Investigation:

1. Highlight **APS Intake** workgroup in the Tree View.
2. Select **New Adult Maltreatment Report** quick add button.
3. Complete **Identification** section, selecting **Accepted for county investigation** in the **County report action** field.
4. Complete **Alleged victim** and **Incident** sections.
5. Click **Description of Incident** tab.
6. Complete **Description of incident** or click **Copy "Description of need" from Intake** button.
7. Right-click on **Allegations** tab and select **New Allegation**.
8. Complete **Alleged perpetrator** and **Nature of Allegation** sections.
9. If applicable, continue to add allegations by right-clicking on **Allegations** tab and selecting **New Allegation**.
10. Click **Roles** tab.
11. If additional roles are needed, right-click on **Roles** tab and select **New Role**.
12. Complete **Name** and **Role in report** fields.
13. If applicable, continue to add additional roles by right-clicking on **Roles** tab and selecting **New Role**.
14. Click on **Referral** tab.
15. Complete **Adult Protective Services** section.
16. Select **Yes** in **Referred to lead agency** field.
17. Select date and time in the **Date referred** field.
18. Select **County** in the **Lead agency** field.
19. Select your county in the **County** field.
20. If applicable, complete the **Criminal** section.
21. Click **Save**.

Create a New Adult Maltreatment Report – Not accepted for investigation - referring to another lead agency:

1. Highlight **APS Intake** workgroup in the Tree View.
2. Select **New Adult Maltreatment Report** quick add button.
3. Complete **Identification** section; leave **County Report Action** field blank.
4. Complete **Alleged victim** and **Incident** sections.
5. Click **Description of Incident** tab.
6. Complete **Description of incident** or click **Copy "Description of need" from Intake** button.
7. Right-click on **Allegations** tab and select **New Allegation**.
8. Complete **Alleged perpetrator** and **Nature of Allegation** sections.
9. If applicable, continue to add allegations by right-clicking on **Allegations** tab and selecting **New Allegation**.
10. Click **Roles** tab.
11. If additional roles are needed, right-click on **Roles** tab and select **New Role.**
12. Complete **Name** and **Role in report** fields.
13. If applicable, continue to add additional roles by right-clicking on **Roles** tab and selecting **New Role**.
14. Click on **Referral** tab.
15. Select **No** in **Are emergency protective services needed?** field.
16. Select **Yes** in **Referred to lead agency** field.
17. Select identified lead investigative agency in the **Lead agency** field.
18. If another county is lead investigative agency, select **County** in **Lead agency** field and select identified county in the **County** field.
19. If applicable, complete the **Criminal** section.
20. Click **Adult Maltreatment Report** tab.
21. Select **Not accepted for investigation** in the **County report action** field.
22. Select date and time in the **End date** field.
23. Click **Save.**
24. Follow instructions to send a CEP Report electronically to another county, OHFC or DHS Licensing (page 11).

Licensed Provider (LNDX) Search

To search using LNDX:

1. Click the **LNDX Search** icon.
2. The **Licensed Provider (LNDX) Search** screen displays. Expand screen for best results.
3. If applicable, type name of facility or provider into the **Name** field.
4. **LNDX** # field is not applicable.
5. If applicable, type full or partial facility or provider address into the **Address** field.
6. If known, type full provider number in the **Provider** # field.
7. If applicable, select county in the **County** field drop-down menu.
8. If applicable, type in full or partial city name in the **City** field.
9. If applicable, select agency type in the **Agency type** field drop-down menu, or leave defaulted to **All**.
10. Click **Search**.
11. If there are matching results, they display in the grid.
12. If no results display, adjust search criteria and search again.
13. View more information regarding facilities in the search results grid by moving the vertical splitter bar to view the Tree View.

*Hint: LNDX has a wildcard search option on the Name and Address fields. The Wildcard feature can be used in two ways to produce the desired results. An asterisk (*) can be typed before or after a word in either the Name or Address fields depending on the search. If searching for something in which you know the first letters/words/numbers, type the * after the known letters/words/numbers. When search for something in which you do not know the first letters/words/numbers, type the * before the known letters/words/numbers.*

Hint: If you are unable to locate a provider using the LNDX search, try searching by the provider's corporate (or "parent") name.

Hint: When using the LNDX search, ensure that the correct selection is being made. Many agencies contain many different licensed programs. The correct agency program should be selected to ensure accurate referral. Review the preview panel information to assist with identifying the correct provider.

Sending and Receiving a CEP Report Electronically

Sending a CEP Report electronically to another county, OHFC or DHS Licensing:

1. After completing all the tabs of the **Adult Maltreatment Report**, ensure that the correct lead investigative agency is checked in the **Lead agency** field on the **Referral** tab.
2. If **County** is selected as **Lead agency**, ensure a county is selected in the **County** field on the **Referral** tab.
3. Access the **Action** menu.
4. Select **Send To Lead Agency**.
5. A message is received when it is sent successfully, already been sent, or cannot be sent.

Receiving a CEP Report Electronically from Another County:

1. From **Intake Search,** select **Intake Searches** in the Tree View.
2. Click the **Unassigned Intake Search** tab.
3. Adjust search criteria by date.
4. Click **Search**.
5. View unassigned intakes.

Hint: Adult Maltreatment Reports received electronically can also be viewed from Intake Views, on the Intakes needing action tab. Additional search criteria may need to be entered to locate these intakes including adjusting the Include open intakes to Yes and reducing the number of days in the Include intakes open for X days or more field.

Hint: Agencies should check the unassigned intakes view daily. There may be a specific staff person, such as a supervisor, assigned to this task. The statute mandates that the CEP refer reports to the lead investigative agency within two days. Any delay in viewing the unassigned intakes may prevent an agency from fulfilling this statutory mandate. Sending agencies should be following up with a phone call to the receiving agency after electronically sending. It should be noted, electronic transfers from agency to agency are not immediate and receiving agencies will not be able to view the report until the next day.

Printing a CEP Report

Printing a CEP Report:

1. Click on the **Referral** tab.
2. Click on the **Distribution List** tab.
3. Check the **Include** box for each recipient that a CEP Report will be printed for.
4. Select or deselect the **Caller Information** box for each recipient that a copy will be printed for.
5. If necessary, type in the recipient’s name in the **Name** field.
6. If necessary, type in the recipient’s phone in the **Phone** field.
7. If necessary, type in the recipient’s fax in the **Fax** field.
8. Access the **Action** menu and select **Print CEP – All**.
9. Click the **Print** button.
10. Click **OK** to print.
11. Close Print Preview Window.

Closing an Intake Workgroup

Closing an Intake Workgroup:

1. Select the **APS Intake** workgroup you created in the Tree View.
2. Select a reason in the **Close reason** field in the **Disposition / Close** section.
3. Select a date/time in the **Close date/time** field in the **Disposition / Close** section.
4. Click **Save**.

Copy Intake and Adult Maltreatment Report

Copy Intake and Adult Maltreatment Report:

1. Select the **APS Intake** workgroup to be copied in the Tree View.
2. Access the **Action** menu.
3. Select **Copy Intake and Adult Maltreatment Report**.
4. A new copied **APS Intake** displays above the original Intake in the Tree View.
5. Expand the new copied **APS Intake** in the Tree View.
6. Select the **Adult Maltreatment Report** in the Tree View.
7. Edit the tabs of the **Adult Maltreatment Report** as needed.
8. When finished editing **Adult Maltreatment Report**, select the **APS Intake** in the Tree View.
9. Select a reason in **Close reason** field in the **Disposition / Close** section.
10. Select a date/time in the **Close date/time** field in the **Disposition / Close** section.
11. Click **Save**.

Creating an Initial Disposition Letter

Creating a New Initial Disposition Letter:

1. Right-click on the **Chronology** folder.
2. Select **New Document**.
3. Select **State: Adult Protective Services** in the **Document Category** field.
4. Select **APS – Initial Disposition Letter Case Assigned for Investigation** or **APS – Initial Disposition Letter Case Not Assigned** in the **Document Name** field.
5. Enter data into the **Document Information** section.
6. Click **Open Document**.
7. Edit document as needed.
8. Click the **Print** button to print.
9. Close **Print Preview** window.

Opening a New Case/Workgroup

Opening a New Case / Workgroup:

1. Highlight the **APS Intake** in the Tree View and access the **Action** menu.
2. Select **Open Case/Workgroup Setup**.
3. Select **New** or an existing Case in the **Initiating Case** field.
4. Select date in **Case open date** field.
5. Select date in **Workgroup open date** field.
6. If necessary, change **Assigned to unit** and **Access restriction** fields.
7. If necessary, select **Self assign** in the **Change** field.
8. Select members to add to the workgroup.
9. Select name in **Choose case name** field or type an **Alternate case name**.
10. Select name in **Choose workgroup name** field or type an **Alternate workgroup name**.
11. Click **OK**.
12. To continue working with new workgroup, access **Action** menu and select **Open with Case in New Window**.

Closing an Adult Maltreatment Report in an Assessment Workgroup

Closing an Adult Maltreatment Report – Accepted for county investigation – in an Assessment workgroup:

1. Select **Adult Maltreatment Report** in the Tree View.
2. If not known previously, enter **Incident Estimated date/time** and **Location of incident.**
3. If desired, click the **Description of Incident** tab and update information.
4. Click the **Allegations** tab.
5. Enter a **Determination** and **Determination date** for each allegation.
6. If necessary, enter additional roles by clicking on the **Roles** tab and selecting **New Role**.
7. Click **Adult Maltreatment Report** tab.
8. If necessary, access **Action** menu and select **Data Clean-up**.
9. Complete all data clean-up errors.
10. Enter a date in the **End date** field.
11. Click **Save**.

Creating Notice of Findings Letter

Creating a Notice of Findings Letter:

1. Highlight the **Notice of Findings** tab on the **Adult Maltreatment Report**.
2. Access **Action** menu and select **New Notice of Findings**.
3. Select **State: Adult Protective Services** in the **Document Category** field.
4. Select appropriate letter (selected based on who the letter is being sent to).
5. Complete **Document Information** section.
6. Click **Open Document**.
7. Edit document as needed.
8. Click **Save**.
9. When no further changes are necessary, click **Finalize** button.
10. Click **Yes** to finalize the document.
11. Close Document Preview Window.

Creating a New Appeal

Creating a New Appeal:

1. Select the **Adult Maltreatment Report** in the Tree View in the workgroup in which the allegations that are being appealed are located.
2. Select the **Allegations** tab.
3. Highlight the allegation being appealed in the grid.
4. From the **Action** menu, select **New Appeal** or select the **New Appeal** quick add button in the Tree View toolbar.
5. Select the appeal venue in the **Appeal venue** field drop-down menu.
6. Select determination in the **Determination** field drop-down menu.
7. Select decision date in the **Decision date** field.
8. Click **Save**.

Hint: Maltreatment appeals can only be entered after the Adult Maltreatment Report has been closed.

Complete Navigation

VA-CEP Process

A Common Entry Point (CEP) or Adult Maltreatment report is a specialized type of Intake workgroup. It is a call or report to the agency (or the agency's designee) about potential vulnerable adult maltreatment. The intake worker collects basic information about the vulnerable adult, the alleged perpetrator, and specifics about the incident being reported. Basic information is entered into the Intake workgroup. Specific information regarding the vulnerable adult, the alleged incident, allegations, roles, and referral information is added to the Intake workgroup through the addition of an Adult Maltreatment Report. The Adult Maltreatment Report collects this information, a worker determines the lead investigative agency and then refers it to the lead investigative agency. The CEP is responsible for taking all reports of alleged vulnerable adult maltreatement and forwarding them to the lead investigative agency.

If the agency taking the report is the lead investigative agency, the Intake workgroup containing the Adult Maltreatment Report can be opened for investigation by opening an Assessment workgroup. Further, when the agency taking the report is the lead investigative agency, initial letters of disposition can and should be created when the reporter requests and can legally receive it.

Assessment workgroups contain a copy of the Adult Maltreatment Report entered in the Intake workgroup. In the Assessment workgroup, a worker makes final determinations of allegations, creates Notices of Findings, and can record case notes or contacts/activities. A worker can transition the Assessment workgroup into a Case Management workgroup if necessary or applicable. Appeals of allegation determinations are recorded in Assessment and/or Case Management workgroups.

Adult Maltreatment Requirements

SSIS must provide a means to meet state requirements from Minnesota Statute 626.557. Common Entry Point (CEP) Intake must include the following:

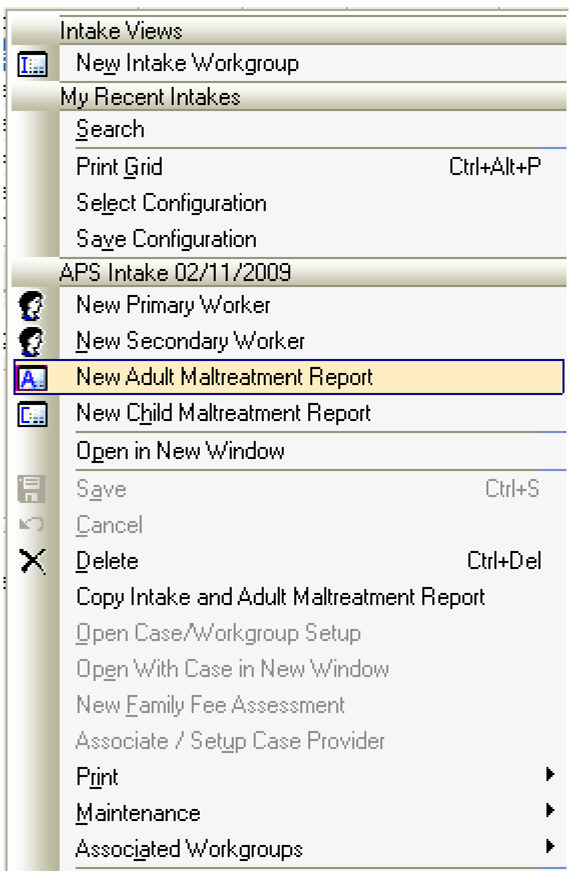
- The time and date of the report;
- The name, address, and telephone number of the person reporting;
- The time, date, and location of the incident;
- The names of the persons involved, including but not limited to, perpetrators, alleged victims, and witnesses;
- Whether there was a risk of imminent danger to the alleged victim or need for emergency protective services;
- A description of the suspected maltreatment;
- The disability, if any, of the alleged victim;
- The relationship of the alleged perpetrator to the alleged victim;
- Whether a facility was involved and, if so, which agency licensed the facility;
- Any action taken by the common entry point;
- Whether law enforcement has been notified;
- Whether the reporter wishes to receive notification of the initial and final reports; and
- If the report is from a facility with an internal reporting procedure, the name, mailing address, and telephone number of the person who initiated the report internally.

Overview – Intake Workgroups

This section describes how an Adult Maltreatment Report functions when associated with Intake workgroups and non-Intake workgroups. It includes information on how an Adult Maltreatment Report moves forward from an Intake workgroup when your agency is determined to be the lead investigative agency.

Once a New Intake workgroup has been created, an Adult Maltreatment Report can be added at any time before the Intake workgroup is closed. A New Adult Maltreatment Report is created from the Intake workgroup Action menu or by clicking on the New Adult Maltreatment Report quick add button on the Tree View toolbar. The New Adult Maltreatment Report menu option and the quick add button is enabled when an Adult Maltreatment Report has not been created for the Intake workgroup.

New Intake Workgroup Action Menu



The following are options available from the New Intake workgroup Action menu:

- New Intake workgroup – Creates a New Intake workgroup
- Search – Regenerates the search criteria

- Print Grid – Print a copy of the grid
- Select Configuration – Allows selection of a saved configuration
- Save Configuration – Allows creation of a configuration to save for future use
- New Primary Worker – Reassigns a New Primary Worker when a Primary Worker's assignment has ended
- New Secondary Worker – Adds a New Secondary Worker
- New Adult Maltreatment Report – Creates a New Adult Maltreatment Report
- New Child Maltreatment Report – Creates a New Child Maltreatment Report
- Open in New Window – Opens screen in new window
- Save – Saves all entries made
- Cancel – Cancels New Intake workgroup
- Delete – Deletes a New Intake workgroup
- Copy Intake and Adult Maltreatment Report – Copies an existing Intake workgroup and Adult Maltreatment Report and creates a copy
- Open Case/Workgroup Setup – Is enabled when Open for Assessment is selected in Disposition and sets up Assessment or Case Management workgroup
- Open With Case in New Window – Opens case in new window
- New Family Fee Assessment – This is selection is disabled.
- Associate / Setup Case Provider – This selection is disabled.
- Print – Print options for the Intake workgroup.
- Maintenance – Allows users who have security function to re-open a closed Intake or transfer it to another Case
- Associate Workgroups – Allows users who have security function to delete a workgroup and revert to Intake or detach a referred Intake from an associated workgroup.

New Adult Maltreatment Report Quick Add Button

Hint: For incidents where the caller is reporting issues regarding the facility, e.g., cold water, bad food, etc., direct the caller to the appropriate agency to file a complaint about the services/program. An Adult Maltreatment Report is not necessary. For all other allegations, an Adult Maltreatment Report is required and forwarded to the lead investigative agency.

Best Practice: When similar reports are received from multiple callers, each call should be documented as a separate Intake workgroup and Adult Maltreatment Report. Multiple caller information should not be entered into one Intake workgroup and Adult Maltreatment Report.

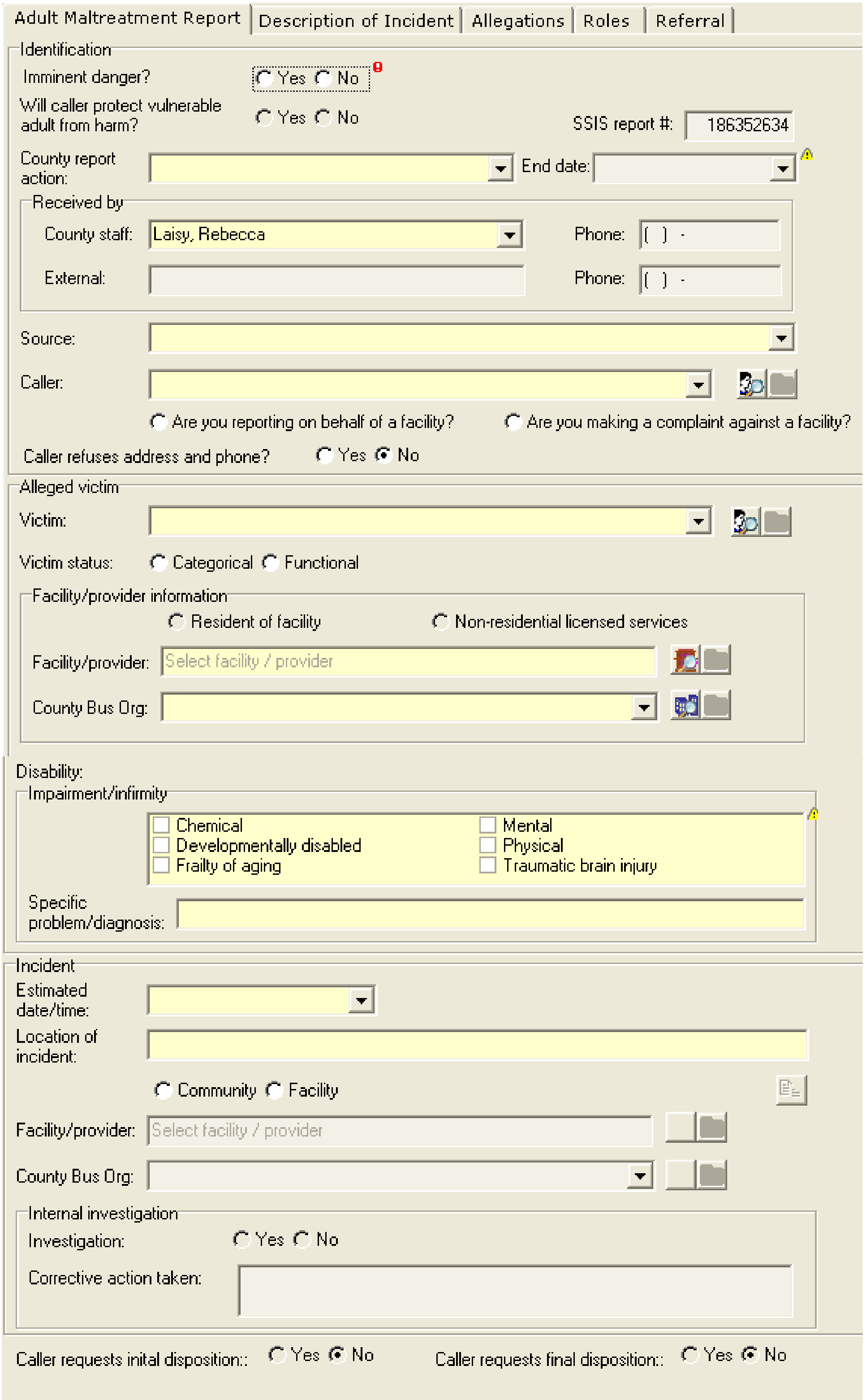
New Adult Maltreatment Report

Once an Adult Maltreatment Report is created, it can continue to be edited until the Intake workgroup is closed. Depending on the Disposition Close reason, some fields in the Adult Maltreatment Report are required. Data Clean-up errors will prevent closing of the Intake workgroup. There are five tabs on the Adult Maltreatment Report and two sub tabs on the Referral tab:

- Adult Maltreatment Report
- Description of Incident
- Allegations
- Roles
- Referral
  - Referral
  - Distribution List.

Adult Maltreatment Report Tab

Adult Maltreatment Report Tab



The Adult Maltreatment Report tab contains the following sections:

- Identification
- Alleged Victim
- Incident.

The Identification section includes information about the report and the caller. The following fields are located in the Identification section:

- Imminent danger: This is a mandatory field. Selecting Yes will enable the Will Caller protect vulnerable adult from harm? field.
- Will caller protect vulnerable adult from harm?: This field is disabled. If Yes is selected in the Imminent danger field, this field becomes a mandatory field.
- SSIS report #: This number is system generated.
- County report action: This field is a required field. There are three options that display:
    - Accepted for emergency protective services
    - Accepted for county investigation
    - Not accepted for investigation (used when report is referred to another lead agency or referred out)
- End date: This is a mandatory field in Intake unless the County report action is Accepted for county investigation or Accepted for emergency protective services, where it is not required until Assessment workgroup. The End date cannot be entered until all Data Clean-up errors have been corrected. The End date cannot be a future date.
- County staff: Defaults to the worker logged on. Displays all workers in your agency. This field can be edited by selecting the appropriate name in the drop-down menu.
- County staff – Phone: This field defaults to worker's phone number entered into SSIS System Administration.
- External: Is only enabled when the County Staff field is empty. It is a free text field.
- External – Phone: This is only enabled when the County Staff field is empty. It is a free text field.
- Source: This is not a mandatory field. If Source is entered on the Intake workgroup main screen, it autofills this field. It does not back fill into the Intake workgroup.
- Caller: This is not a mandatory field. If Caller is entered on the Intake workgroup main screen, it autofills this field. It does not fill into the Intake workgroup.
- Are you reporting on behalf of a facility?: This field is selected when the caller is the designated facility reporter or is acting in the interests of the facility.

- Are you making a complaint against a facility?: This field is selected when the reporter is making a report against the facility, not on behalf of a facility.
- Caller refuses address and phone?: This field is selected when a reporter gives a name, but does not want to provide an address or phone for future contact. This field defaults to No.

Hint: When sending electronically to Health-OHFC as the lead investigative agency, a selection in either the Are you reporting on behalf of a facility? field or the Are you making a complaint against a facility? field must be made. Failure to make a selection produces a data clean-up error and prevents electronic submission.

Hint: When closing an Intake or Assessment workgroup, a caller's address and phone must be entered under the Participant's node. If the caller did not want to provide their address and/or phone, the Caller refuses address and phone? field must be selected as Yes. Failure to make an entry produces a Data Clean-up error.

The Alleged victim section includes information about the alleged victim's status, physical location, and reported disability/diagnosis. The following fields are located in the Alleged victim section:

- Victim: The alleged victim is selected from the drop-down menu or added using the Person Search button next to the field. Victims must be entered as clients to display in the drop-down menu.
- Victim status: This is a mandatory field.

Hint: A victim name is not required to forward the report to OHFC or DHS Licensing. If the County is the Lead investigative agency (or both County and OFHC/DHS Licensing are leads), save the report and enter it when the victim is identified. If the victim is never identified, delete the adult maltreatment report. The information will be maintained in the Intake workgroup. Do not use an information and referral for these types of cases.

Hint: There are times when an Adult Maltreatment Report involves more than one alleged victim. If four or fewer victims are identified in the report, enter each victim in a separate report using the Copy Intake function. If there are more than four victims, enter a token victim and include the text All residents in the Intake Description of need tab.

When Categorical is selected in the Victim status field, the following fields are required/enabled:

- Facility/provider information – Resident of facility or Non-residential licensed services must be selected. This is a required field.
- Facility/provider: A Facility/provider is selected using the Licensed Facility/Provider Search (LNDX) button if the victim is receiving services from a facility/provider licensed by Department of Health or DHS Licensing.
- County Bus Org: A Facility/provider is selected using the Bus Org Search button if the victim is receiving services from a facility/provider not licensed by Department of Health or DHS Licensing.
- Disability – Impairment/infirmity: An impairment/infirmity must be selected before the Adult Maltreatment Report can be closed or opened for Assessment. Multiple selections can be made when applicable. This is a required field.
- Specific problem/diagnosis: This is a free text field to document problems/diagnoses reported by caller. This is not a required field.

When Functional is selected in the Victim Status field, the following fields are required/enabled:

- Disability – Impairment/infirmity: An impairment/infirmity must be selected before the Adult Maltreatment Report can be closed or opened for Assessment. Multiple selections can be made when applicable. This is a required field.
- Specific problem/diagnosis: This is a free text field to document problems/diagnoses reported by caller. This is not a required field.

Hint: Whenever a CEP Report is created, the alleged victim must be a vulnerable adult. According to MN Statute 626.5572 Subdivision 21 states a Vulnerable adult is any person 18 years of age or older who:
(1) is a resident or inpatient of a facility;
(2) receives services at or from a facility required to be licensed to serve adults under sections 245A.01 to 245A.15, except that a person receiving outpatient services for treatment of chemical dependency or mental illness, or one who is committed as a sexual psychopathic personality or as a sexually dangerous person under chapter 253B, is not considered a vulnerable adult unless the person meets the requirements of clause (4);
(3) receives services from a home care provider required to be licensed under section 144A.46; or from a person or organization that exclusively offers, provides, or arranges for personal care assistant services under the medical assistance program as authorized under sections 256B.04, subdivision 16, 256B.0625, subdivision 19a, 256B.0651, and 256B.0653 to 256B.0656; or
(4) regardless of residence or whether any type of service is received, possesses a physical or

mental infirmity or other physical, mental, or emotional dysfunction:
(i) that impairs the individual's ability to provide adequately for the individual's own care without assistance, including the provision of food, shelter, clothing, health care, or supervision; and
(ii) because of the dysfunction or infirmity and the need for assistance, the individual has an impaired ability to protect the individual from maltreatment.

Any individual meeting criteria under (1), (2), or (3) is considered a Categorical vulnerable adult. A categorical vulnerable adult is described as a resident or inpatient of a facility, or receives services from a facility or is the recipient of home care services. Any individual meeting criteria under (4) is considered a Functional vulnerable adult. A functional vulnerable adult is described as a person 18 years of age or older who, regardless of residence or service, has an impairment or disability an,d because of this impairment, has an impaired ability to meet basic needs and an impairded ability to protect self from maltreatment.

When a maltreatment report is received regarding a vulnerable adult, the CEP must ensure that it is forwarded to the lead investigative agency.

*Hint: LNDX has a Wildcard search option on the Name and Address fields. The Wildcard feature can be used in two ways to produce the desired results. An asterisk (*) can be typed before or after a word in either the Name or Address fields depending on the search. If searching for something in which you know the first letters/words/numbers, type the * after the known letters/words/numbers. When searching for something in which you do not know the first letters/words/numbers, type the * before the known letters/words/numbers.*

The Incident section includes information about where the incident allegedly occurred. The following fields are located in the Incident section:

- Estimated date/time: The date picker is used to select an estimated date of incident. This cannot be a future date.
- Location of incident: This is a free text field.
- Community – Facility button: Only one selection is made, both buttons cannot be selected at the same time.
- Facility/provider: If Facility button is selected, this field is enabled. Access the LNDX search to select the appropriate facility that is licensed by the Department of Health or DHS Licensing.
- County Bus Org: If Facility button is selected, this field is enabled. If the facility is not licensed by Department of Health or DHS Licensing, the Bus Org search is used to select the facility.
- Investigation: Indicate whether there was an internal investigation or not.

- Corrective action taken: Is enabled when Yes is selected in the Investigation field. This is a free text field.
- Caller requests initial disposition: Defaults to No, can be changed to Yes if applicable.
- Caller requests final disposition: Defaults to No, can be changed to Yes if applicable. Final disposition is only applicable when the lead investigative agency is OHFC or DHS Licensing.

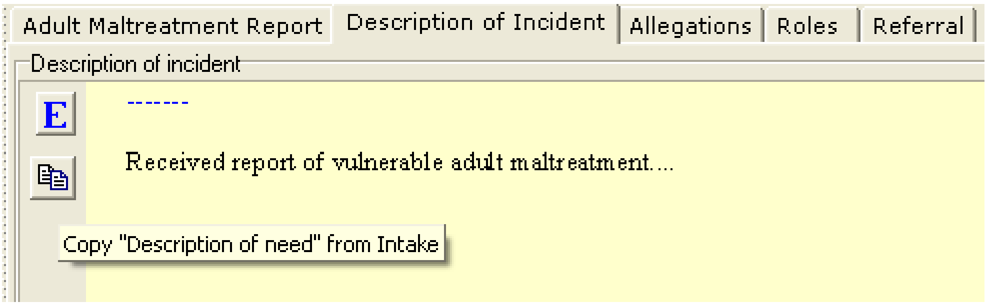
Hint: If you are unable to locate a provider using the LNDX search, try searching by the provider's corporate (or "parent") name.

Hint: When using the LNDX search, ensure that the correct selection is being made. Many agencies contain many different licensed programs. The correct agency program should be selected to ensure accurate referral.Review the preview panel information to assist with identifying the correct provider.

Description of Incident Tab

The Description of Incident tab contains specific information regarding the reported incident.

Description of Incident Tab



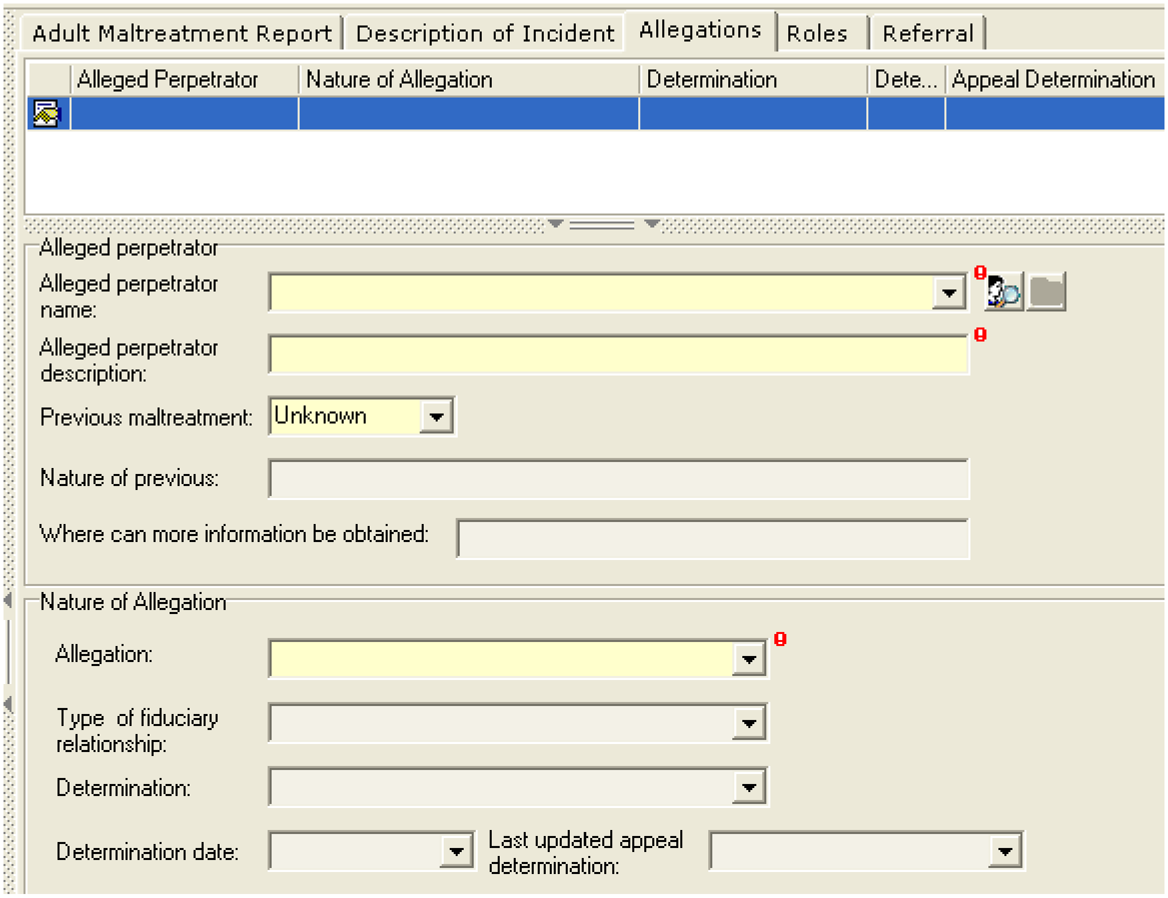
The Description of Incident can be copied from the narrative typed into the Description of need tab in the Intake workgroup. The Copy “Description of need” from Intake button copies what was typed in the Description of need tab in the Intake workgroup. Information remains editable until the Intake workgroup is closed.

Best Practice: Only identify the alleged perpetrator and alleged victim in the Description of incident tab, do not identify the reporter. Reporter information should be entered in the Caller field. Entering the reporter in the description of incident tab does not satisfy the requirement to enter caller information, nor will a Lead investigative agency easily locate this information. Finally, this also ensures that reporter information is redacted when printing a redacted (no caller) Adult Maltreatment Report, as the Description of incident cannot be redacted by the system. Reporter information is confidential and should only be released with a court order.

Allegations Tab

The Allegations tab contains the reported allegations. Multiple allegations can be entered, if applicable, by continuing to add New Allegations.

Allegations Tab



To begin a New Allegation, the Action menu is accessed and New Allegation is selected. There are two sections on the New Allegation screen:

- Alleged perpetrator
- Nature of Allegation.

The Alleged perpetrator section contains information to identify the alleged perpetrator and previous maltreatment concerns. The Alleged perpetrator field contains the following fields:

- Alleged perpetrator name: When the alleged perpetrator is identifiable and entered as a client, the drop-down menu is used to make a selection. The Person

Search button allows a worker to search or add New Clients if the client has not been entered into the Intake workgroup. This is a mandatory field unless an Alleged perpetrator description is entered. If alleged perpetrator is unknown, use the Alleged perpetrator description field to enter information.
- Alleged perpetrator description: When the alleged perpetrator is unknown, or for further description of a known alleged perpetrator, this is a free text field to enter additional details. This is a mandatory field if alleged perpetrator name is not entered because the alleged perpetrator is unknown.
- Previous maltreatment: Defaults to unknown. Can be changed to Yes or No, if applicable.
- Nature of previous: Is not enabled unless Yes is selected in the Previous maltreatment field. This is a free text field.
- Where can more information be obtained: Is not enabled unless Yes is selected in the Previous maltreatment field. This is a free text field.

Hint: If the report is alleging self-neglect of a vulnerable adult, that individual is selected as both the alleged victim and the alleged perpetrator.

The Nature of Allegation section contains information regarding the specific allegation. The Nature of Allegation section contains the following fields:
- Allegation: Only one allegation can be selected per New Allegation. If there are multiple allegations, a New Allegation must be created. This is a mandatory field. The allegations include:
  - Abuse emotional – Does not create a dialogue box
  - Abuse mental – Does not create a dialogue box
  - Abuse physical – Creates a Notify police dialogue box
  - Abuse sexual – Creates an Immediately notify police and lead investigative agency dialogue box
  - Financial exploitation fiduciary relationship – Creates a Notify police dialogue box
  - Financial exploitation not fiduciary relationship - Creates a Notify police dialogue box
  - Neglect caregiver – Does not create a dialogue box
  - Neglect self – Does not create a dialogue box.
- Type of fiduciary relationship: Is only enabled when Financial exploitation fiduciary relationship is selected in the Allegation field; it is a mandatory field in this instance. The types of fiduciary relationships include:
  - Authorized representative
  - Conservator

  - Guardian
  - Power of attorney
  - Representative payee
  - Other
  - Unknown.
- Determination: This field is disabled in Intake.
- Determination date: This field is disabled in Intake.
- Last updated appeal determination: This field is disabled in Intake.

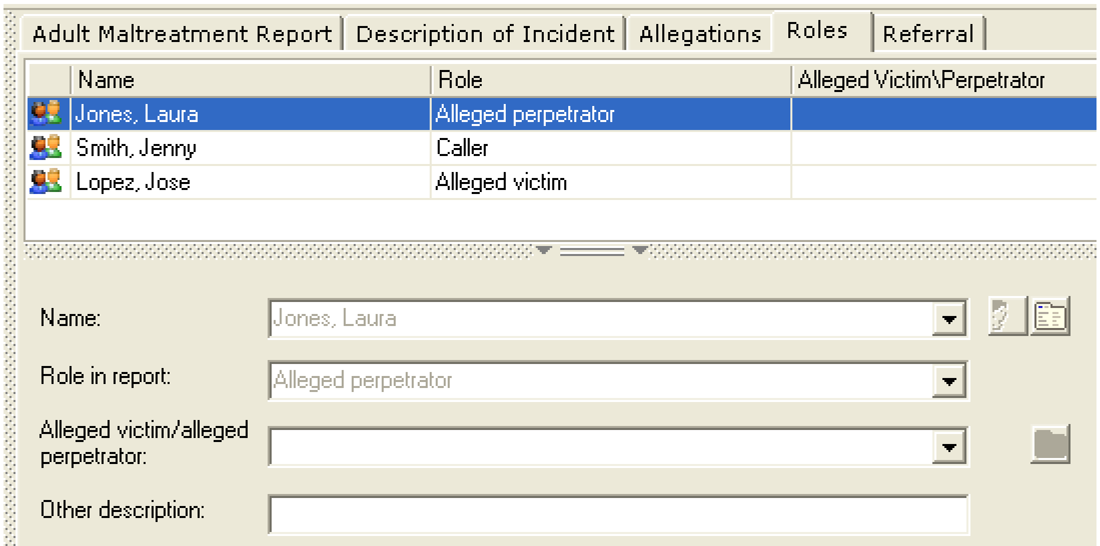
Hint: When the reporter does not know what type of maltreatment they are reporting or they do not know that maltreatment necessarily occurred, select the closest maltreatment option. It will then be the responsibility of the Lead Investigative Agency to determine correct maltreatment type. For instance, a bruise could be recorded as alleged abuse or neglect. A fall that was not witnessed or a client who fell out of bed and was hurt even though all precautions were taken can be categorized as caregiver neglect. Any type of injury could be categorized as abuse.

Hint: An allegation with components of involuntary servitude should be documented under abuse or financial exploitation with no fiduciary relationships.

Roles Tab

The Roles tab documents roles that clients and collaterals have regarding the report.

Roles Tab



Some roles are system generated and display when entries have been made on previous screens. They include:

- Alleged perpetrator
- Caller
- Alleged victim.

A New Role can be added by accessing the Action menu and selecting New Role. Multiple roles can be added for the same client or collateral by continuing to add New Roles. All roles are non-familial, except the selection of Family.

The New Role screen contains the following fields:

- Name: The drop-down menu allows selection of a client or collateral that has been entered previously. The Person Search button allows a search for a New or Existing Client or Collateral. This is a mandatory field.
- Role in report: A selection is made from the drop-down menu; if none is applicable, select Other. This is a mandatory field. Role in report field includes the following options:
  - Adult day care
  - Adult foster care

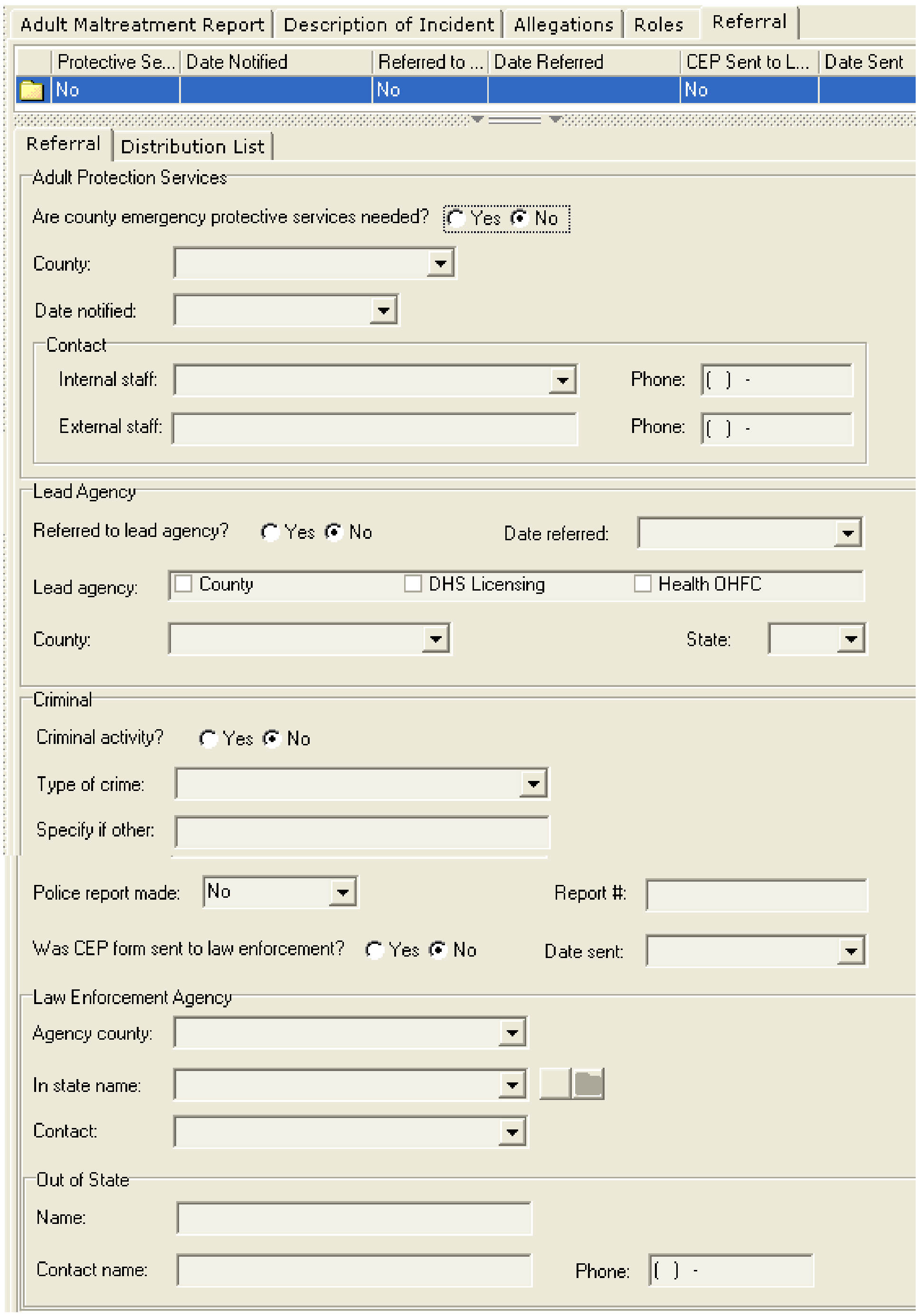
- Attorney
- Authorized representative
- Case manager
- Case manager supervisor
- Chemical health staff
- Clergy
- Community agency staff
- Contracted case manager
- Contacted case manager supervisor
- Corrections staff
- County income maintenance
- County social services staff
- Court personnel
- DHS licensing staff
- Day program staff
- Designated facility reporter
- Education staff
- Environmental health/housing
- Facility administrative staff
- Facility resident
- Facility staff – hospital
- Facility staff- residential
- Family
- Financial institution staff
- Friend/acquaintance/neighbor
- Guardian/conservator
- Initial reporter
- Landlord/property manager
- Law enforcement
- Licensed community program staff
- Licensing worker
- Licensing worker supervisor
- Mandatory reporter
- Medical examiner
- Nurse
- OHFC staff
- Ombudsman
- Personal care provider
- Physician – dental
- Physical – medical

  - Power of attorney
  - Private agency staff
  - Public health nurse
  - Representative payee
  - Self
  - Therapist – mental health staff
  - Veterans staff
  - Witness
  - Other.
- Alleged victim/alleged perpetrator: If the role pertains to either the alleged victim or alleged perpetrator, a selection of the appropriate client can be made. This is not a mandatory field.
- Role description: This is a free text field. This is not a mandatory field.

Referral Tab

The Referral tab contains information regarding what referrals, if any, were made to internal or external agencies. To generate the Referral screen, click on the Referral tab.

Referral Tab



The Referral tab has three sections:

- Adult Protective Services
- Lead investigative agency
- Criminal.

The Adult Protective Services section contains information pertaining to whether emergency protective services are needed for the alleged victim. The Adult Protective Services section contains the following fields:

- Are county emergency protective services needed?: Defaults to No. If applicable, select Yes.
- County: When Yes is selected in the Are county emergency protective services needed? field, this field is enabled. The county who is responsible for providing emergency protective services is selected from the drop-down menu. The County field displays all counties and tribes in the State of Minnesota and includes the options of Out of State and Out of U.S.
- Date notified: When Yes is selected in the Are county emergency protective services needed? field, this field is enabled. The date picker allows selection of the date and time the county was notified of the need for emergency protective services. It can be future dated.
- Contact – Internal staff: When Yes is selected in the Are county emergency protective services needed field, this field is enabled. When an internal staff person is notified of the need for emergency protective services, a selection is made in this field.
- Contact – External staff: When Yes is selected in the Are county emergency protective services needed field, this field is enabled. When an external staff person is notified of the need for emergency protective services, this field is used. It is a free text field. If an internal staff person has been identified in the Internal staff person field, this field is disabled.

The Lead investigative agency section allows for identification of lead investigative agency. The Lead investigative agency section contains the following fields:

- Referred to lead agency?: Defaults to No. Reports are required to be forwarded to the lead investigative agency for review. Select Yes to enable to remaining fields.
- Date referred: When Yes is selected in the Referred to lead agency field, this field is enabled. The date picker allows selection of the date and time the county was notified of the need for emergency protective services. It can be future dated. When a report is sent electronically, a date and time autofills into this field, regardless of whether a date and time had previously been entered.

- Lead agency: When Yes is selected in the Referred to lead agency field, this field is enabled. A lead agency is selected. If applicable, multiple lead agencies can be selected.
- County: When County is selected in the Lead agency field, this field is enabled. A county is selected using the drop-down menu. The County field displays all counties and tribes in the State of Minnesota and includes the options of Out of State and Out of U.S.
- State: When a Minnesota county is selected in the County field, this defaults to MN. When Out of State is selected in the County field, this field becomes mandatory. A state selection is made using the drop-down menu. The State field displays all states.

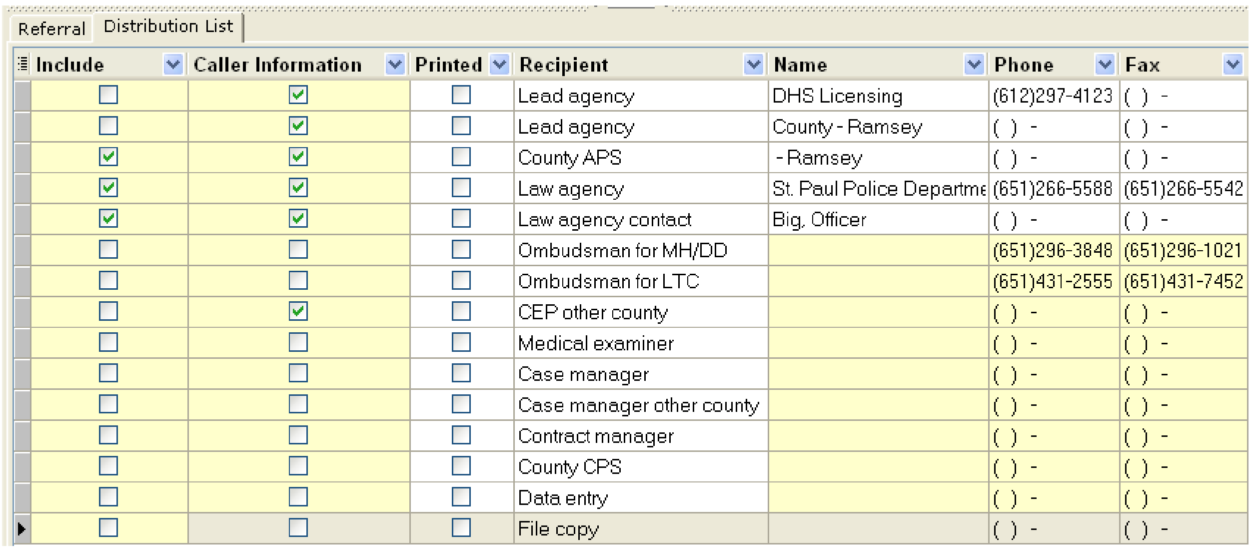
The Criminal Section is used to document whether a referral has or will be made to Law Enforcement. The Criminal section contains the following fields:

- Criminal activity?: Defaults to No, can be changed to Yes if appropriate.
- Type of crime: This field is disabled, unless Yes is selected in the Criminal activity field. A selection is made using the drop-down list. This is not a free text field, so if options listed do not apply, select Other.
- Specify if other: This field is not enabled unless Other is selected in the Type of crime field. This is a free text field.
- Police report made: Defaults to No. This can be changed to Yes when the reporter is law enforcement or the reporter has made the police report.
- Report #: Is disabled unless Yes is selected in the Police report made field.
- Was CEP form sent to law enforcement?: Defaults to No, can be changed to Yes if appropriate.
- Date sent: Is disabled unless Yes is selected in the Was CEP form sent to law enforcement field.
- Agency county: Is disabled unless Yes is selected in the Was CEP form sent to law enforcement? field. A county can be selected using the drop-down menu.
- In State name: Is disabled unless Yes is selected in the Was CEP form sent to law enforcement field. If a county is selected in the Agency county field, a listing of corresponding law enforcement agencies will display in the drop-down menu.
- Contact: Contacts will only display in the drop-down menu if a Professional Collateral has been entered in the law enforcement business organization.
- Name: This is a free text field in the event the law enforcement agency is out of state.
- Contact name: This is a free text field to enter who was contacted at the out-of-state law enforcement agency.
- Phone: This is a free text field to enter the phone number of the out-of -state contact.

Distribution List Tab

The Distribution List tab is located next to the Referral tab. The Distribution List tab allows the worker to print individual copies of the Adult Maltreatment Report for one or more recipients. Printing from the Distribution List tab can occur even if the Intake workgroup has been closed.

Distribution List Tab



Include	Caller Information	Printed	Recipient	Name	Phone	Fax
☐	☑	☐	Lead agency	DHS Licensing	(612)297-4123	( ) -
☐	☑	☐	Lead agency	County - Ramsey	( ) -	( ) -
☑	☑	☐	County APS	- Ramsey	( ) -	( ) -
☑	☑	☐	Law agency	St. Paul Police Departme	(651)266-5588	(651)266-5542
☑	☑	☐	Law agency contact	Big, Officer	( ) -	( ) -
☐	☐	☐	Ombudsman for MH/DD		(651)296-3848	(651)296-1021
☐	☐	☐	Ombudsman for LTC		(651)431-2555	(651)431-7452
☐	☑	☐	CEP other county		( ) -	( ) -
☐	☐	☐	Medical examiner		( ) -	( ) -
☐	☐	☐	Case manager		( ) -	( ) -
☐	☐	☐	Case manager other county		( ) -	( ) -
☐	☐	☐	Contract manager		( ) -	( ) -
☐	☐	☐	County CPS		( ) -	( ) -
☐	☐	☐	Data entry		( ) -	( ) -
☐	☐	☐	File copy		( ) -	( ) -

There are seven columns on the Distribution List tab including:

- Include – When Include is selected, a report for the corresponding recipient will be printed.
- Caller Information – When Caller Information is selected, the printed report for the corresponding recipient will include the caller's identification. When unchecked, no caller information will be included on the printed report.
- Printed – When a report is printed by accessing the Action menu, a check mark displays in the Printed box for all recipients in which a copy has been printed. This column is not editable.
- Recipient – This column lists potential recipients of the report. This column is not editable. The Recipients include:
  - Lead agency (when identified on the Referral tab)
  - County APS (when identified on the Referral tab)
  - Law agency (when identified on the Referral tab)
  - Law agency contact (when identified on the Referral tab)
  - Ombudsman for MH/DD
  - Ombudsman for LTC
  - CEP other county

  - Medical examiner
  - Case manager
  - Case manager other county
  - Contract manager
  - County CPS
  - Data entry
  - File copy.
- Name – The Name column displays the name of the agency or individual that the report is being printed for. Some names default based on selections made on the Referral tab, including any lead investigative agency or law enforcement agency selected. Columns that are yellow in color are editable and are free text fields; names can be added manually.
- Phone – The Phone column displays phone numbers for the corresponding recipient. Phone numbers default based on information entered in SSIS. Columns that are yellow in color are editable and are free text fields; phone numbers can be added manually.
- Fax - The Fax column displays fax numbers for the corresponding recipient. Fax numbers default based on information entered in SSIS. Columns that are yellow in color are editable and are free text fields; fax numbers can be added manually.

Hint: When an entry of a County APS, Lead investigative agency, or Law agency is changed on the Referral tab both entries display on the Distribution List tab. For instance, if DHS Licensing was initially identified as the Lead investigative agency, but later unchecked on the Referral tab, DHS Licensing will still display as a Lead investigative agency in the Distribution List tab. When sending the CEP electronically, however, it is sent electronically only to the Lead investigative agency selected on the Referral tab.

County Report Action

Once all of the pertinent information is entered on all of the tabs of the Adult Maltreatment Report, the County report action field needs to be completed prior to disposition of the Intake workgroup. The County report action field is located on the Adult Maltreatment Report tab.

County Report Action

Hint: Before entering the County Report Action, it is important to ensure entry of all information in the appropriate section of the report. If a section or field is left blank, it will be omitted when the report is transferred electronically or printed. The Lead investigative agency may incorrectly assume that the information was not available.

If your county is the lead investigative agency and the report meets statutory criteria for assessment, then Accepted for county investigation should be selected in the County report action field.

If your county is responsible for providing some type of emergency protective services, but is not the lead investigative agency, then Accepted for emergency protective services is selected. Accepted for emergency protective services should not be selected when your agency is the lead investigative agency.

If your county is not the lead investigative agency and is not providing emergency protective services, refer the CEP (Adult Maltreatment Report) to the identified lead investigative agency for review; not accepted for investigation is selected in the County report action field. Similarly, if your county is the lead investigative agency and you are not accepting the report as meeting statutory criteria, then select Not accepted for investigation. An end date is required in the End date field.

Electronic Transfer of Intake Workgroup and Adult Maltreatment Report

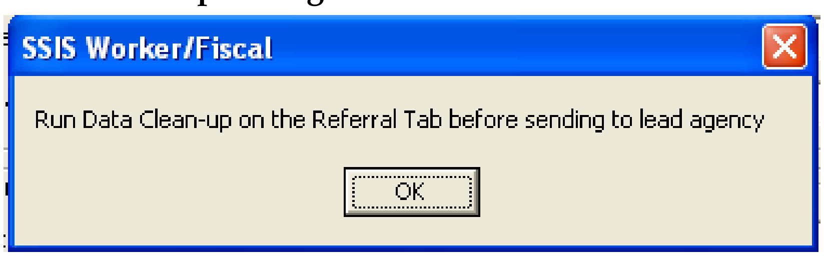
If a lead investigative agency other than your county is identified, the Adult Maltreatment Report should be sent electronically to the identified lead investigative agency. Lead agencies include OHFC, DHS Licensing, or another county. The Adult Maltreatment Report should be completed prior to electronic transfer of the data.

Send to Lead Agency is available on the Action menu on the Referral tab on the Adult Maltreatment Report.

Action Menu

If data fields are incomplete, a data clean-up message displays. Data clean-up is used to guide the user in which field or fields are incomplete. Once errors are corrected, the user can access Send To Lead Agency to transfer the data electronically.

Data Clean-up Dialog Box



If SWNDX or any other connection is not functioning, the data does not transmit electronically. Users are notified by a warning dialog box when SWNDX is not available. The Adult Maltreatment Report can be faxed in the event that a connection is not working.

Once the referral is sent successfully, the Date referred field populates. When the Adult Maltreatment Report is transferred electronically, an automated clearing process clears clients previously unknown to the State SWNDX database, creating a new SWNDX ID #. Existing clients previous assigned a SWNDX ID # are verified.

Reports are fully processed nightly for DHS Licensing or another county and every two hours for OFHC.

The following fields do not process to OHFC or DHS Licensing:
- Law Enforcement - Agency county
- Law Enforcement Agency - In state name
- Law Enforcement Agency - Contact
- Law Enforcement Agency - Contact phone
- Law Enforcement Agency - Out of State - Name
- Law Enforcement Agency - Out of State - Contact Name
- Law Enforcement Agency - Out of State - Phone
- Law Enforcement Agencies Search Street Address, City, State, or Zip
- Law Enforcement Agencies Search Phone or Fax.

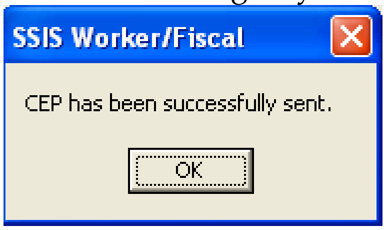
When the report is submitted from one county to another, the process creates an unassigned intake in the recipient county. A receiving county can view the transferred Intake workgroup and Adult Maltreatment Report from Intake Search > Intake Searches > Unassigned Intake Search or from Intake Search > Intake Views > Intakes needing action.

Participants who have an identified role in the sending Adult Maltreatment Report are included in the received Adult Maltreatment Report, creating new persons in the receiving county. The alleged victim and perpetrator are created as clients. These new clients are also added to the county's clearing log as cleared to the state and uncleared to the county. Any other person with an assigned role is created as a collateral in the receiving county.

The following fields will not process to the receiving county:
- Received by - County staff
- Received by - County phone
- Alleged victim - Facility/provider information in County Bus Org
- Incident - County Bus Org
- Adult Protection Services - Contact - Internal staff
- Adult Protection Services – Contact - Phone
- Law Enforcement Agency - In state name
- Law Enforcement Agency – Contact.

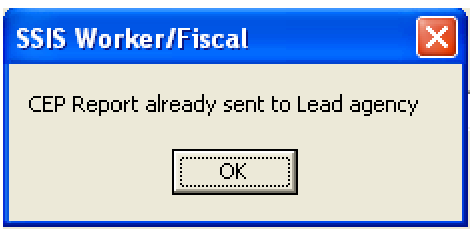
Once a report is submitted to OHFC, DHS Licensing, or another county a confirmation message displays. If a report has already been submitted a message displays that it has already been submitted. Reports can only be sent once.

Send To Lead Agency Dialog Box



Hint: Once a report has been sent electronically, it cannot be resent to another agency. For instance, if a report was mistakenly sent to OHFC electronically, it cannot be sent electronically to DHS Licensing or another county. If the report was sent to the wrong recipient, the receiving agency can be contacted via phone to alert them of the issue. The receiving agency can then forward it to the correct agency. Otherwise, the sending agency can print off the CEP and fax it to the correct agency.

CEP Report Already Sent to Lead Agency Dialog Box



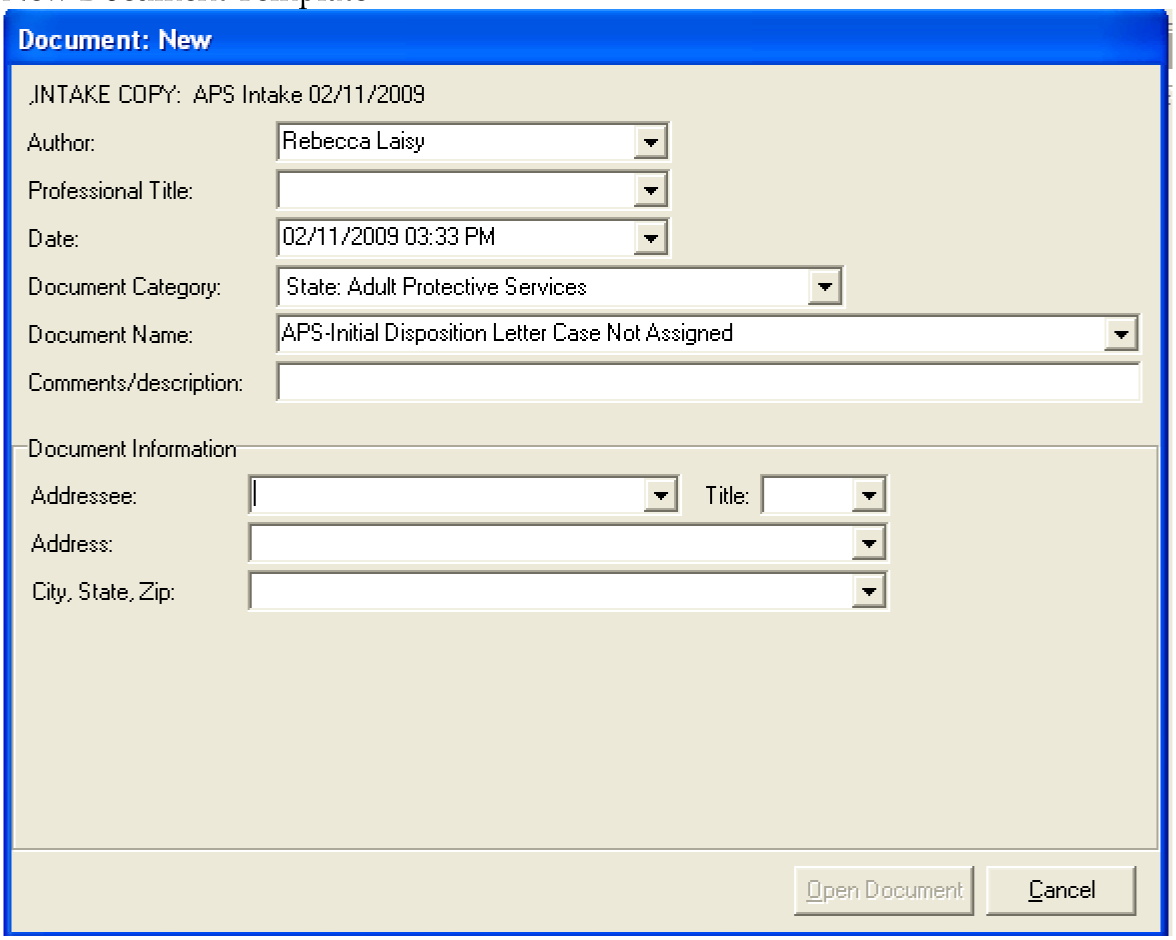
Once a report is sent electronically, the Intake workgroup can be closed according to the County report action. If the Intake workgroup was already closed, no further action is required, unless an Assessment workgroup needs to be opened.

Hint: A report can be sent electronically after the Intake workgroup has been closed.

Intake Disposition Letters

Intake Disposition Letters can be created in Chronology as a New Document in the Intake or Assessment workgroup. The Document Category is State: Adult Protective Services. The Document Names include: APS – Initial Disposition Letter Case Not Assigned and APS – Initial Disposition Letter Case Assigned for Investigation. Initial Disposition letters are only required when your county is identified as the lead investigative agency.

New Document Template



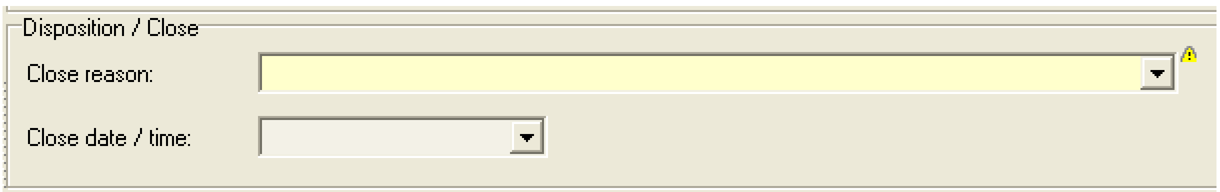
The letter selected is based on the Intake disposition. Letters can be created in both Intake and Assessment workgroups by any user. However, the letter is required in intake when the County report action is Not accepted for county investigation, the Caller requests initial disposition option button is Yes, and when no lead investigative agency is selected. A data clean-up error is received, requiring the creation of the letter. If the County report action is Accepted for county investigation, the letter can be created in either Intake or Assessment, but is required and will display on the Adult

Maltreatment Aging Report in General Reports. An Alert is generated to the assigned worker.

Intake Disposition/Close

After a selection is made in the County report action field and the report has been transmitted electronically (if applicable), the Intake workgroup can be closed. The Intake workgroup is closed by entering a Close reason and Close date/time.

Disposition / Close



If the County report action is Accepted for county investigation, the Close reason must be either Open for assessment – Intake complete or Refer to current workgroup – Intake complete.

If the County report action is Accepted for emergency protective services, the Close reason must be Open for assessment – Intake complete or Refer to current workgroup – Intake complete.

If the County report action is Not accepted for investigation, the Close reason must be Open for case management – Intake complete, Refer to current workgroup – Intake complete, Other agency responsible, or Screened out maltreatment report.

Once a Close reason and Close date/time are entered, the Intake workgroup and the Adult Maltreatment Report are no longer editable. A worker with the function of Reset errors can re-open the Intake workgroup, but only for 30 days. If an Intake workgroup needs to be reopened that is over 30 days, the worker needs the function of Re-open Old Intakes function and needs to perform this task from the Intakes needing action search option from Intake Searches.

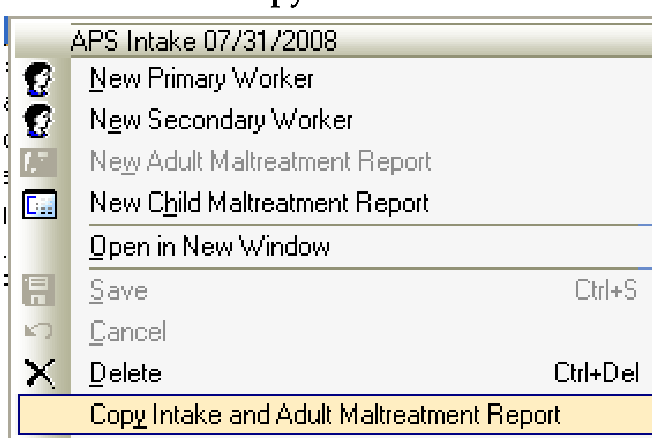
Copy Intake and Adult Maltreatment Report

There are circumstances in which there are multiple victims involved in the same Adult Maltreatment Report. There are other circumstances where there are multiple reporters for the same incident. In these situations, it is necessary to create a New Intake workgroup and Adult Maltreatment Report for each victim and/or caller. Once an Intake workgroup and Adult Maltreatment Report is created on the first victim/report, the Intake workgroup and the Adult Maltreatment Report can be copied.

To copy an Intake workgroup and Adult Maltreatment Report, the Intake workgroup must have the Intake type of Adult Maltreatment Report and a Program of Adult Protective Services. The Intake workgroup can be closed at the time a copy is made. Further, the Adult Maltreatment Report can be ended at the time a copy is made.

The copy function is available by highlighting the Intake workgroup (must have an Adult Maltreatment Report) to be copied in the Tree View, accessing the Action menu, and selecting Copy Intake and Adult Maltreatment Report. The copy function is available even after the CEP has been sent electronically, though the copy of the Intake workgroup and Adult Maltreatment Report does not automatically send to the same Lead Agency. The subsequent copy would need to be completed and sent electronically separately using the same process as the originating Intake workgroup and Adult Maltreatment Report.

Action Menu – Copy Intake and Adult Maltreatment Report



Once the Copy Intake and Adult Maltreatment Report menu option is selected, a copy of the originating Intake workgroup and the Adult Maltreatment Report displays in the Tree View. Not all of the fields copy to the newly created Intake workgroup and Adult Maltreatment Report, therefore, it is essential that the information on the new Intake workgroup and Adult Maltreatment Report be reviewed for accuracy and the fields not copied completed. If the Intake workgroup was closed at the time the new Intake workgroup and Adult Maltreatment Report was created, the new Intake workgroup does not close automatically, entries must be made to complete and close the new Intake workgroup.

The Copy Intake and Adult Maltreatment Report option can be used multiple times for the same Intake workgroup, there is no limit.

Overview – Assessment Workgroups

When it is determined that the county is lead investigative agency or is required to provide emergency protective services, an Assessment workgroup should be opened. Once a Close reason is entered in the Close reason field, as well as a Close date/time, the Intake workgroup can be opened for assessment. This is done by accessing the Action menu and selecting Open Case/Workgroup Setup.

Once the Open Case/Workgroup Setup screen is completed, click OK to view Assessment Workgroup.

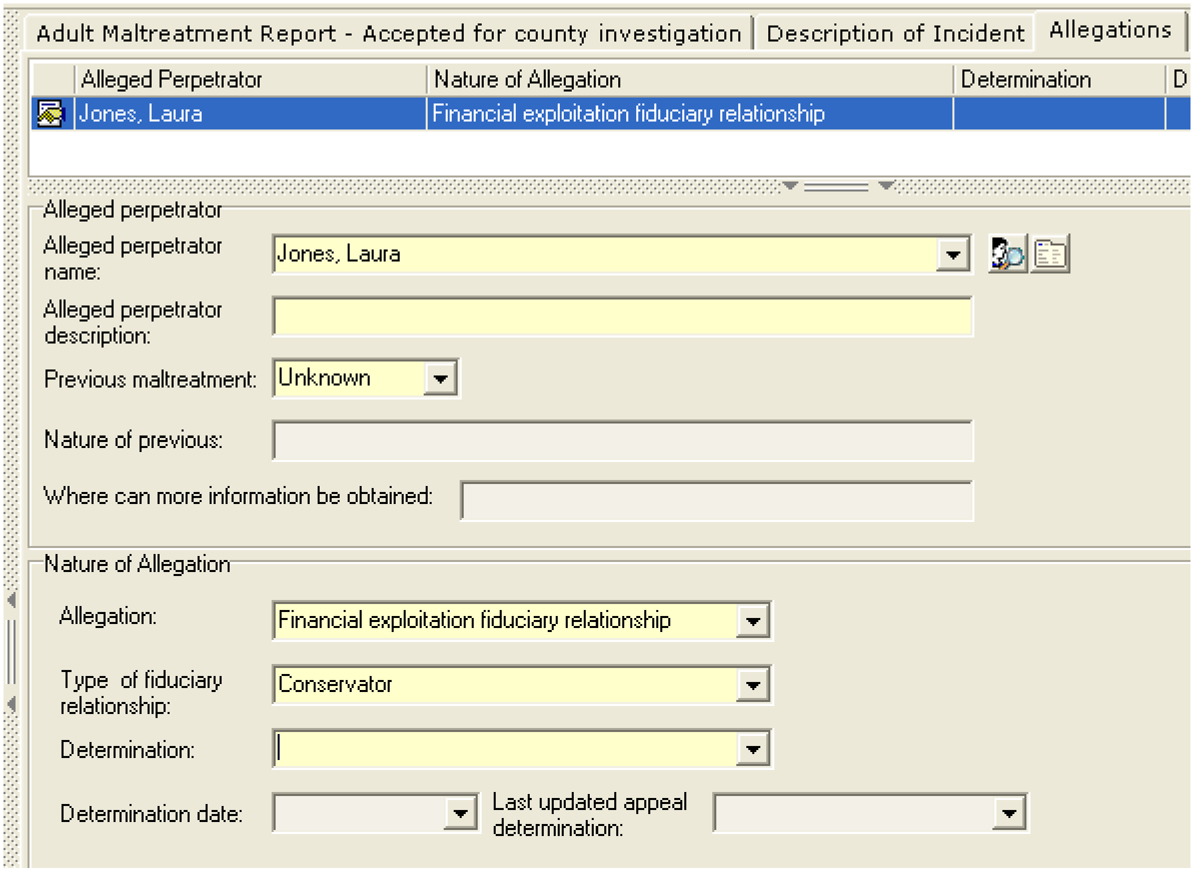
There are no requirements for an Adult Protective Services (APS) Assessment workgroup that has been opened for Emergency protective services.

There are requirements for an APS Assessment workgroup that has been opened for county investigation including documenting Allegation Determinations and creating Notice of Findings letters.

Allegation Determinations

Allegation Determinations are made on the Allegations tab of the Adult Maltreatment Report.

Allegation Determinations



Determinations are made within 60 days of the Intake workgroup Start date; an Alert is generated for the worker after 30 days of the Intake workgroup Start date regarding the 60-day requirement. The following determinations can be made regarding the Allegation:

- False
- Inconclusive
- No determination – investigation not possible
- No determination – no maltreatment
- No determination – not a vulnerable adult
- Substantiated.

Once a Determination is entered, the Determination date field becomes mandatory. Since Allegations are entered individually, Determinations need to be made on each Allegation separately.

Hint: If the initiating report contained multiple allegations investigated by multiple lead agencies, delete the allegation(s) not investigated by your agency in the Assessment workgroup. Only make determinations on the allegations in which your agency investigated. The record of the allegations remains in the initiating report in the Intake workgroup.

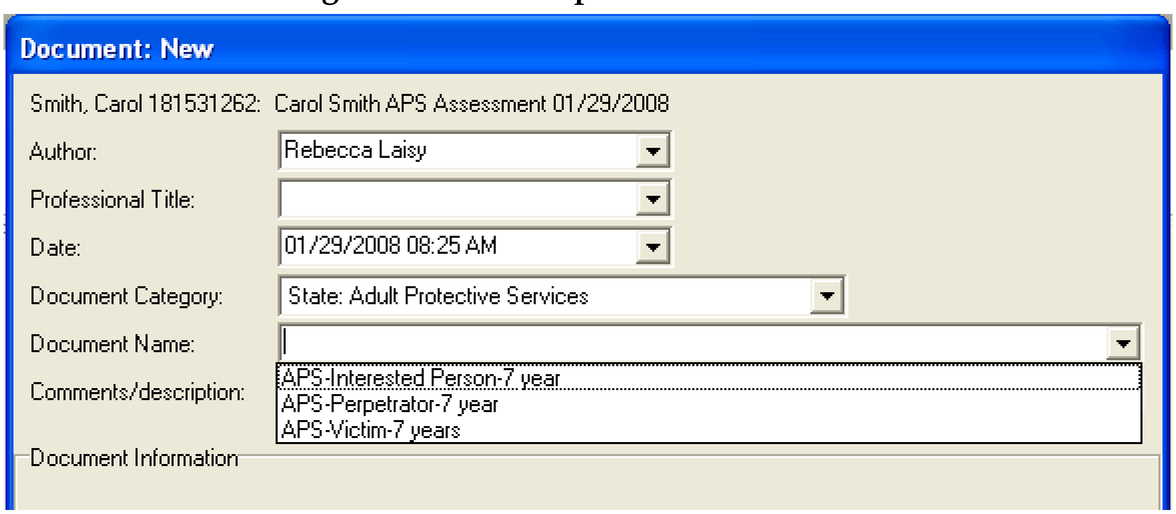
Notice of Findings

After Determinations are completed, an Alert is sent five days after it is made, indicating the Notice of Findings letters are due within 10 days. Notice of Findings letters can be created from the Notice of Findings tab, which was not viewable in the Intake workgroup. The Notice of Findings tab creates final disposition letters to the following individuals, when applicable:

- Vulnerable Adult
- Alleged Perpetrator
- Interested Parties.

At least one letter must be created in order to close the APS Assessment workgroup. Letters that are generated from the Notices of Findings tab after determinations are made only produce the letters corresponding to the determination made with the correct destruction date. For instance, if an Allegation is substantiated, only the Notice of Findings with seven-year destruction dates are available; the other letters are not applicable.

New Notice of Finding Document Setup



Each applicable letter is set up individually. They are viewable from the Notice of Findings tab, as well as from the Chronology folder.

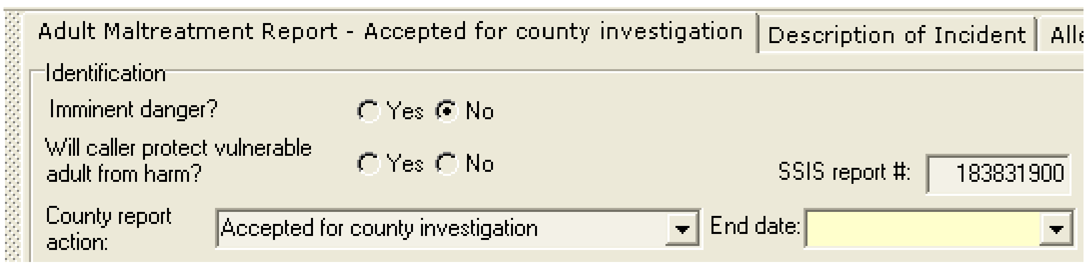
Hint: Final disposition letters, including their attached appeal rights, are required to be sent to the vulnerable adult (unless doing so is not in the vulnerable adult's best interests) or the vulnerable adult's legal guardian and the alleged perpetrator. Interested party letters are only *sent to individuals designated in writing by the vulnerable adult to act on behalf of the vulnerable adult.*

Ending an Adult Maltreatment Report

Prior to ending an APS Assessment workgroup or transitioning the workgroup to Case Management, the Adult Maltreatment Report has to be ended. Before the Adult Maltreatment Report can be ended, allegation determination must be made and all Data Clean-up errors must be corrected. All tabs remain editable until an End date is entered on the Adult Maltreatment Report, though some fields may be disabled. After an End date is entered on the Adult Maltreatment Report, only the Notice of Findings tab can be edited.

The End date, ending the Adult Maltreatment Report, is located on the Adult Maltreatment Report tab.

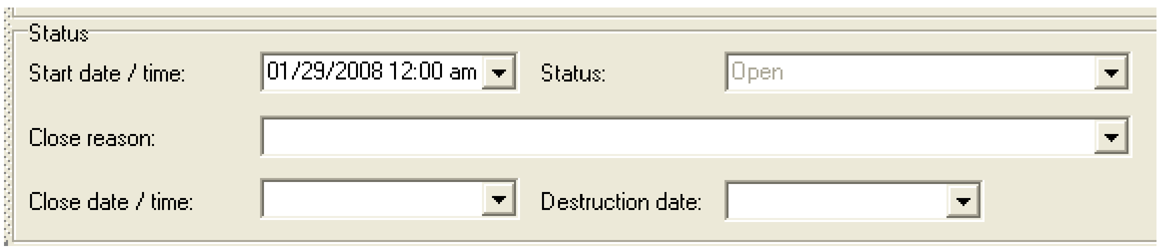
Adult Maltreatment Report Tab



Closing or Transitioning an Assessment Workgroup

Once an End date is entered on the Adult Maltreatment Report, which indicates no Data Clean-up errors exist at the workgroup level, the Assessment workgroup can be transitioned to APS Case Management using the WG Change Log folder, or the workgroup can be closed. Select the APS workgroup in the Tree View and enter Close reason and date/time in the Status section. Once a Close reason and Close date/time are entered, the APS Assessment is not editable, though Case Notes and Contact/Activities can still be entered after closure.

Assessment Workgroup Status

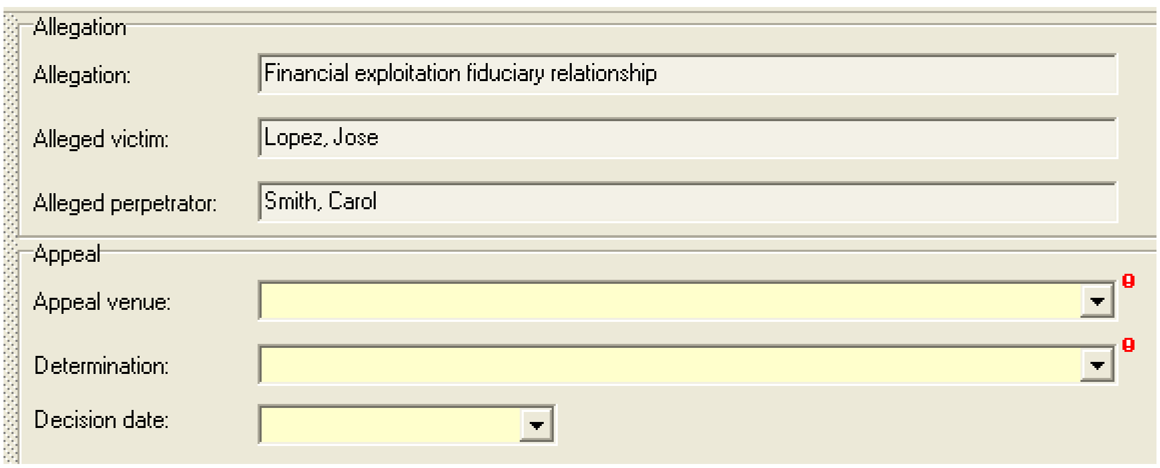


Maltreatment Appeals

When appeals on maltreatment determinations are received they should be documented in the corresponding APS Assessment or Case Management workgroup. Entering appeal information, particularly on the appeals that change the previous determination, updates the allegation information. Appeals can be entered at any time after the Adult Maltreatment Report has an End date. The workgroup can be open or closed at the time of entering appeal information.

Appeal entry is made on the Allegation tab of the corresponding Adult Maltreatment Report. A New Appeal is accessed using any of the Action menus or by using the New Appeal quick add button.

New Appeal



A New Appeal must be done for each allegation being appealed. There are three mandatory fields:

- Appeal venue
- Determination
- Decision date.

The Decision date field does not become mandatory until the Appeal venue and Determination fields are completed. If there are multiple appeal venues, they each need to be entered separately. The Appeal venues include:

- Agency reconsideration
- Administrative law judge hearing
- Review panel
- District court.

The Determination field includes the following options:

- False
- Inconclusive
- No determination – no maltreatment
- No determination – not a vulnerable adult
- Substantiated.

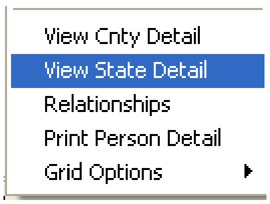
Once an Appeal venue and a Determination have been selected, the Decision date field becomes mandatory. The date picker is used to select the date of the decision. The system updates the allegation according to the Decision date field.

Hint: Overturned appeal information also needs to be sent (via mail) to the Background Studies Unit at DHS.

State Detail

Adult Protection information is viewable in State Detail through SWNDX. State detail can be viewed through Person Search Action menu or under an individual client node in the Address/Phone/Email/State Detail folder.

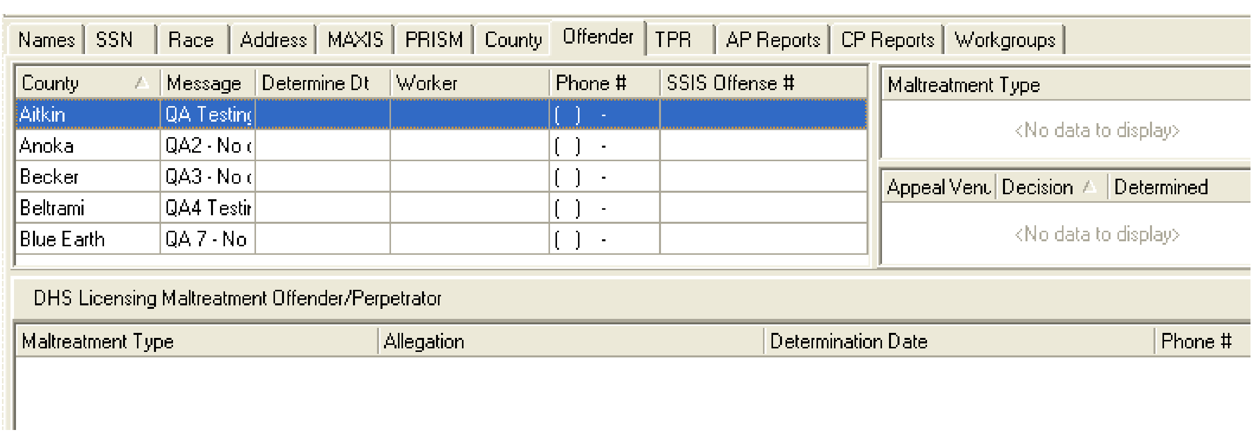
Person Search – Action Menu



Client Node - Address/Phone/ Email/State Detail Folder

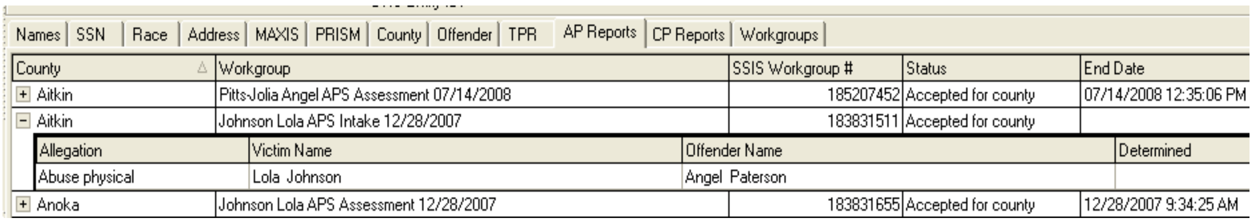
In a future build, the Offender tab will display information on both child and adult substantiated offenders/perpetrators. Currently, it only displays information on child offenders. The Offender tab does not display information regarding reports in which the allegation was not substantiated. The Offender tab also displays information regarding upheld (or substantiated) maltreatment appeals. If maltreatment appeals overturned a previously substantiated allegation, the allegation and appeal information do not display in the Offender tab.

Offender Tab



In a future build, the AP Reports tab will display all APS workgroups statewide that the client has either been identified as an alleged offender or an alleged victim. Workgroups include Intake, Assessment and Case Management workgroups. In the current build, the APS information displays inconsistently.

AP Reports Tab



Names | SSN | Race | Address | MAXIS | PRISM | County | Offender | TPR | AP Reports | CP Reports | Workgroups

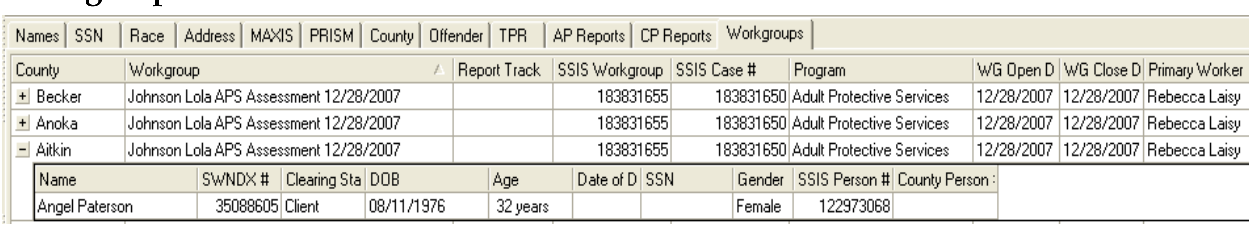
County	Workgroup	SSIS Workgroup #	Status	End Date
+ Aitkin	Pitts-Jolia Angel APS Assessment 07/14/2008	185207452	Accepted for county	07/14/2008 12:35:06 PM
− Aitkin	Johnson Lola APS Intake 12/28/2007	183831511	Accepted for county	
+ Anoka	Johnson Lola APS Assessment 12/28/2007	183831655	Accepted for county	12/28/2007 9:34:25 AM

Allegation	Victim Name	Offender Name	Determined
Abuse physical	Lola Johnson	Angel Paterson	

The AP Reports tab not only displays the county and workgroup the report is associated with, under the plus sign in the grid, it displays the Allegation, the alleged Victim Name, the alleged Offender Name and the determinations.

The Workgroups tab also displays APS workgroups statewide. One difference between the AP Reports tab and the Workgroups tab is that the Workgroups tab displays workgroups in which the clients was a part of, but was not necessarily identified as the alleged victim or offender. Another difference is the Workgroups tab does not display determination or role information or Intake workgroups.

Workgroups Tab



Names | SSN | Race | Address | MAXIS | PRISM | County | Offender | TPR | AP Reports | CP Reports | Workgroups

County	Workgroup	Report Track	SSIS Workgroup	SSIS Case #	Program	WG Open D	WG Close D	Primary Worker
+ Becker	Johnson Lola APS Assessment 12/28/2007		183831655	183831650	Adult Protective Services	12/28/2007	12/28/2007	Rebecca Laisy
+ Anoka	Johnson Lola APS Assessment 12/28/2007		183831655	183831650	Adult Protective Services	12/28/2007	12/28/2007	Rebecca Laisy
− Aitkin	Johnson Lola APS Assessment 12/28/2007		183831655	183831650	Adult Protective Services	12/28/2007	12/28/2007	Rebecca Laisy

Name	SWNDX #	Clearing Sta	DOB	Age	Date of D	SSN	Gender	SSIS Person #	County Person
Angel Paterson	35088605	Client	08/11/1976	32 years			Female	122973068	

The Workgroups tab also has a plus sign in which additional information is located, specifically the clients in the selected workgroup.

Resources

Adult Protective Services Unit, Minnesota Department of Human Services Website
http://www.dhs.state.mn.us/main/idcplg?IdcService=GET_DYNAMIC_CONVERSION&RevisionSelectionMethod=LatestReleased&dDocName=id_005710

Minnesota Statute, Reporting of Maltreatment of Vulnerable Adults
https://www.revisor.leg.state.mn.us/statutes/?id=626.557