



Abuse & Neglect Prevention Task Force

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Progress Update on Recommendations to the Governor from 1 November 2019

Background Information

- Established through an Executive Order issued by Governor Ducey on February 6, 2019 (State of Arizona Executive Order 2019-03)
 - Called on the AHCCCS, ADHS, and DES to convene a workgroup to outline steps necessary to protect and improve care for individuals with disabilities
 - Required involvement of individuals with disabilities, disability advocacy organizations, providers, and family members
 - Required submission of a report to the Governor's office by November 1, 2019

Background Information

- Agency work on the Abuse & Neglect Task Force Recommendations
 - AHCCCS is the lead agency for 14 of the 30 recommendations
 - DES is the lead agency for 15 of the 30 recommendations
 - ADHS is lead on 1 recommendation
 - Many staff across agencies engaged in interagency work on the recommendations
 - Focus on improving interagency cooperation
 - DES Agency Workgroups met bi-weekly from December 2019 through September 2020
 - Some delays in progress due to the impact of COVID-19



Abuse & Neglect Prevention Task Force: Recommendations

Recommendation Themes

- Statewide Public Awareness Campaign
- Prevention and Accountability
- Multi-Agency Coordination
- Signage
- Training for Vulnerable Individuals and Families
- Identification, Tracking, and Analysis of Incidents
- Workforce Development
- Adult Protective Services Registry and Training
- Supportive Resources to Help Manage Caregiver Stress
- Public Access to Setting Monitoring Reports
- Review of Confidentiality Requirements
- Review of Status and Results of Recommendations

Public Awareness Campaign

- Recommendation Lead agency: **DES Rec #22 & #23**
 - Initiate a public awareness campaign with the following key messages
 - Arizona values and protects vulnerable individuals
 - Arizona is committed to recognizing signs and symptoms of abuse, neglect, and exploitation
 - Arizona encourages all parties to report concerns
 - Arizona supports the provision of information about how to make a report, whistleblower protections, and the process and timeline after a report is made
 - Arizona supports the provision of information about the principles and benefits of trauma-informed care and compassionate care
 - Arizona supports the provision of information about accessing trusted resources for information and support
- **Progress to date**
 - **A multi agency team of Public Information Officers (PIO) developed the toolkit for rollout in 2020**
 - **Multiple commercial proposals have been solicited, but further work depends on funding**
 - **Next steps would include seeking a legislative appropriation due to decreased revenues from COVID-19**

Prevention and Accountability

- Recommendations Lead Agency: AHCCCS **Rec #1 & Rec #2**
 - Develop, disclose, implement and monitor policies that seek to
 - Prevent abuse, neglect, and exploitation
 - Facilitate incident reporting and investigation
 - Foster incident stabilization and recovery
 - Post signage detailing the process for anonymous reporting and whistleblower protections and offer training on prevention of abuse, neglect, and exploitation
 - Require that all AHCCCS and DES contracts develop and implement the above policies and practices no later than October 1, 2020
- **Progress to date:**
 - **Effective October 1, 2020, new AHCCCS Minimum Subcontract Provision (MSP) to include requirements for institutional, residential, employment and day programs for Rec #1 and #2 - MSP available at: <https://www.azahcccs.gov/AHCCCS/CommitteesAndWorkgroups/abuseneglect.html>**
 - **Updates to AHCCCS contracts and AMPM policy 910 and 960 to enhance Contractor oversight and monitoring**

Multi-Agency Coordination

- Recommendation Lead Agencies include both **AHCCCS Rec #6 & DES Rec #3, #4, #5, #7 and #8**
 - Develop and disseminate comprehensive flow charts detailing reporting and investigation processes and oversight mechanisms for all types of abuse, neglect, and exploitation
 - Review systems in which vulnerable individual maltreatment allegations are reported to government entities to reduce duplication and ensure the efficient use of resources
 - Employ a coordinated, multidisciplinary team approach in responding to incidents of abuse and neglect
 - Hold quarterly meetings to ensure an understanding of each entity's role and responsibility about incident reporting and investigation and to support a collaborative approach when an incident occurs
 - Convene a workgroup of medical directors from AHCCCS and its contracted MCOs to review current standards of care in intermediate care facilities for individuals with intellectual disability (ICF/IIDs)
 - Convene stakeholders to identify and implement ways to enhance coordination in the sharing of information, eliminate duplication of functions, and ensure proper community monitoring and oversight

Multi-Agency Coordination

- Progress to date

- Comprehensive Flow charts detailing reporting and investigation processes posted on the AHCCCS website, and simplified versions available as posters for facilities:
<https://www.azahcccs.gov/AHCCCS/CommitteesAndWorkgroups/abuseneglect.html>
- The multi-agency team is discussing a potential recommendation for a Central Repository to share investigative findings across agencies, to reduce secondary trauma on victims and are identifying any barriers and solutions
- APS and DHS, through an existing IGA, meet on a quarterly basis regarding processes and approach in responding to incidents of abuse and neglect. These meetings have been put on hold due to COVID-19 with the intent to restart these meetings in the next quarter and to engage AHCCCS and other agencies as appropriate
- Meetings with DES, AHCCCS, ADHS, Independent Oversight Committee (IOC) chairs held in January and September resulting in a review of roles and flow charts for agencies and families
- Multi-agency workgroup of Chief Medical Officer's(CMO) and Medical Directors, supported by Mercy Care and UnitedHealthCare, have crafted recommendations for all Intermediate Care Facilities(ICF) in AZ, specific to preventing, detecting and treating abuse, neglect and exploitation
- Stakeholder meeting in January resulted in an analysis and implementation of initiatives to improve recruitment and retention of APS staff. To date, investigator caseloads have been reduced 17% and 100% of investigators vacancies have been filled

Signage

- Recommendation Lead Agency: **AHCCCS Rec #18**
 - Convene a workgroup, no later than March 31, 2020, to determine appropriate signage requirements in all settings in which vulnerable individuals reside and/or receive services
 - By October 1, 2020, require that AHCCCS and DES contracts mandate the posting of signage on how to report abuse, neglect, and exploitation in all appropriate settings
- **Progress to date:**
 - **Effective October 1, 2020, new AHCCCS Minimum Subcontract Provision to include signage requirements for institutional, residential, employment and day programs**
 - **AHCCCS Minimum Subcontract Provisions apply to all AHCCCS health plan contractors and DES/DDD as well as all AHCCCS registered providers**
 - **Updates to AHCCCS contracts and AMPM policy 910 and 960 to enhance Contractor oversight and monitoring**
 - **Effective October 1, DES publishing signage and policy requirements for all settings to display “Reporting Abuse” posters, which include whistleblower and retaliation protections.**

Training for Vulnerable Individuals and Families

- Recommendation Lead Agency: DES **Rec #11**
 - Provide evidence-based training for vulnerable individuals and their families on abuse, neglect, and exploitation prevention, reporting, and trauma recovery
- **Progress to date:**
 - **DES to leverage the Arizona Developmental Disabilities Planning Council, Sexual Abuse & I/DD Training & Prevention Workgroup, to review best practices across the state and country in the development of training**
 - **The coalition has published a summary of 44 available pieces of training that may be included in the Public Awareness Campaign Toolkit**
 - **The next meeting of the workgroup is scheduled for October 1, 2020; includes self-advocates, family members, advocacy organizations, providers, and agency staff**

Identification, Tracking, and Analysis of Incidents

- Recommendations Lead Agency: AHCCCS **Rec #12 & #13**
 - Explore ways to code, track, and analyze all incidents of alleged abuse and neglect, including the exploration of available information technology upgrades that would facilitate the accessibility of online information to the public, to the extent allowed by privacy restrictions.
 - Find and implement methods to use claims data to identify potential abuse and neglect and confirm that incidents are appropriately reported
- **Progress to date:**
 - **Two workgroups created: one for reporting functions and one for updating incident categories to create a more useful data set for tracking and trending**
 - **The team is working closely with the ADOA**
 - **New focused AHCCCS Medical Policy is being developed for the Fall 2020 implementation**
 - **AHCCCS developed and working with DES to implement a process to identify claims/encounters for Quality Management compliance assessment**

Workforce Development

- Recommendations Lead Agency: AHCCCS **Rec #14 & #15**
 - Develop a comprehensive workforce development strategy that fosters workplaces that uphold the ideals of respect, attentiveness, and active engagement for all individuals receiving services and providing services within the State Medicaid program (searchable database of workers' credentials, professional development, routine testing of staff, etc.)
 - Seek creative, low-cost solutions to safeguard service quality, including an evaluation of current reimbursement and consideration of other efforts that allow providers to recruit, train, and retain a qualified direct care workforce

Workforce Development

- **Progress to date:**
 - **Determined need for funding and a consultant to oversee work related to exploring a searchable database of direct service workers**
 - **New AHCCCS Minimum Subcontract Provision requiring providers to conduct routine testing of staff responses to simulated acts of exploitive, abusive, and neglectful behavior**
 - **Continuous reimbursement rate evaluation to ensure care and services to the general population**
 - **Strategies related to identifying new sources of workers and, retaining, paying, training and the developing workforce are continually being developed by the Workforce Development Advisory Committee that includes AHCCCS, contracted health plans, and DES/DDD representatives**

Adult Protective Services Registry and Training

- Recommendations Lead agencies include **AHCCCS Rec #19 & DES Rec #20 & #21**
 - Revise AHCCCS and DES contracts to stipulate specific requirements related to APS Registry checks for prospective direct service employees
 - Improve the APS Registry website to make it easier for employers to check the Registry before hiring new employees
 - Provide funding for a comprehensive APS training program for investigators and supervisors that includes knowledge of federal and state APS guidelines, current research, and best practices to support the APS program
- **Progress to date:**
 - **New AHCCCS Minimum Subcontract Provisions effective October 1, 2020 to include APS Registry checks for all personnel who provide direct services to members in ICFs, SNFs, ALFs and Group Homes**
 - **Training videos detailing how to report abuse and neglect to APS are being developed and the APS website is due to be updated by 10/30/2020**
 - **Administration for Community Living (ACL) \$1.2M grant awarded to APS, which will enhance the program and provide training for investigators. The first 30 investigators will graduate by December 31, 2020**

Supportive Resources to Help Manage Caregiver Stress

- Recommendations Lead Agency: **AHCCCS Rec #25**
 - Require AHCCCS-contracted health plans/MCOs to offer training and resources for providers to assist professionals and family caregivers with managing stress and burnout
- **Progress to date:**
 - **AHCCCS policy, contract, and deliverable requirements to require training and resources to be offered**
 - **Incorporating language into AHCCCS Medical Policy to ensure case managers/support coordinators share information/resources regarding caregiver stress and burnout**
 - **DES piloted self-care webinars across multiple divisions and have included self-care resources in the Public Awareness Campaign Toolkit**

Public Access to Monitoring Reports

- Recommendation Lead Agency: **DES #26**
 - Conduct a review of the AHCCCS and DES websites and make any necessary changes to facilitate public access to incident data as well as resources related to preventing abuse and neglect and reporting incidents; recommend that DES/DDD post monitoring reports for group homes and adult developmental homes
- Progress to date:
 - **Group home monitoring reports posted to DES website:**
<https://ddd.azdes.gov/organization/ddd/vendorprofile/profile>
 - **Liberty Healthcare Consulting completed a seven-state review of risk indicator reports and incident data dashboards and has made recommendations for incident reporting data across multiple agencies. Their technology team will support the implementation**

Review of Confidentiality Requirements

- Recommendation Lead entity: **DES Rec #27**
 - Convene a workgroup of stakeholders should be convened, including relevant state agencies, to identify potential revisions to state statute and agency policies to allow confidential information sharing between parties while maintaining required privacy and confidentiality protections
- **Progress to date:**
 - **DES is developing a matrix of existing federal and state statutes and rules, identifying challenges and opportunities concerning sharing confidential information**

Other Recommendations

- Recommendations Lead Agencies include **AHCCCS Rec #10, #17, #24, & #28, DES Rec #9 and #16, and ADHS Rec #29**
 - Review definitions of abuse, neglect, and exploitation in state statute for the adult population and propose any changes needed to ensure clarity
 - State contracts to mandate compliance with generally accepted standards of good governance for non-profit and for-profit entities and require investigator training on the specific special needs of individuals with intellectual and developmental disabilities (I/DD)
 - APS Investigator Training and Certification to NAPSA standards
 - Build on previous efforts and implement a system-wide trauma-informed approach, with attention to the special needs of vulnerable individuals and their families, including support when families interact with clinicians, law enforcement, and other professionals
 - Study the Independent Monitoring for Quality (IMQ) processes used in other states and consider their application in Arizona by December 31, 2020
 - Convene a workgroup to develop strategies on training related to protection against and disclosure of alleged abuse and neglect
 - Consider legislation to require licensure of nursing supported group home settings reflective of the level of care they are providing

Other Recommendations

- **Progress to date:**
 - **50 state review has been completed and AZ APS Gap Analysis is being developed**
 - **New Minimum Subcontract Provision effective October 1, 2020: Corporate Governance for Providers**
 - **Contract and policy language amended to require training on how to conduct investigations and on the specific special needs of individuals with Intellectual and Developmental Disabilities (I/DD)**
 - **First cohort of APS Investigative Training began in August 2020 with 90-day certification cycles**
 - **Multiple workgroups have assessed and implemented trauma-informed approach trainings into agency policies and practices and it has been included by seven different recommendation project teams**
 - **Multistate study of Independent Monitoring for Quality (IMQ) completed by Liberty Consulting, and September 2020 survey on public monitoring best practices shared with the nationwide developmental disability community**
 - **The Multi-Agency Workforce Development team met multiple times in 2020**
 - **SB Bill 1505 was introduced to require the licensure of nursing supported group homes**

Review of Status and Results of Recommendations

- Recommendation **#30**
 - Convene Task Force in late 2020 to review the status and results of these recommendations
- Lead entity: Governor's Office



Questions