

**DEPARTMENT OF SOCIAL SERVICES**

744 P Street, Sacramento, California 95814



December 17, 1999

ALL COUNTY LETTER NO: 99-95

TO: ALL COUNTY WELFARE DIRECTORS  
ADULT PROTECTIVE SERVICES  
PROGRAM MANAGERS**REASON FOR THIS TRANSMITTAL**

- State Law Change
- Federal Law or Regulation Change
- Court Order or Settlement Agreement
- Clarification Requested by One or More Counties
- Initiated by CDSS

SUBJECT: ELDER ABUSE AND DEPENDENT ADULT CIVIL PROTECTION ACT  
ADULT PROTECTIVE SERVICES CASE MANAGEMENT STANDARDSREFERENCE: All-County Letter No. 99-16  
All-County Letter No. 99-53

All County Letter Nos. (ACL) 99-16 and 99-53 provided implementation and operational instructions regarding the provisions of Senate Bill 2199 (Chapter 946, Statutes of 1998) which requires county Adult Protective Services (APS) agencies to provide a program of services to maintain the safety of elders and dependent adults in the home and in the community. The purpose of this ACL is to provide detailed operational instructions for the APS case management function. Those instructions are included in the attachment.

As you will note, the case management instructions are being included in regulation format. However, in the process of regulation development additional requirements may be added or the instructions contained in this ACL may be amended. In addition, the numbered sections (i.e., Section 33-505) may change. The California Department of Social Services will keep you informed of any changes that may become necessary.

If you have any questions regarding this letter, you may contact the APS Bureau at (916) 229-0323.

Sincerely,

***Original Document Signed By  
Donna L Mandelstam on 12/19/99***

DONNA L. MANDELSTAM  
Deputy Director  
Disability and Adult Programs Division

Attachment

Adopt Chapter 33-505 to read:

## **CHAPTER 33-505 CASE MANAGEMENT SERVICES**

- .1 Case management services shall be provided on behalf of elders and dependent adults who are determined to be in need of APS.

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### **HANDBOOK BEGINS HERE**

- .11 The purpose of case management is as follows:
- .111 To stabilize the client in his/her environment in order to minimize or alleviate the risk of abuse or harm.
  - .112 To assist clients to make changes that enhance their ability to protect themselves in the future.
  - .113 To enhance problem-solving and coping capacities of clients.
  - .114 To link clients with resources, services, and opportunities necessary to protect them and improve their quality of life.

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### **HANDBOOK ENDS HERE**

- .2 Case management services shall be performed only by county APS workers.
- .3 Case management services shall include the following to the extent services are appropriate for the individual:
- .31 Investigation of the protection issues, including, but not limited to, social, medical, environmental, physical, emotional, socio-economic, or developmental issues.
  - .32 An assessment, pursuant to Section 33-510, of the elder or dependent adult on whom the report has been made.
  - .33 Development of a service plan, pursuant to Section 33-520, for each elder or dependent adult on whom the report has been made and who are in need of APS.
  - .34 Counseling for clients and significant others to alleviate the identified problems and to implement the service plan.

- .35 Monitoring of the service plan, pursuant to Section 33-540, for each elder or dependent adult in which a service plan has been developed.
- .36 A reassessment of the service plan and modification of the service plan if necessary pursuant to Section 33-560.

Authority Cited: Sections 10553 and 10554, Welfare and Institutions Code and Chapter 946, Statutes of 1998.

Adopt Chapter 33-510 to read:

## **CHAPTER 33-510 ASSESSMENT**

### **33-510 ASSESSMENT**

- .1 When it has been determined that APS is to be provided, the APS worker shall complete an assessment.

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#### **HANDBOOK BEGINS HERE**

- .11 The purpose of the assessment is as follows:
- .111 To understand the client's capacity, ability to protect him/herself, and willingness to be involved in the problem-solving process.
  - .112 To identify problems and issues related to the client's need for protective intervention and to evaluate immediate and ongoing risk factors.
  - .113 To identify personal strengths and resources available to the client and/or the client's family that could alleviate risk to the client.

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#### **HANDBOOK ENDS HERE**

- .2 If, during the assessment process, the APS worker determines that APS is not needed, the APS worker shall document this and close the case. Completion of the remaining assessment elements is not required.
- .3 The case assessment shall include documentation of the following information:
- .31 The reason for the referral and the investigative findings.
  - .32 Identification of the concerns and needs of the elder or dependent adult, and when appropriate, other members of the family or household, or other significant individuals.
  - .33 Analysis of the client's strengths and identification of resources.
  - .34 A description of the functional level of the client, his/her limitations and problems, and the risk factors that are present.

- .35 A description of the client's history relevant to protective issues with APS or other agencies.

**33-515 ASSESSMENT TIMEFRAMES**

- .1 The case assessment shall be completed as soon as appropriate for the case depending on the risk involved, but no later than 21 calendar days from the date of the initial face-to-face contact with the client.

Authority Cited: Section 10553 and 10554, Welfare and Institutions Code and Chapter 946, Statutes of 1998.

Adopt Chapter 33-520 to read:

## **CHAPTER 33-520 SERVICE PLAN**

- .1 A written service plan shall be developed, based upon the assessment, for each client for whom APS will be provided.

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### **HANDBOOK BEGINS HERE**

- .11 The purpose of the service plan is as follows:
- .111 To identify the problems to be alleviated, based on the assessment, and to develop goals and timelines to address the problems.
  - .112 To identify resources to be used in order to stabilize the situation.

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### **HANDBOOK ENDS HERE**

- .2 All service plans shall include documentation of the following information:
- .21 The goals of the service plan.
    - .211 To the extent possible, the service plan shall provide for the safety of the client in the least restrictive environment.
  - .22 Measurable, time-limited objectives that are based on the service plan goals and the client's problems and strengths identified in the assessment.
  - .23 The services to be provided and activities to be performed in order to meet the service plan goals.
  - .24 A description of the anticipated nature, frequency, and duration of services to be provided directly by APS or by other agencies or individuals.
  - .25 Identification of resources needed to accomplish objectives (i.e., family, friends, church, other agencies). APS agencies shall make referrals to other agencies and provide advocacy when needed to stabilize the client's situation.
  - .26 The planned frequency of contact between the client and the APS worker pursuant to Section 33-545.

- .27 The length of time the case is expected to remain open.
- .3 Upon completion of the service plan document, the APS worker shall sign and date the plan.
- .4 A copy of the service plan shall be provided to the client if requested.

**33-525 CLIENT ACCEPTANCE OF THE SERVICE PLAN**

- .1 The APS worker shall ensure the client's input in the development of and acceptance of the service plan and shall discuss with the client the voluntary nature of the APS program.
  - .11 The APS worker shall document in the case record, the client's agreement to the service plan or shall request the client to sign a document that indicates their willingness to receive the services in accordance with the service plan.
- .2 The services identified in the service plan shall be delivered only with the consent of the victim. The elder or dependent adult may refuse or withdraw consent, at any time, to the provision of services by an APS agency.
  - .21 If the elder or dependent adult refuses services, the APS worker shall document in the case record the refusal of services and the reason, if known.
  - .22 The APS worker shall refer the elder or dependent adult to other agencies for services, if appropriate.

**33-530 SERVICE PLAN TIMEFRAMES**

- .1 Service plans shall be completed within 30 calendar days from the initial face-to-face contact.

**33-535 SUPERVISOR REVIEW AND APPROVAL OF THE SERVICE PLAN**

- .1 Upon completion of the service plan, the APS worker's supervisor shall document approval in the case record of the completion of the service plan per Section 33-590.

Authority Cited: Section 10553 and 10554, Welfare and Institutions Code and Chapter 946, Statutes of 1998.



Adopt Chapter 33-540 to read:

## **CHAPTER 33-540 SERVICE PLAN MONITORING**

- .1 The APS worker shall monitor the service plan and the progress of the client.

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### **HANDBOOK BEGINS HERE**

- .11 The purpose of the service plan monitoring is as follows:
- .111 To evaluate the client's progress in meeting the service plan goals and achieving stability.
  - .112 To monitor services to ensure continuity of care for the client in response to the client's changing needs and circumstances and intervene in a timely manner should a change in the service plan be necessary.
  - .113 To ensure that case management is being provided at an appropriate level of intensity to meet the client's needs.
  - .114 To ensure provider services are delivered in accordance with the service plan, in order to identify and resolve problems promptly.

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### **HANDBOOK ENDS HERE**

- .2 In monitoring the service plan, the APS worker shall:
- .21 Evaluate the status and progress of the client, agencies, and significant others in meeting service plan goals.
  - .22 Respond timely and appropriately to complaints or problems in the delivery of services.
  - .23 Confirm that the services have been delivered to the client and meet the client's needs.
  - .24 Ensure the service plan remains effective and modify as appropriate with the client's agreement.
- .3 Monitoring shall continue until the case is closed.

### **33-545 CLIENT VISITS/CONTACTS**

- .1 The APS worker shall conduct face-to-face monitoring visits with the client.
- .2 The frequency of monitoring visits between the APS worker and the client shall be by either one of the following time schedules:
  - .21 The service plan monitoring visits shall occur within a timeframe that is based on the risks to the client, but in no case shall a face- to-face contact be less frequent than 30 calendar days from the last face-to-face contact between the APS worker and the client, or:
  - .22 If the APS worker determines that the client will be seen less than 30 days, the APS worker shall have face-to-face contact with the client in accordance with a written visitation plan. The frequency of visits will be based on the risks and needs of the client as determined by the APS worker. The written visitation plan shall be included in the case record and shall include the following documentation:
    - .221 How often the APS worker plans to see the client face-to-face.
    - .222 How often other professionals plan to see the client.
    - .223 How often the APS worker plans to have contact with other professionals seeing the client.
- .3 The APS worker shall document, in the case record, all contacts and visits between the client and other professionals and service providers, and the results of those contacts and visits.
- .4 The APS worker shall document, in the case record, the findings (i.e., problems, necessary modifications, progress of client, etc.) of each APS monitoring visit.

### **33-550 SUPERVISOR REVIEW AND APPROVAL OF WRITTEN VISITATION PLANS**

- .1 The APS supervisor shall approve all written visitation plans pursuant to Section 33-590.

Authority Cited: Sections 10553 and 10554, Welfare and Institutions Code and Chapter 946, Statutes of 1998.

Adopt Chapter 33-560 to read:

## **CHAPTER 33-560 REASSESSMENT**

- .1 The APS worker shall complete a written reassessment on open cases within the timeframe specified in 33-565.

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### **HANDBOOK BEGINS HERE**

- .11 The purpose of the reassessment is to:
  - .111 Determine the effectiveness of the service plan by reviewing the progress in meeting the service plan goals.
  - .112 Determine if any new risks, impediments or problems exist which may require services.
  - .113 Determine the need for continued services and whether there continues to be a purpose in keeping the case open in order to avoid unnecessary intervention in the life of the client.

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### **HANDBOOK ENDS HERE**

- .2 In completing the reassessment, the APS worker shall review all prior APS assessments and examine the current circumstances of the client and his/her family and household members.
- .3 When completing the reassessment, the APS worker shall include consideration of the following areas:
  - .31 Changes in the client's current situation that alter the service plan.
  - .32 Additional services to be provided or the continued need for services.

## **33-565 REASSESSMENT TIMEFRAMES**

- .1 A written reassessment and modified service plan shall be completed as often as necessary based on the client's needs and progress, but no less frequently than every 90 days.
- .2 To ensure the appropriateness and necessity of continued ongoing case management, cases open beyond 12 months shall require supervisor review and approval in accordance with Section 33-590.4.

**33-570 SUPERVISOR REVIEW AND APPROVAL OF REASSESSMENTS**

- .1 The APS worker's supervisor shall review and document approval of open cases per Section 33-590.

Authority Cited: Sections 10553 and 10554, Welfare and Institutions Code and Chapter 946, Statutes of 1998.

Adopt Chapter 33-575 to read:

## **CHAPTER 33-575 CASE CLOSURE**

- .1 Cases are closed when the client no longer requires services or social worker contact or no further resolution is possible and no protection issues exist.
- .2 Whenever possible, the closure of a case shall be a joint process between the APS worker and the client.
- .3 Under the following circumstances cases should be closed unless there is ongoing case activity that requires the case to remain open:
  - .31 The potential for harm is removed and the client's situation is stabilized.
  - .32 The service plan goals and objectives have been met.
  - .33 The client is unavailable for services due to permanent institutional placement.
  - .34 Services cannot be delivered because of a lack of cooperation from the client and the social worker has determined that the lack of cooperation is not due to any undue influence or the client's inability to cooperate.
  - .35 The client refuses services and requests that APS be discontinued and the request is not due to any undue influence or the client's inability to cooperate.
  - .36 The client has been referred to another agency/resource that has accepted responsibility for the client and protection issues have been resolved.
- .4 Under the following circumstances, in no case shall the case remain open when:
  - .41 APS is not needed.
  - .42 The client dies.
  - .43 The client moves out of county jurisdiction and, if appropriate, has been referred to another APS agency.
  - .44 Repeated attempts to locate the client have been unsuccessful.

**33-580 CASE CLOSURE DOCUMENTATION REQUIREMENTS**

- .1 At case closure the APS worker shall complete a written closure summary that includes the following information:
  - .11 The services provided.
  - .12 Supportive resources now in place.
  - .13 The extent to which the goals of the service plan have been accomplished.

**33-585 SUPERVISORY REVIEW AND APPROVAL OF CASE CLOSURE**

- .1 The APS worker's supervisor shall document approval of the case closure in accordance with Section 33-590.23.

Authority Cited: Sections 10553 and 10554, Welfare and Institutions Code and Chapter 946, Statutes of 1998.

Adopt Chapter 33-590 to read:

## **CHAPTER 33-590 SUPERVISORY REVIEW AND APPROVAL**

- .1 Supervisor review and approval shall be required as specified in Section 33-590.2 through .4.

### **HANDBOOK BEGINS HERE**

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- .11 The purpose of the supervisor review and approval are:
- .111 To ensure that the APS worker takes appropriate actions on behalf of the client.
  - .112 To ensure that the APS worker's service and monitoring plan is appropriate for the risks and needs of the client.
  - .113 To concur with the necessity for the case to remain open or to be closed.

### **HANDBOOK ENDS HERE**

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- .2 To ensure the actions taken by the APS worker are appropriate for the risks and needs of the client, the APS worker's supervisor shall document approval of the following:
- .21 All completed service plans.
  - .22 Cases remaining open beyond 90 days.
  - .23 Case closure.
- .3 The APS worker's second level supervisor shall document approval of all written visitation plans that permit the APS worker to see a client face-to-face less frequent than once every 30 days.
- .4 To ensure the appropriateness and necessity of continued ongoing case management, cases open beyond 12 months shall require supervisor review and approval as follows:
- .41 The second level supervisor shall document review and approval of all cases open longer than 12 months, or:
  - .42 The APS Director may designate a supervisory level other than second level whom shall be responsible for documenting the review and approval of all cases open beyond 12 months.

Authority Cited: Sections 10553 and 10554, Welfare and Institutions Code and Chapter 946, Statutes of 1998.