

AAA Adult Protection Worksheet					Section 09-AP
Review Section:	Requirement Reference	Available On-site	Review Questions	Compliance Yes/No	On-site Training Area: If "No" identify issue, list Training, and set Outcome (Outcome is what needs to be implemented)
D9-AP-01	PM 10.4.1	Determine through staff interview and documentation	Does AAA provide AP as a direct service?		Issue: Training: Outcome:
D9-AP-02	PM 10.3.2.2 AP Supervisor (IDAPA 15.01.02.010.02) AP Worker (IDAPA 15.01.02.010.03) Supportive Services Technician: (IDAPA 15.01.01.010.44)	Provide the following for each AP program employee. 1. Name, 2. Title (AP Supervisor, AP Worker, Supportive Service Technician), 3. date hired, 4. Identify education and licensing background that meets IDAPA requirements. 5. Indicate if they carry a full or partial caseload.	Is the <u>AP Supervisor</u> a social worker licensed to practice in Idaho? Does the <u>AP Worker</u> meet 1 of the following: <u>1.</u> A social worker licensed to practice in Idaho; or (4-2-08) <u>2.</u> An individual with a BA or BS in a human services field or equivalent and at least 2 years' experience in direct service delivery to vulnerable adults; <u>3.</u> An individual with an Associate of Arts or Associate of Science degree and at least two (2) years' experience in law enforcement. Does the <u>Supportive Services Technician</u> have a High School diploma and at least 2 years' experience delivering services to the elderly or at-risk populations.		Issue: Training: Outcome:
D9-AP-03	PM 10.3.2.1 reporting requirements: 10.6.5	Determine through staff interview and documentation	Does the AAA respond to AP complaints within the statutory time frames? 1. If an Emergency investigation immediately and initiate contact with the alleged vulnerable adult within twenty-four (24) hours from the time the report is received. 2. All other investigations must be initiated within seventy-two (72) hours from the time the report was received.		Issue: Training: Outcome:
D9-AP-04	PM 10.6.4.H	Provide a copy of the written agreement established between the Substate Ombudsman and AP.	Does the AAA ensure that AP staff and the substate ombudsman maintain a written agreement establishing cooperative protocols in the investigation of complaints?		Issue: Training: Outcome:

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D9-AP-05	PM 10.3.2.4 and PM 10.6.4.I.	Provide a copy of the confidentiality/conflict of interest form that each employee signs.	1. Does the AAA have policy in place to ensure that AP program employees and their immediate families do not hold a financial interest in agencies, organizations and entities providing care for vulnerable adults? 2. Does the AAA's confidentiality policy hold all Adult Protection records confidential?		Issue: Training: Outcome:
D9-AP-06	PM 10.6.4.E	Determine through staff interview and documentation	Does the AAA have desk procedure in place which requires an investigative determination of substantiated /unsubstantiated upon completion of every AP investigation. Are substantiated reports referred immediately to law enforcement for further investigation and action?		Issue: Training: Outcome:
D9-AP-07	PM 10.4.1.A	Determine through staff interview and documentation	Does each AAA provide AP services pursuant to contracts delineating the duties and obligations of each AAA AP program?		Issue: Training: Outcome:
D9-AP-08	PM 10.6.4.A	Provide a desk procedure or explain the allegation review process AP uses to ensure the following:	Does the AAA meet the allegation review requirements for the following:		
		1. if a report was required to be made.	1. if a report was required to be made.		Issue: Training: Outcome:
		2. An emergency exists	2. An emergency exists		Issue: Training: Outcome:

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		3. In cases involving resident-to-resident contact reported, determine whether the case involves the sexual abuse, death, or serious physical injury jeopardizing the life, health, or safety of a vulnerable adult, or involves repeated physical or verbal altercations between residents, not resulting in observable physical or mental injury, but constituting an ongoing pattern of resident behavior that a facility's staff is unable to remedy through reasonable efforts.	3. In cases involving resident-to-resident contact reported, determine whether the case involves the sexual abuse, death, or serious physical injury jeopardizing the life, health, or safety of a vulnerable adult, or involves repeated physical or verbal altercations between residents, not resulting in observable physical or mental injury, but constituting an ongoing pattern of resident behavior that a facility's staff is unable to remedy through reasonable efforts.		Issue: Training: Outcome:
D9-AP-09	PM 10.3.2.3	Determine through staff interview and documentation	Does the AAA comply with I&A referrals to AP?		Issue: Training: Outcome:
D9-AP-10	PM 10.6.4.C	Determine through staff interview and documentation	Does the AAA ensure that the case is closed and referred on to appropriate services if an alleged victim is not vulnerable?		Issue: Training: Outcome:
D9-AP-11	PM 10.6.8.	Determine through staff interview and documentation	Does the AP worker close a case for the following circumstances:		
D9-AP-12	PM 10.6.8.	Determine through staff interview and documentation	1. Upon a determination that an initiated PAP, SSP or law enforcement involvement has successfully reduced the risk to the vulnerable adult in an substantiated case.		Issue: Training: Outcome:
D9-AP-13	PM 10.6.8.	Determine through staff interview and documentation	2. When the vulnerable adult refuses to consent to receive services, or upon a determination that the AAA has implemented all measures available to reduce risk but has been unable to reduce risk?		Issue: Training: Outcome:

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D9-AP-14	PM 10.6.8.	Determine through staff interview and documentation	3. if another program or agency has agreed to assume responsibility to monitoring and reviewing implementation of an SSP		Issue: Training: Outcome:
D9-AP-15	PM 10.6.8.	Determine through staff interview and documentation	4. Determines that an allegation has been made in bad faith or for a malicious purpose		
D9-AP-16	PM 10.6.4.B	Determine through staff interview and documentation	If, based on its review, the AAA determines that a report involving resident-to-resident contact was exempted from reporting, no further investigation need be conducted on such report. Does the AAA investigate all other reports?		Issue: Training: Outcome:
D9-AP-17	PM 10.6.9.	Provide desk procedure or explain the process in place to maintain suspense files for criminal investigation, prosecution and cases for guardianship/conservatorship.	Are closed cases maintained in a suspense file until formal action is completed by law enforcement and/or the courts.		Issue: Training: Outcome:
D9-AP-18	PM 3.2.2.E.1.	Determine through staff interview and documentation	Did the AAA submit an accurate Substantiated Case report to ICOA no later than the 10th of each month?		Issue: Training: Outcome:
D9-AP-19	PM 3.2.2.E.2.	Determine through staff interview and documentation	Did the AAA submit the Adult Protection Quarterly report by the 25th of month following end of quarter and was the data accurate?		Issue: Training: Outcome:
D9-AP-20	IG AP	Determine through staff interview and documentation	When allegations do not indicate an emergency exists, is an investigation initiated within seventy-two (72) hours from the time the report is received?		Issue: Training: Outcome:
D9-AP-21	IG AP	Determine through staff interview and documentation	Are the following items documented in the IAPS, as a result of determination of vulnerability and associated risk factors?		

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			1. determination of the nature, extent and cause of the abuse, neglect, or exploitation.		Issue: Training: Outcome:
			2. documentation of consultation with persons thought to have knowledge of the circumstances.		Issue: Training: Outcome:
			3. if possible, documentation of the person alleged to be responsible for the abuse, neglect or exploitation of the vulnerable adult.		Issue: Training: Outcome:
			4. documentation when an interview with alleged victim is necessary, and how it was conducted.		Issue: Training: Outcome:
			5. documentation of mental vulnerability being determined through administration of the Saint Louis University Mental Status (SLUMS) examination.		Issue: Training: Outcome:
			6. documentation of physical vulnerability being determined through direct observation, professional medical opinion, and/or information collected from collateral contacts.		Issue: Training: Outcome:
D9-AP-22	PM 10.3.2.3 and PM 10.6.4.C	Determine through staff interview and documentation	Does the AAA follow GU.AP.09 AP to determination if an investigation needs to be done?		Issue: Training: Outcome:

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D9-AP-23	PM 10.3.2.3, PM 4.8.1.	Determine through staff interview and documentation	Does the AAA use the following forms/reports: FO.AD.03 Release of information, FO.AP.07 SLUMS Cognitive Vulnerability Assessment, FO.AP.08 Report to Licensing and Certification SNF Form, FO.AP.09 Report to Licensing and Certification RALF Form, FO.AP.10 Report to licensing and Certification CFH Form, RP.AP.02 AAA Substantiated Case Report, RP.AP.01 Report to Law Enforcement		Issue: Training: Outcome:
D9-AP-24	PM 10.6.4.D	Determine through staff interview and documentation	Does the AAA have desk procedure for determining an alleged victim's vulnerability and associated risk factors determined through the administration of a risk assessment instrument or other standardized assessment forms?		Issue: Training: Outcome:
D9-AP-25	PM 10.6.4.E	Determine through staff interview and documentation	Does the AP worker make a substantiated or unsubstantiated investigative determination upon completion of an AP investigation?		Issue: Training: Outcome:
D9-AP-26	PM 10.6.4.E	Determine through staff interview and documentation	Does the AAA have desk procedure in place to ensure that name of the individual against whom a substantiated report was filed is forwarded to the department for further investigation?		Issue: Training: Outcome:
D9-AP-27	PM 10.6.4.E	Determine through staff interview and documentation	Does the AAA have QA measures to ensure this procedure is followed?		Issue: Training: Outcome:
D9-AP-28	PM 10.6.4.E	Determine through staff interview and documentation	Is the name of the individual against whom a substantiated report was filed forwarded to the department for further investigation?		Issue: Training: Outcome:

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D9-AP-29	PM 10.6.4.E	Determine through staff interview and documentation	In substantiated cases of self-neglect, does the AP worker initiate appropriate referrals for supportive services with the consent of the vulnerable adult or his legal representative?		Issue: Training: Outcome:
D9-AP-30	PM 10.6.4.E	Determine through staff interview and documentation	Does the AP worker close the file if a report of abuse, neglect, or exploitation by another individual of a vulnerable adult is not substantiated?		Issue: Training: Outcome:
D9-AP-31	PM 10.6.4.E	Determine through staff interview and documentation	If a report is not substantiated, but the AP worker determines that the vulnerable adult has unmet service needs, does the AP worker initiate appropriate referrals for supportive services with consent of the vulnerable adult or his legal representative?		Issue: Training: Outcome:
D9-AP-32	PM 10.6.4.I.	Determine through staff interview and documentation	Does the AAA have policy in place to ensure the confidentiality of records relating to vulnerable adults and held by the AAA are confidential? Are all records relating to a vulnerable adult and held by an AAA confidential?		Issue: Training: Outcome:
D9-AP-33	PM 10.6.5.D.	Determine through staff interview and documentation	Does the AAA have desk procedure in place which requires a written report of each investigation within IAPS?		Issue: Training: Outcome:
D9-AP-34	PM 10.6.5.D.	Determine through staff interview and documentation	Upon completion of an investigation, Does the commission or contractor prepare a written report of the investigation?		Issue: Training: Outcome:

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D9-AP-35	PM 10.6.7.A.	Determine through staff interview and documentation	If there is a substantiated abuse, neglect, or exploitation of a vulnerable adult, Does the commission or contractor assist the adult in obtaining available services?		Issue: Training: Outcome:
D9-AP-36	PM 10.6.7.A.	Determine through staff interview and documentation	Is the vulnerable adult's consent, refusal to grant consent, or withdrawal of consent to an SSP documented in the client case record?		Issue: Training: Outcome:
D9-AP-37	PM 10.6.7.A.	Determine through staff interview and documentation	Does the AAA have policy in place to ensure that employees or contractors of the AAA are not appointed guardian or conservator of a vulnerable adult unless there is spousal or familial relationship with the vulnerable adult?		Issue: Training: Outcome:
D9-AP-38	PM 10.6.7.A.	Determine through staff interview and documentation	Have any employees or contractors of the commission been appointed the guardian or conservator of a vulnerable adult, where the commission employee or contractor has not had a spousal or familial relationship with the vulnerable adult?		Issue: Training: Outcome:
D9-AP-39	PM 10.6.10.	Determine through staff interview and documentation	Are medical records of any vulnerable adult divulged for any purpose without the express written consent of such person or his legal representative, or pursuant to other proper judicial process?		Issue: Training: Outcome:
D9-AP-40	PM 10.6.11.C	Determine through staff interview and documentation	Does the commission or contractor provide the department with any report received under this chapter involving allegations of abuse, neglect or exploitation occurring in a nursing facility?		Issue: Training: Outcome:



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D9-AP-41	IG AP. PG 2	Determine through staff interview and documentation	Do the days and times that Adult Protection are conducted coincide with the hours the AAA office is open for normal business, and are they posted?		Issue: Training: Outcome:
D9-AP-42	IG AP. PG 2	Determine through staff interview and documentation	Are all reports for AP screened by Information and Assistance (I&A) prior to referral to AP?		Issue: Training: Outcome:
D9-AP-43	IG AP. PG 2	Determine through staff interview and documentation	Are referrals to AP made when allegations in a report are screened to meet all requirements for AP service referral? Do referrals accepted by AP include the following:		Issue: Training: Outcome:
D9-AP-44	IG AP. PG 2	Determine through staff interview and documentation	Adult Protection Intake and Screening		Issue: Training: Outcome:
D9-AP-45	IG AP. PG 2	Determine through staff interview and documentation	Supporting documentation		Issue: Training: Outcome:
D9-AP-46	IG AP. PG 2	Determine through staff interview and documentation	Does AP have a desk procedure for Referrals that are made but do not meet all requirements for AP service referral are returned to I&A?		Issue: Training: Outcome:
D9-AP-47	IG AP. PG 2	Determine through staff interview and documentation	Does AP have a desk procedure for conducting an Allegation Review that includes the following?		Issue: Training: Outcome:
D9-AP-48	IG AP. PG 2	Determine through staff interview and documentation	Is the initial report of allegations documented in Adult Protection Intake and Screening?		Issue: Training: Outcome:
D9-AP-49	IG AP. PG 2	Determine through staff interview and documentation	Is a review conducted to determine whether: a. The report is required by law b. An emergency exists c. The report regards resident to resident contact?		Issue: Training: Outcome:
D9-AP-50	IG AP. PG 2	Determine through staff interview and documentation	Is the need for investigation determined by an AP worker and based on the allegation review?		Issue: Training: Outcome:
D9-AP-51	IG AP. PG 2	Determine through staff interview and documentation	Are the following reports given the attention of an APS investigation?		

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		Determine through staff interview and documentation	Allege the abuse, neglect, or exploitation of a vulnerable adult		Issue: Training: Outcome:
		Determine through staff interview and documentation	Facility reports the alleged resident to resident contact involving a vulnerable adult and: Sex abuse, death, or physical injury that jeopardize life, health or safety; or An ongoing pattern of physical or verbal altercations constituting repeated resident behavior that staff are unable to remedy		Issue: Training: Outcome:
D9-AP-52	IG AP. PG 2	Determine through staff interview and documentation	Are the following reports given the appropriate AP referral to the following?		
		Determine through staff interview and documentation	Nursing facilities and employees of nursing facilities reporting the abuse, neglect or exploitation of a vulnerable adult are to be referred to -- DHW.		Issue: Training: Outcome:
		Determine through staff interview and documentation	When there is a reasonable cause to believe abuse or sexual assault has resulted in death or jeopardy of life, health or safety of a vulnerable adult are to be referred to -- Law Enforcement.		Issue: Training: Outcome:
D9-AP-53	IG AP. PG 2	Determine through staff interview and documentation	Does AP have a desk procedure for Is intake response time determined by an AP worker and based on allegation review?		Issue: Training: Outcome:
D9-AP-54	IG AP. PG 3	Determine through staff interview and documentation	Is the initial response time measured against the date and time a screened report is received by AP instead of by the date and time I&A screens the report?		Issue: Training: Outcome:

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D9-AP-55	IG AP. PG 3	Determine through staff interview and documentation	Does AP have a desk procedure for reports when a report is received that containing allegations indicating an emergency exists? Is the following done?		
		Determine through staff interview and documentation	Initiate an investigation immediately		Issue: Training: Outcome:
		Determine through staff interview and documentation	Initiate contact with alleged vulnerable adult within twenty-four (24) hours from the time the report is received		Issue: Training: Outcome:
D9-AP-55	IG AP. PG 3	Determine through staff interview and documentation	When an alleged victim is not vulnerable the APS investigation is discontinued and the case is closed; does the AP worker refer the complaint to one of the following: 1. Information and Assistance, 2. Case Management, 3. The Ombudsman, 4. Law enforcement, or 5. Other appropriate entity for investigation and resolution?		Issue: Training: Outcome:
D9-AP-56	IG AP. PG 3	Determine through staff interview and documentation	Are investigative determinations a combination of both judgment and reasoned approach, based on the AP workers limited investigation and review, and the evaluation of evidentiary issues and credible information against the definition of abuse, neglect, and exploitation of a vulnerable adult?		Issue: Training: Outcome:
D9-AP-57	IG AP. PG 4	Determine through staff interview and documentation	Does the AP worker use the Matrix Tool in investigative determinations?		Issue: Training: Outcome:
D9-AP-58	IG AP. PG 4	Determine through staff interview and documentation	Does an AP worker develop a Protective Action Plan (PAP) for individuals addressing services available to reduce or eliminate the risk of harm to a vulnerable adult?		Issue: Training: Outcome:

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D9-AP-59	IG AP. PG 4	Determine through staff interview and documentation	Does the PAP summarize investigative findings, necessary interventions, and outcomes?		
		Determine through staff interview and documentation	An AP worker determines by assessment that an alleged victim is not vulnerable.		Issue: Training: Outcome:
		Determine through staff interview and documentation	AP determines that an initiated PAP, SSP or law enforcement involvement has successfully reduced the risk to the vulnerable adult.		Issue: Training: Outcome:
		Determine through staff interview and documentation	A vulnerable adult refuses to consent to receive services.		Issue: Training: Outcome:
		Determine through staff interview and documentation	A determination that the AAA has implemented all measures available to reduce risk but has been unable to reduce risk.		Issue: Training: Outcome:
		Determine through staff interview and documentation	Another program or agency has agreed to assume responsibility to monitoring and reviewing implementation of a Supportive Service Plan that is part of a PAP.		Issue: Training: Outcome:
		Determine through staff interview and documentation	An allegation has been made in bad faith or for a malicious purpose.		Issue: Training: Outcome:
		Determine through staff interview and documentation	A report of abuse, neglect or exploitation of a vulnerable adult is not substantiated.		Issue: Training: Outcome:
D9-AP-59	IG AP. PG 4	Determine through staff interview and documentation	Is a copy of the findings forwarded to Department of Health and Welfare (DHW) Licensing and Certification Department for further investigation if the abuse, neglect, or exploitation is substantiated to have occurred in a state certified or licensed facility?		Issue: Training: Outcome:

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D9-AP-60	IG AP. PG 5	Determine through staff interview and documentation	Have the individuals providing Adult Protection services participated in all training necessary to ensure program standards for education, licensing, rules, regulations, policies and procedures?		Issue: Training: Outcome:
D9-AP-61	IG AP. PG 6	Determine through staff interview and documentation	Does all release of consumer information met <u>applicable law</u> or <u>pursuant to a valid order in a governmental or judicial proceeding or inquiry</u> ? Other than those the AAA shall not disclose any confidential information related to services provided pursuant to this Agreement.		Issue: Training: Outcome:
D9-AP-62	PM 10.6.8.	Determine through staff interview and documentation	Does the AP worker close a case if it's determined that an allegation has been made in bad faith or for a malicious purpose?		Issue: Training: Outcome:
D9-AP-63	PM 10.6.4.B	Determine through staff interview and documentation	Does the AP immediately refer the report to the department if, based on its review, the AP worker determines that a report involves a nursing facility and was required to be made to the department?		Issue: Training: Outcome:
D21-PTF-37	FO.AP.07: SLUMS Exam: Cognitive Vulnerability	Determine through staff interview and documentation	Did the AAA fill out these forms?		Issue: Training: Outcome:
D21-PTF-38	FO.AP.08 Report to Licensing and Certification SNF	Determine through staff interview and documentation	Did the AAA fill out these forms?		Issue: Training: Outcome:
D21-PTF-39	FO.AP.09 Report to Licensing and Certification RALF	Determine through staff interview and documentation	Did the AAA fill out these forms?		Issue: Training: Outcome:

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D21-PTF-40	FO.AP.10 Report to Licensing and Certification CFH	Determine through staff interview and documentation	Did the AAA fill out these forms?		Issue: Training: Outcome:
D21-PTF-45	GU.AP.09 Idaho AP Standards	Determine through staff interview and documentation	Did the AAA follow these Standards for Consistency in Investigate Determinations?		Issue: Training: Outcome:
D21-PTF-46	RP.AP.02 AAA Substantiated Case Report	Determine through staff interview and documentation	Did the AAA fill out this report?		Issue: Training: Outcome:
D21-PTF-48	RP.AP.01 Report to Law Enforcement Form	Determine through staff interview and documentation	Did the AAA fill out these forms?		Issue: Training: Outcome:
D21-PTF-35	FO.AD.03 Release of Information Form	Determine through staff interview and documentation	Did the AAA fill out these forms?		Issue: Training: Outcome: