

SECTION 16: ADULT PROTECTIVE SERVICES: ADMINISTRATION**16.01 OFFICE OF ELDER SERVICES ADULT PROTECTIVE CASE RECORDS****(A) Case Records.**

- (1) There must be one district case record designated as the permanent case record for each client. In addition, there will be one district financial record and one central office record for each client under public guardianship and/or conservatorship.
- (2) Each district case record must include:
 - (a) The completed Intake on the referral assigned for investigation, and other intakes or reports received on behalf of the client;
 - (b) Factual information, assessments, and reports compiled during the investigation or case management process;
 - (c) Recording of ongoing casework activities, contacts, and decisions made in supervisory conferences;
 - (d) Completed case summaries, case plans;
 - (e) Completed reassessments where appropriate; and
 - (f) Consent Decree documentation and reports, where appropriate.
- (3) In addition, the district case record must be in compliance with MaineCare Benefits Manual Section 13.012-1 (10-144 CMR Ch. 101(II), Sec. 13.01-1).
- (4) Caseworkers are responsible for objective and timely case recording and for maintenance of up-to-date, orderly records.
- (5) Physical case records must remain in the district offices, unless prior specific permission has been given by the casework supervisor or PPA. Permissions must be documented in the case record.
- (6) When a court requires production of an original record, a complete copy of the record must be kept until the original record is returned.

(B) Security of Physical Case Records.

Unless staff is using case records, all case record material shall be kept in file drawers in designated storage areas.

(C) Retention and Destruction of Case Records.

- (1)** Retention of case records must comply with the minimum retention time frames as specified in the Department Approved Records Retention schedule. PPAs may extend the time to retain records in the district when circumstances warrant.
- (2)** Destruction of case records must be in compliance with the Department Approved Records Retention Schedule and Department procedures, using the appropriate forms for written confirmation.

16.02 INTER-DISTRICT TRANSFERS, NOTIFICATION AND ASSISTANCE

(A) Transfers. An inter-district transfer shall be made when an OES client moves or is relocated to another district, and the client is:

- (1)** under public guardianship or public conservatorship;
- (2)** reported, alleged, or assessed to be incapacitated; or
- (3)** reported or alleged to be dependent and in danger or at substantial risk of danger; or
- (4)** assessed to be dependent, in need of protective services, and requests continuing services.

(B) Assistance. Requests for short-term or emergency inter-district assistance may be made when necessary to provide clients with authorized decision-making, placement services, assist with case studies, or to provide resource information. Districts shall respond to requests in a timely manner.

(C) Role of Casework Supervisors and PPAs. Casework supervisors are responsible to make inter-district transfers and assistance requests with prior approval from a PPA and to send required documentation to the receiving PPA.

(D) Exceptions. Exceptions to completing a case reassessment prior to transferring a case may be made by agreement between the two districts' PPAs.

16.03 CASE REVIEW

(A) Case Review. Case Review is designed to assure protective services are consistent with mandates and policy. Case Review is accomplished by reviewing cases against identified standards to assess compliance. Quality Assurance outcomes include:

- (1)** a client focused case process, addressing the strengths and needs of clients served;
- (2)** revisions of policy or procedure;
- (3)** changes in personnel assignments;
- (4)** training for staff and/or providers;

- (5) additions, deletions or revisions to programs and services; and
- (6) legislative changes.