



DEPARTMENT OF ECONOMIC SECURITY

Your Partner For A Stronger Arizona

**Division of Aging and Adult Services
Adult Protective Services
Year in Review**

July 1, 2018 - June 30, 2019

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Changes to Adult Protective Services (APS) Annual Report

APS has changed the traditional contents of the APS Annual Report. Historically, APS metrics related to the program, including basic demographic information, case type or status, and average response times, were released through a static annual report. Although the report provided valuable details regarding programmatic actions, data was captured at a single point in time and the published report was delayed by a significant period.

In response to stakeholder requests, APS began providing quarterly reports which are accessible at <https://des.az.gov/> and developed an interactive dashboard to provide more up-to-date information. These metrics may be used to further define program needs and gaps. Furthermore, the interactive dashboard includes terms, definitions, and resources available to stakeholders, providing an additional avenue of access for public users.

This APS Year in Review provides an overview of the APS Program's authority, purpose, legislative changes, goals, processes, and highlights of the year.

Statutory Authority

In 1980, the Arizona Legislature enacted laws to provide protection of vulnerable adults, who are 18 years of age or older, by passing the Adult Protective Services Act. The Arizona Department of Economic Security (DES), Adult Protective Services (APS), a program within the Division of Aging and Adult Services (DAAS), was given the authority to receive and assess reports of abuse, neglect, and exploitation of vulnerable adults.

Arizona Revised Statutes (A.R.S.) § 46-451 and § 46-452 established the roles and responsibilities of an APS professional and authorized APS to investigate allegations of abuse, neglect, and exploitation of vulnerable adults defined as an adult, age 18 and older, who is unable to protect themselves due to a physical or mental impairment or a court has deemed incapacitated (A.R.S. § 14-5101).

Program Overview

APS investigates reports of abuse, neglect, and exploitation of vulnerable adults to determine whether the adult is vulnerable and in need of protective and supportive community services and whether the allegations occurred. APS also responds to reports of self-neglect when a vulnerable adult is alleged to be unable to meet their minimum basic needs due to a physical or mental impairment.



Arizona's APS Program is state-administered and divided into districts with investigative responsibilities throughout the state; however, communications of allegations of abuse,

neglect (including self-neglect), and exploitation are received at one central location, the Central Intake Unit (CIU). The APS Program consists of the CIU, field Investigation Units throughout the state, a Quality Assurance team, a Policy team, and a registered nurse who provides consultations regarding medically complex cases.

A specialized Financial Exploitation Unit (FEU) provides support to APS investigators by providing consultative services and investigating the most complex financial exploitation allegations across the state. This unit consists of investigators that are specially trained to conduct financial analysis.

Beginning in State Fiscal Year (SFY) 2019, APS evaluated the reports and staffing needs of the program to realign from five districts to four.

Guiding Values and Principles

APS Mission: Inspire hope with vulnerable adults by engaging and partnering with the individual, family, and community to ensure their self-determination, safety, independence, and highest quality of life.

APS Vision: Arizona's vulnerable adults thriving free from abuse, neglect, and exploitation.

The Arizona APS Program is a member of the National Adult Protective Services Association (NAPSA), a national non-profit 501 (c) (3) with members from all 50 states. NAPSA provides an opportunity for APS Programs to share information, solve problems, and improve the response to vulnerable adult maltreatment. NAPSA provides the guiding value of APS programs which states: "Every action taken by Adult Protective Services must balance the duty to protect the safety of the vulnerable adult with the adult's right to self-determination."

Self-Determination and Consent

When conducting investigations and arranging services, APS seeks to maintain the vulnerable adult in their familiar environment by strengthening their capacity for self-maintenance or by providing supportive services. APS makes every effort to respect the wishes of the vulnerable adult because APS values the vulnerable adult's rights and choices by providing the vulnerable adult with options, focusing on the least restrictive services.

Adults with decision-making capacity have the right to accept or refuse referrals to services. If APS has concerns about a client's cognitive capacity and has reason to believe the client is unsafe, APS pursues further assessment via the client's own medical/mental health provider or a new provider, if the client has none. Results of these assessments may result in the need to make a referral to a public fiduciary to assume the role of guardian and/or conservator. Because APS does not have the authority to take control of a vulnerable adult's finances or relocate a vulnerable adult to another living arrangement without their consent, APS is required to pursue a court order if involuntary services are needed. Any qualified person may be appointed guardian by the court. Arizona law A.R.S.

§ 14-4311 lists, in order, who the court may consider for an appointment as a guardian. Per statute, APS professionals are not allowed to serve as guardians for APS clients A.R.S. § 46-452 (B).

New Legislation

The first session of the 54th Legislature saw several legislative initiatives pass with a focus on protecting Arizona's vulnerable adult population. An emergency measure impacting the use of the APS registry was effective upon Governor Doug Ducey's signature on April 24, 2019. Three additional legislative bills that protect vulnerable adults and children were also signed into law by the Governor and became effective on August 27, 2019.

S.B. 1211 (Intermediate Care Facilities; Licensure) Use of APS Registry

(Laws 2019, Chapter 133)

S.B. 1211 was an emergency measure that became effective immediately upon signature by the Governor on April 24, 2019.

Among other provisions in the bill, DES is now required to conduct an APS registry check for any person who is employed or seeking employment in a position that provides direct services to children or vulnerable adults in:

- Community residential settings,
- Intermediate care facilities for persons with developmental disabilities,
- Home and community-based services, and
- Day treatment programs for adults who have developmental disabilities



Additional provisions were added to A.R.S. § 46-459 regarding the use of information on the APS registry when making employment decisions. The new law permits DES to conduct an APS registry check for any person who is employed or seeking employment with DES or one of DES' contractors in a position that provides direct services to children or vulnerable adults and mandates that DES use the information when making employment decisions. This provides greater protection for vulnerable adults.

Other provisions of S.B. 1211 include a requirement of prospective employees to certify, under penalty of perjury and prior to being employed in a position that provides direct services to vulnerable adults or children, whether an allegation of vulnerable adult abuse, neglect or exploitation has been made against them and was substantiated (A.R.S. § 46-459(J)).

S.B. 1538 Adult Protective Services

(Laws 2019, Chapter 321)

S.B. 1538 provides several additional protections for vulnerable adults in Arizona and directly impacts how the APS Program is delivered.

Mandatory Reporters and Retaliation

The bill expanded the list of professionals who have a duty to report suspected abuse, neglect or exploitation of vulnerable adults as outlined in A.R.S. § 46-454.

The following was added to the list of mandatory reporters:

- Licensed practical or registered nurses;
- Certified nursing assistants;
- Emergency medical technicians (EMT);
- Home health providers;
- Psychiatrists;
- Pharmacists;
- Speech, physical or occupational therapists;
- Long-term care providers;
- Medical examiners;
- Guardians;
- Conservators;
- Fire protection personnel;
- Developmental disabilities providers; and
- Employees of the Department of Economic Security.

In addition, a provision was added to A.R.S. § 46-454 that prohibits retaliation against a person who reports in good faith or a vulnerable adult who is the subject of a report.

Definitions

- **Neglect**

The definition of neglect was updated by removing the need for a pattern of conduct and adding supervision to the list of the types of services needed to maintain minimum physical or mental health. Previously, the definition of neglect was “a pattern of conduct without the person’s informed consent resulting in the deprivation of food, water, medication, medical services, shelter, cooling, heating or other services necessary to maintain minimum physical or mental health” (A.R.S. § 46-451). The legislative change to the definition of neglect means a single neglectful act may be investigated.

- **Adult Protective Services Central Intake Unit**

Definitions in A.R.S. § 46-451 were updated for the APS Program. Specifically, a definition of the Adult Protective Services CIU was added. The CIU is a unit of specialized staff within APS that is responsible for receiving reports of alleged abuse, neglect or exploitation of vulnerable adults and making necessary resource referrals.

Confidentiality

While personally identifying information has always been kept confidential under the DES confidentiality statute A.R.S. § 41-1959, a new section was created specifically addressing the APS Program A.R.S. § 46-460. This new section provides special protections to the identity of the reporting source and clarifies that information created and gathered by APS is confidential, with some exceptions:

- Authorizes the release of the identity of the reporting source to certain entities, such as law enforcement.
- Authorizes the release of the minimal necessary information needed to arrange for services, apply for benefits, conduct the investigation of allegations of abuse, neglect or exploitation, and to protect against clear and substantial risk of imminent serious injury to a client or to others.
- Authorizes the release of information to other states and tribal governments for official purposes.

Multidisciplinary Teams

APS is statutorily authorized to establish Multidisciplinary Teams (MDTs), per A.R.S. § 46-461. MDTs are an effective method of promoting collaboration by bringing together professionals from law enforcement, medical and social services, tribal representatives, and domestic violence and sexual assault advocates to jointly address complex cases and service options for the vulnerable adult. MDTs are intended to enhance APS's understanding of the role each MDT partner plays during an investigation, to minimize duplicate efforts and to maximize the strengths of each agency partner for the benefit of the vulnerable adult.

This collaboration results in the increased likelihood of alleged perpetrators being held accountable and identifying available community resources to best serve the vulnerable adult. APS recognizes that each community has unique needs and resources and shall determine the team's processes and procedures to share information, review cases, and develop action plans with follow-up dates for further review and discussion to best serve that community. At a minimum, MDTs in each community shall develop a written confidentiality agreement, to be signed and adhered to by each MDT member. APS may share confidential information with members of an APS Multidisciplinary Team per A.R.S. § 46-460 (D)(5) and 46-461(C).

Safety of APS Employees

Employees of APS are added to the list of eligible persons who may request a court order to prohibit public access to their records maintained by the county recorder, county assessor, county treasurer and the Arizona Department of Transportation. S.B. 1538 amended A.R.S. §§ 11-483; 11-484; 13-2401; 16-153; 28-454; 39-123 and 39-124.

S.B. 1483 Financial Exploitation

(Laws 2019, Chapter 221)

S.B. 1483 amended Title 46, Chapter 4 of the Arizona Revised Statutes by adding *Article 2, Financial Exploitation*. This bill, similar to the Federal Senior Safe Act, provides immunity from administrative or civil liability for investment advisors and broker-dealers who in “good faith and exercising reasonable care” make a report to APS or the Arizona Corporation Commission of possible financial exploitation of elder adults – defined as 65 years or older – or vulnerable adults. It also allows investment advisors and broker-dealers to delay, for a limited time, disbursements or transactions when financial exploitation is suspected.

In addition, S.B. 1483 grants authority to APS or the Arizona Corporation Commission to request that the broker-dealer or investment adviser extend the delay, up to 25 additional business days, and the authority to petition the court to order further delay of the disbursement or transaction or to order other protective relief. Sharing information and conducting joint investigations is authorized between the Arizona Corporation Commission, APS, and the broker-dealers or investment advisors.

H.B. 2008 Duty to Report Child Abuse and Neglect

(Laws 2019, Chapter 70)

H.B. 2008 expanded the list of persons with a duty to report child abuse and neglect in A.R.S. § 13-3620 to include any person who is employed as the immediate or next higher level supervisor to, or administrator of a person who has a duty to report (other than the child’s parent or guardian), and who develops a reasonable belief there is a child victim of abuse or neglect in the course of the supervisor’s or administrator’s employment. If the supervisor or administrator reasonably believes that the report has been made by the person with a duty to report, the supervisor or administrator is not required to report.



Although specifically related to a Department of Child Safety (DCS) statute, APS investigators may come across situations during an investigation that would require them to cross-report to DCS. This change was added to the APS policy to strengthen interagency collaboration.

The APS Program

The APS Program is mandated to receive communications alleging abuse, neglect, and exploitation of vulnerable adults and to evaluate whether the adult is in need of protective services. A.R.S. § 46-452

The APS Central Intake Unit

The APS CIU receives communications alleging abuse, neglect, self-neglect, and exploitation of vulnerable adults. CIU assigns communications as an APS Report when the statutory criteria are present regarding age, vulnerability, maltreatment and jurisdiction.

VULNERABLE ADULT: An individual who is 18 years of age or older and who is unable to protect himself/herself from abuse, neglect or exploitation by others because of a physical or mental impairment. Vulnerable adult includes an incapacitated person as defined in A.R.S. §14-5101. A.R.S. § 46-451

INCAPACITATED PERSON: Any person who is impaired by reason of mental illness, mental deficiency, mental disorder, physical illness or disability, chronic use of drugs, chronic intoxication or other cause, except minority, to the extent that he lacks sufficient understanding or capacity to make or communicate responsible decisions concerning his person. A.R.S. § 14-5101(3)

“APS Report” means a communication to APS that meets the statutory criteria to open an investigation when the identity or current location of the adult is known or reasonably ascertained, and:

- a. The allegations constitute maltreatment.
- b. The adult is alleged to be a vulnerable adult; and
- c. The alleged vulnerable adult’s location meets one of the following criteria:
 - i. Currently in Arizona and the allegations of maltreatment occurred in Arizona or on tribal land when there is a written agreement that allows APS to investigate based on the terms of the agreement; or
 - ii. Currently in Arizona and the allegations of maltreatment occurred outside of Arizona, including on tribal land when there is no written agreement that allows APS to investigate, and there is reason to believe the alleged vulnerable adult continues to be maltreated; or
 - iii. Not currently in Arizona and the allegations of maltreatment occurred in Arizona or on tribal land when there is a written agreement that allows APS to investigate based on the terms of the agreement.

The CIU Customer Services Representatives (CSR) gather information about the adult’s physical and mental impairments that may contribute to their inability to protect themselves from maltreatment.

Adults who have been appointed a guardian or conservator have been found by a court to be incapacitated, and therefore, the adult meets the criteria of a vulnerable adult. In the

context of protective proceedings, a court may appoint a guardian, limited guardianship, or conservator of an incapacitated person.

If the adult is actively receiving or is qualified for services such as those from the DES Division of Developmental Disabilities (DDD), Serious Mental Illness Services, Arizona Long Term Care System (ALTCS), or resides in a residential setting, the CSR has enough information to conclude the adult is likely a vulnerable adult.

Reporting Process

Individuals who wish to report alleged abuse, neglect, self-neglect, or exploitation of a vulnerable adult can submit the information to CIU online by visiting the APS website at <https://azdes-daas-online.secure.force.com/APS> or by phone.

The CIU phone lines are open Monday-Friday 7:00 a.m. to 7:00 p.m., and Saturday, Sunday and state holidays from 10:00 a.m. to 6:00 p.m.

Type	Phone Number
Voice	(877) SOS-ADULT (877) 767-2385
TDD	(877) 815-8390

Callers who phone CIU are given the following four options:

- **General Queue:** This option is used if callers have general questions about the APS Program or in need of community resources.
- **Report Queue:** This option is used by mandated reporters and other individuals who have concerns regarding the suspected abuse, neglect, self-neglect, or financial exploitation of a vulnerable adult;
- **Law Enforcement Queue:** This option is used by law enforcement officers who have concerns regarding the suspected abuse, neglect, self-neglect, or financial exploitation of a vulnerable adult;
- **Open Case Queue:** This option is used by callers who want to provide updates, including location, about an adult from a previous communication or have questions and believe there to be an open APS case.

The CSR gathers necessary information from the reporting source during the phone interview or may initiate contact with the reporting source when information is missing from an online communication. The CIU accommodates reporting sources who speak many different languages by using a language line service for interpretation.

The CSR analyzes the information using the CIU Guided Decision-Making Tool to determine whether the information meets statutory criteria necessary to accept a communication as an APS Report.

The APS Report is routed to the field for an APS investigation after the CSR assigns a response time in which the APS Investigator is required to make initial face-to-face contact

with the vulnerable adult. The response time for the investigator to conduct an initial face-to-face interview with the adult is between one to five business days defined by the Arizona Administrative Code.

If the report does not meet the statutory criteria for an investigation, the CSR provides the reporting source with information to contact other community and local organizations for services, if needed.

Reporting Sources

The protection and safety of vulnerable adults require the involvement of all community members. While any member of the public may voluntarily communicate to APS suspected vulnerable adult abuse, neglect (including self-neglect), or exploitation, mandatory reporters who suspect maltreatment of vulnerable adults have a duty to report these concerns to APS.

Individuals are protected when communicating allegations to APS by A.R.S. § 46-453, which makes them immune from any civil or criminal liability unless the person acted with malice or they have been charged with or is suspected of abusing, exploiting, or neglecting the vulnerable adult. However, mandatory reporters who fail to report may be charged with a class 1 misdemeanor. A.R.S. § 46-454

Mandatory reporters such as medical professionals and social services providers are the most common reporting sources, followed by family members and caregivers/residential managers.

Cross-Reporting

The CSR will cross-report information to other agencies with investigative authority such as the Arizona Department of Health Services, the Arizona Long-term Care Ombudsman, Law Enforcement, Tribal Government Social Services, and DDD Quality Improvement when the information does not meet the criteria to become a report. When the communication is an APS report, the investigator completes the cross reporting.

SFY 2019 Definitions (as defined in A.R.S. § 46-451):

Abuse: a) Intentional infliction of physical harm, b) Injury caused by negligent acts or omissions, c) Unreasonable confinement, and d) Sexual abuse or sexual assault.

Neglect: Pattern of conduct without the person's informed consent resulting in the deprivation of food, water, medication, medical services, shelter, cooling, heating or other services necessary to maintain minimum physical or mental health. **Note: The definition of neglect was changed during the 2019 legislative session to remove the "pattern" requirement and add supervision, but would not go into effect until after the close of SFY 2019.**

Exploitation: The illegal or improper use of a vulnerable adult or his/her resources for another's profit or advantage.

Self-neglect: An adult's inability, due to physical or mental impairment or diminished capacity, to perform essential self-care tasks, including a) obtaining essential food, clothing, shelter, and medical care; b) obtaining goods and services necessary to maintain minimum physical health, mental health, or general safety; or c) managing one's own financial affairs. (*Federal Elder Justice Act (2010)*). *Not defined in the Arizona Revised Statutes*) APS investigations are routed to the district in which the client resides.

Investigation Process

APS investigators use standardized tools to assess:

- The client's overall situation;
- Whether the vulnerable adult is likely to be in immediate danger and whether a plan to ensure their safety should be initiated; and
- The estimated likelihood that the vulnerable adult will experience harm within the next 6-12 months.

All three assessments are conducted during each investigation. Information gathered during the assessment process provides information that is used during case planning.

To evaluate the client's overall situation, APS investigators conduct an APS Client Assessment. The investigator gathers information or makes observations about major areas of consideration. As an example, the investigator will make observations and/or ask the client about functional and behavioral status, physical and mental status, medical history, personal appearance, and the client's social environment. The information gathered during the APS Client Assessment provides important information pertaining to the client's overall situation and is useful when conducting a Safety Assessment and Risk Assessment.

During the APS investigation, APS may obtain medical and financial records without consent from the client A.R.S. § 46-454. The APS investigator analyzes information gathered from interviews with the client, witnesses, and the alleged perpetrator, and from reviewing medical and financial records and law enforcement reports to make a finding as to whether the allegations occurred.

Based on a national best practice model, Structured Decision Making (SDM) is intended to promote the safety of vulnerable adults, identify and address their needs, decrease the incidence of self-neglect and maltreatment and enhance service delivery. Standardized assessments increase consistency and accuracy when assessing vulnerable adults at critical decision points during the investigation. Each APS investigation includes two standardized assessments - a Safety Assessment and a Risk Assessment. These tools were developed by the National Council on Crime and Delinquency (NCCD) in 2018 through a grant awarded to APS by the Administration for Community Living (ACL)¹. When conducting the SDM Safety Assessment, the APS investigator evaluates whether the victim is in immediate danger of serious harm and whether there are immediate

¹ https://www.nccdglobal.org/sites/default/files/publication_pdf/focus-adultprotectiveservices.pdf

interventions that can be recommended to ensure safety. The client's and the client's representative's input and participation are sought when gathering the information and in situations requiring the development of a Safety Evaluation Plan.

The SDM Risk Assessment provides the APS investigator a consistent set of risk factors to assess in each investigation to estimate the likelihood that the client will experience harm in the next 6 to 12 months and classifies the client's risk as low, moderate or high. The risk classification, combined with the results of the SDM Safety Assessment, provides the APS investigator with practice guidance regarding the level of client contact recommended.

APS participates in a very small number of investigations on tribal land, and only does so at the invitation of each Tribal Council. Currently, APS has entered into agreements with three tribes – Salt River Pima-Maricopa Indian Community, Fort Mojave Indian Tribe, and the Colorado River Indian Tribes. These agreements allow APS to enter tribal land to conduct investigations involving non-American Indian vulnerable adults. Tribal social services conduct investigations and provide service referrals, if needed, to American Indian vulnerable adults residing on tribal land.

Case Planning

The information gathered during all phases of the assessment process is used during the case planning process to formulate a comprehensive service referral plan for the client. During the case planning phase, the client and/or their representative will work with the APS investigator to determine which services the client wants, needs, and/or may benefit from. When the client or their representative wishes to initiate the service(s) themselves, the APS investigator provides resources. When the decision is made that APS will initiate the service, the APS investigator will initiate the process. If a client with capacity to consent refuses referrals for services, the APS investigator accepts their decision.

Case Closure

The APS investigator's goal is to complete the investigation within 60 days; however, there are some investigations that need more time due to the complexity of the case, such as financial or medical issues, the cognitive impairments of the client, or law enforcement involvement.

Findings

Upon completion of an investigation, the APS investigator reviews all the information gathered and, in consultation with the supervisor, determines whether there is evidence to conclude there is a 51 percent likelihood of probability that the alleged perpetrator was responsible for the maltreatment. If so, the APS investigator makes a finding to propose to substantiate and initiate the process of placing the alleged perpetrator's name on the APS Registry. If not, the other findings used are verified and unsubstantiated.

A report is considered verified when there is enough evidence to support that the allegation(s) occurred, but APS does not propose to substantiate. If the client is a

vulnerable adult and self-neglect is present, the investigator enters a Verified Finding. If the investigator concludes the adult is a vulnerable adult and the maltreatment likely occurred, but there is not an identified alleged perpetrator to place on the APS Registry such as a case that involves Internal Revenue Service or lottery phone scams or is otherwise unknown, the investigator enters a Verified Finding. Lastly if the alleged perpetrator is also a vulnerable adult who is caring for another vulnerable adult, the investigator enters a Verified Finding.

If Proposed to Substantiate or Verified Finding is not entered, then the APS investigator enters an Unsubstantiated Finding.

Substantiation Process

If the APS investigator makes a recommendation to substantiate the allegation, the information gathered by the APS investigator is submitted to the Appeals Unit, who then refers the information to the Attorney General (AG). The process of substantiating the allegations against an alleged perpetrator holds a lower standard of proof than in a criminal proceeding. The standard of proof for substantiation means “a preponderance of evidence,” or that it is more likely than not that the abuse, neglect or exploitation occurred.

The AG reviews the evidence and makes a final recommendation of whether to recommend substantiating the allegation of abuse, neglect, or exploitation. If the recommendation by the AG is to substantiate the findings, the alleged perpetrator, if eligible, is given the opportunity to request an administrative hearing.

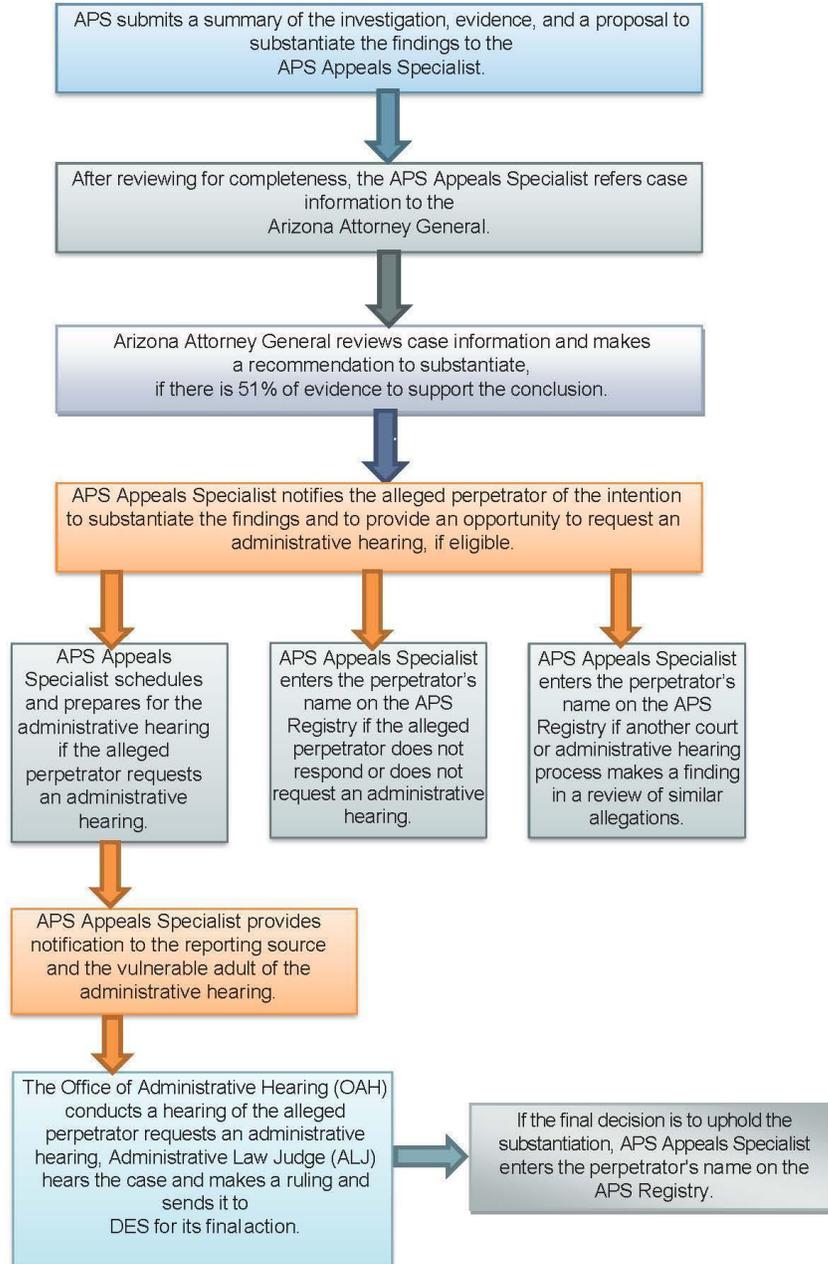
The law requires that APS notify the alleged perpetrator that APS is proposing to substantiate the allegations against them and provide due process for the alleged perpetrator. This means the case may go before an Administrative Law Judge for a final determination.

The alleged perpetrator, as part of due process A.R.S. § 46-458, may present the Administrative Law Judge with information to refute the allegations. The Administrative Law Judge makes a ruling based on the information presented. The ruling may be upheld, amended, or rejected by the DES Director under A.R.S. § 41-1092.08.

If a hearing is requested, the Appeals Specialist Unit and the AG prepare for the hearing and present the case at the administrative hearing. The alleged perpetrator presents information to show reasons not to place his/her name on the APS Registry.

When the proposed substantiation is upheld through the hearing process, the perpetrator’s name is placed on the APS Registry. The perpetrator’s name may also be placed on the APS Registry if a similar finding in another type of court is confirmed.

Substantiation Process



APS Registry

Effective July 1, 2007, aside from criminal and civil penalties, any perpetrator with a substantiated case of maltreatment of a vulnerable adult has their name placed on the APS Registry.

The information on the APS Registry, per A.R.S. § 46-459, regarding a perpetrator with a substantiated finding is not confidential. The APS Registry contains the name and date of birth of the person determined to have abused, neglected, or exploited a vulnerable adult, the nature of the allegation made and the date and description of the disposition of the allegation. The names of the vulnerable adults and reporting sources are not listed on the APS Registry.

The APS Registry is updated weekly and is available to the public online through the APS website or by written request A.R.S. § 46-459. <https://des.az.gov/services/aging-and-adult/adult-protective-services/registry>

As of June 28, 2019, the end of SFY 2019, there were 1,444 perpetrator entries on the APS Registry.

If the perpetrator's name was placed on the APS Registry prior to July 3, 2015, their name remains on the registry for ten years. Due to statutory changes, if their name was placed on the registry after July 3, 2015, the name appears for a period of 25 years.

Community Presentations

In SFY 2019, APS continued its efforts to raise vulnerable adult abuse awareness through community outreach and education across the four state districts (*Figure 34*).

APS participated in community outreach events at senior centers, senior expositions, resource fairs and Native American communities.

Community education presentations were also provided to residential facilities staff, client advocates and services such as crisis teams and domestic violence shelters, medical providers and legal services.

DDD participated in numerous APS training sessions. This inter-divisional collaboration provides DDD with a better understanding of the APS Program.

APS is often invited to provide community education about the APS Program to various entities such as Central Arizona Shelter Services, Hospice of the Valley, Grand Canyon University, private insurers, long-term care facilities and local emergency first responders. Community education presentations help establish relationships in the community and promote an understanding of the APS Program.

APS Accomplishments



Administration for Community Living (ACL) Grant Award

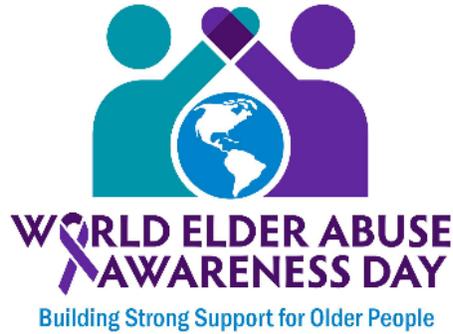
Protecting rights and preventing abuse is one program area of the U.S. Department of Health and Human Services, ACL focused on developing systems and programs that prevent abuse from happening, protect vulnerable adults from abuse, neglect, and exploitation, and support vulnerable adults who have been maltreated.

ACL received dedicated appropriation to support states by way of enhancement grants to improve APS practice, services, data collection, and reporting beginning in Federal Fiscal Year (FFY) 2015. Arizona APS applied for and received its first ACL grant in FFY 2016 which was used to improve intake and investigation of reports of adult maltreatment through the consistent use of SDM Safety and Risk Assessment tools and updated policy and procedure manuals.

Grant funds may be used to facilitate and improve information exchange about adult maltreatment with other programs serving vulnerable adults. APS is committed to enhancing data collection efforts consistent with national data collection standards set forth by the ACL. Arizona APS received a second ACL grant covering years 2018 to 2020 that will replace and improve its current data system with something that will offer a more robust approach to improving client outcomes.

The new system will improve APS' capability of collecting and reporting advanced data to ACL's [National Adult Maltreatment Reporting System \(NAMRS\)](#), which is the first comprehensive, national reporting system for APS Programs. NAMRS collects quantitative and qualitative data on APS practices and policies and investigation outcomes related to the maltreatment of older adults and adults with disabilities. A new case management system will allow the APS Program to gather and submit data that is consistent with these standards.

The new method of data analysis will include the addition of a data layer. This involves connecting the APS case management system with data systems of other service providers who may be assisting the client, such as the DES DAAS, Employment and Rehabilitation Services (DERS) and DDD, the Area Agency on Aging (AAA), and DAAS contractors. Linking client information among service providers will allow APS to gain greater insight into the APS client population and the services they need, increase the client's connection to services from the start of an investigation, and provide a holistic approach to service provision, improving the timeliness and quality of services provided to APS clients.



World Elder Abuse Awareness Day

APS participated in the planning for, and hosting of, the first DAAS World Elder Abuse Awareness Day (WEAAD) conference held on June 13, 2019. WEAAD is commemorated on June 15th every year in the United States and around the world. The DAAS WEAAD event provided education and allowed APS to network with other agencies and individuals serving elderly community members. WEAAD provides an opportunity for communities around the world to promote a better understanding of elder abuse and neglect and to build solutions that will support older adults and strengthen communities. The 2019 WEAAD theme of “Lifting Up Voices” aimed to raise awareness of the cultural, social, economic and demographic processes affecting elder abuse and neglect.



This one-day event was an extraordinary opportunity for those serving older adults, service providers, and nonprofit and for-profit organizations to network, share information and resources, and learn more about why elder abuse occurs, how it can be prevented and how it can shape public conversation.

The 250 conference attendees had the opportunity to attend more than 20 breakout sessions and to listen to well-known keynote speakers such as Ashton Applewhite, aging activist and author, Bob Blancato, former Executive Director of the White House Conference on Aging, and Dana Marie Kennedy, State Director for American Association of Retired Persons Arizona.



Bob Blancato, former Executive Director

Joei O'Grady and Jennifer Steiner, APS Program

The 2020 planning committee has begun preparations to host a second World Elder Abuse Awareness Day conference in a larger venue.

Arizona Management System (AMS)

The AMS is a results-driven management system, based on Lean management principles, where every state employee is trained to use problem-solving strategies at the lowest level to address problems and seek methods to serve customers better. The two pillars of Lean are Respect for People and Continuous Improvement. The Kaizen, one AMS strategy, is a Japanese word for continued improvement involving everyone (<https://www.kaizen.com/what-is-kaizen.html>). As part of the AMS process, Kaizen events are held by state agencies to promote continuous improvement. The APS Program uses AMS strategies to continuously improve, and problem identification is the first step in the process.

CIU and Lean Foundations

CIU participated in a Lean Foundations Problem-Solving Kaizen from September 2018 to December 2018 that consisted of evaluating call volume, staffing levels, training, and mapping out the complete intake process from the time the phone rings at CIU to the time information is sent to an investigator. The CIU conducted a root-cause analysis and identified opportunities for improvement.

The CIU piloted several of the improvement ideas identified from December 2018 through February 2019, resulting in revisions being made to the CIU process.

The information-gathering tool, known as the Intake Tool, assists the CSR during the phone interview in gathering pertinent information about suspected abuse, neglect, self-neglect or exploitation of a vulnerable adult. The length of the Intake Tool was modified from 15 pages to 8 pages by removing unnecessary questions and reorganizing the flow of questions to improve the efficiency and quality of the information gathered.

Additionally, CIU opened a fourth line, the “Open Case Line,” for callers who want to share more information about a report they previously made or regarding an open case, without having to wait on the main report line. This has resulted in a more streamlined call-in process resulting in lowered wait times for customers.

Results of these pilots were already evident in February 2019 when CIU increased the call answer rate to 97 percent. The call-answer rate remained at 96 percent or higher throughout the end of the SFY.

Quality Assurance (QA) and Lean Foundations

The QA Team created a survey tool to review the consistency of CIU’s decision-making regarding assessing the client’s vulnerability, recognizing the type of maltreatment being reported, evaluating whether the statutory criteria were met to open an APS investigation, and assigning the appropriate response time to make face-to-face contact with the client. The tool also reviews the thoroughness and quality of the CIU entries made in the database.

The second survey tool was created to review closed investigations. It documents the compliance level of the use of the SDM Safety and Risk assessments and whether necessary actions were completed by the investigator.

The QA team also developed standard work and incorporated AMS tools to ensure consistency while completing the reviews.

The team demonstrated key DES values such as accountability, integrity, respect and teamwork during this assignment to successfully complete the project. Enhanced Investigation- Kaizen and Process Flow.

One model APS will explore is Motivational Interviewing (MI), which involves the use of rapport-building techniques and results in a conversational style interview. MI is expected to increase the client’s level of comfort and ease during the interview process and improve the investigator’s ability to gather critical information used to support and assist the client during the investigation. The DES Office of Professional Development (OPD) will prepare the enhanced training.

APS plans to facilitate a peer-mentor process whereby investigators skilled in building rapport with clients will mentor other investigators in their district. Enhancing the investigator’s investigator skills will not only improve the investigative process but also add to the overall quality of service provided to APS clients.

Staff Development and Training

APS has continued to promote staff development and training to increase their knowledge base and skills.

- APS investigators shared stories of being in unsafe situations during home visits including environmental hazards, the presence of weapons, and hostile persons during meetings and staffing. APS leadership requested the DES OPD create a robust training that now includes computer-based training and instructor-led training. All APS staff who make home visits are required to attend the training where they learn how to conduct the pre-work needed before the visit, to complete the actual home visit and to document any safety issues encountered. OPD has provided *Personal and Environmental Safety Training* for each APS district and is included in the New Investigator training.
- The *Personal and Environmental Safety Training* course was recorded and was shared at the 2019 NAPSA conference to demonstrate how the course is trained and the importance of staff safety during home visits with clients. Arizona APS has agreed to share this training as a national best practice.
- SFY 2019 saw the introduction of in-service training opportunities for staff via monthly APS Nurse Webinars. The topics ranged from *The Dynamics of Hip Fractures* and *Elder Physical Abuse* to *The Health Risk of Living Alone* and *Fibromyalgia*. The APS Nurse also provided on-site presentations about the APS Program to psychology students at Grand Canyon University and nursing students at Northern Arizona University, Yuma Campus.

Community Engagement

APS took many opportunities to engage with the community in SFY 2019 and plans to continue this practice into the future. APS leadership participated in various events taking place in the community such as health fairs, community partnership events, and events that relate to our aging community members. The goal of the community engagement mission is to promote and strengthen APS' community partnerships, improve client outcomes and raise awareness about the APS Program.

Partner Summit: Connecting the Care, Finding the Treasure



In February 2019, DAAS hosted a two-day Partner Summit: *Connecting the Care, Finding the Treasure*, for its state-wide contracted community partners. The focus of the summit was to begin assessing how DAAS programs, including APS, and its community partners can further connect service systems and

collaborate to achieve a collective impact for mutual clients served.



Community partners were divided into regional areas to participate in a Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis, facilitated by the DES Office of Continuous Improvement . The information contributed by community partners was then compared to information obtained from the DAAS team's previous SWOT analysis, and a SWOT synthesis was completed. The combined information was used to guide DAAS strategy update planning and annual improvement priorities for SFY 2020 and the results of the process were shared with community partners in May 2019.

More Information

For more information about the APS Program, you can visit the website at <https://des.az.gov/services/basic-needs/adult-protective-services>.