2/5/2015 SSIS VA-CEP Tip Sheet

1. What if we don't know the victim name?
The victim name is currently required to utilize the "Send to a LIA" function (a future release will allow a victim description OR victim name). The report can be faxed to the Lead Investigative Agency (LIA) if no victim is identified until the future release allows the transfer without a name. If the County is the LIA, proceed with decisions regarding if the report will be opened for investigation or services using the structured decision making (SDM) tool and the county's prioritization guidelines. If the report is opened for investigation, collateral contacts to identify the victim can be made. When the victim is identified, open the SSIS Intake work group and adult maltreatment report to enter data. If the victim is never identified, delete the adult maltreatment report. The information will be maintained in the intake workgroup. <u>Do not use an information and referral for these types of cases. Information and referral reports are not useful to LIAs.</u>

2. What do we do when an incident involves all victims in a facility?
If four or fewer victims, enter each victim in a separate report.
If more than four victims, enter a token victim and include the text 'All residents' in the Intake 'Description of need' tab.

3. Do I have to enter names for the licensing worker, contract manager, case worker, etc. on the distribution tab?
Yes. The distribution tab is for the people you plan on distributing the report to only. Names will not auto fill unless you enter them as a role.

4. Why isn't there an option to select 'No determination – investigation not possible' for an *appeal* determination?
An appeal indicates that an investigation and allegation determination is complete. There are three maltreatment findings: false, inconclusive and substantiated that are appealable. Therefore, 'No determination – investigation not possible' is not an option because there was no determination made.

5. Do we need to continue sending <u>overturned</u> appeal information to the Background Studies unit at DHS?
Yes. The final disposition is sent to Background Studies electronically through SSIS. The CEP no longer needs to fax perpetrator information to them after completing the final disposition. If the final determination is OVERTURNED on appeal, the Background Studies unit should be notified.

6. What do I do when a call involves a concern or complaint?
For incidents where the caller is reporting issues regarding the facility (i.e. hot/cold water, bad food, etc.), callers should be referred to the appropriate phone number of the lead investigative agency (warm transfer when available) to file a complaint about the services/program. If there is any uncertainty if maltreatment is involved (hot water leads to burns, etc.), capture as an adult maltreatment report using the closest maltreatment (caregiver neglect). <u>Do not use an information and referral for these types of cases. Information and referral reports are not useful to LIAs.</u>

7. What do I do when the reporter does not know the maltreatment type?
When the reporter does not know what type of maltreatment they are reporting or they don't know that maltreatment necessarily occurred, please choose the closest maltreatment option. It will then be the responsibility of the Lead Investigative Agency to determine correct maltreatment type. For instance, a bruise could be recorded as alleged abuse or neglect. An unwitnessed fall or a client who fell out of bed and was hurt even though all precautions were taken can be categorized as caregiver neglect. Any type of injury could be categorized as abuse. <u>Do not use an information and referral for these types of cases. Information and referral reports are not useful to LIAs.</u>

8. When a caller is anonymous, is it necessary to add the caller as collateral on the Intake screen or Adult Maltreatment Report screen.
No.

9. 'Birth parent' or 'adoptive parent' is irrelevant for adult maltreatment report relationships; they don't want to ask that question. Can 'parent' be an option?'
It is necessary to breakdown type of parent for child protection. The recommendation is to not ask the question and default to birth parent for adult protection reports.

10. We had a call that required two lead agencies; county and MDH OHFC. One allegation will be investigated by our county; the other will be investigated by OHFC Health. However, all allegation determinations are required to end a report in assessment.
Delete the allegation investigated by OHFC Health in the assessment workgroup, and then end the adult maltreatment report. The original adult maltreatment report and allegations are retained in the intake workgroup.

11. The CEP worker **must** review the CEP report before faxing to the appropriate LIA or law enforcement to verify that the information is complete.

12. Who exactly do we NOT identify in the Description of Need and Incident?
Within the Description of Need and Description of Incident you CAN identify the alleged victim and alleged perpetrator, NOT the reporter.

13. If a report comes in alleging "self-neglect" of a VA, then is that individual listed not only as the "alleged victim", but also entered as the "alleged perpetrator"?
Yes. The alleged victim and alleged perpetrator would be the same individual in that situation and should be entered as such into SSIS.

14. There is a provider in LNDX a county is unable to find?
They all should be listed. LNDX derives the provider list directly from MDH/DHS and the lists are updated nightly. Some providers are listed by their agency's "mother" corporate name which is different than what the agency recognizes as their name. Some agencies run many different licensed programs. Be careful to select the correct provider and program as they may have different licensing agencies depending upon the one you choose. Do not just choose the first provider you see with the correct name. Verify the address as well. Also, see additional columns in the Grid Options.

15. Who may actually enter VA-CEP reports?
Best Practice dictates that the individual receiving the information needs to be the person entering it… the intake person is only recording information as related by the reporter – they are not required to "screen" or "make determinations" unless those functions are part of their position responsibility.

16. How long will a workgroup appear on a worker's caseload after the workgroup has been closed?
30 days – this allows for additional information (case notes, documents received, etc.) to be entered as necessary.

17. If we have contact with family members in regards to the CEP, do we enter them as collaterals?
Contact with other family members should be documented in case notes. They do not need to be added as collaterals in SSIS.

18. Is the date of birth field a required field?
Yes. The Intake worker should always be asking for this information. Intake worker and CEP worker, if different, can do a county and state search if there is any basic identifying information available, such as address, relationship, etc. If no information is available, worker can still ask questions, such as is this the resident's child, etc and an estimated age can be entered, which will satisfy the requirement for the intake and allow it to be closed.

19. Should I be clearing clients to the county and the state with minimal identifying information?
Clearing is a very important task and clients without enough identifying information should not be cleared to the State. Clearing these clients to the State puts inaccurate information on the state database. These clients should remain on the counties clearing log until identifying information can be entered.

20. What should I do with virtually identical reports from multiple callers?
The reporter should always be afforded the ability to make a report. Take subsequent reports as new reports recording the new reporter information utilizing the "Copy Intake and Adult Maltreatment Report" feature available in release 5.1.

21. Why is it important to enter reporter information in the appropriate section?
If the reporter information is available, it should be recorded in the reporter (caller) section of the report. <u>Entering the reporter information in the description of need or incident section does not satisfy the need to enter the information within the reporter (caller) section.</u> If the reporter information is not recorded in the appropriate location it then is difficult for LIAs to find the information. This also ensures the reporter information is redacted when printing a redacted version of the AMR. Redacting from the description of incident or need fields requires redacting by hand and cannot be done automatically by the system.

22. Why is it important to enter information in the appropriate sections?
If a section is left blank, that section will be omitted when the report is printed. The LIA may therefore presume that the information was not available.

23. If a reporter requests an initial disposition letter and it is the county's responsibility to send it, but for some reason they determine that the reporter can't/shouldn't receive a letter (to protect the VA) what should the worker enter?
If the reporter did in fact make the request, the worker should select "yes" reporter does request initial disposition. This will create a letter to an "interested person". <u>DO NOT SEND</u> the letter. Instead document in your case notes why the letter is not being sent.

24. If a reporter does not want to provide their name, but does provide a phone number in the even more information is needed, how do we document it?
Make a note in the description and select "Yes" caller refused address and phone.

25. When do I use the county report action "Accepted for emergency protective services" on the adult maltreatment report?

- **"Accepted for emergency protective services" is used when *your* county will be providing emergency protective services to the alleged victim <u>and</u> *your* county will *NOT* be investigating the incident of maltreatment.**
- **"Accepted for county investigation" is used when *your* county will be investigating the incident of maltreatment. *Your* county *may or may not* be providing emergency protective services to the alleged victim.**

26. I received an electronic intake from another county with a start date that is a month old, but the referral just occurred. How should we handle the dates?
Leave the dates as they are. Accept the electronic intake with the original start date. The referral date in the intake will show the date the other county *sent* it to you.

27. How do I send a LIA a CEP if they are not the LIA? Ex: If the county is the LIA, but you would like to send a CEP to DHS Licensing as a head's up regarding something that is going on in one of their facilities involving a second party perpetrator where they would not be required to investigate.
Please print a copy of the CEP and fax it to the LIA with a cover letter explaining the intent or reason for faxing.

28. How do I send additional information that may come in on a CEP already taken and sent to a LIA? Ex: A facility faxes in a report regarding an internal investigation.
Please fax this to the LIA.

29. It is the BEST PRACTICE when sending a CEP report electronically to send to the LIA before closing the report.

30. What do I do if an electronic CEP report comes to my county by mistake?
You should electronically transfer it to the correct county. Close the adult maltreatment report with county report action "Not accepted for investigation". Close the intake with close reason "Other agency responsible". You should <u>ALSO</u> contact both the sending county and the correct county to identify the transmission error.

31. How often should I be checking SSIS for electronically submitted CEP reports transmitted from another county?
Counties should be checking the unassigned intakes view daily. There may be a specific person, such as a supervisor, assigned to do this. The statue mandates that the CEP refer reports to the LIA within two days. Any delay in viewing the unassigned intakes, may prevent a county from fulfilling this statutory mandate. Sending counties should be following up with a phone call to the receiving county after electronically sending. It should be noted, electronic transfers are not immediate and receiving lead agencies are able to view the report according to the following schedule:

- **County to County process**
  5 am, 10 am, 12 pm, 2 pm, 4 pm
- **OHFC pull CEP process**
  5 am,7 am,9 am,11 am,2 pm,4 pm, 6 pm, 8 pm
- **DHS Licensing pull CEP process**
  7 am, 1pm

32. A facility called in their VA report; however, there is no known alleged perpetrator. Ex: A client was complaining of a wrist hurting – but did not report falling and staff are not aware of any falls. Would this still constitute as a VA report?
Yes, document as a VA report by choosing the closest maltreatment option (e.g., caregiver neglect) and forward to the LIA. The LIA can sort out the details.

33. Why can't a report be sent electronically twice?
A report can be sent electronically to multiple agencies as long as they are selected in the LIA field when it is sent electronically the <u>FIRST</u> time. Reports mistakenly sent to the wrong agency cannot be resent to the correct agency by the originating agency. However, if your county receives a report from another county which is determined to be not your agency's responsibility, then you may send the report electronically to the correct agency. Reports cannot be sent twice by the same agency because the system did not anticipate this need. An enhancement request is pending technical review to add fields to the Referral screen with the date and time the Adult Maltreatment Report was sent electronically as well as which worker did so. This may assist workers in ensuring that the correct information is sent the first time. Additional PRs related to the electronic transmission include a county name indicator and ability to track CEPs transmitted from other counties. There is no timeline for review of these enhancement requests. For now, workers will have to fax reports when they are unable to resend a report to a LIA.

34. Why isn't there a dialogue box that pops up when you are sending a report electronically that states "Are you sure you want to send this report?" to assist workers in ensuring they are prepared to send**?**
There is no dialogue box because the system did not anticipate this need. The above referenced enhancement request may also serve to assist workers in the future. For now, workers will need to be extra cautious, review all information before sending electronically.

35. Why is it important to enter roles in the roles tab**?**
If the worker does not enter the role in the roles tab, this information is not transferred to the LIA. Lead agencies often have a difficult time deciphering what relationship the caller and the alleged perpetrator have to the victim. Roles must be entered in the role screen. Caller, witness, guardian/conservator and initial reporter and/or relationship (relationship screen) to alleged victim and alleged perpetrator must be entered. Other roles, such as case manager, friend, neighbor, law enforcement, mandated reporter, personal care provider, etc. should also be recorded in the roles tab.

36. Why is it important to enter both the victims address and the incident location?
Often an incident happens outside of the facility. The incident location is crucial in determining which LIA is responsible for investigating the report. It is also important to be able to locate the victim, thus the victim address is essential as well.

37. How do CEP's ensure they are sending reports to the "appropriate" LIA?
One feature available for VA-CEP is the *LNDX*, or Licensed Provider Index. CEP staff can search, from within SSIS, all facilities licensed by either DHS or MDH (Minnesota Department of Health). Sometimes there are reports that involve facilities or programs that aren't licensed, but still need to be investigated by either county adult protection staff or by one of the state lead agencies, DHS or MDH. Examples include board and lodge facilities licensed by cities and unlicensed personal care assistant (PCA) providers and agencies.

Some of these facilities and programs may already be vendors for the agency. If so, staff can find them through the SSIS Business Organization (Bus Org) Search. Providers, facilities or programs that are not licensed and are not current vendors for your agency, can be entered as a business organization (Bus Org) in SSIS so that they are available for searching and selecting by CEP staff.

38. Why isn't there a dialogue box that pops up when you send a report electronically that states "Sent to Lead Investigative Agency" confirming the CEP has sent the AMR to assist workers in ensuring they are sending reports**?**
There is a message presented to the worker after they have attempted sending a report to a lead investigative agency to inform of success or not:

- **"Report has been successfully sent" or**
- **"Send to Lead investigative agency" is not available, try again later (this is usually due to connection problems) or**
- **"Report has already been sent"**

39. When reviewing reports after they have been taken by the CEP worker, there is no way for others to confirm that a report has been sent. Is there a way to have the report "grayed out" or add some other indicator so that after the CEP is sent it appears differently in SSIS?
This is currently an enhancement request. To confirm that the report has been sent, select "Send to lead investigative agency" from the Referral screen's action menu. The message "Report has already been sent" will be returned if the report has been sent.

40. What is the policy regarding documenting an anonymous caller/reporter?
It is never best practice in SSIS to put fake data such as "Refused, Anonymous" in the address or a fake phone number. SSIS requires you to enter <u>either</u> a name or a description (source). The CEP should never be entering "anonymous" as a name. Select "Anonymous" from the "Source" dropdown on the Intake or Adult Maltreatment Report screen. Contact the SSIS Helpdesk at (651) 431-4801 or via email at Dhs.ssishelp@state.mn.us **for further clarification.**

41. When sending a report to a LIA and the caregiver feels they did everything appropriately and do not feel comfortable using any of the allegation choices:
The incident must be captured as a potential maltreatment allegation (abuse, neglect or financial exploitation). The CEP is not saying there was maltreatment. A finding of maltreatment is determined by the LIA.

42. Counties are the LIA for most PCA and B&L investigations. If there is a question regarding a potential license type (home maker, housing services), please call the LIA to confirm the license applies to the maltreatment investigation. Often times the CEP sends these reports to MDH/DHS by mistake when the County is the LIA.

43. Forms 2754 (findings), 3243 (CEP) and 5883 (perp reporting form) are no longer necessary. Counties send the info electronically through SSIS as of 1/1/2008.

44. How do CEP's confirm they are sending reports to a LIA?
This is done by selecting "Send to Lead investigative agency" from the action menu on the referral tab of the adult maltreatment report.

45. A county (as LIA) investigated a maltreatment allegation by mistake. There was some confusion because there were multiple allegations. The county kept one allegation (resident to resident sexual contact) and forwarded the other (caregiver neglect) to another LIA. This was an error and both should have been sent to the other LIA.

- **If the report is still in intake, change the referral to indicate only DHS/OHFC as the LIA. Communicate with DHS/OHFC to confirm that both allegations will be investigated by them. The county may be providing emergency protective services.**
- **If the report is now in assessment, they can delete the assessment workgroup and revert to intake, then proceed with #a (above).**
- **If the intake or assessment workgroup has been closed more than 30 days, they cannot change, a data fix would be needed (contact the Helpdesk at 651-431-4801 or dhs.ssishelp@state.mn.us for assistance).**

46. For reports that require two lead investigative agencies, (county and DHS/OHFC) communication is essential. If the county is retaining an allegation for investigation, this should be communicated by phone to the other LIA as soon as possible to coordinate the investigations to avoid duplication.

47. We have had a lot of questions pertaining to Notices of Findings. Combined documents are developed to reinforce DHS policy and federal requirements for completion of maltreatment reports. Maltreatment report data fields must be completed, and all client data appropriately entered, before creating the appropriate maltreatment reporting letters for offenders, non-offenders, licensed agencies, and mandatory reporters. In order to access the appropriate document it is important to compile the required entries in SSIS. Incomplete entry will result in missing sections in the final document. Combined documents in SSIS include:

- APS-Initial Disposition Letter
- APS-Notice of Findings Letter
- APS-Reconsideration Letter

The following is a list of Adult Maltreatment requirements that impact document setup and completion of the three combined Adult Protection letters:

- Allegations must have findings to finish the Adult Maltreatment report.
- An End date is required on the Adult Maltreatment report.
- Check that Caller refuses address and phone? or enter caller address (physical location) and caller phone (if any).
- Offender address and phone must be entered.
- Victim address and phone must be entered.
- If Victim status is Categorical, then Resident of facility or Non-residential licensed services is required.
- If Victim status is Categorical, then Facility/provider or County Bus Org is required.
- An entry of Impairment/infirmity is required for a report accepted for investigation.
- Alleged Victim must be 18 years old or older at time of incident.
- If the Incident occurred at a facility, Facility/provider or County Bus Org is required.
- One allegation is required.
- If Previous Maltreatment is yes, then Nature of previous and Where can more information be obtained are required.
- Allegation finding is required if report was Accepted for county investigation.
- Hispanic heritage is required for each client.
- One race is required for each client.
- Alleged victim/alleged perpetrator must be cleared to State.
- Professionally determined disabilities must be entered for each client even if there is no known disability.
- Local Agency Contact must be entered in SSIS Admin.
- A staff member must be assigned to enable the worker selections in the document.

Intake worker and the Investigating worker must be assigned for the Setup tab to work correctly.

GLOSSARY

AMR: Adult Maltreatment Report

B&L: Board & Lodge facility

CEP: Common Entry Point

DHS: Department of Human Services

LIA: Lead Investigative Agency

LNDX: Licensed Provider Index

MDH: Minnesota Department of Health

OHFC: Office of Health Facility Complaints

PCA: Personal Care Attendant

PR: Problem Report (or enhancement request)

SSIS: Social Services Information System

VA: Vulnerable Adult

VA-CEP: Vulnerable Adult – Common Entry Point