DEPARTMENT OF ECONOMIC SECURITY

Your Partner For A Stronger Arizona

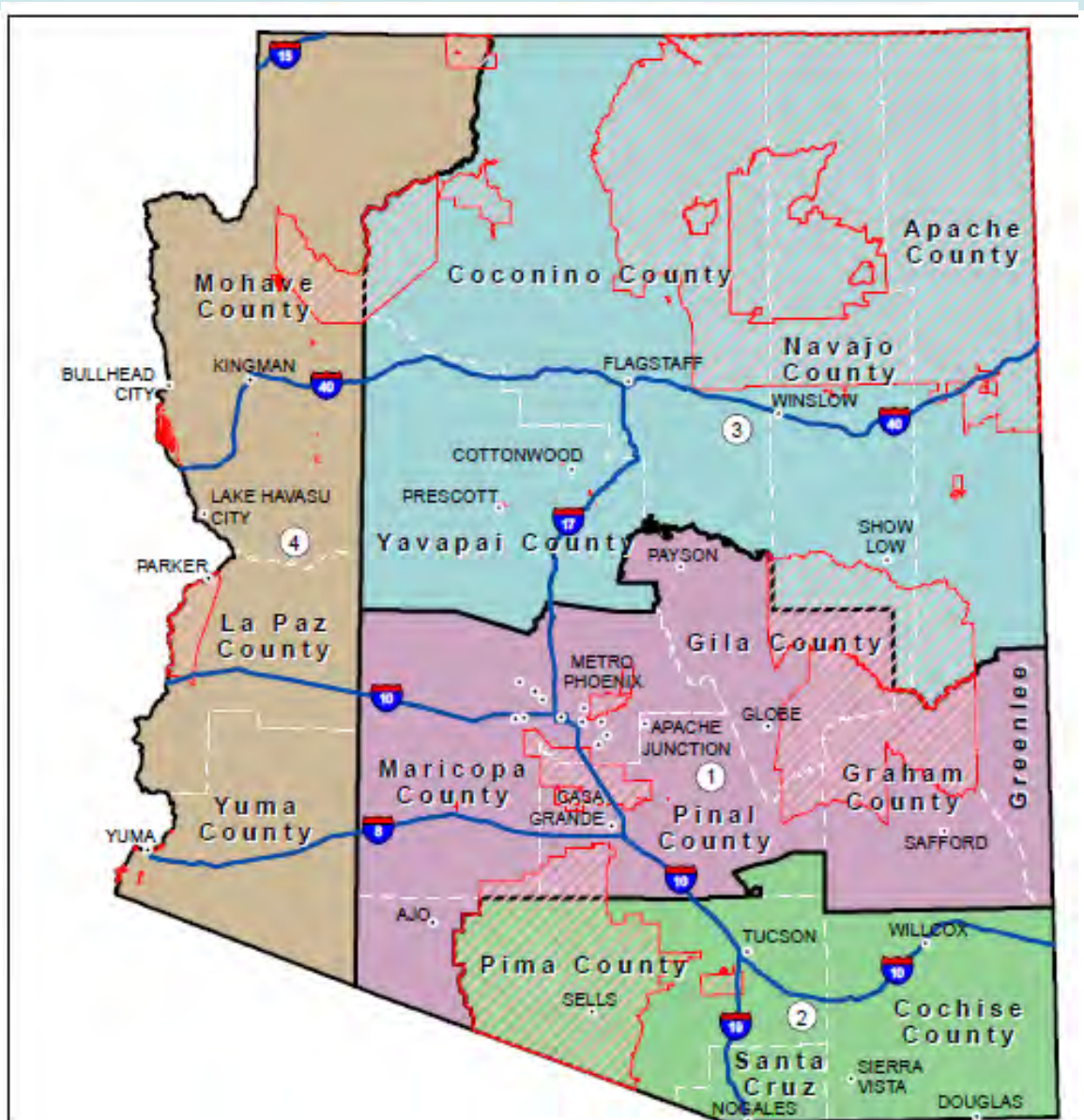
710-Bringing Clarity to APS: Revolutionizing Arizona's investigations

Arizona Department of Economic Security, Division of Aging and Adult Services

Presentation Overview

- Arizona Adult Protective Services
- Arizona Management System
- Investigations
- Central Intake Unit
- Policy
- Quality Assurance (QA)
- Community
- MDT
- Legislation
- Demonstration – flow board

Arizona APS



APS District Boundaries

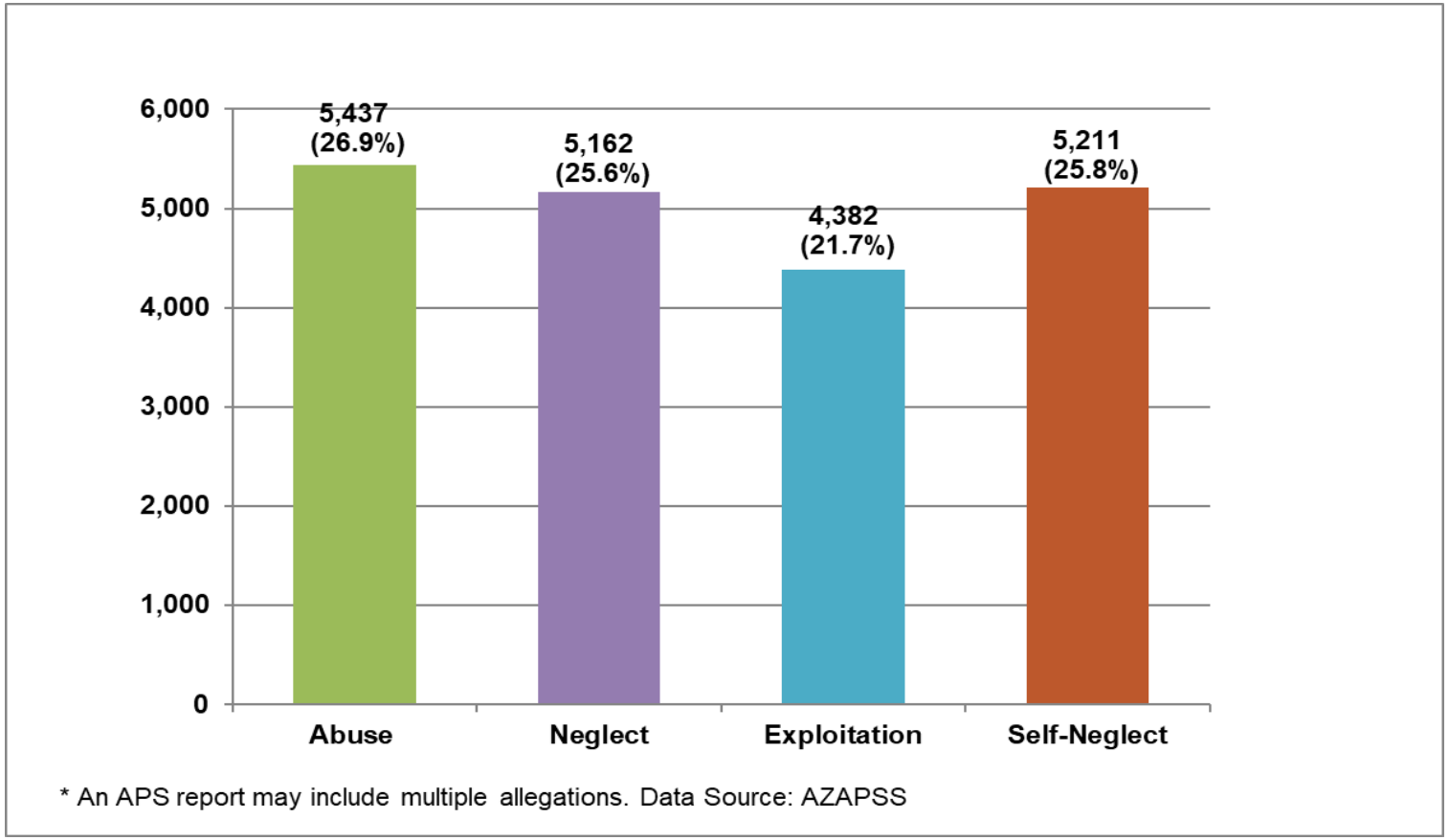
- District 1
- District 2
- District 3
- District 4

Other Features

- City Center
- Tribal Land
- Interstate

Reports and Allegations

- In SFY 2019, APS received 16,771 reports regarding over 20,000 allegations of vulnerable adult maltreatment: reports may have more than one allegation



Arizona APS Limitations

Adult Protective Services does **NOT**:

- Take custody of an adult
- Remove the adult from his or her living environment against his or her will
- Require the adult to accept services, including Adult Protective Services
- Make financial decisions on behalf of the adult, take control of the adult's finances, or request that the adult's accounts be frozen
- Serve as a guardian/conservator
- Interfere in a capacitated adult's chosen lifestyle
- Provide an opinion regarding safe discharge from any type of care facility

Arizona APS 2017

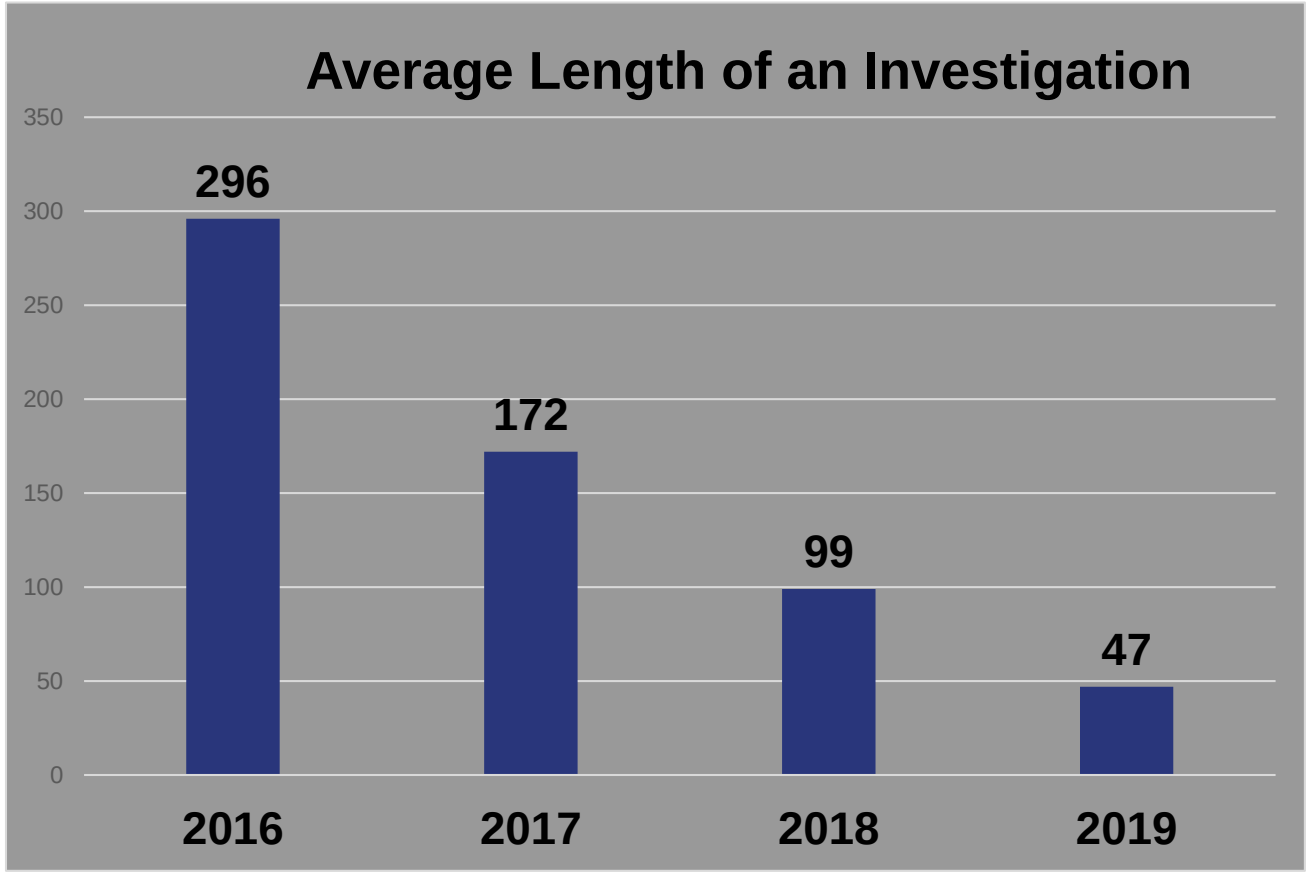
- Length of Investigations – open too long
- High Case loads – unmanageable
- Central Intake Unit – 10 staff – not enough/wrong staff
- Policy – 1 staff - understaffed
- Quality Assurance (QA) – 3 staff

  (not completing QA work)

Arizona Investigations

Average Length of an Investigation

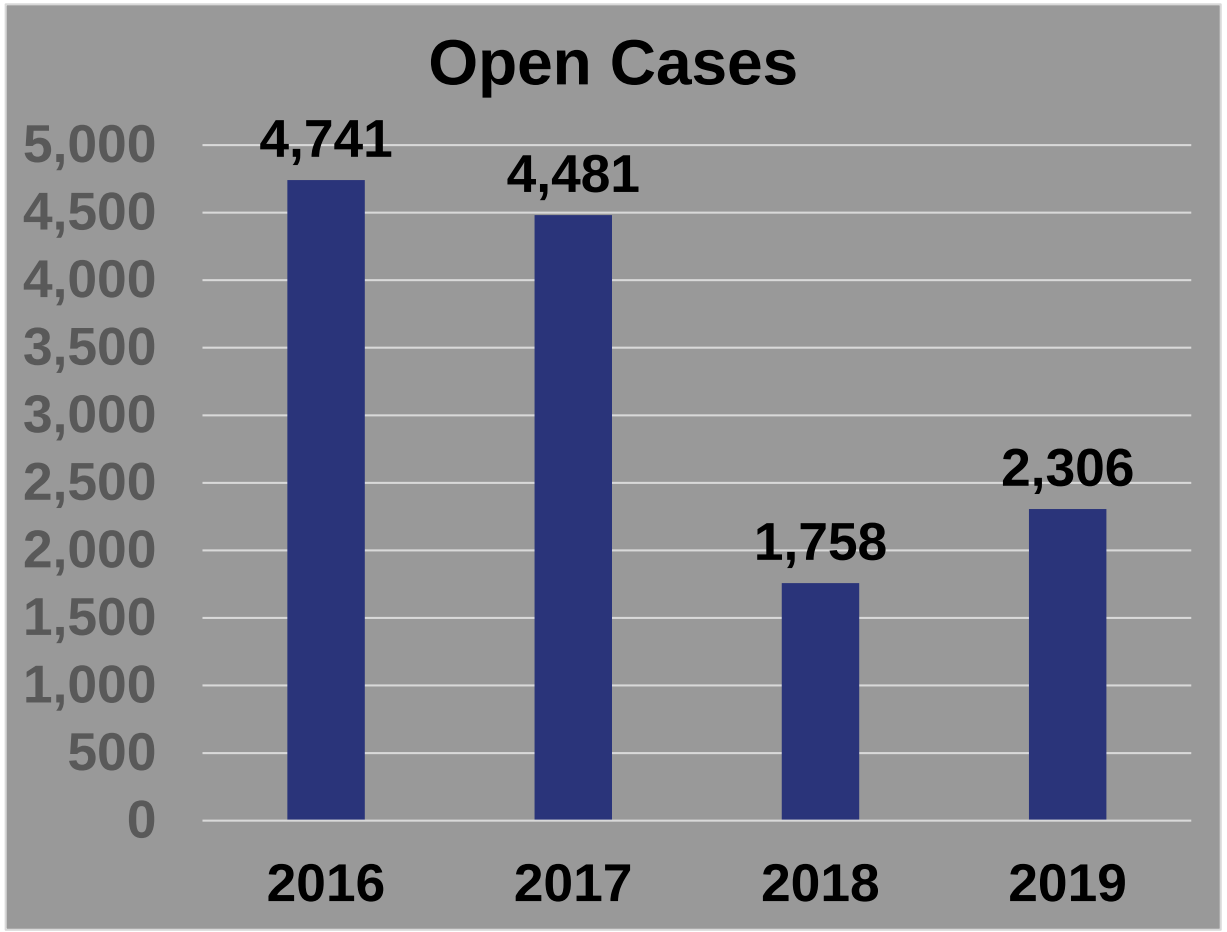
- 2016: 296 days
- 2017: 172 days
- 2018: 99 days
- 2019: 47 days



Arizona Investigations

Open Cases

- 2016: 4,741 Cases
- 2017: 4,481 Cases
- 2018: 1,758 Cases
- 2019: 2,306 cases



Central Intake Unit (CIU) - 2017

Central Intake Unit – 10 staff

Staff in wrong positions

Restructure for call center

Central Intake Unit (CIU) - 2018

Customer Service Representatives 18 +2 staff

Promotional Path 1, 2, 3

Two supervisors

Manager

Program Administrator

Arizona Management System (AMS)

- The Arizona Management System is a professional, results-driven management system that **focuses on delivering customer value** and vital mission outcomes for our citizens.

- AMS is based on principles of Lean management and requires **every state employee at every level to reflect daily on performance**, while always seeking a better way.

- **Employees are empowered** to make **data-driven decisions** and use a common problem solving process, which affords them greater **creativity and control** while expanding their capacity to **do more good** for the citizens we serve.

Arizona Management System (AMS)

Principles of a Lean culture

01 Principle one: Problems are treasures

02 Principle two: The leader’s job is teaching

03 Principle three: Go and see

04 Principle four: Standards are clear and visible to all

05 Principle five: Stop the line (andon)

06 Principle six: Problem solving is everyone’s job

Arizona Management System (AMS)

All the elements work together

Arizona Management System (AMS)

What should be happening

(WSBH)

What is a problem?

GAP

Problem

What's actually happening

(WAH)

01 Principle one: Problems are treasures

06 Principle six: Problem solving is everyone's job

Arizona APS Policy - 2017

- Policy – 1 staff
- No Central Intake Unit Policy (CIU had 7 pages in the investigation policy manual)
- Policy manual: 109 pages
- No consistency in updating policy or
- informing staff of updates

Arizona APS Policy - 2019

Policy staff

- Policy Specialists (3)
- Manager (1)
- Program Administrator (1)

Arizona APS Policy - 2019

- CQI Inbox – Employee ideas/questions
- Steering committee for CIU and investigations
- Central intake Policy Manual – 173 pages, with additional forms and desk aids
- Investigation Policy Manual - 296 pages with additional forms and desk aids
- Webinars for new policy releases

Arizona Quality Assurance

Monthly Reviews

64 reviews - I & R

- Determine if information did not meet statutory requirements to open an APS report

64 reviews - Reports

- Ensure all information is accurately documented – including review phone recording

64 reviews - Closed investigation cases

- Ensure all safety and risk assessments accurately and all investigative tasks needed were completed

Arizona Quality Assurance

Coaching and sustainability – Monthly Report

<u>CIU and Investigations</u>

Report contains the results of the monthly QA reviews and highlights the top three (3) strengths and three (3) areas of opportunity for improvement.

Open communication between CIU and investigation leadership teams and the QA manager concerning questions about coaching and mentoring staff about results from review.

Arizona Quality Assurance

In-Depth Reviews

Review cases every four months:

- Cases closed within 60 days
- A new report received within 30 days of the closed date
- Same allegations

To ensure cases are not closed prematurely and all investigative tasks were completed.

Arizona Quality Assurance

Consistent Decision Making – Survey Monkey

A process to assist or determine the extent to which different raters, when presented with the same information, arrive at the same conclusion.

Surveys sent out to CIU and investigations three times last year and only twice this coming year (due to improvements in our process).

Arizona Quality Assurance – New

Consistent Decision Making – Monthly QA Reviews

Improvements:

The QA team updated the monthly QA reviews to mirror the CDM process.

QA changed the data collection to determine where the top areas of inconsistency are affecting our consistent decision making. The metrics will be broken down to determine if the inconsistency is related to processes or transfer of learning and identify trends.

Community Collaboration - Hospital

- At the time of the report to Adult Protective Services, the client lived with family who reported the client had been estranged from them. The client's son and daughter did not know the client's behavioral past.
- While working with the family APS received a second report that the client had wandered away from home and was missing for two (2) days.
- Client was diagnosed with dementia approximately three (3) months prior, and the Neurologist deemed client doesn't have capacity to make decisions. Client's children have taken turns with attempting to care for her, but can no longer provide care.
- Client had no income, was denied Arizona Long Term Care System (ALTCS), and her children were not able to pay for placement.
- Client's daughter was her legal guardian through Maricopa County Superior Court but requested to relinquish her guardianship.
- Client was brought to Banner Baywood Medical Center Emergency Room on 6/22/18 and left there by family. Diagnosis- Bi-Polar Disorder, Dementia, Aggressive/Combative behavior, Communication Barriers, Danger to Self/Others, fall; difficulty ambulating, wandering
- DES /Division of Aging and Adult Services was notified of the client being "left" at the hospital.

Community Collaboration - Hospital

- In 2018 a Social Worker from a local hospital made contact with *DES/Division of Aging and Adult Services (DAAS)* regarding a patient who been in the emergency department 43 days.
- There was an open Adult Protective Services (APS) case, she had a public fiduciary and had been waiting in the ED pending ALTCS approval for placement in a memory care unit.
- The APS case was closed because the client was “safe” in the hospital.
- Client had been medically approved for ALTCS and was pending financial approval.
- Placements were attempted, however as well as pending ALTCS approval, they also felt patient was too much of a flight risk so facilities declined.

Multidisciplinary Teams (MDT)

- APS multidisciplinary teams (MDTs) include professionals from diverse disciplines who work together to process cases of vulnerable adult maltreatment.
- MDT’s have been a key focus area for APS for the last year and began being tracked in February 2018.
- Arizona APS participated in 281 MDTs in the last fiscal year

Multidisciplinary Teams (MDT)

- **Current collaborations**
- Law Enforcement
- Veterans' Administration (VA)
- Arizona Long-Term Care System (ALTCS)
- Public Fiduciary
- Area Agencies on Aging (AAA)
- **Tribes**
- Salt-River Pima-Maricopa Indian Community
- Ft. Mojave
- Colorado River Indian Tribe

Legislation 2019

SB1538

- APS is authorized to establish a multidisciplinary APS team to develop resources for prevention, intervention and treatment to better meet the community's needs for adult protection services.

- The list of persons with a duty to report a reasonable belief that a vulnerable adult has been the victim of abuse, neglect or exploitation is expanded to include various health care and emergency personnel and employees of DES.

Legislation 2019

SB1538

- Modified the definition of "neglect" by removing “pattern” from the definition, the new definition of neglect states:

“Neglect means the deprivation of food, water, medication, medical services, shelter, supervision, cooling, heating or other services necessary to maintain a vulnerable adult’s minimum physical or mental health.”

Legislation 2019

SB1538

APS employees are added to the list of persons who may file an affidavit to request county officers and state agencies prohibit access to that person's residential address and telephone number contained in certain public records, and who must be notified of the expiration of restrictions on related public records.

Legislation 2019

SB1538

- Adult Protective Services central intake unit as a unit of specialized staff within APS that is responsible for receiving and screening reports of alleged abuse, neglect or exploitation of vulnerable adults and making the necessary referrals (is an addition to the statute).

Legislation 2019

SB1483

- A Broker-dealer may notify Adult Protective Services and corporate commission of an attempt or is being attempted financial exploitation of an eligible adult. The Broker-Dealer or Investment advisor notifies Adult Protective Services and the corporate commission immediately but not more than two business days after the delay of disbursement or transaction. The Broker-Dealer or Investment advisor reports their investigation results to Adult Protective Services and Corporation Commission.

Legislation 2019

SB1483

- A Broker-Dealer may delay disbursement or transaction if they reasonably believe there is financial exploitation of an eligible adult. The delayed transaction or disbursement will expire once the Broker-Dealer makes a determination the transaction or disbursement will not result in financial exploitation or 15 business days after the date of the first delay, unless Adult Protective Services or broker-Dealer extend the delay not more than 25 business days after the date of the first delayed disbursement or transaction of monies, unless a further extended by Adult Protective Services or the corporation commission or an order of a court of competent jurisdiction.

Legislation 2019

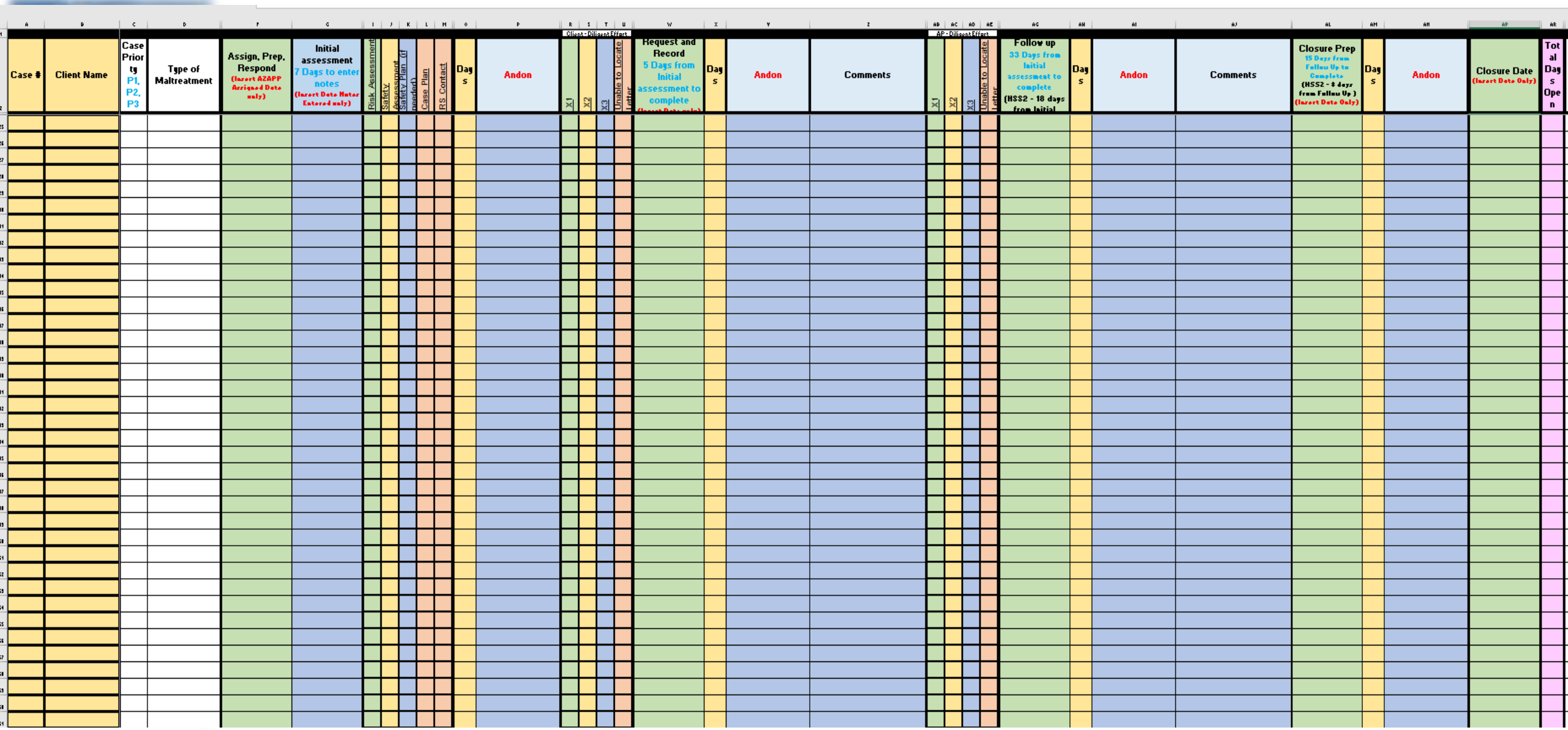
SB1211

- DES is required to conduct an Adult Protective Services registry background check for any person who is employed or seeking employment in a position that provides direct services to children or vulnerable adults in a community residential setting, an intermediate care facility for individuals with intellectual disabilities, home and community based services, and day care for persons who have developmental disabilities.

- DES is permitted to conduct an Adult Protective Services registry background check for any person who is employed or seeking employment with DES or a DES contractor in a position that provides direct services to children or vulnerable adults.

- DES is required to use the information contained in the registry to determine whether the person is qualified for certification or qualified for a position. Before being employed in a position that provides direct services to vulnerable adults or children, prospective employees are required to certify under penalty of perjury whether an allegation of vulnerable adult abuse, neglect or exploitation has been made against the person and was substantiated.

Flow Board - Demonstration



Case #	Client Name	Case Priority P1, P2, P3	Type of Maltreatment	Assign, Prep, Respond (Insert AZAPP Assigned Date only)	Initial assessment 7 Days to enter notes (Insert Date Must be Entered only)	Risk Assessment	Safety Assessment	Safety Plan (if needed)	Case Plan	RS Contact	Days	Andon	Client - Diligent Effort: X1	X2	X3	Unable to Locate Letter	Request and Record 5 Days from Initial assessment to complete	Days	Andon	Comments	AP - Diligent Effort: X1	X2	X3	Unable to Locate Letter	Follow up 33 Days from Initial assessment to complete (HSS2 - 18 days from Initial	Days	Andon	Comments	Closure Prep 15 Days from Follow Up to Complete (HSS2 - 8 days from Follow Up) (Insert Date Only)	Days	Andon	Closure Date (Insert Date Only)	Total Days Open

Questions?

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Thank you!