



California APS Consistency in Determining Findings: Multi-Module Virtual Skill-Building Training

Trainer Manual



This training was developed by the Academy for Professional Excellence, with funding from the California Department of Social Services, Adult Programs Division.



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INTRODUCTION

THE ACADEMY FOR PROFESSIONAL EXCELLENCE

We are pleased to welcome you to the CA Consistency in Determining Findings Virtual Skill-Building Trainer Manual, developed by APSWI, a program of the Academy for Professional Excellence under a grant from the California Department of Social Services, Adult Programs Division.

The Academy for Professional Excellence, a project of San Diego State University School of Social Work, was established in 1996 to provide exceptional workforce development and organizational support to the health and human services community by providing training, technical assistance, organizational development, research, and evaluation. Serving over 20,000 people annually, the Academy continues to grow with new programs and a diversity of training focused on serving the health and human services community in Southern California and beyond.

The Academy is a project of San Diego State University School of Social Work (founded in 1963), which offers both a bachelor's and master's degree in Social Work. The School of Social Work at San Diego State University was founded in 1963 and has been continuously accredited by the Council of Social Work Education since 1966.

APSWI (Adult Protective Services Workforce Innovation) is a program of the Academy for Professional Excellence. APSWI is designed to provide competency-based, multidisciplinary training to Adult Protective Services professionals and their partners. APSWI's overarching goal is the professionalization of Adult Protective Services professionals to ensure that abused and vulnerable older adults and adults with disabilities receive high quality, effective interventions and services. In partnership with state and national organizations, APSWI has developed a nationally recognized Core Competency Training Curriculum for Adult Protective Services professionals. This curriculum is reviewed and approved by experts in the elder and dependent adult abuse fields.

APSWI's partners include:

- National Adult Protective Services Association (NAPSA) Education Committee
- California Department of Social Services (CDSS), Adult Programs Division
- County Welfare Directors Association of California (CWDA), Protective Services Operations Committee (PSOC)

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This training is the result of a collaborative effort between Adult Protective Services administrators, supervisors, staff development officers and workers across the state and the nation; professional educators; and the Academy for Professional Excellence staff members. APSWI would like to thank the following individuals and agencies:

Agencies

California Department of Social Services, Adult Programs Division
County of Los Angeles Workforce Development, Aging and Community Services
Orange County Social Services Agency
Riverside County Department of Public Social Services
San Bernardino County Department of Aging and Adult Services
County of San Diego Aging & Independence Services

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HOW TO USE THIS MANUAL

This curriculum was developed as a virtual multi-module training using the Zoom platform. It was adapted from the six hour in-person training consciously paying close attention to virtual training best practices.

It can be tailored to a different virtual platform (WebEx, GoTo Training, etc.) if necessary. It is a 4.5 hour training total with three modules. The Trainer Manual and Participant Manual are designed to conduct the three modules separately with at least one day in between Module 1 and Module 3. The Participant Manual should be sent ahead of time as a fillable PDF if using Adobe Acrobat or to allow participants to print a hard copy.

- Actions which the trainer or moderator takes during the training are written in **bold**.

Trainer Notes are written entirely in bold text box and are provided as helpful hints.

Moderator Notes are written entirely in bold text box and are provided as helpful hints.

- When there are both Trainer and Moderator notes on same page, Trainer and Moderator are **underlined**.
- Expected time per slide is provided next to slide number and topic on each page.

Use of language: Throughout the manual, client is used most to describe the individual at the center of the APS investigation. However, if concept or material was directly quoted from copyrighted material, the term victim is used. Also, alleged perpetrator is used to describe the person alleged to have committed the abuse or neglect. However, if concept or material was directly quoted from copyrighted material, the term abuser is used.

He and she have been replaced with the gender-neutral they throughout this manual, unless quoted from copyrighted material. This should not be thought of as plural persons, but rather a gender-neutral term describing all humans.

Customizing the Power Point:

This manual is set up so that the trainer script/ background material is on the same page as the accompanying PowerPoint slide.

Hide a slide instructions:

1. On the **Slides** tab in normal view, select the slide you want to hide.
2. On the **Slide Show** menu, click **Hide Slide**.

The slide number will have line through it to show you have hidden it.

NOTE: The slide remains in your file even though it is hidden when you run the presentation.

The course outline, provided in the next section, is the class schedule used for development of this curriculum. It can be used to help determine how much time is needed to present each section. However, times will vary based on the experience and engagement of the audience.

TRAINER GUIDELINES

This is an advanced blended training. This manual corresponds with the virtual, skill-building training. Participants are expected to complete the foundational eLearning; CA APS Standards for Consistency in Determining Findings PRIOR to attending the course. It's suggested the Trainer also take the eLearning to familiarize self with the foundational material and to confidently reference it while training. The eLearning can be found at:

<https://theacademy.sdsu.edu/programs/apswi/advanced-training/>

Suggestions for virtual training when possible:

- Have a moderator or co-host who can primarily focus on the virtual aspects of this training (eg. monitoring chat box, launching polls, assigning breakout groups, monitoring participant reactions, etc.).
- Test out the use of the breakout session feature prior to conducting this training.
- Log in at least 30 minutes prior to the training to ensure the virtual classroom is fully functioning and that you are comfortable navigating it.
- Optimal class size for this virtual training is no more than 20 participants.

Teaching Strategies	<p>The following instructional strategies are used:</p> <ul style="list-style-type: none"> ◆ Lecture segments ◆ Interactive exercises (e.g. breakout groups, chat box discussion, polling activities, peer review) ◆ Question/answer periods ◆ PowerPoint Slides
Materials and Equipment	<p>The following materials are provided and/or recommended:</p> <ul style="list-style-type: none"> ◆ Trainer Manual: This manual includes the course overview, introductory and instructional activities, and reference materials. ◆ Fillable PDF Participant Manual (encourages self-questioning and interaction with the content information) ◆ PowerPoint Slides ◆ Printed copy of the CA Standards for Consistency in Determining Findings Matrix ◆ CA standards for Consistency in Determining Findings Matrix sent to participant's in advance ◆ Computer ◆ Headset with microphone ◆ Scorm link for Individual Practice (suggest registering participants immediately after Module 1). Contact APSWI @ apstraining@sdsu.edu to receive Scorm link for your program's learning management system.

VIRTUAL TRAINING TIPS

Training and facilitation have always been an art. Virtual training is no exception. Below are some helpful tips to remember and implement when training in a virtual environment.

- Assume nothing.
 - Do not assume everyone has the same knowledge or comfort level with technology or has access to equipment like printers, video camera, headsets or even reliable Wi-Fi.
- Distractions are everywhere.
 - Participants have greater access to distractions (email, phone, others at home) which can take their focus away from the training. Therefore, explain everything and summarize before asking participants to complete an activity and check for clarification.
- Over explain when possible
 - The virtual room doesn't allow for participants to see everything you're doing as they can in-person. Share as you navigate the virtual environment. If you are silent while looking for something or finding a screen, they may think something is frozen.
- Mute with purpose.
 - "Mute all" function can help ensure we don't hear conversations we're not supposed to. However, it can also send a message to the participants that they are a passive participant and may not make them feel comfortable taking themselves off mute when you want them to speak.
- Two screens can be a lifesaver.
 - This allows you to move your chat box or participant gallery view away from your presentation so you can see more of what's going on.
- Rely on practice, not luck.
 - Winging it during an in-person training or facilitation may work from time to time, but doesn't work in the virtual environment. In addition to covering the content, you have to manage all of the technology issues and learning styles in a virtual room, and it will show if you're not prepared.
- Bring the energy.
 - As trainers, we are no strangers to being "on," standing and moving around. However, some of the body language, subtle nonverbal skills we relied on the in-person training room do not translate well in the virtual environment. While this may make you more tired, it's important to up your enthusiasm, voice, and presence in order to engage with attendees.
- Be mindful of your space.
 - Training virtually brings an entirely new component to what we're willing to share with others. Learners can get distracted with what's in your background, whether what is physically there or if you set your video to use a virtual background.
 - It's important to reflect on questions of privilege, diversity and equity when thinking of your training space.
 - Are objects in your background that can symbolize status, privilege and/or power? If so, consider removing them to dismantle any added power dynamics that already exist with you as the Trainer.
 - Unknowingly, objects can come across as offensive, activate unpleasant or traumatic memories, and can instantly discredit your rapport building. Think of neutral backgrounds that are not distracting and allow you to be the focus of what learners see.

EXECUTIVE SUMMARY

Course Title: *Multi-Module Virtual CA Consistency in Determining Findings Skill Building Training*

In this hands-on and engaging advanced training, participants receive the opportunity to build upon the foundations learned from the prerequisite eLearning and practice determining findings to create consistency throughout the state. This training is packed with scenarios to help participants work through the *California APS Standards for Consistency in Determining Findings Matrix* and better understand the findings standards set forth in the *Guiding Principles for Consistency in Determining Findings*. This virtual skill building training utilizes peer review, as well as individual critical thinking, in order to develop confidence in APS professionals when making a determination.

Multi-Module Virtual Training:

- This course has been developed as a virtual training composed of three modules, including individual practice. Participants will first complete Module 1 in the virtual classroom, then, Module 2: Individual Practice on their own, and finally Module 3 in the virtual classroom. Each module is full of interaction, opportunities for critical thinking, and skill building.
- The following virtual instructional strategies are used throughout the course: Short lectures (lecturettes), interactive activities/exercises including breakout groups, chat box discussions, large group discussions, self-reflection, poll options, and individual practice.

Course Requirements: This virtual skill-building session was developed as a blended model, designed to be used to practice and reinforce the skills and information presented in the *CA Consistency in Determining Findings prerequisite eLearning* found at <https://theacademy.sdsu.edu/programs/apswi/advanced-training/>.

Completion of each component is required to receive course completion credit:

- ✓ Prerequisite eLearning
- ✓ Module 1 (Virtual Classroom)
 - ✓ Module 2 (Individual practice) on own
 - ✓ Record findings in on-line learning activity
- ✓ Module 3 (Virtual Classroom)

It is highly encouraged that participants have completed Modules #9 (Communication and Interviewing), #15 (Documentation and Report Writing) and #16 (Investigation First Steps) of the NAPSA Core Competency Curriculum prior to attending.

Outcome Objectives for Participants:

By the end of this training, participants will be able to:

1. Determine potential abuse by identifying the abuse indicators, using the *CA APS Standards for Consistency in Determining Findings Matrix*.
2. Critique if evidence meets the abuse type's legal components (Essential Defining Elements, interpreted from the Welfare & Institutions Code) during scenario based skill practice.
3. Construct a findings rational narrative that includes the components required for it to be descriptive and complete.

After this course, APS professionals will return to the field having the experience and information to determine findings in a consistent manner within their programs and throughout the state.

Target Audience: This training is intended for those who conduct investigations and determine case findings. However, to better ensure consistency when determining findings all levels of APS staff including, but not limited to line workers, supervisors, managers, and program support specialists are strongly encouraged to attend.

COURSE OUTLINE

<u>CONTENT</u>	<u>MATERIALS</u>	<u>TIME</u>
MODULE 1		
WELCOME & INTRODUCTIONS		TOTAL: 25 minutes
<i>Overview of Technology</i>		<i>1 minute</i>
<i>Course Overview and Goals</i>		<i>3 minutes</i>
<i>Activity #1- Group Icebreaker (breakout groups)</i>		<i>15 minutes</i>
SETTING THE STAGE: FINDINGS STANDARDS AND THE MATRIX		TOTAL: 30 minutes
<i>The Consistency Matrix: Reviewing the Columns</i>	<i>Handout #1- The Consistency Matrix</i>	<i>10 minutes</i>
<i>Findings Standards: Reviewing definitions</i>	<i>Handout #2- The Guiding Principles for Consistency in Determining Findings</i>	<i>5 minutes</i>
<i>Activity #2: Working through the Matrix: Peter Frown (Large Group)</i>	<i>Peter Frown Scenario, Mock Bank Statement, Mock DPOA, Mock Check, Mock Property Tax Bill</i>	<i>7 minutes</i>
<i>Activity #3: Working through the Matrix: Janice Pho (Large Group)</i>	<i>Janice Pho Scenario, Mock SOC 341</i>	<i>5 minutes</i>
SKILL PRACTICE: DETERMINING FINDINGS		TOTAL: 55 minutes
<i>Activity #4: Skill Practice: Scenario #1 (Large Group)</i>	<i>Scenario #1, Handout #8- Finding Report Template, Handout #1 (Matrix), Handout #2 (Findings Standards)</i>	<i>8 minutes</i>
<i>Activity #5: Skill Practice #2 (Breakout Groups)</i>	<i>Scenario #2, Handout #8- Finding Report Template, Handout #1 (Matrix), Handout #2 (Findings Standards)</i>	<i>40 minutes</i>
<i>Lessons Learned (Individual or Large Group)</i>		<i>5 minutes</i>
MODULE 1 WRAP UP		TOTAL: 10 minutes
<i>Overview of Module 2 and next steps</i>	<i>Handout #9</i>	<i>5 minutes</i>

<i>Evaluations</i>		<i>5 minutes</i>
TOTAL FOR MODULE 1		2 HOURS
MODULE 2		
INDIVIDUAL PRACTICE	<i>Handout #9 Handout #1 (Matrix), Handout #2 (Findings Standards)</i>	TOTAL: 30 MINUTES
MODULE 3		
WELCOME		TOTAL: 5 MINUTES
PERFORMANCE ASSESSMENT		TOTAL: 55 minutes
<i>Activity #6 Part 1: Peer Assessment (Breakout Groups)</i>	<i>Handout #9, Handout #1 (Matrix), Handout #2 (Findings Standards)</i>	<i>20 minutes</i>
<i>Activity #6 Part 2: Report out (Large Group)</i>		<i>25-30 minutes</i>
FINDINGS RATIONAL NARRATIVES		TOTAL: 40 minutes
<i>5 elements: "AFTER" and Narrative Comparison</i>		<i>10 minutes</i>
<i>Activity #7: Narrative Practice (Individually and Breakout Groups)</i>	<i>Handout #9, Handout #10 (Group Consensus Findings Report), Handout #1- Consistency Matrix</i>	<i>25 minutes</i>
WRAP-UP & EVALUATIONS		TOTAL: 20 minutes
<i>Activity #8: Lessons Learned (Individual and Large Group)</i>		<i>5-7 minutes</i>
<i>FAQs on Findings (Large Group)</i>	<i>Handout #11- DRAFT FAQs</i>	<i>7-10 minutes</i>
<i>Evaluations</i>		<i>5-7 minutes</i>
TOTAL FOR MODULE 3		2 hours
TOTAL FOR VIRTUAL SKILL-BUILDING		4.5 hours

MODULE 1

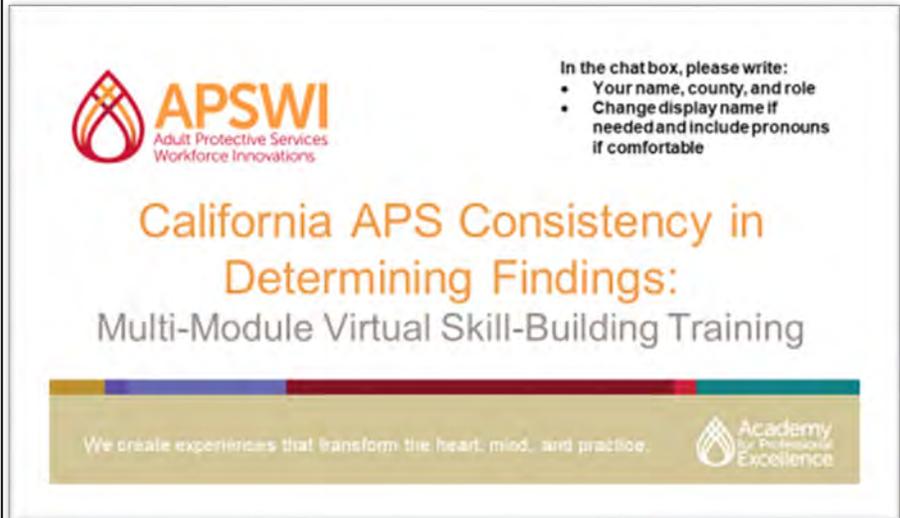
WELCOME AND INTRODUCTIONS

Time Allotted: 25 minutes

Slide #1: Welcome (5 minutes)

TRAINER NOTE: It's suggested to have some critical housekeeping items on the welcome slide so that participants can take inventory right away as they get settled. It may be helpful to review some housekeeping items that pertain specifically to the virtual platform you are using. If demonstrating how to use the PDF functions for their participant manual, you may want to have this launched in a separate window.

Inevitably, there will be some distracting background noise. It is suggested to either mute all participants at the start OR identify who needs to be muted and do so immediately.



Allow for a few minutes for participants to settle in and cover housekeeping items.

- In the chat box, enter: your name, title, and County for attendance reports.
- If needed, change your display name and include pronouns if comfortable.

Welcome the participants to the class.

Introduce yourself by name, job title, and organization, and share your experience working in the field and challenges or success with determining findings.

Introduce your co-host or moderator if applicable.

Share your screen and briefly go over the functionality of the PDF Participant Manual for those who do not have a printed version available.

- Demonstrate the Text function, erase notes function and the highlight function.

Explain that this is a virtual workshop, which is different from attending a webinar. There will be discussion and breakout sessions that rely on audience participation both verbally and within the chat box.

Encourage participants to use the video function if possible; especially when in breakout groups.

Chat Box: **Ask** participants to type in their names, titles, and counties (or APS programs) for attendance purposes, and how long that they have been with APS.

Slide #2: SDSU School of Social Work (1 minute)

Inquire. Inspire. Impact.

The Academy is a project of San Diego State School of Social Work. Serving over 20,000 health and human services professionals annually, the Academy's mission is to provide exceptional workforce development and learning experiences for the transformation of individuals, organizations and communities.



We create experiences that transform the heart, mind and practice

Explain that the Academy for Professional Excellence is a project of San Diego State School of Social Work. Its mission is to provide exceptional workforce development and learning experiences for the transformation of individuals, organizations and communities.

Slide #3: About APSWI and the Academy (1 minute)

About APSWI & the Academy

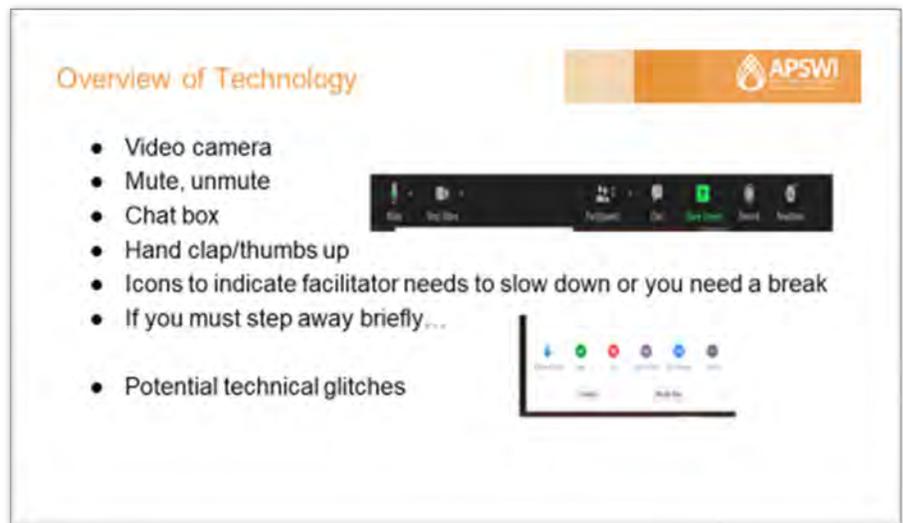
- Adult Protective Services Workforce Innovations (APSWI)
 - Training program of the Academy for Professional Excellence, a project of the San Diego State University School of Social Work.
 - APSWI provides innovative workforce development to APS professionals and their partners.
 - The Academy provides workforce development and learning experiences to health and human service professionals.

Academy Programs include:

- CWDS
- APSWI
- RIHS
- LIA
- SACHS
- APEX

Academy for Professional Excellence
We create experiences that transform the heart, mind and practice.

Explain that Adult Protective Services Workforce Innovations (APSWI) provides innovative workforce development to APS professionals and their partners. APSWI is a program of the Academy for Professional Excellence along with others listed on the slide.

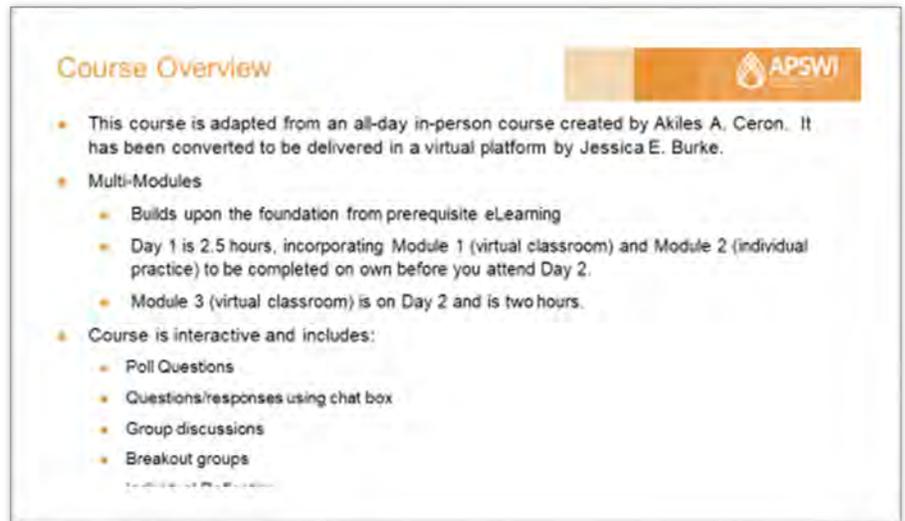
Slide #4: Overview of Technology (1 minute)**Explain:**

Many of you are pros at navigating through a virtual learning course like this one while this may be less familiar for some. So, we will review the various functions we will use during this course.

Trainer Note: If using a platform other than Zoom, tailor these to that specific platform.

- **Video Camera:** when you find, turn off/on
- **Mute:** everyone locate it, mute and unmute yourself. While you are listening or others are speaking, please mute yourself. Unmute if you are about to speak or while in break out rooms.
- **Chat box:** Ask participants to type their name, county and role if they have not done so already.
- **Clap hand/thumbs up:** Ask participants to press the clap hand icon or give thumbs up when they've found it.
 - **Explain** that you will ask participants to use any of these reactions in place of the raising hand feature as participants cannot see all see the raise hand feature. You may need to remind them of this a few times.
- **Icons to facilitator:** slow down, need a break (on Zoom, only the hosts/co-hosts will see these.)
- **Remind** participants they are expected to attend the entire course but if they need to step away, please use the "break" icon or if logging off, please private chat the Moderator or Facilitator.

Explain that technical glitches are inevitable on both your end and the participants and encourage all to be patient and forgiving as you navigate them.

Slide #5: Course Overview (1 minute)

The slide titled "Course Overview" features the APSWI logo in the top right corner. The text is as follows:

- This course is adapted from an all-day in-person course created by Akiles A. Ceron. It has been converted to be delivered in a virtual platform by Jessica E. Burke.
- Multi-Modules
 - Builds upon the foundation from prerequisite eLearning
 - Day 1 is 2.5 hours, incorporating Module 1 (virtual classroom) and Module 2 (individual practice) to be completed on own before you attend Day 2.
 - Module 3 (virtual classroom) is on Day 2 and is two hours.
- Course is interactive and includes:
 - Poll Questions
 - Questions/responses using chat box
 - Group discussions
 - Breakout groups

Explain: This course has been adapted from an all-day, in-person course to be delivered in a virtual platform.

Inform participants of the structure of the course:

- Multi-modules that build off of the prerequisite eLearning

Emphasize that the course is interactive and in order to be successful, **explain** that participants will need to participate in all activities.

Slide #6: Course Goal and Learning Objectives (2 minutes)

Trainer Note: This slide is crucial to explain the organizational culture shift and shift in current APS practice that is needed in order for there to be more consistency in findings. Validate that this topic is difficult and there can be some grey areas. It may be helpful to share some vulnerability you've had with consistency in findings.

Course Goal and Learning Objectives

APS's goal is to have higher rates of consistency in APS professionals' findings.

- Findings are difficult and vary amongst peer groups, between Supervisor and line staff, within county programs and across the state and nation.
 - This course is designed to explain the framework, allow for staff to "try it on" and get more comfortable with the process.
 - This training alone will not create consistency, but provides opportunities for all staff within an APS program to receive the same tools and guidance.

Learning Objectives:

- Determine potential abuse by identifying the abuse indicators, using the APS Standards for Consistency in Determining Findings Matrix.
- Critique if evidence meets the abuse type's legal components (Essential Defining Elements, interpreted from Welfare & Institutions Code) during scenario based skill practice.
- Construct a findings rational narrative that includes the components required for it to be descriptive and complete.

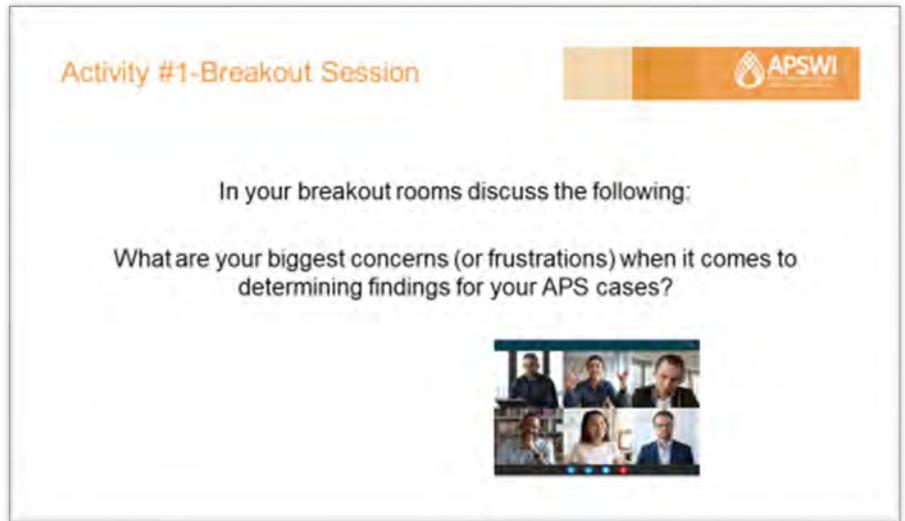
Share that APS' goal is to have higher rates of consistency in APS professionals' findings. That is, when counties across the state report data on findings, that the statistics don't display abnormal variability, e.g. a trend of mostly Inconclusive findings for some counties, and a trend of no Unfounded findings for other counties. Consistent data brings credibility to the APS program in California.

Explain this course is just one piece of creating consistency within the state. Some of the real work will be after the training, having conversations with Supervisors, Policy Specialists and Managers.

- **Validate** that this training content can be difficult when back in the field.
- **Remind** participants that findings are a reflection of the investigation and the information gathered. This does not make APS a judge or jury, but is a key component to their entire investigation.
- Findings give meaning to documentation and explanation of why interventions were or were not offered.
- Obtaining the skill of determining a finding through the analysis of whether the evidence meets the "legal components" will help them increase their consistency.
- Improved individual consistency will improve team consistency, which will improve county consistency, and hence statewide consistency. This could translate into higher quality services for those whose abuse is confirmed.

Paraphrase the learning objectives with participants. **Share** that the last learning objective will be covered in Module 3.

Explain that being able to complete these in today's skill practice training, they will gain experience needed to be successful in determining findings in their everyday work.

Slide #7: Activity #1- Breakout Session (17 minutes)The slide features a title 'Activity #1-Breakout Session' in orange text at the top left. To the right is an orange rectangular box containing the APSWI logo. The main text in the center reads: 'In your breakout rooms discuss the following: What are your biggest concerns (or frustrations) when it comes to determining findings for your APS cases?'. At the bottom right, there is a small video grid showing six participants in a virtual meeting.**Activity #1: Group Icebreaker (15 min with report out)**

Explain to the audience that in a moment, they will be put into a group in breakout rooms.

Inform the participants that they will be given 10 minutes to first introduce themselves to each other and answer this question *“What are your biggest concerns (or frustrations) when it comes to determining findings for your APS cases? Also, share some takeaways from the prerequisite eLearning.”*

Moderator assign breakout groups.

Remind participants to click “join group”.

After 10 minutes, close all the groups. If using Zoom, this will project a one-minute warning into the breakout groups.

Welcome everybody back.

Ask for a few groups to respond (either via chat or taking themselves off of mute).

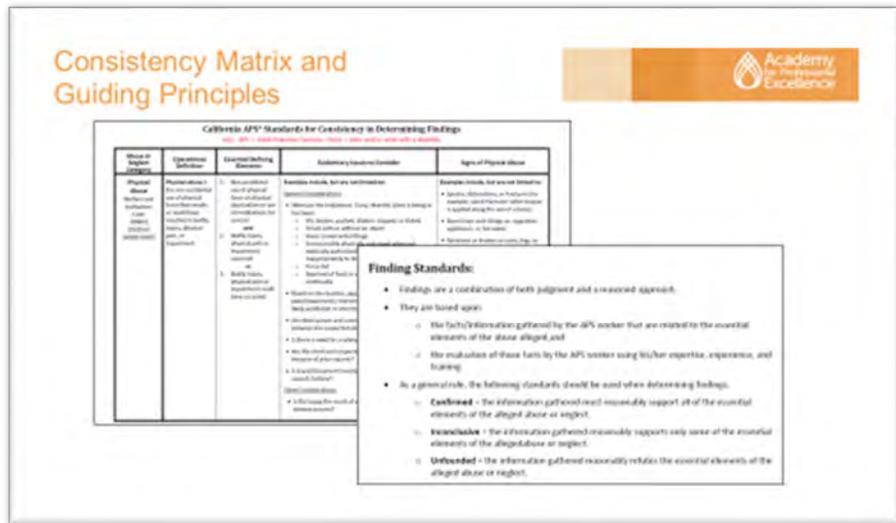
Validate/discuss some of their concerns. If challenges from the eLearning content arise, reinforce the goals for today training is to provide time for skill building.

SETTING THE STAGE: FINDINGS STANDARDS AND THE MATRIX

Time Allotted: 30 minutes

Slide #8: Consistency Matrix and Guiding Principles (3 minutes)

Trainer Note: It is suggested for this virtual training that participants have a printed copy of these handouts for ease of use during this training. However, provide the page number in the Participant Manual where they can be found. You'll refer to them often.



Explain that in this portion of today’s training, they will be engaging with two foundational concepts in obtaining consistency in determining findings: basis of the finding standards and the “Essential Defining Elements” in the *Consistency Matrix*.

Inform participants that we will be using **Handout #1 The California APS Standards for Consistency in Determining Findings Matrix** (hereafter called the “Consistency Matrix”) and the finding standards found within **Handout #2 The Guiding Principles for Consistency in Determining Findings**. If they have a printed copy of these, **suggest** they grab them now.

Refer the participants to the appropriate pages in the participant manual.

Explain that the Consistency Matrix and Guiding Principles will be used throughout this training, so keep them handy.

Slide #9: The Consistency Matrix (5 minutes)

The Consistency Matrix
California APS® Standards for Consistency in Determining Findings
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Abuse or Patient Category	Operational Definition	Essential Finding Elements	Secondary Issues to Consider	Signs of Physical Abuse
Physical Abuse Neglect and Inadequate Care (PBA) (ENR) (SAB/IBP)	Physical abuse is the non-accidental use of physical force or physical restraint or use of medication for control or to cause injury, physical pain, or discomfort.	<ol style="list-style-type: none"> Non-accidental use of physical force or physical restraint or use of medication for control bodily injury, physical pain, or discomfort bodily injury, physical pain, or discomfort (as determined) 	<p>Examples include, but are not limited to:</p> <p>General Considerations:</p> <ul style="list-style-type: none"> What are the indications, if any, that the client is being on the basis? <ul style="list-style-type: none"> PH, broken, punctured, swollen, injured, or lacerated Wound with or without an object Open unhealed laceration Unintentionally physically restrained when not medically authorized or given medication Unintentionally restricted mobility or movement Forceful Exposure of body or matter for a prolonged period or repeatedly Based on the location, appearance, type of injury (e.g. contusion, abrasion, and laceration), size & shape is accidental or intentional? Are there present and/or past signs in the relationship between the suspected abuser and the client? <ul style="list-style-type: none"> Is there a need for a safety plan? Are the client and suspected abuser known to APS because of prior requests? Is there an involvement investigation (e.g. a crime, e.g. assault, battery)? <p>Client Considerations:</p> <ul style="list-style-type: none"> Is the injury the result of a normal fall or slip or other event? 	<p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"> Swollen, redness, or bruising (for example, open lacerations when a wound is located along the axis of a limb) Scars from old lacerations (e.g. lacerations, scratches, or lacerations) Discoloration or bruising on arms, legs, or torso that is visible upon an inspection indicating physical restraint Signs of restricted limb and body flex Swollen from abuse (on the neck, on the face, on the torso, but bruising in the following areas are more likely to be from abuse than accidental) <ul style="list-style-type: none"> head, ear, back, neck, and neck arms, i.e., lateral or on the side of the arm (the thumb is not a primary area for bruising or other abuse of the arm) genitals inner of the foot underneath fingering (including chest, upper and lower back, and buttocks) Blurred bruising in the area (including the penis) has been clinically identified as not caused Altered contour of the nose (high forehead) could abuse

Inform the participants that you will be asking a question and requesting that they respond using the poll feature. This is an anonymous poll.

POLL QUESTION:

“Do you use the Consistency Matrix in your current investigations?”

Single Choice: Yes, No, Sometimes, Unsure.

Moderator launch poll and **give** participants 30 seconds to respond.

Share poll results.

- For those who indicated that they are using the Matrix, **ask** them to recall their experience with determining findings using the *Consistency Matrix*.
 - Solicit** one or two volunteers to please take themselves off mute to share verbally their experience, including the value they perceive in the matrix and any obstacles or confusion they encountered when attempting to determine a case finding.
 - Write down** on a piece of paper (for the trainer’s records) any responses that indicated problems with using or understanding the matrix and guiding principles and **coach** them through those problems during the practices.
 - Emphasize:** If participants are not using the Consistency Matrix in their agencies, encourage them to discuss with their Supervisors the possibility of implementing it. The Consistency Matrix can be thought of as investigation guide.

Slide #10: Reviewing the Columns (2 minutes)

Reviewing the Columns



California APS* Standards for Consistency in Determining Findings
* APS = Adult Protective Services, Client = older adult or adult with a disability

Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Physical Abuse
Physical Abuse Welfare and Institutions Code (WIC) 15620.2 (WIC15620.2)	Physical abuse is the use or threatened use of physical force that results or could have resulted in bodily injury or physical pain, or discomfort.	<ol style="list-style-type: none"> Non-accidental use of physical force or physical constraint or use of restraints for control and Bodily injury, physical pain, or physical distress occurred or Bodily injury, physical pain, or physical distress occurred could have occurred. 	<p>Examples include, but are not limited to:</p> <p>General Considerations</p> <ul style="list-style-type: none"> What are the situations, if any, that the client is living or has been? <ul style="list-style-type: none"> Use, misuse, neglect, shaming, shooed, or kicked Slammed against a wall Forcefully restrained when not medically authorized or when restraints inappropriate to level of mobility or consciousness Force feed Deprivation of food or water for a prolonged period or continually Based on the location, appearance, type of injury (e.g. bruising, lacerations, abrasions) and explanation, was it likely accidental or intentional? Are there power and control issues in the relationship between the suspected abuser and the client? Is there a need for a safety plan? Are the client and suspected abuser known to APS because of prior reports? Is law enforcement investigating this incident, e.g. assault, battery? <p>Client Characteristics</p> <ul style="list-style-type: none"> Is the injury the result of a normal part of aging or disease process? 	<p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"> Scrapes, abrasions, or lacerations (e.g. scratches, spinal fractures) whose location is reported along the axis of a bone? Bruise from such things as: cigarette, appliances, or hot water Abrasions or lacerations on arms, legs, or torso that resemble rope or strap marks indicating physical restraint Signs of traumatic head and neck loss Wounds from abuse can be categorized as the body, but focus on the following areas per most likely to be from abuse than accidental: <ul style="list-style-type: none"> Head, ear, face, nose, and neck Arms, i.e., lateral area (the side of the arm the thumb is on) or anterior area (the inside or palm side of the arm) Genitals Clit of the feet Distal lower back/neck Chest, upper and lower back, and buttocks Internal bruising to the arms (bruising the person has been shaken, pushed, or restrained) Internal bruising of the inner thighs

Direct participants to **Handout #1- The Consistency Matrix**. The participants should have already thoroughly reviewed the matrix as part of their pre-work; however, you may want to **briefly go over** again.

Explain that the primary columns they will refer to for this training’s set of practices are the “Signs of Abuse” column, the “Evidentiary Issues to Consider” column, and the “Essential Defining Elements” column.

- These columns make up the foundation upon which they will determine their findings and help relieve the “guessing game” in their everyday practice.
- For this training, we will be working through the columns from right to left.

Explain:

- The “Signs of Abuse” column contains examples of abuse indicators. Abuse indicators are observable signs that you can see or hear that may indicate that abuse is occurring. Indicators may be physical, behavioral, or environmental.
- The “Evidentiary Issues to Consider” contains questions you need to ask to consider other possible reasons that can explain suspected abuse.
- The “Essential Defining Elements” column contains the legal components interpreted from California Welfare and Institutions Code (W&IC).

Slide #11: Finding Standards (2 minutes)

Trainer Note: This slide is animated.



Finding Standards

 **Confirmed** = evidence reasonably **supports all** of the essential elements of the alleged abuse.

 **Inconclusive** = evidence reasonably **supports only some** of the essential elements of the alleged abuse.

 **Unfounded** = evidence reasonably **refutes** the essential elements of the alleged abuse.

Refer participants to **Handout #2- Guiding Principles** and its description.

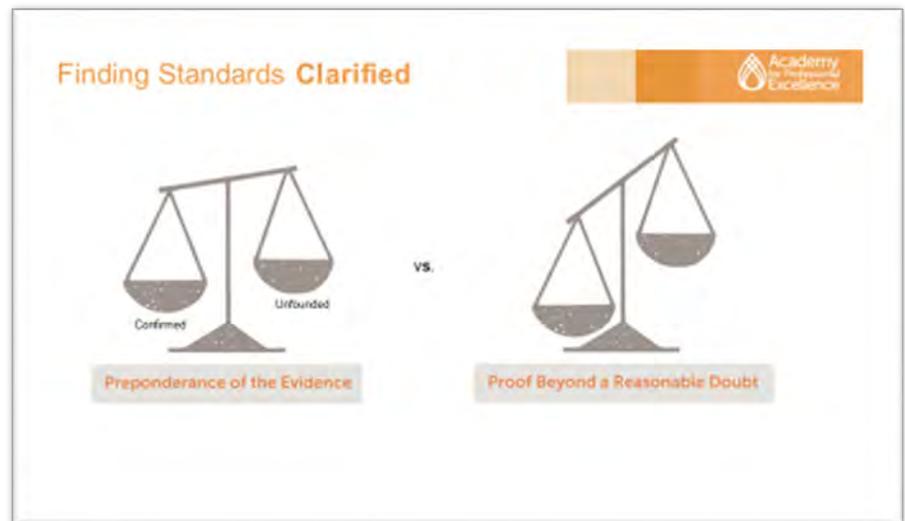
Review the definitions as how they are currently defined in the *Guiding Principles*.

- Confirmed = the information gathered must reasonably support all of the essential elements of the alleged abuse or neglect.
- Inconclusive = the information gathered reasonably supports only some of the essential elements of the alleged abuse or neglect.
- Unfounded = the information gathered reasonably refutes the essential elements of the alleged abuse or neglect.

Remind participants that the findings are a reflection and the information gathered. This does not make APS a judge or jury, but is a key component to their entire investigation. Findings give meaning to documentation and explanation of how you came to that determination, and why interventions were/were not offered.

Slide #12: Clarified Standards (3-5 minutes)

Trainer Note: This slide provides some additional clarity to the findings standards. It has the potential to elicit some discussion and provide insight as to why findings are inconsistent throughout the state.



Ask: “The Guiding Principles uses the term “reasonably” in each definition. What does reasonably mean to you?” **Ask** participants to either type in chat box or take themselves off mute to share.

- **Note** any differences shared.

Explain that the eLearning introduced us to the fact that definitions of findings are not addressed in statutes or regulations; therefore, they are interpreted through the CA Elder Abuse and Dependent Adult Civil Protection Act, and the use of Preponderance of Evidence in the civil world. Other CA programs use this standard; for example, Community Care licensing uses this standard when investigating abuse in a licensed facility. For these reasons, APS often uses the burden of proof: Preponderance of Evidence, which is lower than that used to legally convict someone of a crime (Beyond a Reasonable Doubt).

Explain that *preponderance of evidence* refers to having more evidence (or higher quality evidence) in favor of an allegation than not in favor, i.e. an objective review of the evidence revealing that the alleged abuse more likely occurred than not.

- **Point** out that “Confirmed” can be thought of as 51% or greater likelihood of supporting all legal elements based on using preponderance of evidence as the standard of proof.
- **Validate** that most APS professionals will want to be 99% sure, but that is not the burden of APS.
- Confidence in the evidence to arrive at a finding grows as both the quality and quantity of the evidence grows. At times, we just don’t have as much evidence as we would like to, but we are still determining findings based upon the definition of preponderance of evidence. This real life challenge mirrors some of the scenarios in this training, where there is room left wanting to know more.

Continued

Trainer Note: The concept that a confirmed finding using Preponderance of Evidence standard means abuse “most likely” occurred will come up in most scenarios. It will be important to reiterate it doesn’t mean that APS is 100% sure the abuse occurred based on evidence gathered. CDSS Community Care Licensing gives the explanation of 51% or more to explain Preponderance of Evidence and may make it easier for APS professionals to grasp the standard.

Explain that the basis of “Unfounded” is almost the opposite of confirmed, being 49% or less likelihood of supporting all legal elements based on a preponderance of evidence. It does not mean that one must find evidence to *refute*, or disprove, the legal components of the abuse; it means that the evidence gathered is more unlikely than likely to support the abuse allegation.

Share that “Inconclusive” which is insufficient evidence to support a finding but that also does not remove doubt that abuse occurred. **Emphasize** that the “inconclusive” finding applies **only** when the other two findings are not met and it, in and of itself, should not be the default finding. This does not mean that findings of Inconclusive will be reduced to nothing, nor go away.

It also doesn’t mean that you will have 50% of cases Confirmed and 50% Unfounded, The percentages used for Preponderance of Evidence refer to the likelihood that abuse happened or did not happen, based on the evidence obtained and how the evidence measures up to the Essential Defining Elements for that type of abuse.

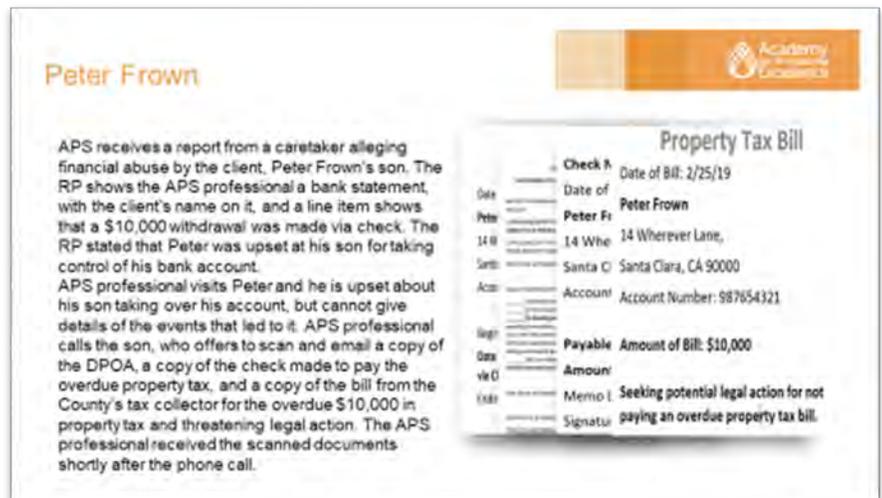
Transition into a brief explanation that their experience in this class should help them to more clearly understand the findings standards and to more effectively use the matrix to increase the accuracy in their findings.

Slide #13: Peter Frown (2 minutes)

Trainer Note: The samples of evidence are very obviously made up for this training. Acknowledge this and ask participants to imagine they are official documents.

They are animated on the slide to appear and disappear as you talk through the scenario.

Moderator Note: This scenario includes a poll question in which the participants will be voting Confirmed, Inconclusive, or Unfounded. You may want to prepare the poll question in advance.



Activity #2: Working through the Matrix, Peter Frown: (7 min)

Explain that you will now demonstrate how to use the matrix using the Peter Frown Scenario, comparing a sample piece of evidence to the columns in the Consistency Matrix, to determine which type of abuse it could support based on only this information. Sometimes APS doesn't have any further information for various reasons.

Inform them that after working through the example with the matrix, they will be taking a poll voting if the allegations are confirmed, inconclusive, or unfounded.

Refer participants to **The Consistency Matrix** (for participants to follow along with the trainer), **Handout #3-Bank Statement through Handout #6-Property Tax Bill**. Provide the page number in their participant manual where these can be found.

Click to display the scenario and **solicit** a volunteer to unmute themselves and read aloud the following scenario. When it mentions the bank statement, **click** to display the bank statement. **Repeat** that process for mentioning of DPOA, Check, and Property Tax Bill.

Peter Frown Scenario:

APS receives a report from a caretaker alleging financial abuse by the client, Peter Frown's son. The RP shows the APS professional a bank statement, with the client's name on it, and a line item shows

that a \$10,000 withdrawal was made via check. The RP stated that Peter was upset at his son for taking control of his bank account.

The APS professional visits Peter and he is upset about his son taking over his account, but cannot give details of the events that led to it. The APS professional calls the son, who offers to scan and email a copy of the DPOA, a copy of the check made to pay the overdue property tax, and a copy of the bill from the County's tax collector for the overdue \$10,000 in property tax and threatening legal action. The APS professional received the scanned documents shortly after the phone call.

Slide #14: Using the Matrix with Evidence (5 minutes)

Trainer Note: This slide is animated to click through your thought process applying the evidence to the Matrix.

Using the Matrix with Evidence:

Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Financial Abuse
Financial Abuse WAC 162-10-30	Financial abuse is the illegal or improper use of a client's funds, property or assets. "HOPE: "Unlawful Deprivation" means economic deprivation that causes another person to act or refrain from acting by unlawfully obtaining that person's free will and results in injury. Refer to WAC 162-10-30	1. Funds, property or assets belonging to the client. 2. Have been taken, secreted, appropriated, and/or retained, possibly through the use of undue influence." and 3. For a wrongful use (likely to be harmful to the client). and 4. With intent to defraud.	Examples include, but are not limited to: GENERAL CONSIDERATIONS <ul style="list-style-type: none"> What are the indications, if any, that the client is being or has been financially exploited by someone, e.g. <ul style="list-style-type: none"> Confiscating a client's check or using/issuing a client's debit card without authorization or permission Forging the client's signature Misusing or clearing the client's money or possessions Taking the client's funds or property by using undue influence Coercing or deceiving the client into signing a document (e.g., contracts, real estate, reverse mortgage/loans, trusts or will) Improperly assigning the duties of conservatorship, guardianship, or powers of attorney Scams such as ID theft, telemarketing/fraudulent investment/annuity/insurance/ grandparent scams, trust pills, unlicensed non-traders. When making the financial decisions and are the decisions being made in the client's best interest? Does the suspected abuser exploit the client's incapacitation status or other the signs of stress, ill, or taking mentally impairing medications? Is the suspected abuser targeting vulnerabilities (e.g. lack of money, health, physical abilities, memory) if the client does not comply with demands for money or signatures or takes advantage of weaknesses? 	Examples include, but are not limited to: <ul style="list-style-type: none"> Unpaid bills, unpaid taxes or failure to disclose an address Withdrawals from bank accounts or the client's credit cards or the explanation suggests depletion or misappropriation of the client Bank statements and canceled checks no longer delivered to the client's home Have "best friends" who take an interest in the client's finances Legal documents (e.g., powers of attorney) the client did not understand when signing or understood but were signed under duress or because of manipulation Consent ability to the client's bank accounts, including to go unexplained withdrawals, frequent transfers or ACH withdrawals Changes in spending or financial management habits (e.g., pay check goes to client and is now spending a lot) A suspected abuser's excessive interest in the amount of money spent on the client Missing belongings or property Suspicious signatures on checks or other documents

Explain that this is a Financial Abuse Allegation and **refer** participants to the page numbers on the matrix for Financial Abuse.

1. **Talk** through your thought process with the group as you review the signs of abuse and make your determination. You will be doing this while referring to the Matrix with the class following along with you so that they can see the Matrix being applied to the scenario. **Click** through each section to animate the arrows on the slide.
 - a. **Signs of Financial Abuse**>Withdrawals from bank accounts or transfers between accounts that the client cannot explain.
2. From there, **review** the evidentiary considerations to determine if there are other possible explanations for the alleged abuse.
 - a. **Evidentiary Issues to Consider**>who is making the financial decisions and are the decisions being made in the client's best interest?
3. **Talk** through your thought process through your review with the group and as you make your determination.
4. **Explain** that if the evidence still reflects potential abuse, then analyze the legal components ("Essential Defining Elements") to confirm that the evidence either does or does not support all the components.
 - a. **Essential Defining Elements**> 1. Funds belong to the client, 2. Funds have been taken, 3. Not for a Wrongful Use, but to protect the client.
5. Remind participants that for a finding of "confirmed," each element in the "Essential Defining Elements" column must be met by at least one form of evidence.
6. **Inform** the participants that you will be launching an anonymous poll based upon the above information discussed.
7. **Poll Question (single choice):**
 - a. Is the allegation of Financial Abuse Confirmed, Inconclusive, or Unfounded?

- b. **Moderator launch** poll and **ask** participants to vote which finding they believe is true: Confirmed, Inconclusive, or Unfounded.
8. **Share** the polling results and **reveal** that the allegation of financial abuse in this case is **UNFOUNDED**.

HANDOUT #3-BANK STATEMENT

Date of Bank Statement: Aug 16, 2020

Peter Frown

14 Wherever Lane,

Santa Clara, CA 90000

Account Number: 987654321

Beginning Balance: \$75,230.78

**Date and Amount = \$10,000 withdrawal
via Check #000**

Ending Balance: \$65,230.78

HANDOUT #4- DPOA

CALIFORNIA GENERAL DURABLE POWER OF ATTORNEY

THE POWERS YOU GRANT BELOW ARE EFFECTIVE EVEN IF YOU BECOME DISABLED OR INCOMPETENT

NOTICE TO PERSON ACCEPTING THE APPOINTMENT AS ATTORNEY-IN-FACT - RESPONSIBILITIES INCLUDE:

- 1. THE LEGAL DUTY TO ACT SOLELY IN THE INTEREST OF THE PRINCIPAL AND TO AVOID CONFLICTS OF INTEREST.**
- 2. THE LEGAL DUTY TO KEEP THE PRINCIPAL'S PROPERTY SEPARATE AND DISTINCT FROM ANY OTHER PROPERTY OWNED OR CONTROLLED BY YOU.**

Date, Name and Signature of **Agent (aka Attorney-in-Fact)**: Son of Frown

Scope of Authority (initialed):

_____ (A) Real property transactions. _____ (B) Tangible personal property transactions.
 _____ (C) Stock and bond transactions. _____ (D) Commodity and option transactions. _____
(E) Banking and other financial institution transactions. _____ (F) Business operating transactions. _____ (G) Insurance and annuity transactions. _____ (H) Estate, trust, and other beneficiary transactions. _____ (I) Claims and litigation. _____ (J) Personal and family maintenance. _____ (K) Benefits from Social Security, Medicare, Medicaid, or other governmental programs, or military service. _____ (L) Retirement plan transactions. _____ (M) Tax matters.
PF _____ (N) ALL OF THE POWERS LISTED ABOVE. (It is most common that this box is initialed)

Date, Name and Signature of Principal (**aka the APS Client**): Peter Frown _____ 01/01/2020 _____

CERTIFICATE OF ACKNOWLEDGMENT OF NOTARY PUBLIC

STATE OF CALIFORNIA COUNTY OF Los Angeles. This document was acknowledged before me on 01/01/2000 [Date] by Peter Frown [name of principal].

[Notary Seal]:



HANDOUT #5- BANK CHECK**Check Number: #000**

Date of Check: 08/15/2020

Peter Frown

14 Wherever Lane,

Santa Clara, CA 90000

Account Number: 987654321

Payable to: Property Tax Collector**Amount = \$10,000**

Memo Line

Signature

HANDOUT #6-PROPERTY TAX BILL

Date of Bill: 06/25/2020

Peter Frown

14 Wherever Lane,

Santa Clara, CA 90000

Account Number: 987654321

Amount of Bill: \$10,000

Seeking potential legal action for not paying an overdue property tax bill.

Slide #15: Janice Pho (1 minute)

Moderator Note: This scenario includes a poll question in which the participants will be voting Confirmed, Inconclusive, or Unfounded. You or the moderator may want to prepare the poll question in advance.

**Using the Matrix with Evidence:
Janice Pho**

APS receives a report from the Regional Center alleging sexual abuse. Their 20-year-old consumer with an intellectual disability is pregnant. The APS professional interviews the client, Janice Pho, who says that her cousin, who moved into her home a few months ago to work for her dad, took her for a ride in the mountains. When she said it was time for her to go home, he said that he would not drive her back unless she had sex with him. She said that she didn't want to, but he threw the keys in the backseat of the car until she would have sex with him. She reported, "I had to have sex with him so that I could get home".

SOC 341

Date of Report to APS: 2/05/2019
 Alleged Victim: Janice Pho
 Suspected Abuser: Victim's Cousin
 Reporting Party (RP): Regional Center

Allegation: Sexual Abuse of 20yo Dependent Adult with an Intellectual Disability

Observations: Alleged Victim said to RP that she did not consent, and RP reports that the Alleged Victim is pregnant.

Activity #3: Working through the Matrix, Janice Pho: (5 min)

Explain that you will demonstrate again how to use the matrix using the Janice Pho Scenario using the Consistency Matrix.

Inform them that after working through the example with the matrix, they will be taking a poll voting if the allegations are confirmed, inconclusive, or unfounded.

Refer participants to **The Consistency Matrix and Handout #7- SOC 341**, in the participant manual, and **encourage** them to follow along with you.

Click to display the scenario and **solicit** a volunteer to read the scenario.

Janice Pho Scenario:

APS receives a report from the Regional Center alleging sexual abuse. Their 20yo consumer with an intellectual disability is pregnant. The APS professional interviews the client, Janice Pho, who says that her cousin, who moved into her home a few months ago to work for her dad, took her for a ride in the mountains. When she said it was time for her to go home, he said that he would not drive her back unless she had sex with him. She said that she didn't want to, but he threw the keys in the backseat of the car until she would have sex with him. She reported, "I had to have sex with him so that I could get home".

HANDOUT #7- SOC 341

Date of Report to APS: 2/05/2019

Alleged Victim: Janice Pho

Suspected Abuser: Victim's Cousin

Reporting Party (RP): Regional Center

**Allegation: Sexual Abuse of 20 y/o
Dependent Adult with an Intellectual
Disability**

Observations: Alleged Victim said to RP that she did not consent, and RP reports that the Alleged Victim is pregnant.

Slide #16: Using the Matrix with Evidence (4 minutes)

Trainer Note: This slide is animated to click through your thought process applying the evidence to the Matrix.

Using the Matrix with Evidence:

Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Sexual Abuse
Sexual Abuse SOC 316.22.03 (a)	Sexual Abuse is nonconsensual sexual contact of any kind with a client, in which such is not forced or threatened <ul style="list-style-type: none"> • Unwanted touching • All types of sexual assault or battery such as rape, sodomy, and coerced nudity • Sexually explicit photography • Forced exposure to pornography • Unwanted sexual relations with a spouse, partner, significant other or anyone else. 	1. Evidence a sexual TOUCHED or relations occurred and 2. The incident or situation is UNWANTED or non-consensual in nature.	Examples include, but are not limited to: General Considerations <ul style="list-style-type: none"> • What are the indications, if any, that the client is being or has been: <ul style="list-style-type: none"> – Touched in an unwanted fashion – Raped, sodomized, or forced to take off his/her clothes – Photographed in a sexually explicit way – Forced to look at pornography – Pressured/coerced to have unwanted sexual relations with a spouse, partner, significant other or anyone else. Client Considerations <ul style="list-style-type: none"> • Are there power and control issues in the relationship between the suspected abuser and the client? • Is there a need for a safety plan? • Are the client and suspected abuser known to APS because of prior reports? • Is law enforcement investigating this as a crime (i.e. sexual assault, sexual battery, rape, etc.)? 	Examples include, but are not limited to: <ul style="list-style-type: none"> • Genital or anal pain, irritation or bleeding • Bruising on external genitalia or inner thighs • Difficulty walking or sitting • Torn, stained or bloody underclothing • Client's intimate body parts are treated roughly while receiving care, such as when being cleaned or dressed. • Client forced to watch pornography on the television and/or computer • Client is newly diagnosed with a sexually transmitted disease • Abnormal assessment and lab work, including a medical opinion supports the report of sexual assault • The dependent adult is pregnant • Sudden, marked change in personality or demeanor

- Talk** through your thought process with the group as you review the signs of abuse and make your determination. You will be doing this while referring to the Matrix with the class following along with you so that they can see the Matrix being applied to the scenario.
 - Signs of Sexual Abuse**>*The dependent adult is pregnant according to SOC 341*
- From there, **review** the evidentiary considerations to determine if there are other possible explanations for the alleged abuse.
 - Victim's testimony to APS professional as evidence of no consent (Evidentiary Issues to Consider**> *was the client coerced or pressured into the sexual act?*).
- Talk** through your thought process as you make your determination.
- Explain** that if the evidence still reflects potential abuse, then analyze the legal components ("Essential Defining Elements") to confirm that the evidence either does or does not support all the components.
 - Essential Defining Elements**>1. A sexual situation occurred, 2. The situation was unwanted and nonconsensual in nature...
 - It's important to remind participants that the Guiding Principles state, "In general, believe the client especially when he/she recounts or describes abuse suffered."
 - You may also want to discuss the practice of assuming client has capacity until otherwise determined by a mental health professional or court.
- Inform** the participants that you will be launching an anonymous poll based upon the above information discussed.
- Poll Question (single choice):**
 - Is the allegation of Sexual Abuse Confirmed, Inconclusive, or Unfounded?

Continued

- b. **Moderator launch** poll and **ask** participants to vote which finding they believe is true; Confirmed, Inconclusive, or Unfounded.
 - c. **Share** the polling results and **reveal** that the allegation of sexual abuse in this case is **CONFIRMED**.
7. **Remind** participants that for a finding of “Confirmed,” **each** element in the “Essential Defining Elements” column must be met by at least one form of evidence.
- a. **In this situation, based on what you have, it is more likely than not that the sexual abuse occurred.**

SKILL PRACTICE: DETERMINING FINDINGS**Time Allotted: 55 minutes****Slide #17: Scenario #1 (8 minutes)**

Moderator Note: This scenario includes a poll question in which the participants will be voting Confirmed, Inconclusive, or Unfounded. You or the moderator may want to prepare the poll.

Scenario #1

An 83 year old woman, has In-Home Supportive Services (IHSS) and gives her in-home provider her jewelry for safekeeping while she goes to the hospital for surgery. Upon her discharge from the hospital, the client asks the provider to bring back her jewelry. The provider keeps forgetting to return it. The client tells this to her Home Health Nurse, who in turn files a report with APS.

The APS professional meets with the client who states that she has been home from the hospital for 3 days and has asked the provider to bring back her jewelry 2 different times, and the provider has failed to do so.

The APS professional then meets with the provider who states that she keeps forgetting to return the jewelry; however, will try to remember to bring the jewelry back to the client.



Activity #4- Skill Practice-Scenario #1 (8 min)

Explain that this next portion of this training will give them time to practice their ability to:

1. Evaluate evidence for abuse indicators
2. Determine if the evidence meets the abuse's legal components
3. Explain how the evidence meets the abuse's legal components
4. Assign a finding(s)
5. The chat box will be used for the report out.

Trainer Note: If necessary, explain that one case can have multiple allegations, thus multiple findings. Also note that an allegation might come to your attention as one potential type of abuse, but through the investigation, you find different types of abuse, thus multiple findings.

Tell them that the materials and resources they will use for this skill practice are:

- Consistency Matrix
- Finding Standards

Explain that we will work through this first scenario together.

Inform them that after working through the example with the matrix, they will be taking a poll voting if the allegations are confirmed, inconclusive, or unfounded.

Ask a volunteer to unmute to read aloud Scenario 1 to the class.

SCENARIO 1

An 83 year old woman, has In-Home Supportive Services (IHSS) and gives her in-home provider her jewelry for safekeeping while she goes to the hospital for surgery. Upon her discharge from the hospital, the client asks the provider to bring back her jewelry. The provider keeps forgetting to return it. The client tells this to her Home Health Nurse, who in turn files a report with APS.

The APS professional meets with the client who states that she has been home from the hospital for 3 days and has asked the provider to bring back her jewelry 2 different times, and the provider has failed to do so.

The APS professional then meets with the provider who states that she keeps forgetting to return the jewelry; however, will try to remember to bring the jewelry back to the client.

After the scenario is read, **engage** the participants as follows:

First, **ask** participants to identify what type of abuse that the scenario is referring to and put that information into the chat box with the corresponding page from the Matrix.

Then, **inform** the participants that they have 1 minute to review the Signs of Abuse and type in chat box the possible signs of abuse if any but to wait to press enter until prompted to do so. After a minute, **ask** them to press enter and **read** the responses.

Next, **ask** them to review the evidentiary considerations for 1 minute to determine if there are other possible explanations for the alleged abuse. **Ask** them to type in the chat box if any but to wait to press enter until prompted to do so. After a minute, **ask** them to press enter and **read** the responses.

Next, if the evidence still reflects potential abuse, then **ask** them to then analyze the legal components (“Essential Defining Elements”) for 1 minute to confirm that the evidence either does or does not support all the components. **Ask** them to type in the chat box their analysis but wait to press enter until prompted to do so. After a minute, **ask** them to press enter and **read** the responses.

Poll Question (single choice)

- Is the allegation of Financial Abuse Confirmed, Inconclusive, or Unfounded?
- Moderator launch** poll and **ask** participants to vote which finding they believe is true; Confirmed, Inconclusive, or Unfounded.
- Share** the polling results.
- Inform** participants that the correct answer will not be shared because the scenario will continue in their breakout sessions.

Slide #18: Scenario #2 (22 minutes)

Moderator Note: Ideally, you want no more than 4 groups (4-5 participants in each group).

Scenario #2

In your assigned breakout group:

1. Evaluate evidence for abuse indicators
2. Determine if the evidence meets the abuse's legal components
3. Explain how the evidence meets the abuse's legal components
4. Assign a finding(s)

Activity #5: Skill Practice-Scenario #2 (35 min with report out)

Explain that for the next portion of this training, they will work in groups in their breakout rooms for this scenario. **Explain** that each group needs to choose a team lead to report out when we get back together.

They have **20 minutes** to complete this practice and they will:

1. Evaluate evidence for abuse indicators
2. Determine if the evidence meets the abuse's legal components
3. Explain how the evidence meets the abuse's legal components
4. Assign a finding, using the first page on **Handout #8- Finding Report Template** in their Participant Manual
 - a. **Explain**, if this is all they had, if they didn't have an opportunity to investigate more, what would their case finding be?
 - b. **NOTE:** this may be challenging for APS professionals to come up with, as they will want more information, but explain sometimes you don't get to have a full investigation due to a variety of circumstances.

Explain that you will join each breakout room to find out who team leads are for report out and to provide guidance during the activity, but they are also able to be request you via the Request Assistance if they need help earlier.

Instruct them to refer to their *Matrix* and finding standards to guide them for this practice.

Explain that this scenario is a continuation of the original scenario with changes to the situation. Each team will review **Scenario #2** in the participant manual and determine the finding(s).

Solicit a volunteer to unmute to read aloud Scenario #2, which is located in the Participant Manual, to the class.

Scenario #2:

The Home Health Nurse returns in a couple of days to follow up with the client. She notices that the client's in-home provider has not filled her prescription. The client confirms that her in-home provider receives time for errands that includes picking up her prescription, but that her provider has not been able to get it from the pharmacy. The client adds that she lent her provider \$400 dollars, and the provider has not paid her back. The client also says that her provider returned the jewelry. The provider comes daily. The nurse reports this additional information to APS. When the APS professional meets with the client, she confirms everything that the nurse reported to APS.

Remind participants of the previous scenario and the poll answer they voted for. **Share** that the jewelry has been returned, thus resolving that allegation. **Explain** that we're moving into our breakout rooms and there may now be potential for new allegations.

Trainer Note: This scenario contains an abuse allegation containing two types of abuse, two abuse indicators, and two pieces of evidence.

Trainer Note:

- Join each breakout room *only once* to offer guidance or assistance and collect the team lead's name for report out. This will make for a smoother and quicker report out.
- Remain present virtually so team members are aware of your availability.
- When joining each team virtually, if a given team you are observing is still in the process of determining the correct answers, remain to observe what answers they get and provide feedback to them.
- If a given team has already determined their answers, solicit their answers
 - If they determined the correct answers for all items, validate their answers.
 - If they determined incorrect answers to any of the three items, ask them to explain how they came to their answer(s) and point out where they could rethink their answer.

Moderator launch groups and remind participants to click "join group".

- After 17 minutes, **send** a message that they have 2 minutes left.
- **Close** groups.

Slide #19: Answer Key Scenario #2 (18 minutes)

Trainer Note: This slide is animated to first hear all of the report out and then click the answer and explanation for both allegations.

The slide is titled "Answer Key: Scenario #2" and features the "Academy of Excellence" logo in the top right corner. It is divided into two columns. The left column is titled "Neglect-by-Other" and lists one indicator: "Provider not picking up the client's Rx from the pharmacy." Under "Evidence," it lists two items: "Client's statement to the Nurse regarding unfilled Rx." and "Client confirmed with APS." The finding is listed as "Confirmed". The right column is titled "Financial Abuse" and lists one indicator: "Provider borrowing \$400 from client and not paying back." Under "Evidence," it lists one item: "Client confirmed that she loaned the provider \$400." The finding is listed as "Inconclusive" with a note: "***Preponderance of Evidence".

Report Out: (15 minutes)

Allow time for the participants to settle back in.

1. **Ask** for the team lead from each group to unmute themselves and report out their findings and explanation for the findings.
2. Once all findings have been reported, **share** the answer key (detailed answer key for Trainer on next page).
 - a. **Remind** participants that "Inconclusive" is insufficient evidence to support a finding, but that also does not remove doubt that abuse occurred.
 - b. **Remind** participants that APS threshold for Confirmed is that the abuse more likely than not occurred **and** the evidence supports all essential defining elements. Confidence in the evidence to arrive at a finding grows as both the quality and quantity of the evidence grows.
 - i. **Discuss** that in our investigations, there is always the chance we may find out more information or receive evidence later that may change a finding. At this time, the finding would be inconclusive.

ANSWER KEY 22 kinds of abuse to be identified

Financial Abuse

Neglect-by-Other

2 Indicators

1 indicator of financial abuse (Financial Abuse indicator) – Provider borrowing money from client and not paying her back.

1 indicator of neglect by other - (Neglect by Other indicator)- Not picking up the client's prescription from the pharmacy.

2 pieces of evidence

- The Nurse's statement that client has not filled her prescription, because client says that provider has not been able to get it from the pharmacy (meets Neglect by Other Essential Defining Elements #1 & #3).
- The caretaker relationship established by the alleged perpetrator being an IHSS provider (meets Neglect by Other Essential Defining Elements #2).

2 Findings

- **Neglect by Other is Confirmed.** It is reasonable for client to expect that her IHSS provider who comes everyday would have filled the needed prescription already. This is especially reasonable because the client just came out of the hospital and the Home Health Nurse is expressing concern about it.
- **Financial Abuse is Inconclusive.** The client states that she lent \$400 (meets Financial Abuse Essential Defining Elements #1), and that the provider is not paying her back (meets Financial Abuse Essential Defining Elements #2). However, we have not established that the provider will not pay her back. Yet, it's not unreasonable to wonder if the provider will pay her back, therefore depriving the client from her personal property. Financial Abuse Essential Defining Elements #3 [wrongful use] or #4 [intent to defraud] have not been met, but we cannot remove doubt because client still doesn't have her money back.
- **NOTE:** If the provider does not pay her back for a longer period of time, then the quality of this evidence would increase to likely become financially abusive.

HANDOUT #8- FINDING REPORT TEMPLATE

FINDING REPORT

Name _____

Scenario # _____

Type of abuse suspected	What are the indicators of abuse?
<input type="checkbox"/> Physical <input type="checkbox"/> Psychological <input type="checkbox"/> Sexual <input type="checkbox"/> Abandonment <input type="checkbox"/> Financial <input type="checkbox"/> Isolation <input type="checkbox"/> Neglect <input type="checkbox"/> Abduction <input type="checkbox"/> Self-neglect	

Evidence meets ALL legal components? (“Essential Defining Elements” column, <i>Consistency Matrix</i>)			
YES		NO	
What are the chances the evidence supports all the elements?		Does the evidence still leave doubt whether the abuse occurred?	
≥51%	≤49%	NO	YES
CONFIRMED	UNFOUNDED		INCONCLUSIVE
Indicate how the evidence meets (confirmed), does not meet (unfounded) each legal component; or cannot be confirmed or unfounded, but still leaves doubt (inconclusive).			

FINDING REPORT

Name _____

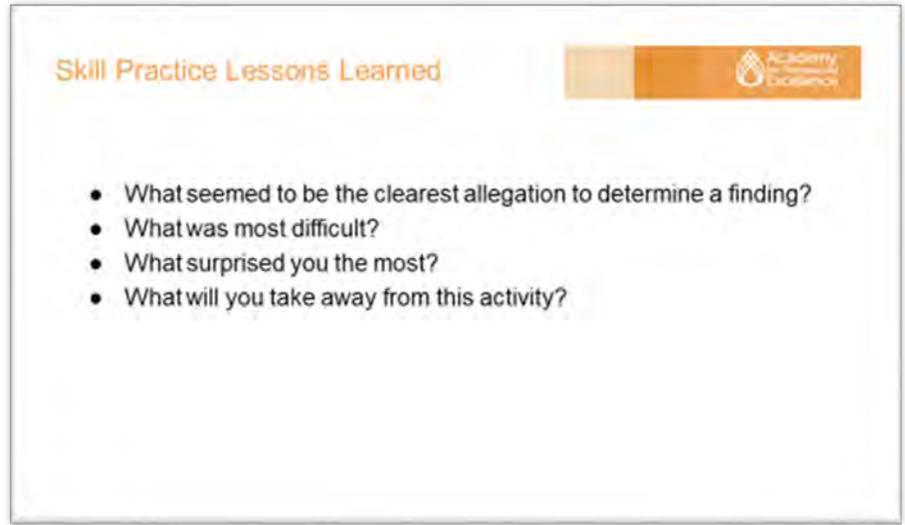
Scenario # _____

Type of abuse suspected	What are the indicators of abuse?
<input type="checkbox"/> Physical <input type="checkbox"/> Psychological <input type="checkbox"/> Sexual <input type="checkbox"/> Abandonment <input type="checkbox"/> Financial <input type="checkbox"/> Isolation <input type="checkbox"/> Neglect <input type="checkbox"/> Abduction <input type="checkbox"/> Self-neglect	

Evidence meets <u>ALL</u> legal components? (“Essential Defining Elements” column, <i>Consistency Matrix</i>)			
YES		NO	
What are the chances the evidence supports all the elements?		Does the evidence still leave doubt whether the abuse occurred?	
≥51%	≤49%	NO	YES
CONFIRMED	UNFOUNDED		INCONCLUSIVE

Indicate how the evidence meets (confirmed), does not meet (unfounded) each legal component; or cannot be confirmed or unfounded, but still leaves doubt (inconclusive).

--

Slide #20: Lessons Learned (6-11 minutes)

Skill Practice Lessons Learned

- What seemed to be the clearest allegation to determine a finding?
- What was most difficult?
- What surprised you the most?
- What will you take away from this activity?

Depending on time, **cover** the following questions in one of two ways:

Option 1: Group Discussion (10 min)

Solicit 1-2 volunteers for each question. **Have** the participant unmute themselves and give feedback.

- This is particularly helpful when participants seem concerned about how to come to consistent determinations within their own APS programs.

Option 2: (Individual Reflection) (5 min)

Ask participants to write down the answers to the questions in their participant manuals.

- **Encourage** them to discuss with lead staff or Supervisor when returning to the field.

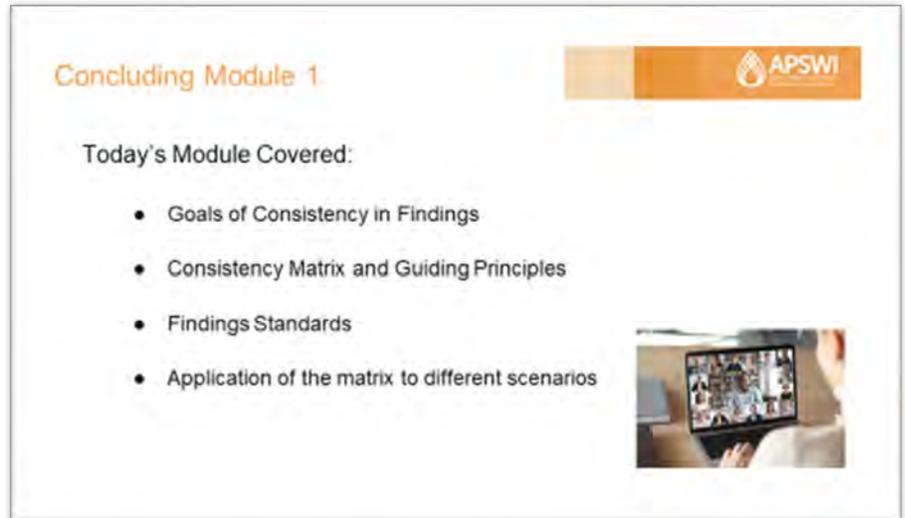
Lessons Learned Questions:

- What seemed to be the clearest allegation to determine a finding?
- What was most difficult?
- What surprised you the most?
- What will you take away from this activity?

WRAP UP AND EVALUATIONS

Time Allotted: 10-15 minutes

Slide #21: Concluding Module 1 (1 minute)



Concluding Module 1

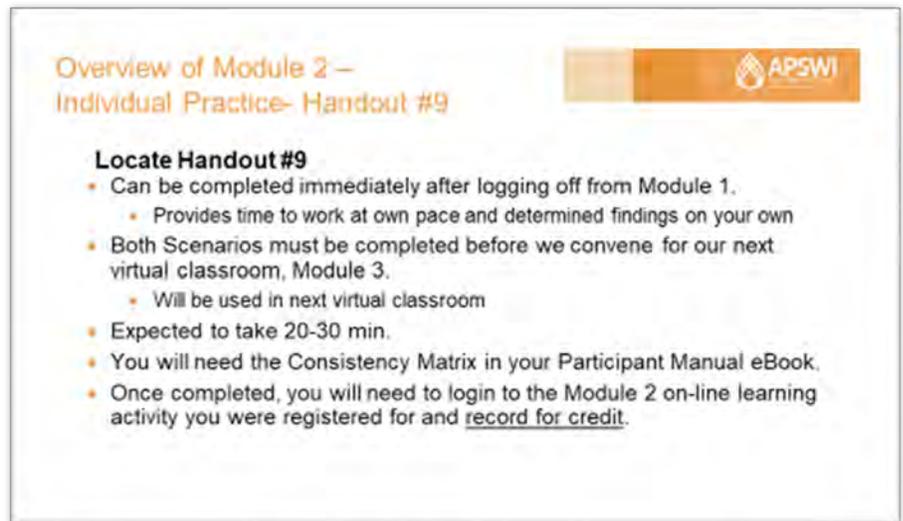
Today's Module Covered:

- Goals of Consistency in Findings
- Consistency Matrix and Guiding Principles
- Findings Standards
- Application of the matrix to different scenarios

Remind participants that the goals of this skill-building virtual training is to provide you the opportunity to practice, try it out with colleagues and understand the process of using the Matrix and understanding the Finding Standards. When all levels of an APS program are working with the same tools and guidance, we can have higher rates of consistency in APS professionals' findings.

Paraphrase what was covered in Module 1, which included:

- Reviewing the consistency Matrix and Guiding Principles
- Reviewing the Findings Standards
- Application of the matrix to different scenarios

Slide #22: Overview of Module 2-Individual Practice (2 minutes)

Overview of Module 2 – Individual Practice- Handout #9

Locate Handout #9

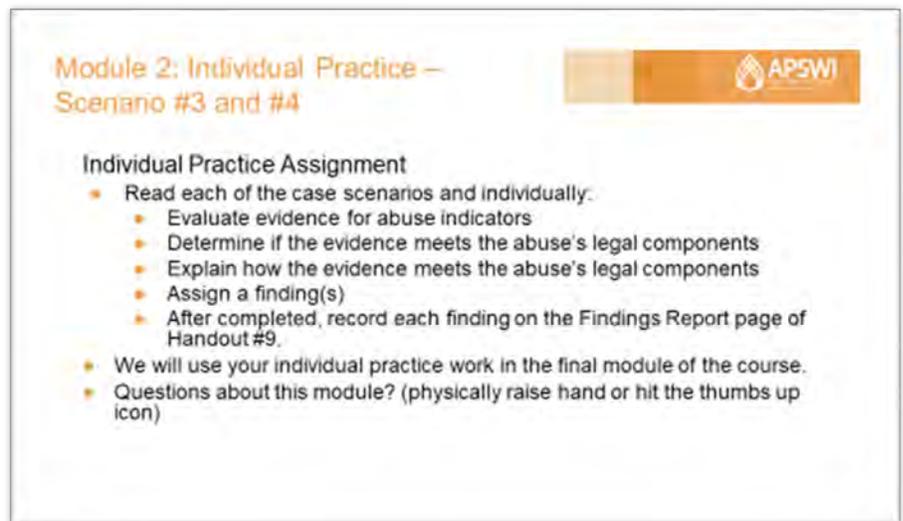
- Can be completed immediately after logging off from Module 1.
 - Provides time to work at own pace and determined findings on your own
- Both Scenarios must be completed before we convene for our next virtual classroom, Module 3.
 - Will be used in next virtual classroom
- Expected to take 20-30 min.
- You will need the Consistency Matrix in your Participant Manual eBook.
- Once completed, you will need to login to the Module 2 on-line learning activity you were registered for and record for credit.

Explain that in order to complete Module #2, they need to work on an individual practice on their own.

Refer participants to **Handout #9- Individual Practice (Module 2) Worksheet** and **ensure** they've located it before moving forward.

Explain the following:

- It's expected to take them approximately 30 min and can be completed immediately following them logging off, as time was built in for this. However, they can do it later in the day if it is more convenient, but it is required to be completed before attending Module 3, our next virtual classroom.
- Participants will be utilizing their Consistency in Findings Matrix to work through the scenarios on **Handout #9**.
- Once they have completed the worksheet in their participant manual, they will need to enter their findings in the online learning activity in order to receive credit. They will be registered for this online learning activity and the link will be provided within their registration email.

Slide #23: Individual Practice Scenario #3 and Scenario #4 (2 minutes)

Module 2: Individual Practice – Scenario #3 and #4

Individual Practice Assignment

- Read each of the case scenarios and individually:
 - Evaluate evidence for abuse indicators
 - Determine if the evidence meets the abuse's legal components
 - Explain how the evidence meets the abuse's legal components
 - Assign a finding(s)
 - After completed, record each finding on the Findings Report page of Handout #9.
- We will use your individual practice work in the final module of the course.
- Questions about this module? (physically raise hand or hit the thumbs up icon)

Individual Practice Instructions

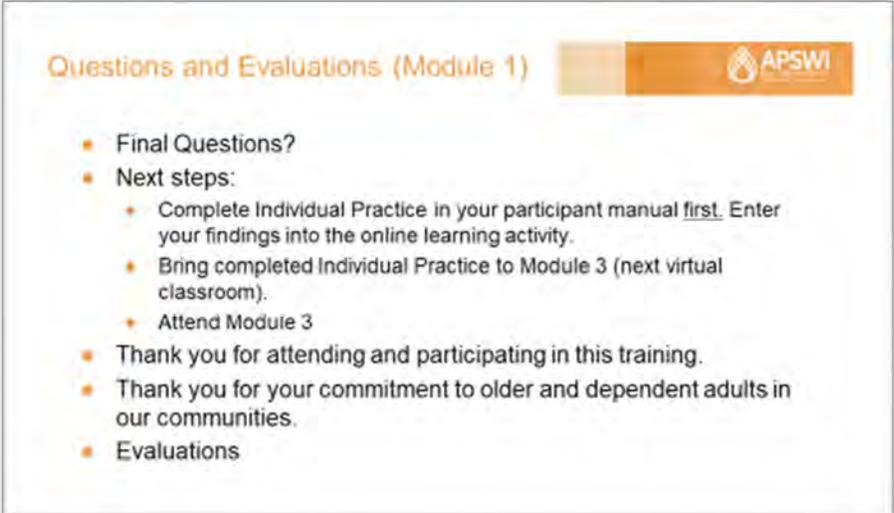
Share that the bulk of Module 2 is **Handout #9- Individual Practice (Module 2) Worksheet**.

Instructions:

Explain that on their own, they will

1. Individually review Scenarios #3 & #4 on **Handout #9- Individual Practice (Module 2) Worksheet**.
 - a. Before the next virtual classroom, determine findings for each scenario. **Explain** this is a continuation of the previous scenarios and there is potential for new allegations and for previous allegations to have been resolved.
2. **Inform** participants that during Module 3 of this training, they will be reviewing each other's determinations as a team and come to a consensus on which determination should be presented. Therefore, they must have this completed before logging in for our next virtual classroom.
3. **Remind** them in order to get credit for this module, they need to enter the findings they determined in their worksheet into the online learning activity.
4. **Share** that if they have difficulties logging into the online learning activity, to contact the training host.
 - a. **Moderator** to provide contact information in chat box.

Trainer Note: This scenario contains one new type of abuse (resolving the previous two types), three abuse indicators, and three pieces of evidence.

Slide #24- Final Questions and Evaluations (4 minutes)

Questions and Evaluations (Module 1)

- Final Questions?
- Next steps:
 - Complete Individual Practice in your participant manual first. Enter your findings into the online learning activity.
 - Bring completed Individual Practice to Module 3 (next virtual classroom).
 - Attend Module 3
- Thank you for attending and participating in this training.
- Thank you for your commitment to older and dependent adults in our communities.
- Evaluations

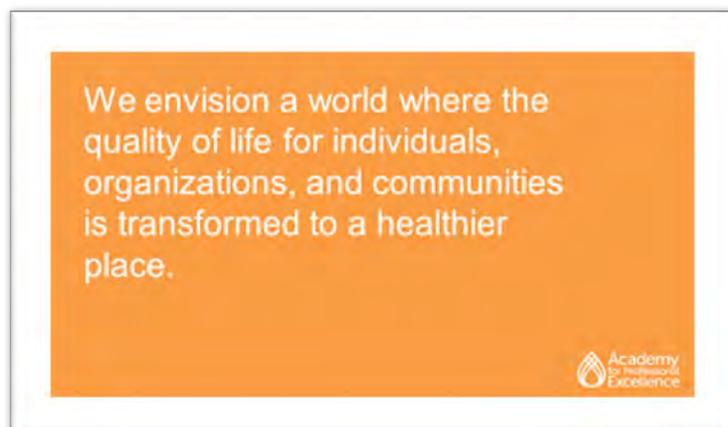
Ask if there are any questions regarding today's session or next steps before completing evaluations and logging off.

Ensure that participants are clear on expectations for Module 2 (Individual Practice) and Module 3 (Virtual Classroom).

Thank them for taking time for their own professional development by attending this training and for what they do every day for older and dependent adults in our communities.

Allow time and **provide** information for evaluations.

Slides #25 and #26



Display the last two slides as participants fill out evaluations and start logging off.

MODULE 2

INDIVIDUAL PRACTICE

Time Allotted: 30-45 minutes

This Module is to be completed individually by participants on their own time.

It is suggested to provide time immediately after completing Module 1 in order to give participants a pre-planned timeframe, but it can also be done later if there is a more convenient time for them.

This individual practice allows participants to work at their own pace, providing time for critical thinking and skill building.

It also provides a break from the computer/virtual classroom and “Zoom Fatigue”.

Participants are to complete **Handout #9- Individual Practice (Module 2) Worksheet**.

On Handout #9 in their Participant Manual, they will complete the following for both Scenario #3 and Scenario #4:

- Evaluate the evidence for abuse indicators
- Determine if the evidence meets the abuse’s legal components
- Explain how the evidence meets the abuse’s legal components
- Assign a finding on the Findings Report.

They also need to record their findings in the on-line learning activity via your learning management system. This is simply to provide credit for completing their Handout #9.

To receive the Scrom link to the on-line learning activity for your learning management system, please contact apstraining@sdsu.edu.

HANDOUT #9- INDIVIDUAL PRACTICE (MODULE 2) WORKSHEET**Directions:**

Complete this worksheet either immediately logging off or at a later time that is more convenient. This must be completed prior to attending Module 3 (Virtual Classroom).

Reminder: This is a continuation of the scenarios presented in Module 1.

Scenario #3 contains 1 new allegation of abuse and continues the financial abuse allegation.

Scenario #4 contains 1 new allegation of abuse.

On your own:

1. Review scenario #3.
 - a. Evaluate the evidence for abuse indicators
 - b. Determine if the evidence meets the abuse's legal components
 - c. Explain how the evidence meets the abuse's legal components
 - d. Assign a finding(s) on the Findings Report(s).
2. Review scenario #4.
 - a. Evaluate the evidence for abuse indicators
 - b. Determine if the evidence meets the abuse's legal components
 - c. Explain how the evidence meets the abuse's legal components
 - d. Assign a finding on the Findings Report.
3. Log into the Module 2 on-line learning activity via the learning management system to enter your findings for each scenario. The registration link will be provided in the registration email. In order to get completion credit for Module 2, you must enter your findings into the on-line learning activity.
4. Bring this completed worksheet to Module 3.

SCENARIO #3:

The following week, the APS professional and the Home Health Nurse do a joint visit to follow up with the client. The provider opens the door and states that the client is upstairs taking a nap. The APS Professional and the Home Health Nurse ask to interview the provider privately, and the provider agrees. The provider states that she was able to go and pick up the prescription from the pharmacy for the client. The provider then expresses concern to the APS professional and Home Health Nurse that the client has not been taking her medication. The nurse looks at the bottle, which confirms that the client has not taken her prescription medication for two days.

When the APS Professional inquires about the \$400 loan, the provider states that when the client arrived home from the hospital, the client asked her to stay with her a couple of nights until she felt better and offered her \$400. The provider could not do it, but offered her sister to spend both nights for the \$400 and the client accepted. The provider also added that the client had been refusing caregiving services for the last couple of days and pointed at the overflowing sink with dishes covered in moldy food.

The client came downstairs as the interview was concluding with the provider. When the APS professional asked the client about the \$400 for the provider's sister to stay overnight, the client did confirm that the provider's sister did stay with her for a couple of nights, and she thinks that she agreed to pay \$400, but feels like she paid her too much for two nights.

FINDING REPORT

Name _____

Scenario # _____

Type of abuse suspected	What are the indicators of abuse?
<input type="checkbox"/> Physical <input type="checkbox"/> Psychological <input type="checkbox"/> Sexual <input type="checkbox"/> Abandonment <input type="checkbox"/> Financial <input type="checkbox"/> Isolation <input type="checkbox"/> Neglect <input type="checkbox"/> Abduction <input type="checkbox"/> Self-neglect	

Evidence meets <u>ALL</u> legal components? (“Essential Defining Elements” column, <i>Consistency Matrix</i>)			
YES		NO	
What are the chances the evidence supports all the elements?		Does the evidence still leave doubt whether the abuse occurred?	
≥51%	≤49%	NO	YES
CONFIRMED	UNFOUNDED		INCONCLUSIVE
Indicate how the evidence meets (confirmed), does not meet (unfounded) each legal component, or cannot be confirmed but still leaves doubt that it is unfounded.			

FINDING REPORT

Name _____

Scenario # _____

Type of abuse suspected	What are the indicators of abuse?
<input type="checkbox"/> Physical <input type="checkbox"/> Psychological <input type="checkbox"/> Sexual <input type="checkbox"/> Abandonment <input type="checkbox"/> Financial <input type="checkbox"/> Isolation <input type="checkbox"/> Neglect <input type="checkbox"/> Abduction <input type="checkbox"/> Self-neglect	
Evidence meets ALL legal components? ("Essential Defining Elements" column, Consistency Matrix)	
YES	NO
What are the chances the evidence supports all the elements?	Does the evidence still leave doubt whether the abuse occurred?
≥51%	≤49%
CONFIRMED	UNFOUNDED
Indicate how the evidence meets (confirmed), does not meet (unfounded) each legal component, or cannot be confirmed but still leaves doubt that it is unfounded.	

FINDINGS RATIONAL NARRATIVE (TO BE USED IN MODULE 3- VIRTUAL CLASSROOM)

Name _____

Scenario # _____

Narrative (Include all components described in "AFTER" process)

"AFTER"

- Abuse type suspected
- Finding standard
- Theory of the events leading to abuse
- Evidence meeting the legal components, if any
- Required action

SCENARIO #4

The following week, the APS professional receives a call from the client's niece, who just arrived to visit her aunt. The niece reports that while helping her aunt open and read her mail, she found a bank statement that shows that recently, the provider's sister was added to her aunt's checking account. The niece noticed two recent large withdrawals of \$400 and \$600. Her aunt says that recently, she went to the bank with the provider's sister to pay her for spending two nights after her aunt was discharged from the hospital, but that her aunt says she would never add the provider's sister to her account.

There is a copy of a check attached to the statement payable to CASH, and the signature is not her aunt's. The APS professional returns to interview the client, who confirms what she said to her niece. The APS professional reviews the copy of the check, and the client maintains that she would never withdraw \$600, as she is frugal and only receives SSI. Her balance is now \$50.

The APS professional calls the provider's sister, who says that the client gave her the \$600 in anticipation of overnight care that she will need if she's hospitalized again. She says that the client added her to the account in case the client needed help with bill-paying after a future hospitalization. She refuses to return this money to the client, as she believes it's owed to her in the client's future best interest.

FINDING REPORT

Name _____

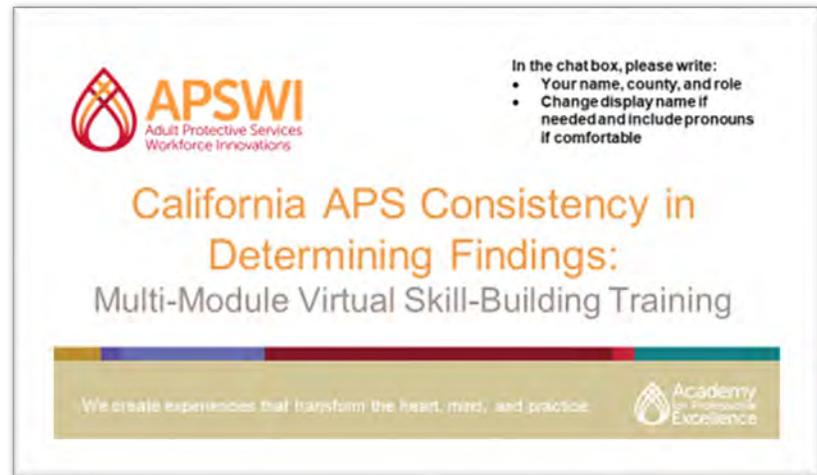
Scenario # _____

Type of abuse suspected	What are the indicators of abuse?
<input type="checkbox"/> Physical <input type="checkbox"/> Psychological <input type="checkbox"/> Sexual <input type="checkbox"/> Abandonment <input type="checkbox"/> Financial <input type="checkbox"/> Isolation <input type="checkbox"/> Neglect <input type="checkbox"/> Abduction <input type="checkbox"/> Self-neglect	

Evidence meets ALL legal components? (“Essential Defining Elements” column, <i>Consistency Matrix</i>)			
YES		NO	
What are the chances the evidence supports all the elements?		Does the evidence still leave doubt whether the abuse occurred?	
≥51%	≤49%	NO	YES
CONFIRMED	UNFOUNDED		INCONCLUSIVE

Indicate how the evidence meets (confirmed), does not meet (unfounded) each legal component, or cannot be confirmed but still leaves doubt that it is unfounded.

MODULE 3

Slide #27: Welcome to Session (5 minutes)

Allow for a few minutes for participants to settle in and cover housekeeping items.

Chat box:

- In the chat box, enter: your name, title, and County for attendance reports.
- If needed, change your display name and include pronouns if comfortable.
- Ask participants to write any questions they have from Module 1 or Module 2 before moving on.

Welcome attendees back to the final module of the course and **thank** participants for completing Module 2, the Individual Practice.

Explain:

- The individual practice work and the case scenarios will be used during this final segment.
 - **Ask** that they have their completed **Handout #9** handy.
- This final module focuses on performance assessments and rational narratives.

Read or **ask** Moderator to read any questions from chat box. If the questions will be answered by material covered in this session, **inform** them that you will get to that later. If not, **ensure** participants have what they need in order to move forward with today's content.

PERFORMANCE ASSESSMENT

Time Allotted: 55 minutes

Slide #28: Peer Discussion and Assessment (25 minutes)

Trainer Note: This performance assessment is based on their completed individual practice of Module 2 (Handout #9)

It contains two parts:

- 1. Breakout Groups**
- 2. Report out of group consensus.**

Scenario #3 and #4 Group Assessment



Breakout Rooms:

- Retrieve your Scenario #3 and #4 that you completed during individual practice.
- In your groups, complete the following:
 - Discuss and evaluate each other's findings determinations from the individual practice as a team.
 - As part of your discussion, include if you agree or disagree with each other's findings.
 - Come to a group consensus on which determination should be presented for both scenarios as the group's determinations.
 - Each group member needs to note the groups consensus on their individual report templates.
 - Select a team leader to report out.

Activity #6: Peer Discussion and Group Consensus (45 minutes total: Part 1 and Part 2)

Explain that this next practice will be 2 parts.

Part 1: (20 minutes)

1. **Have** participants retrieve their completed Individual Practice, **Handout #9**.
2. **Instruct** participants they will be placed into new groups in breakout rooms and will have 10 minutes to discuss/review/evaluate each other's findings determinations for Scenario #3 and 10 minutes to do the same with Scenario #4 from their individual practice as a team.
 - a. **Have** participants include as part of their discussion where they agree or disagree with each other's findings. This information will be used as part of the report out.
3. **Inform** them they will need to come to a group consensus on which determination should be presented for both scenarios as the group's determinations.
4. After they have reached consensus, **instruct** each group member to note the group's consensus on **Handout #10- Breakout Group Consensus Finding Report Template** in the space provided as they will need this finding later for discussion, comparison to answer key and learning activity. The group will need to select two team leads, one for each scenario, to report out.

Trainer note: It may be helpful to give an example. For instance, "In my group of 4, 2 of us came up with Confirmed, 1 with Inconclusive and the other with Unfounded. We took some time to review how each came to that finding and made note of where we don't agree or did agree. Finally, we came to the conclusion that my group member with Confirmed had the most accurate finding and rational and that is what we will present in our debrief."

Advise the class that you will join each group to gather the names of the team leads and are available ***upon request ONLY to provide guidance or confirm their answers are correct***. The participants can request your help by using the request icon. If your guidance is requested, provide answers only to questions asked of you (refrain from volunteering information) and ask only rhetorical questions to prompt them to think through their determination.

Moderator:

- **Launch** breakout groups and **remind** participants to click “join group”.
- After 10 minutes, **cascade** a message to switch to Scenario 4 if they haven’t done so already.
- After 8 minutes, **give** them a 2-minute warning that time is almost up.
- **Close** groups.

HANDOUT #10- BREAKOUT GROUP CONSENSUS FINDING REPORT TEMPLATE

Name _____

Scenario # _____

Type of abuse suspected	What are the indicators of abuse?
<input type="checkbox"/> Physical <input type="checkbox"/> Psychological <input type="checkbox"/> Sexual <input type="checkbox"/> Abandonment <input type="checkbox"/> Financial <input type="checkbox"/> Isolation <input type="checkbox"/> Neglect <input type="checkbox"/> Abduction <input type="checkbox"/> Self-neglect	

Evidence meets <u>ALL</u> legal components? (“Essential Defining Elements” column, <i>Consistency Matrix</i>)			
YES		NO	
What are the chances the evidence supports all the elements?		Does the evidence still leave doubt whether the abuse occurred?	
≥51%	≤49%	NO	YES
CONFIRMED	UNFOUNDED		INCONCLUSIVE
Indicate how the evidence meets (confirmed), does not meet (unfounded) each legal component; or cannot be confirmed or unfounded, but still leaves doubt (inconclusive).			Team Consensus Scenario 3- all participants are to record their consensus on this template

Name _____

Scenario # _____

Type of abuse suspected	What are the indicators of abuse?
<input type="checkbox"/> Physical <input type="checkbox"/> Psychological <input type="checkbox"/> Sexual <input type="checkbox"/> Abandonment <input type="checkbox"/> Financial <input type="checkbox"/> Isolation <input type="checkbox"/> Neglect <input type="checkbox"/> Abduction <input type="checkbox"/> Self-neglect	

Evidence meets <u>ALL</u> legal components? (“Essential Defining Elements” column, <i>Consistency Matrix</i>)			
YES		NO	
What are the chances the evidence supports all the elements?		Does the evidence still leave doubt whether the abuse occurred?	
≥51%	≤49%	NO	YES
CONFIRMED	UNFOUNDED		INCONCLUSIVE

Indicate how the evidence meets (confirmed), does not meet (unfounded) each legal component; or cannot be confirmed or unfounded, but still leaves doubt (inconclusive).	Team Consensus Scenario 3- all participants are to record their consensus on this template

Name _____

Scenario # _____

Type of abuse suspected		What are the indicators of abuse?	
<input type="checkbox"/> Physical	<input type="checkbox"/> Psychological		
<input type="checkbox"/> Sexual	<input type="checkbox"/> Abandonment		
<input type="checkbox"/> Financial	<input type="checkbox"/> Isolation		
<input type="checkbox"/> Neglect	<input type="checkbox"/> Abduction		
<input type="checkbox"/> Self-neglect			
Evidence meets ALL legal components? ("Essential Defining Elements" column, Consistency Matrix)			
YES		NO	
What are the chances the evidence supports all the elements?		Does the evidence still leave doubt whether the abuse occurred?	
≥51%	≤49%	NO	YES
CONFIRMED	UNFOUNDED		INCONCLUSIVE
Indicate how the evidence meets (confirmed), does not meet (unfounded) each legal component; or cannot be confirmed or unfounded, but still leaves doubt (inconclusive).		Team Consensus Scenario 4- all participants are to record their consensus on this template	

Finding Rational Narrative- Group Consensus for Scenario #3

(Trainer will prompt you when to fill out)

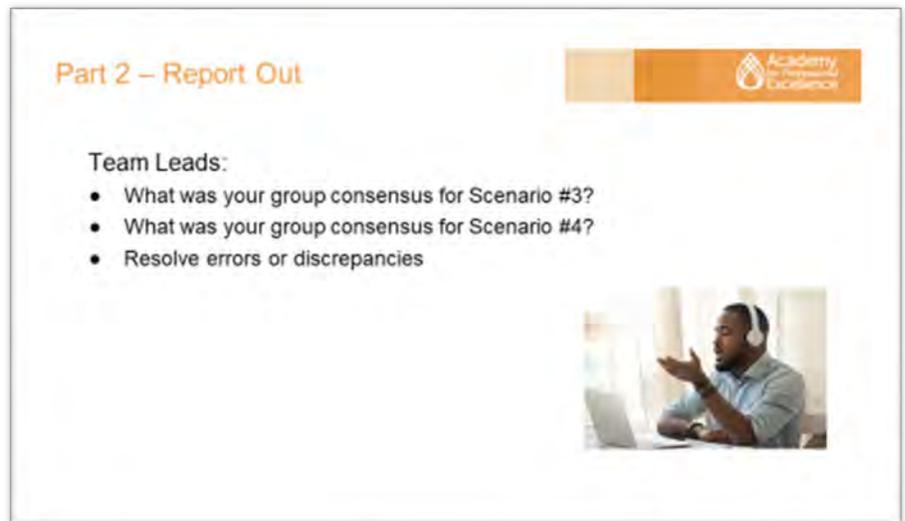
Name _____

Scenario # _____

Narrative (Include all components described in "AFTER" process)

"AFTER"

- Abuse type suspected
- Finding standard
- Theory of the events leading to abuse
- Evidence meeting the legal components, if any
- Required action

Slide #29: Part 2- Report Out (20-25 minutes)

Part 2 – Report Out

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Team Leads:

- What was your group consensus for Scenario #3?
- What was your group consensus for Scenario #4?
- Resolve errors or discrepancies

**Part 2: (18-20 min)**

Allow time for the participants to settle back in.

Ask for each team lead to enter into the chat box their findings determination for Scenario #3 only.

After each team lead has entered, **acknowledge** what they shared and then **solicit** the team lead from each team to unmute themselves and share its most frequent error(s)/discrepancies, how they would resolve them, and what lessons they learned. (10 min)

Trainer Note: Scenario #3 may produce a variance in findings for the financial abuse allegation. This is an opportunity to have a rich discussion and allow participants to problem-solve together, instead of relying on you as the facilitator to have the answer.

Ask for each team lead to enter into the chat box their finding determination for Scenario #4.

After each team lead has entered, **acknowledge** what they shared and then **solicit** the team lead to unmute themselves and share it's most frequent error(s)/discrepancies, how they would resolve them, and what lessons they learned. (10 min)

Slide #30: Answer Key: Scenario #3 and #4 (5 minutes)

Trainer Note: This slide is animated to allow you to work through the finding(s) on each scenario one at a time.

Answer Key: Scenario #3 and #4

#3: Self-Neglect	#3: Financial Abuse	#4: Financial Abuse
Indicators: <ul style="list-style-type: none"> • Not taking Rx • Turning away provider 	Indicators: <ul style="list-style-type: none"> • Provider borrowing \$ from client 	Indicators: <ul style="list-style-type: none"> • Provider's sister added to client's account • \$600 withdrawal via check not signed by client
Evidence: <ul style="list-style-type: none"> • Full medication bottle • Statement from provider • APS's observation of moldy dishes 	Evidence: <ul style="list-style-type: none"> • Provider's Statement • Client's Statement 	Evidence: <ul style="list-style-type: none"> • Bank Statements • Check not signed by client • Client's statement • Provider's Sister's Statement
Finding: Confirmed	Finding: Unfounded***	Finding: Confirmed

Reveal the answer key for each scenario and **talk** through as needed. A detailed answer key is on next page.

Trainer Note: Participants may share that their system doesn't allow for changing findings once entered. Discuss how they would address this. (Example: make a case note).

ANSWER KEY 3

Acknowledge that the shift from two perceived types of abuse to a whole new type is in and of itself a challenge for APS professionals.

- 1 NEW kind of abuse to be identified – Self-Neglect
 - 2 indicators of self-neglect
- o Self-Neglect indicator #1 – Not taking her medication for two days
 - o Self-Neglect indicator #2 – Turning away the provider, resulting in the moldy dishes piling up for multiple days.

3 pieces of evidence

- o Statement from provider that the client told her about getting the medication only recently and that the client has been refusing services recently, citing the piling up dishes as an example – meets Self-Neglect Essential Defining Elements #1 & #2
- o Statement from the Home Health Nurse upon review of the medication that she believes the client has not taken it for two days – meets Self-Neglect Essential Defining Elements #1 & #2
- o APS professional’s first-hand observation that the dishes have not been washed and are piling up for 3-5 days – meets Self-Neglect Essential Defining Elements #1 & #2

1 Finding: Self-Neglect is confirmed. In this context, the provider states that she has been offering services and has been responsive to the client’s requests, like getting the medication once the client asked her to get it. However, she says that the client is refusing other in-home services, and evidence of it are the piling dishes. The Home Health Nurse assessed that the client is not taking her medication as prescribed.

NOTE: The Financial Abuse concern about the client reportedly lending the provider \$400, and the client not being paid back, **is now potentially resolved. This may look like an unfounded finding for some. You may need to talk through this process with participants.** The client states that she remembers that the provider’s sister stayed with her for a couple of nights, and she thinks that she agreed to pay \$400 but that she feels it might have been too much. Some participants might raise the question if paying \$400 for two nights of overnight care is abusive. It’s about what is reasonable and makes sense that leads to resolving the concern with the prior allegation. And, would a reasonable person agree that paying the caregiver \$200 per night for two nights is not abusive? Is it reasonable to conclude that the client received a service (overnight care) and she paid a reasonable price for that service?

The PPT slide displays the answer key for an unfounded finding.

ANSWER KEY 4

- Financial abuse returns as an allegation.
- 2 NEW indicators of financial abuse
- Financial Abuse indicator #3 – Provider's sister recently added to client's checking account
- Financial Abuse indicator #4 – A \$600 withdrawal via check not signed by the client

4 pieces of evidence

- Bank statement showing the provider's sister has been added to the client's account, showing an unrecognized \$600 withdrawal, and a low balance of \$50 – meets Financial Abuse Essential Defining Elements #1 (money belongs to client), #2 (taken from client), **#3 (harmful and disadvantageous to the client as she's left with a balance of \$50)**, and likely #4 (with intent to defraud)
- A \$600 check payable to CASH not signed by the client – likely meets Financial Abuse Essential Defining Elements #1, #2, & likely #4 (with intent to defraud)
- Client's statement that she did not add the provider's sister to her account, and that she would never give her \$600 - meets Financial Abuse Essential Defining Elements #1, #2, & #4
- The provider's sister's (Alleged Perpetrator) statement that the client paid her in advance for anticipated future care and help with bill paying; and that she doesn't owe this money to the client - meets Financial Abuse Essential Defining Elements #1, #2, & #4

1 Finding: Financial Abuse is confirmed. In this context, the provider's sister took the client's money, leaving the client, who is on SSI and IHSS, with only \$50 in her account and does not intend to return the money. It is likely the provider's sister deceived the client and secured continued access to her bank account by adding her name to it. It is more likely than not that the provider's sister took advantage of the client while she was in need of overnight care upon discharge from the hospital during the days she was confused.

NOTE: The Financial Abuse concern and the self-neglect concerns are the two issues of current concern, whereas the neglect by other (the IHSS provider) was resolved as a concern. The APS Needs Assessment and Service Plan would therefore revolve around addressing these two issues.

FINDINGS RATIONAL NARRATIVES

Time Allotted: 40 minutes

Slide #31: Writing with Clarity and Thoroughness (3 minutes)

The slide features a title in orange text: "Writing with Clarity and Thoroughness; 'AFTER'". In the top right corner, there is an orange rectangular box containing the "ABILITY EXCELLENCE" logo. The main content is a list of components for Findings Rational Narratives, starting with the heading "Findings Rational Narratives should include:" followed by five bullet points. The first three are "Abuse Type", "Finding Determination", and "Theory of the events that led up to the allegation". The fourth is "Evidence that supports the finding". The fifth is "Required Action", which includes a sub-bullet: "Disposition of case (e.g. Referred to L.E., Case closed, No Services needed, Protective Services offered, Conducted a needs assessment)".

Inform participants the next section of this training will focus on Findings Rational Narratives, a way to explain your findings, even though not all counties have this system.

Ask the participants to recall a time when they have read a report or document and could not understand the whole context because there were pieces of the story missing. **Solicit** 1 or 2 volunteers to share their experiences via chat box.

Follow this up by asking them to share how the confusion affected their ability to process the information.

- **Acknowledge** that some counties use LEAPS or have other narrative templates, but for the purpose of this training, it will help them practice the skill of walking through the process of reporting a finding.
- They can think of writing a Findings Rational Narrative as “showing their work” as how they came to that finding determination.
 - Writing a Findings Rational Narrative justifies the need to, “provide a framework for presenting logical justification for the findings in each case based on the evidence gathered” as explained in the APS Guidelines to Supplement Regulations, September 1, 2016, *APS Guidelines for Investigations*.

Explain to the class that when they construct their findings rational narratives, we’ll be using the acronym “AFTER” to help participants remember 5 components to include, ensuring their narrative is clear and thorough. The 5 components are:

- Abuse type
- Finding determination

- Theory of the events that led up to the allegation
 - From SOC 343- describe how/why abuse appears to have been committed
- Evidence that supports the finding
- Required action
 - Disposition of case (e.g. Referred to L.E., Case closed, No services needed, Protective services offered, Conducted a needs assessment)

Refer participants to the highlighted section Findings Rational Narrative on **Handout #9- Individual Practice (Module 2) Worksheet**.

Inform participants that they will be filling out this narrative section.

Slide #32: Narrative Comparison (6 minutes)

Trainer Note: There are two narratives on this slide. Both will be used separately.

Narrative Comparison

Identify the "AFTER" elements:

Financial Abuse - Unfounded. The client's son used his DPOA to protect his Father from the consequences of not paying his overdue property tax. He produced copies of the bill for \$10,000, the check used to pay the bill, and the DPOA. There is no evidence on the bank statement suggesting that the son is financially abusing the client. APS services are not needed.

Financial Abuse - Inconclusive. Report received by APS from mandated reporter on January 3 2020. It appears that the client's sister is financially abusing him; however, the client is protecting her at this time.

Abuse Type
Findings Determination
Theory of Events that led up to the allegation
Evidence to support the finding
Required Action

Give participants about two minutes to review the Findings Rational Narrative to the **left** of the slide. This is the Financial Abuse-Unfounded narrative.

Ask them to look for the 5 "AFTER" components.

- **Solicit** 2 or 3 volunteers to type in the chat box what the "A"-Abuse Type(s) is.
- **Solicit** for 2 or 3 different volunteers to type in the chat box what the "F"- Findings Determination is.
- **Solicit** for additional volunteers to type in the chat box what the "T" Theory of Events that led up to the allegation.
- **Solicit** for additional volunteers to type in the chat box what the "E" Evidence to support the finding.
- **Solicit** for any other volunteers to type in the chat box what the "R" Required Action is.

Answer: The Unfounded finding correctly includes all 5 "AFTER" components.

Give the participants about one minute to review the Findings Rational Narrative to the **right** of the slide.

Ask them to look for the 5 "AFTER" components and type in the chat box which pieces of the AFTER are missing.

- *Answer: The T: Theory of events, the E: evidence and R: Required action are all missing.*

Slide #33: Narrative Practice (6 minutes)

Narrative Practice Part 1 – Individually 

Using Scenario #3 from earlier, work independently to:

- Construct a findings rational narrative, including "AFTER".
 - Organize info into a comprehensible, coherent explanation of your finding.
- Record on the "Narratives" section of a Findings Report Template.

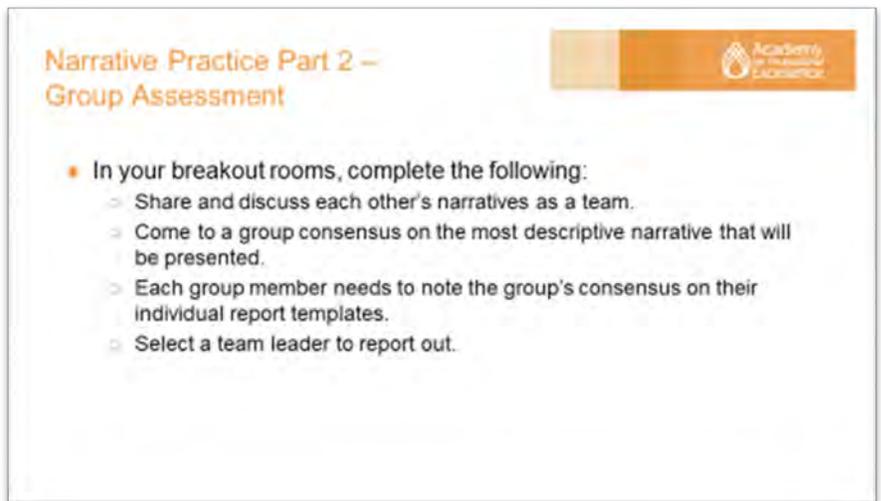
**Activity #7: Narrative Practice #1 (5 minutes)**

Explain they will use their findings report from Practice Scenario #3 (the self-neglect and financial abuse finding) on their Individual Practice (Module 2) Worksheet.

Explain that this next activity is two parts. They will first work independently for this practice for 5 minutes. The participants can turn off their cameras for this activity and turn back on to signal they are finished.

- Construct a findings rational narrative FOR THE SELF-NEGLECT allegation only, including the 5 "AFTER" components using Scenario #3 from their individual practice.
- Organize information into a comprehensible, coherent explanation of your finding.
- Record in the "Narratives" section of the Findings Rational Narrative on **Handout #9**.

Inform them they can now turn their cameras off and start to work on their narratives.

Slide #34: Narrative Practice Part 2-Group Assessment (22 minutes)


**Narrative Practice Part 2 –
Group Assessment**

- In your breakout rooms, complete the following:
 - Share and discuss each other's narratives as a team.
 - Come to a group consensus on the most descriptive narrative that will be presented.
 - Each group member needs to note the group's consensus on their individual report templates.
 - Select a team leader to report out.

After 5-6 minutes, ask everyone to turn their cameras back on and **inform** the participants that they will be put back into their breakout rooms for 10-12 minutes to share their narratives and attempt to reach a consensus on the most descriptive narrative.

1. Include essential pieces of information into a narrative they construct together.
2. Organize the information into a comprehensible, coherent explanation of the last page of **Handout #10** under the Group Consensus Finding Rational Narrative.
3. Each group will need to select a team lead who will be called on for their group's report out.

Tell them that the materials and resources they will use for this practice are:

- Completed Findings Rational Narrative of **Handout #9**
- Group Consensus Finding Rational Narrative of **Handout #10**
- *Consistency Matrix* (optional, as needed)

Acknowledge again that their county may not have this process, but this practices a skill of walking someone through how you report your finding determination.

Remind them that you will be quickly joining each group to get the team lead's name, but if they are stuck and cannot move forward, they can solicit help using their icon and you will join the group.

Moderator:

- **Launch** breakout groups and **remind** participants to click "join group".
- After 8 minutes, **provide** a 2-minute warning.
- **Close** breakout groups.

Report out: (10 min)

Explain that each team will share with the class their responses and the class will provide their feedback to each team's answers using the Zoom icons; specifically the thumbs up icon and the hand clap icon.

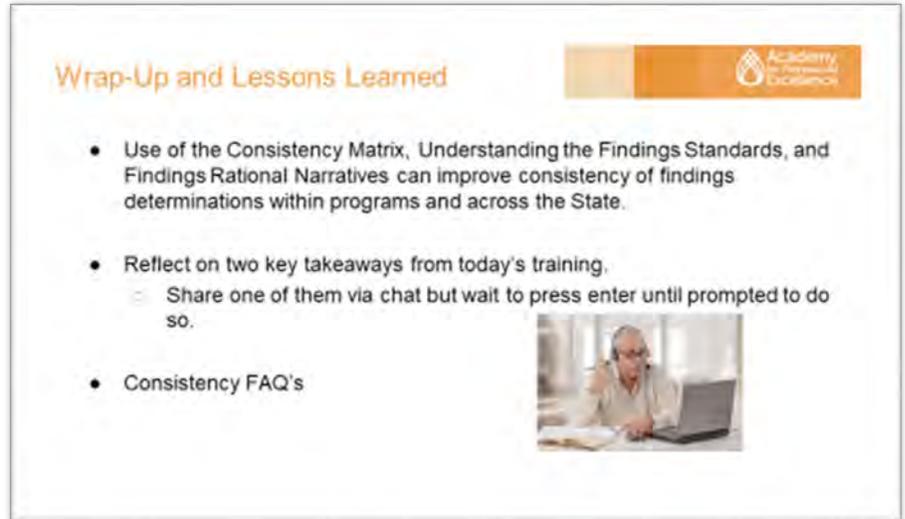
Trainer Note: If you have the sense your learners are competitive, it may be fun to take a vote once all narratives have been read of which group shared the best narrative. Ask participants to type in chat box the group with the best one.

Encourage participants to keep copies of the Report Findings Template and remember the "AFTER", even if their counties do not require this type of narrative. Having this information at their fingertips helps explain how they came to determine their findings.

WRAP-UP AND EVALUATIONS

Time allotted: 20 minutes

Slide #35: Wrap-Up and Lessons Learned (10-15 minutes)



Wrap-Up and Lessons Learned

- Use of the Consistency Matrix, Understanding the Findings Standards, and Findings Rational Narratives can improve consistency of findings determinations within programs and across the State.
- Reflect on two key takeaways from today's training.
 - Share one of them via chat but wait to press enter until prompted to do so.
- Consistency FAQ's

Conclude by **sharing** that APS is committed to yielding more consistency in findings determinations statewide. Ensuring each APS professional has the same tools and is given the same methods for using those tools is the first step to narrowing the gap in consistency in findings. **Remind** participants that this multi-module, skill-building training is just the beginning. As more staff within APS programs complete the training and work through the Matrix together, they can then discuss the process amongst line staff, Policy Support Specialists, supervisors and managers.

Activity #8: Lessons Learned (5-7 minutes)

- **Provide 1-2** minutes for participants to reflect on all three modules and silently think of two takeaways.
- **Ask** them to not hit enter until prompted to do so, but please type in one of those takeaways into the chat box. **Remind** them to not press enter.
- Provide 1-2 minutes for everyone to type and then **ask** them to all hit enter.
- Share some of the comments and note any themes.

Explain that even with APS programs completing this training, using the Matrix and Guiding Principles, there will inevitably be times where coming to a finding is not clear. There is a CA working group dedicated to providing APS Professionals with tools to navigate these situations.

Introduce Handout #11- The Consistency FAQs and **explain** that once this document is finalized, it will be available to all CA APS programs to use. **Share** 2-3 FAQs that are listed below: **(5-7 minutes)**

Continued

- When my county's historical practice differs from the Consistency in Findings Matrix, how do I proceed?
 - **Answer:** Please refer your county's leadership to the CWDA's Adult Protective Services Consistency Guidelines, which is intended to promote consistency in practice under a realigned APS program.
- If by the time I investigate the report, the suspected abuser is no longer in contact with the client, could I still have a finding of Confirmed or Unfounded. For example, if the Suspected Abuser is the IHSS Provider who is no longer the client's provider.
 - **Answer:** Yes, because we're investigating the allegation, regardless of the current risk.
- Do I have to be so sure that abuse occurred for me to confirm a finding, because I don't want to damage the suspected abuser's reputation in case I'm wrong?
 - **Answer:** No. The role of the APS worker is to look at the facts and see if they meet the defining elements of the type of abuse by following an APS appropriate investigation, regardless of the impact on the suspected abuser or later consequences.

Encourage participants to read through the FAQ's on their own time and discuss with their supervisors and managers.

Emphasize that participants have a great responsibility to APS' clients in need of APS services. By developing a consistent practice of determining findings by always addressing the three columns reviewed today from the Consistency Matrix, understanding the findings standards, and by constructing findings rational narratives that include all five "AFTER" narrative components, participants will narrow the disparity in consistency among all APS findings reports.

Slide #36: Final Questions and Evaluations (7-10 minutes)

Final Questions and Evaluations

- Final Questions?
- Thank you for your commitment to older and dependent adults in your community and making them safer with improved quality of life.
- Thank you for attending and participating in this training!
- Evaluations

FEEDBACK

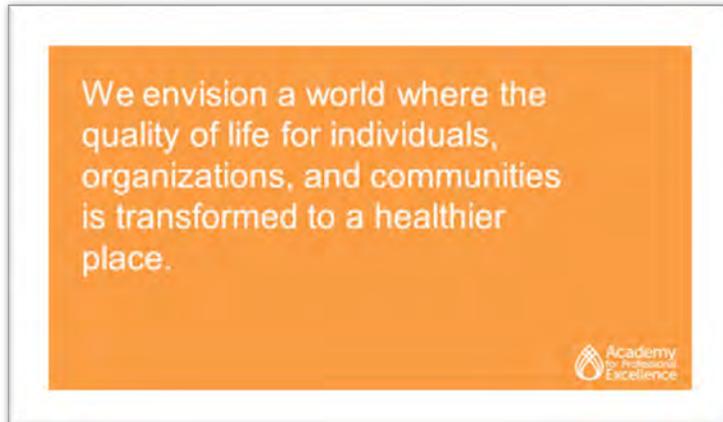
Ask participants if there are any final questions.

Ask every participant to complete the evaluation.

Thank them for taking time away from their caseload and other duties to participate in this training!

Moderator: **share** any information regarding evaluations.

Slides #37 & 38 Final Slides



Display the last 2 slides.

REFERENCES

California Department of Social Services, All County Letter No. 18-146 (12/21/2018). *Implementation of Revised Adult Protective Services (APS) and County Services Block Grant (CSBG) Monthly Statistical Report SOC 242 (1/19)*

California Department of Social Services. SOC 343 Investigation of Suspected Dependent Adult/Elder Abuse (2001). Retrieved from <http://www.cdss.ca.gov/cdssweb/entres/forms/English/SOC343.pdf>

County Welfare Directors Association (2017). California APS Guidelines to Supplement Regulations, Version 1.8 (9/6/2017). *Coordinated by County Welfare Directors Association*. (PDF). <https://www.cwda.org/formguidelines/adult-protective-services-consistency-guidelines>

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HANDOUT #1

California APS* Standards for Consistency in Determining Findings

Key: APS = Adult Protective Services. Client = elder and/or adult with a disability

Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Physical Abuse
<p>Physical Abuse Welfare and Institutions Code (W&IC) 15610.63 (a)(b)(c)(d)(f)</p>	<p>Physical abuse is the non-accidental use of physical force that results or could have resulted in bodily injury, physical pain, or impairment.</p>	<p>1. Non-accidental use of physical force or physical deprivation or use of medications for control and 2. Bodily injury, physical pain or impairment occurred or 3. Bodily injury, physical pain or impairment could have occurred.</p>	<p>Examples include, but are not limited to: <u>General Considerations</u></p> <ul style="list-style-type: none"> • What are the indications, if any, that the client is being or has been: <ul style="list-style-type: none"> ○ Hit, beaten, pushed, shaken, slapped, or kicked ○ Struck with or without an object ○ Given unwarranted drugs ○ Unreasonably physically restrained when not medically authorized or given medication inappropriately to limit mobility or consciousness ○ Force-fed ○ Deprived of food or water for a prolonged period or continually • Based on the location, appearance, type of injury (or pain/impairment), interviews and explanation, was it likely accidental or intentional? • Are there power and control issues in the relationship between the suspected abuser and the client? • Is there a need for a safety plan? • Are the client and suspected abuser known to APS because of prior reports? • Is law enforcement investigating this as a crime, e.g. assault, battery? <p><u>Client Considerations</u></p> <ul style="list-style-type: none"> • Is the injury the result of a normal part of aging or disease process? 	<p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"> • Sprains, dislocations, or fractures (for example, spiral fractures: when torque is applied along the axis of a bone) • Burns from such things as: cigarettes, appliances, or hot water • Abrasions or bruises on arms, legs, or torso that resemble rope or strap marks indicating physical restraint • Signs of traumatic hair and tooth loss • Bruises from abuse can be anywhere on the body, but bruises in the following places are more likely to be from abuse than accidental: <ul style="list-style-type: none"> ○ head, i.e., face, ears, and neck ○ arms, i.e., lateral area (the side of the arm the thumb is on) or anterior area (the inside or palm side of the arm) ○ genitalia ○ soles of the feet ○ posterior torso (including chest, upper and lower back, and buttocks) ○ Bilateral bruising to the arms (indicating the person has been shaken, grabbed, or restrained) ○ Bilateral bruising of the inner thighs (indicating sexual abuse)

HANDOUT #1

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2.2: The California APS Standards for Consistency in Determining Findings Matrix

Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Physical Abuse
(continued) Physical Abuse W&IC 15610.63 (a)(b)(c)(d)(f)			<ul style="list-style-type: none"> • Is the client taking any medication that would make him/her bruise easily, such as prednisone, warfarin, or Plavix? • Is the client cognitively impaired? • Does the client use an assistive device for mobility? • Does the client require assistance with ADLs? • If the client is bruised, does he/she remember how he/she got the bruises? • Are the suspected abuser's and the client's explanations about how the injury occurred consistent with one another? • Is the explanation for the injury consistent with the facts that the social worker observes, i.e., the physical location, the wounds, the timing, etc. match the explanation? <p><u>Suspected Abuser Considerations</u></p> <ul style="list-style-type: none"> • What access does the suspected abuser have to the client/does the suspected abuser live with the client? • Is the suspected abuser dependent, financially or otherwise, on the client? • Does the suspected abuser have a substance or mental health problem? • Does the suspected abuser have a criminal record? • Does the suspected abuser understand the doctor's instructions regarding the administration of medications, and/or use of restraints? 	<ol style="list-style-type: none"> 1. Larger bruises—accidental bruises tend to be smaller than deliberate ones 2. History of similar injuries, numerous suspicious hospitalizations, and/or untreated previous injuries <ul style="list-style-type: none"> • Injuries in various stages of healing including multicolored bruises (indicating they occurred over time). • Medical assessment and lab work including medical opinion on the results • Signs of malnutrition or dehydration without illness-related cause • Police arresting the accused for battery or assault

HANDOUT #1

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2.2. The California APS Standards for Consistency in Determining Findings Matrix

Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Sexual Abuse
<p>Sexual Abuse W&IC 15610.63 (e)</p>	<p>Sexual abuse is nonconsensual sexual contact of any kind with a client. It includes, but is not limited to:</p> <ul style="list-style-type: none"> • Unwanted touching • All types of sexual assault or battery such as rape, sodomy, and coerced nudity • Sexually explicit photographing • Forced exposure to pornography • Unwanted sexual relations with a spouse, partner, significant other or anyone else. 	<p>1. Evidence a sexual incident(s) or situation(s) occurred and 2. The incident or situation is unwanted or non-consensual in nature.</p>	<p>Examples include, but are not limited to:</p> <p><u>General Considerations</u></p> <ul style="list-style-type: none"> • What are the indications, if any, that the client is being or has been: <ul style="list-style-type: none"> ○ Touched in an unwanted fashion ○ Raped, sodomized, or forced to take off his/her clothes ○ Photographed in a sexually explicit way ○ Forced to look at pornography ○ Pressured/forced to have unwanted sexual relations with a spouse, partner, significant other or anyone else. • Are there power and control issues in the relationship between the suspected abuser and the client? • Is there a need for a safety plan? • Are this client and suspected abuser known to APS because of prior reports? • Is law enforcement investigating this as a crime (i.e., sexual assault, sexual battery, rape, etc.)? <p><u>Client Considerations</u></p> <ul style="list-style-type: none"> • Is the client able to consent to sexual activity? If so, did the client consent? Was the client coerced or pressured into the sexual act? • Does the client have family or friends to provide emotional support or to advocate on his/her behalf? • Are there any changes in the client's affect, tone of voice, or body language when in the suspected abuser's presence? 	<p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"> • Genital or anal pain, irritation or bleeding • Bruising on external genitalia or inner thighs • Difficulty walking or sitting • Torn, stained or bloody underclothing • Client's intimate body parts are treated roughly while receiving care, such as when being cleaned or dressed. • Client forced to watch pornography on the television and/or computer • Client is newly diagnosed with a sexually transmitted disease • Medical assessment and lab work, including a medical opinion support the report of sexual assault • The dependent adult is pregnant • Sudden, marked change in personality or demeanor

HANDOUT #1

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 APS Guidelines to Supplement Regulations

2.2: The California APS Standards for Consistency in Determining Findings Matrix

Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Sexual Abuse
(continued) Sexual Abuse W&IC 15610.63 (e)			<p><u>Suspected Abuser Considerations</u></p> <ul style="list-style-type: none"> • What access does the suspected abuser have to the client/does the suspected abuser live with the client? • Is the suspected abuser dependent, financially or otherwise, on the client? • Does the suspected abuser have a substance or mental health problem? • Does the suspected abuser have a criminal record, specifically has the suspected abuser been arrested for any sexual crimes or for a transgression of a sexual nature? 	

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2.2: The California AFS Standards for Consistency in Determining Findings Matrix

Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Financial Abuse
<p>Financial Abuse W&IC 15610.30</p>	<p>Financial abuse is the illegal or improper use of a client's funds, property or assets.</p>	<p>1. Funds, property or assets belonging to the client 2. Have been taken, secreted, appropriated, and/or retained, possibly through the use of undue influence* 3. For a wrongful use (likely to be harmful to the client) 4. With intent to defraud.</p>	<p>Examples include, but are not limited to: General Considerations</p> <ul style="list-style-type: none"> • What are the indications, if any, that the client is being or has been financially exploited by someone, e.g. <ul style="list-style-type: none"> ○ Cashing a client's check or using/misusing a client's debit card without authorization or permission ○ Forging the client's signature ○ Misusing or stealing the client's money or possessions ○ Taking the client's funds or property by using undue influence ○ Coercing or deceiving the client into signing a document e.g., contracts, real estate/reverse mortgage/deeds, trusts or will ○ Improperly executing the duties of conservatorship, guardianship, or powers of attorney • Scams such as ID theft, telemarketing/lottery/ investment/ annuity/sweethart/ grandparent scams, trust mills, unlicensed contractors • Who is making the financial decisions and are the decisions being made in the client's best interest? • Does the suspected abuser exploit the client's incapacitation such as when the client is tired, ill, or taking mentally impairing medications? • Is the suspected abuser targeting vulnerabilities (e.g. takes or moves walker, wheelchair, glasses, dentures if the client does not comply with demands for money or signatures or takes advantage of confusion)? 	<p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"> • Unpaid bills, eviction notices or notices to discontinue utilities • Withdrawals from bank accounts or transfers between accounts that the client cannot explain or the explanation suggests coercion or manipulation of the client • Bank statements and canceled checks no longer delivered to the client's home • New "best friends" who take an interest in the client's finances • Legal documents (i.e., powers of attorney) the client did not understand when signing or understood but were signed under duress or because of manipulation • Unusual activity in the client's bank accounts, including large, unexplained withdrawals, frequent transfers or ATM withdrawals • Changes in spending or financial management habits (e.g., has always been a saver and is now spending a lot) • A suspected abuser's excessive interest in the amount of money spent on the client • Missing belongings or property • Suspicious signatures on checks or other documents

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Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Financial Abuse
(continued) Financial Abuse W&IC 15610.30			<ul style="list-style-type: none"> • Did the suspected abuser take the property or money knowing such conduct is harmful to the client or with the intent to defraud? • Did the suspected abuser fail to return the property/money upon demand by the client or his/her representative? • Are there any indicators of undue influence, such as: <ul style="list-style-type: none"> ○ Does the client have limited social contacts and is the suspected abuser capitalizing on his/her loneliness & vulnerability? ○ Is the suspected abuser attempting to make the client emotionally dependent? ○ Is the suspected abuser trying to isolate the client? ○ Is the suspected abuser attempting to take control of the client's life and affairs, including personal care, medical attention, food, daily activities, and information as well as finances? ○ Is the suspected abuser creating an "us against them" mentality? ○ Is the suspected abuser exploiting his/her emotional relationship with client? • Is the client susceptible to threats of abandonment? • Are the client and suspected abuser known to APS because of prior reports? • Is law enforcement investigating this as a crime? <p><u>Client Considerations</u></p> <ul style="list-style-type: none"> • Does the client have mobility problems and physical ailments that make him/her more dependent on others? • Does the client have cognitive/memory impairments, drug or substance abuse problems, or mental health problems that might impair his/her capacity? 	<ul style="list-style-type: none"> • Absence of documentation about financial arrangements • Implausible or inconsistent explanations by the client, caregiver, or suspected abuser about the client's finances • Client's ignorance or lack of understanding regarding financial arrangements made on his/her behalf • The client is not receiving care nor is his/her living arrangements commensurate with his/her assets. • The scope/quality of care the client has been receiving is reduced • The suspected abuser cues or prompts the client or interrupts the client in interviews • There are contradictions or inconsistencies in behavior, statements, or history between the client and the suspected abuser, the client and the environment, between chronologies, and between before and after histories. • Changes in the ownership of property and other assets. • Client has received a foreclosure notice. • Client's service providers were changed after the suspected abuser became involved in the client's life.

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Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Financial Abuse
(continued) Financial Abuse W&IC 15610.30			<ol style="list-style-type: none"> 4. Are the client's needs being adequately met—medical, environmental, etc., or is the suspected abuser benefiting from the client's resources while the client does not have the necessary care, supplies or affordable amenities? 5. Have there been any changes in the client's contact with his/her social network? 6. Are there any changes in the client's affect, tone of voice, or body language when in the suspected abuser's presence? 7. What changes have occurred in the client's life and living situation since the suspected abuser became actively involved with the client? 8. Is the client depressed, anxious, or fearful? <p><u>Suspected Abuser Considerations</u></p> <ul style="list-style-type: none"> • Does the suspected abuser resist or try to interfere with the client being interviewed alone? • What access does the suspected abuser have to the client/does the suspected abuser live with the client? • Is the suspected abuser dependent, financially or otherwise, on the client? • What was the suspected abuser's financial history before becoming actively involved with the client? • Does the suspected abuser have a substance or mental health problem? • Does the suspected abuser have a criminal record? 	<ul style="list-style-type: none"> • Access to the client is limited by the suspected abuser. • The client has a relatively sudden and marked change in behavior, such as: seems depressed or anxious, stops going out, avoids contact with family and friends, etc

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Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Neglect
<p>Neglect W&IC 15610.57 (a)(b)</p>	<p>Neglect is defined as the refusal or failure to fulfill any part of a person's obligations or duties to a client.</p>	<p>1. Negligent failure to take action, whether intentional or unintentional.</p> <p>2. Could be:</p> <ul style="list-style-type: none"> • Caretaker • Care Custodian* • Person providing services (e.g. home health nurse) • Person in a position of trust or fiduciary (e.g. POA) <p>3. Level of care or service is what a reasonable person would provide.</p> <p>* "Care custodian" means an administrator or an employee of a public or private facility or agency, or persons providing care or services for elders or dependent adults (for full definition, refer to WIC 15610.17)</p>	<p>Examples include, but are not limited to:</p> <p><u>General Considerations</u></p> <ul style="list-style-type: none"> • What are the indications, if any, that the client is being or has been neglected because: <ul style="list-style-type: none"> ○ A person who has a fiduciary responsibility to the client has failed of to insure the client is receiving adequate care ○ An in-home service provider has failed to provide the client with necessary care. ○ The client is not being provided with necessities of life such as food, water, clothing, shelter, personal hygiene, medicine, comfort personal safety and other essentials by an individual who has an implied or an agreed-upon responsibility to the client. ○ A care custodian is not providing the client with the goods or services that are necessary to avoid physical harm or mental suffering. • Have issues of neglect resulted in physical or emotional harm or hospitalization (e.g. malnutrition, dehydration, decubitus ulcers, depression, decrease in quality of life, social withdrawal, etc)? • Is the client being neglected due to retaliation/family dynamics (e.g. son or daughter unhappy with their upbringing)? • What is the level of stress in the in the household due to financial, family, marital, or health problems? • Are the client and suspected abuser known to APS because of prior reports? • Is law enforcement investigating this as a crime? 	<p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"> • Client has bad hygiene and smells of foul odor. • Client has long, dirty, and unkempt finger and toe nails. • The suspected abuser is creating a risk to the client's health by <ul style="list-style-type: none"> ○ not providing the prescribed medication properly (e.g. diabetes or high blood pressure) ○ not providing transportation to medical/mental health visits ○ not complying with the client's medical appointments • Client's home is in dilapidated condition. • Client is living in hoarding conditions. • Client has been living with no running water, heat, or electricity. • Client is found soiled and the house smells of feces. • The suspected abuser refuses to dress the client or dresses the client inappropriately. • The suspected abuser fails to protect the client from health and safety hazards (e.g. allowing pets to defecate and urinate in the home).

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2.2: The California APS Standards for Consistency in Determining Findings Matrix

Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Neglect
(continued) Neglect W&IC 15610.57 (a)(b)			<p><u>Client Considerations</u></p> <ul style="list-style-type: none"> • Does the client have diagnosed dementia, or is there evidence to suggest that there is an issue with client’s capacity? • Has the client refused medical treatment because he/she relies on treatment by spiritual means through prayer alone in lieu of medical treatment? Is this the reason proffered by for a lack of medical care? If so, this would not be considered neglect. • Does the client have a mental illness or drug or alcohol problems that make providing care difficult? • Does the client have an abusive or dominating personality? • Does the client resist help? <p><u>Suspected Abuser Considerations</u></p> <ul style="list-style-type: none"> • Is the neglect intentional or unintentional? • Did the suspected abuser knowingly deprive the client of food, shelter, clothing, and/or medication? • Did the suspected abuser neglect the client for personal gain (e.g. to save money or inheritance)? • Does the suspected abuser have a drug/ alcohol or mental health problem that impairs his/her ability to make sound decisions for himself and/or for the client? • Is the suspected abuser overwhelmed with his/her duties or lacks the training to provide appropriate care? • Does the suspected abuser have Durable Power of Attorney over client? • Did the suspected abuser fail to seek or provide needed medical treatment as promptly as a reasonable person would? 	<ul style="list-style-type: none"> • Deprivation by care custodian: W&IC 15610.35, "Goods and services necessary to avoid physical harm or mental suffering" include, but are not limited to, all of the following: <ul style="list-style-type: none"> (a) The provision of medical care for physical and mental health needs. (b) Assistance in personal hygiene. (c) Adequate clothing. (d) Adequately heated and ventilated shelter. (e) Protection from health and safety hazards. (f) Protection from malnutrition, under those circumstances where the results include, but are not limited to, malnutrition and deprivation of necessities or physical punishment. (g) Transportation and assistance necessary to secure any of the needs set forth in subdivisions (a) to (f), inclusive.

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Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Neglect
(continued) Neglect W&IC 15610.57 (a)(b)			<ul style="list-style-type: none"> • What access does the suspected abuser have to the client/does the suspected abuser live with the client? • Is the suspected abuser dependent, financially or otherwise, on the client? • Does the suspected abuser have a criminal record? • If a licensed agency is responsible, is a cross report warranted? 	

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Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Self-Neglect
<p>Self Neglect W&IC 15610.57 (a)(2), (b)(5)</p>	<p>Self-Neglect is an adult's refusal or failure to perform essential self-care tasks.</p>	<p>1. Client is refusing or failing to exercise self care. and 2. The level of self care is not reasonable.</p>	<p>Examples include, but are not limited to:</p> <p><u>General Considerations</u></p> <ul style="list-style-type: none"> • What are the indications, if any, that the client's self care is or has been inadequate, for example: <ul style="list-style-type: none"> ○ Not obtaining essential food, clothing, shelter, and medical care or ○ Not maintaining physical health, mental health, financial health, or general safety? • Is the client's chronic homelessness or chronic substance abuse the sole basis for the referral? If so, the report might not be accepted as self-neglect. • Would the client more appropriately served by another system of care/agency (e.g. mental health services, Regional Center, homeless services, etc.)? If so, the report might be referred to that agency. • Is this client known to APS because of prior reports? <p><u>Client Considerations</u></p> <ul style="list-style-type: none"> • Is the client's failure to get medical care or treatment because he/she relies on treatment by spiritual means through prayer alone in lieu of medical treatment? If so, this is not considered neglect. • Is the client's failure to perform essential self care a result of poor cognitive functioning, mental limitation, substance abuse, or chronic poor health? • Has the client's health deteriorated or has he/she developed chronic health problems due to the refusal of medical services? • Does the client exhibit hoarding behavior, including animal hoarding? 	<p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"> • Client is unable/fails/refuses to take in adequate amounts of food and fluids. • Client has a noticeable weight loss or is showing signs of malnutrition. • Client's physical appearance shows sunken eyes. • Client is eating food that is potentially unsafe or harmful to his/her health condition. • Client is unable/fails/refuses to dress him/herself appropriately. • Client is unable/fails/refuses to attend to personal hygiene and smells of foul odor. • Client's home is unclean and/or hazardous (e.g., soiled and smells of feces or no running water, heat, or electricity). • Client is unable/fails/refuses medical care and/or mental health services. • Client is unable/fails/refuses to take his/her medication.

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Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Self-Neglect
(continued) Self Neglect W&IC 15610.57 (a)(2), (b)(5)			<ul style="list-style-type: none"> • Is the self-neglect a result of lack of awareness or inability? • Is the client at any risk due to his/her behavior, such as risk of eviction or having his/her housing condemned by environmental health? • What resources were available to the client and how reasonable is it that the client could have accessed them? • If resources were available combined with functional ability and balancing safety – could safety be maintained? • Is the client able to manage his/her finances? 	<ul style="list-style-type: none"> • Bills are unpaid or payments are late. • Utilities are shut off or at risk of being shut off. • Client is unable/fails/refuses to protect his/her money from scams or others.

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Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Psychological Abuse
<p>Psychological Abuse (Mental Suffering) W&IC 15610.53</p>	<p>Psychological abuse is the infliction of fear, anguish, agitation, or other emotional distress through verbal or nonverbal acts.</p>	<p>1. Emotional distress exhibited by client and 2. The emotional distress is a result of someone else's behavior/ actions.</p>	<p>Examples include, but are not limited to: General Considerations</p> <ul style="list-style-type: none"> • What are the indications, if any, that the client is being or has been <ul style="list-style-type: none"> ○ Verbally assaulted, insulted, and threatened ○ Intimidated, humiliated (e.g., treated as an infant), and harassed. ○ Given the "silent treatment" or had affection withdrawn ○ Told misleading comments made with malicious intent to inflict emotional harm. • Are there power and control issues in the relationship between the suspected abuser and the client? • Are the client and suspected abuser known to APS because of prior reports? <p>Client Considerations</p> <ul style="list-style-type: none"> • Does the client have cognitive impairments that cause him/her to exhibit behaviors that could be misinterpreted as emotional distress caused by others? • Does the client have diagnosed dementia, mental illness, or is there evidence to suggest that there is an issue with client's capacity? • Is the response of others to the client's cognitive impairment causing the client additional emotional distress? <p>Suspected Abuser Considerations</p> <ul style="list-style-type: none"> • Is the suspected abuser dependent, financially or otherwise, on the client? • Does the suspected abuser have a substance or mental health problem? • Does the suspected abuser have a criminal record? 	<p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"> • Suspected abuser observed or heard yelling at, belittling, and/or threatening the client. • Suspected abuser using the client's pet to distress the client by restricting access to the animal, making threats about the animal, etc. • Client looks depressed. • Client is confused or disoriented. • Client is showing signs of confinement. • Suspected abuser lying to the client deliberately to upset him/her. • Client being intimidated/harassed by others

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Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Abandonment
<p>Abandonment W&IC 15610.05</p>	<p>Abandonment is intentionally leaving or forsaking a client</p>	<p>1. Desertion is deliberate</p> <p>2. Could be:</p> <ul style="list-style-type: none"> • Caretaker • Care Custodian* • Person providing services (e.g. home health nurse) • Person in a position of trust or fiduciary (e.g. POA) <p>3. Reasonable person would continue to provide care and custody.</p> <p>*“Care custodian” means an administrator or an employee of a public or private facility or agency, or persons providing care or services for elders or dependent adults (for full definition, refer to WIC 15610.17)</p>	<p>Examples include, but are not limited to:</p> <p><u>General Considerations</u></p> <ul style="list-style-type: none"> • What are the indications, if any, that the client has been abandoned? • Are the client and suspected abuser known to APS because of prior reports? • Is law enforcement investigating this as a crime? • Is the abandonment part of a threat? • Is there a risk to the client’s safety because of where he/she was left? <p><u>Client Considerations</u></p> <ul style="list-style-type: none"> • Is the client cognitively impaired? • Did the client consent to be left? • Is it in the client’s best interests to be left where he/she is? <p><u>Suspected abuser Considerations</u></p> <ul style="list-style-type: none"> • Was the client abandoned for the personal gain or to meet someone other than the client’s needs? • Is the suspected abuser dependent financially or otherwise on the client? • Does the suspected abuser have a substance or mental health problem? • Does the suspected abuser have a criminal record? 	<p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"> • Cognitively impaired client is taken to hospital ER waiting room, bus station, church, etc. and left by caregiver who does not return • Caregiver for a client who cannot manage without assistance goes away without making plans for coverage • Caregiver takes client to another city and leaves him/her there without making arrangements for his/her care • Client is placed in a care facility against his/her wishes and forced to remain because home care arrangements are withdrawn by caregiver

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Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Isolation
<p>Isolation W&IC 15610.43</p>	<p>Isolation is the purposeful prevention of communication between a client and others without the client's consent or knowledge when the action is not in the client's best interest.</p>	<p>1. The action of the suspected abuser is purposeful 2. Client does not or cannot consent and 3. Not in the client's best interest</p>	<p>Examples include, but are not limited to:</p> <p><u>General Considerations</u></p> <ul style="list-style-type: none"> • What are the indications, if any, that the client is being or has been isolated—such as restricting a client's personal freedom in order to influence or control him/her and/or his/her resources through deceit, coercion, force, or threats? • Are there power and control issues in the relationship between the suspected abuser and the client? • Is the suspected abuser isolating the client in order to exert undue influence as demonstrated by such things as: <ul style="list-style-type: none"> ○ attempting to make the client emotionally dependent ○ including personal care, medical attention, food, daily activities, and information as well as finances ○ creating an "us against them" mentality ○ fostering powerlessness & vulnerability in the client ○ exploiting his/her emotional relationship with client? • Is the suspected abuser trying to control the client's through deceit, coercion, force, or threats? • Are the client and suspected abuser known to APS because of prior reports? <p><u>Client Considerations</u></p> <ul style="list-style-type: none"> • Does the client have cognitive/memory impairments, drug or substance abuse problems, or mental health problems that might impair his/her capacity? • Does the client have mobility problems and physical ailments that make him/her more dependent on others? 	<p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"> • Client's support system, both formal and informal, has increasingly restricted access to the client, e.g.: <ul style="list-style-type: none"> ○ visitors are turned away ○ phone calls blocked ○ phone number changed ○ mail not given to the client • The client's ability to contact others is made difficult by <ul style="list-style-type: none"> ○ denying the client access to a phone ○ disconnecting the client's phone • There is a change in the client's doctors, attorneys, etc. • Caregivers not hired by the suspected abuser are fired. • Client's mailing address is changed to a PO Box or the suspected abuser's address. • Client is told that friends and/or family are mad at him/her (as reason they are not visiting). • Suspected abuser tries to make the client fearful about going outside by saying such things as there is danger outside.

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Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Isolation
(continued) Isolation W&IC 15610.43			<p><u>Suspected Abuser Considerations</u></p> <ul style="list-style-type: none"> • Is the suspected abuser isolating the client for personal gain? • Is the suspected abuser dependent, financially or otherwise, on the client? • Does the suspected abuser have a substance abuse or mental health problem? • Does the suspected abuser have a criminal record? 	

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Abuse or Neglect Category	Operational Definition	Essential Defining Elements	Evidentiary Issues to Consider	Signs of Abduction
<p>Abduction W&IC 15610.06</p>	<p>Abduction is the malicious taking or enticing away a client from California or keeping the client from returning to California, when the client lacks the capacity to consent or without consent of the conservator.</p>	<p>1. The client was taken from California and is not being allowed to return. or 2. The client is a California resident who is out of state and wants to return but is not being allowed to. and 3. The client did not leave of his/her own volition or the conservator hasn't consented. or 4. The client does not have the capacity to consent</p>	<p>Examples include, but are not limited to: <u>General Considerations</u></p> <ul style="list-style-type: none"> • What are the indications, if any, that the client is being or has been abducted? • Are the client and suspected abuser known to APS because of prior reports? • Is law enforcement investigating this as a crime, e.g. kidnapping? <p><u>Client Considerations</u></p> <ul style="list-style-type: none"> • Does the client have the capacity to consent to the move or is the client conserved? • Did the client consent or did the conservator give permission for the move? • Is it in the client's best interests to move? <p><u>Suspected abuser Considerations</u></p> <ul style="list-style-type: none"> • Did the suspected abuser abduct the client for personal gain or to meet someone other than the client's needs? • Is the suspected abuser dependent, financially or otherwise, on the client? • Does the suspected abuser have a substance or mental health problem? • Does the suspected abuser have a criminal record? 	<p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"> • The client was taken from California and is not being allowed to return. • A California resident is out of state, wants to return but is not being allowed to. • The client adult did not leave of his/her own volition. • The client was not removed from the state as protective measure or because it was in his/her best interest.

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2.3: Guiding Principles (for Consistency in Determining Findings)

Guiding Principles

Findings Are:

- A reflection of the investigation and the information gathered pertaining to the essential defining elements of the alleged abuse
- Based upon the social worker's evaluation of the credible information gathered as to whether or not abuse has occurred
- Based on community standards rather than the client's perspective in determining self-neglect

Findings Are Not:

- Tied to services, i.e., you need not have a confirmed or inconclusive finding to offer services
- Subject to determining or proving the intent of the suspected abuser
- Dependent on identification of the abuser
- Subject to the county's or agency's political issues
- Influenced by possible repercussions for a suspected abuser as a consequence of the finding
- Influenced by the possibility of a future abuser registry
- Influenced by law enforcement's response to the finding

Guidance on Findings:

- When capacity is in doubt, get an expert opinion if possible, but regardless create the service plan as if the client lacked capacity.
- When capacity is in question, and the worker has no psychological testing results, a worker should not make an unfounded finding.
- Workers should document the specific reasons that led them to their findings, not just state their conclusions.
- Workers' synthesis of the information could result in a confirmed finding even if that finding conflicted with some of the information gathered.
- While gut feelings or instincts are often indicators that something is wrong, a finding should not be made on gut feelings alone with no evidence to support it.

Guidance on Information Gathering:

- In general, believe the client especially when he/she recounts or describes abuse suffered. However, a caveat to believing the client is when the client may be trying to protect the suspected abuser or is being unduly influenced by the suspected abuser.

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2.3: Guiding Principles (for Consistency in Determining Findings)

- Approach the investigation and assessment with an open mind. The social worker's personal beliefs and attitudes about what is in the best interest of the client cannot interfere with the findings of an allegation.
- Where possible, evidence should be gathered from more than one source.

Types of Evidence:

- Client statement
- SW direct observations
- Physical evidence, e.g., injuries, cluttered home, no utility service, etc.
- Corroborating evidence, e.g., witnesses, physician records, documents, etc.
- Circumstantial evidence
- Unobserved/3rd Party suspicions
- History, e.g., prior APS reports, police records, incidents with same perpetrator, patterns of covering up abusive situations, etc.

Finding Standards:

- Findings are a combination of both judgment and a reasoned approach.
- They are based upon:
 - the facts/information gathered by the APS worker that are related to the essential elements of the abuse alleged, and
 - the evaluation of those facts by the APS worker using his/her expertise, experience, and training
- As a general rule, the following standards should be used when determining findings:
 - **Confirmed** = the information gathered must reasonably support all of the essential elements of the alleged abuse or neglect.
 - **Inconclusive** = the information gathered reasonably supports only some of the essential elements of the alleged abuse or neglect.
 - **Unfounded** = the information gathered reasonably refutes the essential elements of the alleged abuse or neglect.
- Confirmed and unfounded findings require information to support them. When the worker is unable to gather sufficient information to reasonably determine if the abuse happened or not, inconclusive is the appropriate finding.
- Exceptions to the general rule: Because of the complexity and uniqueness of abuse and neglect investigations, exceptions can and do happen. When that occurs, the worker should consult with his/her supervisor.

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This is a draft document. Final version is expected Feb 2021.

HANDOUT #11- DRAFT FAQs ON FINDINGS

Frequently Asked Questions on Findings (aka Findings Myth Buster)

Why is consistency in findings important?

Consistency in findings across the state is important because it allows data collected to be analyzed at the state and national level, which helps to better understand APS programs and the populations we serve. And it also helps to identify trends in the issues currently facing the elderly and people with disabilities. This data can also be used to help create and support legislation and research designed to benefit APS programs and vulnerable adults nationwide. Having consistent findings helps ensure that the same client with the same allegation in San Diego County and El Dorado County will have the same finding, which would lead to an appropriate service plan or interventions as necessary. This demystifying on findings is to help address some of the myths and misinformation about findings, so that the Consistency in Findings training and use of the Essential Defining Elements can be applied (of course) more consistently!

In California, the APS program can use one of these findings, per CA ACL 18-146, which are Unfounded, Inconclusive and Confirmed. Moreover, the Not Applicable finding is appropriate for an NTD. The Consistency in Findings Class will help you gain the skills needed to determine the appropriate finding. As you read through each section, please note that the Consistency in Findings Matrix, Guide and Class will help you gather the information and context necessary for you to assess if the evidence meets the Essential Defining Elements criteria for that type of abuse and finding. [There's no one recipe]

(???) The class will teach you how much information or evidence you need for a specific finding of abuse, including the quality of that information. In addition, in California the APS program may obtain or access information relevant to an incident of abuse, in order to determine the service needs.

Three frequently asked questions by APS Workers

1. Are there universal guidelines for arriving at a finding?

Answer: Yes. These universal guidelines for APS Workers in California can be found under sections 2.1, 2.2, and 2.3 of the CWDA's Adult Protective Services Consistency Guidelines found here:

<https://www.cwda.org/formguidelines/adult-protective-services-consistency-guidelines>

2. Is there a universal definition of investigation for APS in California?

Answer: Yes. The California Welfare and Institutions Code defines what an investigation is for APS:

⇒ **Definition of Investigation** – CA WIC 15610.40. "Investigation' means that activity undertaken to determine the validity of a report of elder or dependent adult abuse."

NOTE: Even when the client is no longer at risk by the time you conduct your investigation, you are determining whether what was alleged likely happened or not. During your investigation, you may find out that the client may no longer be abused or at risk of abuse.

Frequently Asked Questions on Findings (aka Findings Myth Buster)

3. When my county's historical practice differs from the Consistency in Findings Matrix, how do I proceed?

Answer: Please refer your county's leadership to the CWDA's Adult Protective Services Consistency Guidelines, which are intended to promote consistency in practice under a realigned APS program:

<https://www.cwda.org/formguidelines/adult-protective-services-consistency-guidelines>

Myth Buster

General Myths

1. When the report alleges abuse in the past, but the abuse is currently not happening, you cannot have a finding of confirmed or unfounded.

FALSE (Refer to Q 2 above)

2. If by the time I investigate the report, the suspected abuser is no longer in contact with the client, I cannot have a finding of confirmed or unfounded. For example, if the Suspected Abuser is the IHSS Provider, who is no longer the client's provider.

FALSE

3. I was told that APS can have a finding of confirmed or unfounded only when it is cross-reported to us by law enforcement.

FALSE Special Considerations: APS is mandated to investigate an allegation of abuse as defined in the CA WIC, and have a finding of confirmed, inconclusive or unfounded (*or in the case of NTD, a finding of Not Applicable*). Law enforcement is mandated to cross-report suspected abuse to APS, so that APS can investigate abuse in accordance with the CA WIC, and render the appropriate services and help to clients. Whereas law enforcement investigates crimes per the Penal Code, to apprehend suspects.

4. In order to have a finding of Confirmed, I have to be so sure that the abuse, because I don't want to damage the suspected abuser's reputation in case I'm wrong.

FALSE Special Considerations: The role of the APS worker is to look at the facts and see if they meet the defining elements of the type of abuse, by following an APS appropriate investigation, regardless of the impact on the suspected abuser, or later consequences.

Frequently Asked Questions on Findings (aka Findings Myth Buster)

5. I can have a finding of unfounded or confirmed even when I did not interview the suspected abuser.

TRUE

Special Considerations: If the evidence meets the Essential Defining Elements, you may have a finding of confirmed, regardless if you have not interviewed the suspected abuser.

Myths on Confirmed

1. Is it true that you can only use “Confirmed” when the client confirms abuse, unless the client has memory impairment and it is clear that the stories provided by the client are implausible?

FALSE

Special Considerations: You arrive at a finding based on training and evidence (see intro paragraph), e.g. often victims of abuse may not disclose or deny allegations.

2. Is it true that confirming an allegation is done when there is evidence—such as facts or observations—that meet the Essential Defining Elements of that type of abuse?

TRUE

3. Can I confirm an allegation when the client confirms the abuse, but may also be contributing to the problem? For example, when the client confirms being abusive to their spouse.

TRUE

Special Considerations: For example, if two older adults who are a couple hit each other intentionally, you could confirm abuse for both, i.e. both committing physical abuse toward each other.

Myths on Inconclusive

4. Inconclusive is the safest finding when client denies the abuse.

FALSE

5. “Inconclusive” is only selected when there is not enough evidence, or sufficient client cooperation, to determine a finding of “Confirmed.”

FALSE

Frequently Asked Questions on Findings (aka Findings Myth Buster)

6. “Unfounded” is not an adequate selection, and “Inconclusive” should be used instead as “a way to stay on the safe side of things.”

FALSE

7. “The reason we use “Inconclusive” most of the time is because we were encouraged in training to use this finding unless we have confirmed allegations. Therefore, this finding is used for all cases unless allegations were confirmed.” Is this true?

FALSE

8. Is it true that if I use “Inconclusive” that this will “take away” from the services I provide?

FALSE

Special Considerations: Services offered depend on your assessment and service plan, and not on whether you have a finding of Inconclusive.

Myths on Unfounded

9. Unfounded cannot be used as a finding determination. I’ve been trained or told that we cannot use Unfounded as a reason.

FALSE

Evidentiary Challenges

10. I cannot have a finding of Unfounded or Confirmed when I have difficulties acquiring evidence. For example, I only have the client’s statement, but no access to collateral contacts, or I am unable to obtain the needed information like medical records, financial records, or criminal history. On other instances, I am unable to observe the physical evidence (e.g. a bruise or decubiti), and the client has cognitive, developmental or mental health issues making their statement unreliable.

FALSE

11. You can confirm a case when you don’t see any bruises or there is no physical evidence, e.g. when the client says that the physical abuse occurred, but there is no physical evidence.

TRUE

Client Participation and Capacity

Frequently Asked Questions on Findings (aka Findings Myth Buster)

12. If the client says that the abuse did not happen—or retracts their statement, “lacks capacity,” or becomes uncooperative—but the evidence confirms the allegations, you could have a finding of confirmed

TRUE

13. If the client alleges IHSS fraud by the provider claiming hours they did not work, and the client did not sign the timesheet, but the next day the client withdraws the allegation saying they were mad at the provider, then the allegation is unfounded.

IT DEPENDS Special Considerations: If the nature of the evidence that led to your original finding has changed, then you would need to reassess whether you still have the evidence needed to meet the Essential Defining Elements for that type of abuse.

Financial

Note: Part of your consideration in looking at Financial Abuse, is assessing for Financial Self-Neglect and Abuse by Other.

14. I can confirm financial abuse when the suspected abuser is not known to the client, and the bank has resolved the issue. For example, a scam involving identity theft.

TRUE Special Considerations: We are investigating the allegation, and the evidence could meet the Essential Defining Elements of Financial abuse.

15. I can have a finding of Confirmed when the client believed the scam, but other party intervened to prevent the scam from happening. For example, the bank convinced the client not to withdraw money for an IRS scam.

IT DEPENDS Special Considerations: Even when the evidence does not meet the Essential Defining Elements of Financial Abuse by other, you could suspect financial self-neglect and confirm that, and tailor the appropriate services to assist the client. Even if the scam did not go through, the client is still at risk for a future scam. Additionally, the SOC 242 Report captures any reported scams.

16. I can have a finding of unfounded, if the client recognized a scam, and did not participate in it (e.g. a lottery scam), and there was no financial loss.

TRUE Special Considerations: Even if the scam did not go through, the client may still be at risk for a future scam, and screening for financial self-neglect is appropriate. And as mentioned above, the SOC 242 Report captures any reported scams.

Frequently Asked Questions on Findings (aka Findings Myth Buster)

17. I can have a finding of unfounded when the client continues to participate in a scam (e.g. Lotto, Granny/IRS/computer virus Scam, even when they've been explained that it is a scam, and how it works), and I not suspect cognitive incapacity but poor decision-making; OR the client was reimbursed by the bank or recovered the money in another way.

FALSE Special Considerations: If the client has sent money to the scammer, then abuse by other happened, and therefore the finding is not dependent on the client's willingness to participate (or capacity), but on whether the situation meets the Essential Defining Elements of Financial Abuse found in the Consistency in Findings Matrix. In addition, you would assess for Financial Self-Neglect.

18. APS receives a report that a caregiver stole from a client. The client has no proof, and the investigation yields no proof nor likelihood that it happened; yet, the client is adamant that items were stolen. There is no history nor suspicion that the client suffers from mental health issues. I should confirm the allegations; OR the client suffers from mental health issues and I should unfound the allegations.

FALSE Special Considerations: Findings are not exclusively dependent on the client's statements, nor their mental health/cognitive status. If the findings of your investigation do not yield information to support the Essential Defining Elements of Financial Abuse, then you would arrive at a finding as described by the Matrix, Guide, and the Consistency in Findings class.

19. Let's say that the Client engages in a contractual agreement (e.g. loan, investment, business opportunity) with a Suspected Abuser or another party, and promissory notes are written or communication is exchanged between both parties. The Suspected Abuser or other party consistently makes payments (e.g., monthly/quarterly) to the client, but shortly thereafter stops making the payments. Would this be considered financial abuse—or even confirmed—in part of Suspected Abuser or other party?

IT DEPENDS Special Considerations: The Consistency in Findings Matrix, Guide and Class will help you gather the information and context necessary for you to assess if the situation meets the criteria of financial abuse, financial self-neglect and the appropriate finding. For instance, you may determine that the situation does not meet the definition of financial abuse (e.g. party cannot make repayments, or the contractual agreement is not being fulfilled), and the client might be referred to other appropriate remedial services. Yet, if the situation meets the defined criteria, the class tools—along with appropriate MDT discussions—could help you determine if the Essential Defining Elements are met.

Frequently Asked Questions on Findings (aka Findings Myth Buster)

20. Client has a family member who evidently preys on client due to beginning stages of dementia or cognitive decline. The client denies financial abuse and reports giving money willingly to the Suspected Abuser, but the client falls behind on paying bills, mortgage/rent, and in attaining essential food; therefore, placing the client's own health and safety at risk. Financial abuse by the Suspected Abuser is confirmed.

TRUE

21. When the client is alert and oriented, and provides extra or reportedly, excessive gifts and money to her privately paid caregiver, this is not financial abuse.

IT DEPENDS Special Considerations: The Consistency in Findings Matrix, Guide and Class will help you gather the information and context necessary for you to assess if the situation meets the criteria of financial abuse, financial self-neglect and the appropriate finding. For instance, you would need to screen for undue influence, and assess other considerations such as the extent of the client's estate, the client's lifestyle and lifelong pattern, the client still able to meet their financial needs and desired amenities, etc.

22. When the client has a joint bank account with the SA, who reportedly withdraws monies from the account, then there is no financial abuse because both parties are joint owners of the account.

IT DEPENDS Special Considerations: The Consistency in Findings Matrix, Guide and Class will help you gather the information and context necessary for you to assess if the situation meets the criteria of financial abuse, financial self-neglect and the appropriate finding. For instance, you would need to look into the timing and sequence of events, the reason the joint account was set up, screen for undue influence, and assess other considerations. Even when this might not meet a criminal standard, it could meet the civil standard of financial abuse.

Neglect

23. If the client suffers a fall, or health complications, or a crisis while the primary caregiver (e.g. a family member) is not home due to running an errand or time off, and the client is hospitalized as a result, then this would this be considered neglect on the part of the caregiver.

IT DEPENDS Special Considerations: For example, there might be circumstances that explain the situation, such as is this a pattern or an isolated event, the level of care that the client needs (like stand-by vs. hands on care), etc. The Consistency in Findings Matrix, Guide and Class will help you gather the information and context necessary for you to assess if the situation meets the criteria of neglect, self-neglect and the appropriate finding.

Frequently Asked Questions on Findings (aka Findings Myth Buster)

24. The client arrives at the hospital with serious medical concerns, somewhat dirty with feces dried to buttocks. The hospital calls APS to report suspected neglect. Upon the APS worker's arrival at the hospital, the client's attending physician fails to offer an opinion as to neglect or general progression of an existing disease process. Also, the client and the SA deny poor care. Because we don't have a medical opinion confirming neglect, then I cannot confirm neglect.

IT DEPENDS Special Considerations: For example, the client's home environment could reveal concerns that support neglect by other, including self-neglect. The Consistency in Findings Matrix, Guide and Class will help you gather the information and context necessary for you to assess if the situation meets the criteria of neglect, self-neglect and the appropriate finding.

Physical or Sexual

25. The client no longer wishes the caregiver to provide needed personal care, because during a previous personal care session the client became aroused. And because the client now is alleging sexual abuse, we can we confirm sexual abuse.

FALSE Special Considerations: The client's statement alone is not sufficient to confirm sexual abuse, and a proper investigation and assessment of the evidence gathered will help you assess if you have the information necessary to meet the Essential Defining Elements of sexual abuse.

26. APS received a report that a developmentally delayed adult was sexually abused. He/she is unable to verbalize the abuse, and the SA is denying the allegation. Therefore, you cannot confirm sexual abuse.

FALSE Special Considerations: Just because a vulnerable adult cannot relate what happened to them, does not prevent you from pursuing an investigation to gather the evidence that you need meet the Essential Defining Elements of sexual abuse.

27. APS receives a report that the client's caretakers are using drugs in front of the client, who is developmentally delayed. The report also alleges that the client is given drugs. When the client is asked if she has been using drugs, she shakes her head as in saying no, but gestures how to smoke from a pipe. Also, the SA is denying the allegations. Because of this, we cannot confirm the abuse.

FALSE Special Considerations: Just because denies the physical abuse, does not mean that the alleged abuse did not happen.

Frequently Asked Questions on Findings (aka Findings Myth Buster)

Self-Neglect

28. If the client chooses to be homeless, as a lifestyle choice (and exercising their constitutional right to self-determination), then self-neglect would be Unfounded, because the client continues to obtain essential food, clothing, medical care, and manage their moneys.

TRUE Special Considerations: Assuming that there is no question about the client's decisional capacity in reference to lifestyle choices. Some counties may have programs designed to specifically serve the homeless population, whereas others may not. Therefore, the level of engagement of APS with the homeless population may be based on local practices.

Psychological

29. If the client is the only one reporting verbal abuse, and no one else corroborates, then the mental suffering is unfounded.

IT DEPENDS Special Considerations: You have to assess the repercussions to the client in terms of how they feel, and how it affects their daily life, and how dependent they might be on the suspected abuser. The Consistency in Findings Matrix, Guide and Class will help you gather the information and context necessary for you to assess if the situation meets the criteria of mental suffering and the appropriate finding.

30. When the client engages in arguments with close family members (e.g. husband, wife, son, caregiver, etc.) and reports psychological abuse, we cannot confirm mental suffering.

IT DEPENDS Special Considerations: You have to assess the repercussions to the client in terms of how they feel, and how it affects their daily life, and how dependent they might be on the suspected abuser. The Consistency in Findings Matrix, Guide and Class will help you gather the information and context necessary for you to assess if the situation meets the criteria of mental suffering and the appropriate finding.

Isolation

31. If the client resides in a memory care unit within an assisted living facility, is conserved and the conservator says they're not allowing a specific family member to visit due to problematic behavior towards the client and the facility's staff, then isolation would be unfounded.

Frequently Asked Questions on Findings (aka Findings Myth Buster)

IT DEPENDS Special Considerations: This situation would need to be investigated further. For example, if this action is done in the best interest of the client. The Consistency in Findings Matrix, Guide and Class will help you gather the information and context necessary for you to assess if the situation meets the criteria of mental suffering and the appropriate finding.

Abandonment

32. If a family member or informal caregiver takes client to the Emergency Room for evaluation due to health concerns, challenging behaviors (e.g. dementia/Alzheimer's and wondering at night), or for being unable to properly care for the client, then, this would not constitute abandonment.

TRUE Special Considerations: Assuming that there are no other facts, based upon your investigation, that would suggest otherwise.

Policy Clarification and Case Exceptions

Guidance

a. When an APS Worker cannot make an in-person response and the case was not designated as a No-Ten-Day (NTD), then the APS Worker cannot complete the investigation and closes the investigation without findings.

TRUE

Special Case Scenarios

b. It is important to determine that the allegations meet the definition of abuse, per California's code, and that any finding conforms to the necessary Essential Defining Elements for that type of abuse.

TRUE Special Considerations: An allegation may reference a landlord/tenant issue, yet it might also meet the criteria of a type of elder or dependent adult abuse.

c. When Law Enforcement requests APS to hold off an investigation, I can still have a finding.

TRUE Special Considerations: Once you complete your investigation. In situations like these, please consult with your APS leadership on best practices that support collaboration and partnership with law enforcement. At the same time, the role of the APS program is to assess for the safety of our clients, and a request of this nature would have to be assessed in this light by your APS leadership.

Frequently Asked Questions on Findings (aka Findings Myth Buster)

- d. *I have to have a Confirmed finding in order to cross-report a report of abuse (SOC 341) to law enforcement.*

FALSE APS is mandated at the time they received the initial report to cross-report the suspected elder or dependent adult abuse to law enforcement, per CA WIC 15640. However, to cross report an APS Investigation (e.g. an SOC 343 or its equivalent) would likely need to have a finding of confirmed or possibly inconclusive before sharing the results of the APS investigation.

- e. **NEXT** → *When investigating a case that is an NTD, you would follow the same investigative techniques and finding determination process as you would with a case subject to an in-person response. However, if there is no information to corroborate, or the inability to obtain it, or unnecessary to pursue the information, then Not Applicable might be an option.*
- f. **???** *[Consider discussing the Date of incident of the reported abuse – xyz...] [The workers have expressed their disagreement with the “In-person response could not be made” finding on every case where the client is not located or accessed. That allegation finding is inflexible and does not take into account the Social Workers’ efforts—also found under Exceptions] [Clarity is needed on what Confirmed really means and when/when not to use it.]*

MODERATOR/CO-HOST TIP SHEET

MODULE 1

Slide #1: Welcome, page 16

- Type in the chat box: Please enter your name, title, and County for attendance purposes.
- Type in the chat box: If needed, change your display name and include pronouns if comfortable.

Slide #4: Overview of Technology, page 19

- Help participants navigate the functions of the virtual platform:
 - **Video Camera:** when you find, turn off/on
 - **Mute:** everyone locate it, mute and unmute yourself. While you are listening or others are speaking, please mute yourself. Unmute if you are about to speak or while in breakout rooms.
 - **Chat box:** Ask participants to type their name, county and role if they have not done so already.
 - **Clap hand/thumbs up:** Ask participants to press the clap hand icon or give thumbs up when they've found it.
 - Explain that the facilitator will ask participants to use any of these reactions in place of the raising hand feature as participants cannot see all see the raise hand feature. You may need to remind them of this a few times.
 - **Icons to facilitator:** slow down, need a break (on Zoom, only the hosts/co-hosts will see these.)

Slide #7: Activity #1 – Breakout Session, page 22

- Pre-assign participants to breakout rooms
 - Recommended no more than 5 per group.
- Launch breakout rooms
- Remind participants to click “join group” and tell them you'll see them again in 10 minutes.
- Broadcast message to rooms – Introduce yourselves and discuss what are your biggest concerns (or frustrations) when it comes to determining findings for your APS cases?
- Put timer on for 9 minutes and provide a one-minute warning.
- Close groups and welcome everyone back.
- Help read responses in chat box if applicable.

Slide #9: The Consistency Matrix, page 24

- Enter poll question prior to start of training.
- **Launch** poll and **give** participants 30 seconds to respond.

POLL QUESTION

“Do you use the Consistency Matrix in your current investigations?”

Single Choice: Yes, No, Sometimes, Unsure

- **Share** poll results.

Slide #12: Clarified Standards, page 27

- Help read responses via chat if applicable.

Slide #14: Using the Matrix with Evidence: Peter Frown, page 30

- Enter poll question prior to start of training.
- **Launch** poll and **ask** participants to vote which finding they believe is true.
 - Give 30 seconds to respond.

POLL QUESTION (single choice)

Is the allegation of Financial Abuse Confirmed, Inconclusive, or Unfounded?

- **Share** results.

Slide #16: Using the Matrix with Evidence: Janice Pho, page 39

- Enter poll question prior to start of training.
- **Launch** poll and **ask** participants to vote which finding they believe is true.
 - Give 30 seconds to respond.

POLL QUESTION (single choice)

Is the allegation of Sexual Abuse Confirmed, Inconclusive, or Unfounded?

- **Share** results.

Slide #17: Scenario #1, page 41 and 42

- Help read responses via chat box.
- Enter poll question prior to start of training.
- **Launch** poll and **ask** participants to vote which finding they believe is true.
 - Give 30 seconds to respond.

POLL QUESTION (single choice)

Is the allegation of Financial Abuse Confirmed, Inconclusive, or Unfounded?

- **Share** results.

Slide #16: Scenario #2, page 43 and 44

- Assign breakout groups (ideally repeat group members from activity #1).
- Create additional room “trainer room” and place trainer in that room to freely enter breakout rooms on their own.
- Launch breakout groups and remind participants to click join group.
- Broadcast message to breakout rooms
 - 1. Evaluate evidence for abuse indicators
 - 2. Determine if the evidence meets the abuse’s legal components
 - 3. Explain how the evidence meets the abuse’s legal components
 - 4. Assign a finding(s)

- After 17 minutes, send a message that they have two minutes left.
- Close groups and welcome participants back.

Slide #23: Module 2: Individual Practice – Scenario #3 and #4, page 52

- Type in chat box that you will help troubleshoot any questions regarding logging in to on-line learning activity AFTER the training has concluded. Field all questions regarding logging in until then.

Slide #24: Questions and Evaluations (Module 1)

- Provide evaluation information (if applicable)

MODULE 2:

Ensure all participants have been registered via the learning management system for the *CA APS Consistency in Determining Findings: Virtual Skill Building Individual Practice (Module 2)*.

MODULE 3:**Slide #27: Welcome to Session, 64**

- Type in chat box: Please type your name, county and title in the chat box for attendance purposes.
- Help read any questions in chat box if applicable.

Slide #28: Performance Assessment, 65 and 66

- Assign breakout groups, ideally no more than 4-5 per group.
- Create additional room “trainer room” and place trainer in that room to freely enter breakout rooms on their own.
- Launch breakout groups and remind participants to click “join group”.
- After 10 minutes, **cascade** a message to switch to Scenario 4 if they haven’t done so already.
- After 8 minutes, **give** them a 2-minute warning that time is almost up.
- Close groups and welcome participants back.

Slide #31: Findings Rational Narratives, page 75

- Read responses via chat box if applicable.

Slide #32: Narrative Comparison, page 77

- Read responses via chat box if applicable.

Slide #34: Narrative Practice Part 2-Group Assessment, page 79

- Assign breakout groups (ideally repeat group members from previous breakout groups).
- Create additional room “trainer room” and place trainer in that room to freely enter breakout rooms on their own.
- Launch breakout groups and remind participants to click “join group”.
- Broadcast message:
 - Share your individual narratives and reach a consensus on the most descriptive one, constructing a narrative together, which includes essential pieces of information in an organized, comprehensible explanation on Handout #10.
- After eight minutes, provide a two minute warning.
- Close groups and welcome participants back.

Slide #35: Wrap-Up and Evaluations, page 81

Read responses via chat box if applicable.

Slide #36: Final Questions and Evaluations

- Provide evaluation information (if applicable)

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OUR WHY: **REVOLUTIONIZE
THE WAY PEOPLE
WORK TO ENSURE
THE WORLD IS A
HEALTHIER PLACE.**



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