

Examples of Investigation Summary Case Notes

Investigation Summary Case Note Examples

The examples below follow the Documentation and Report Closure policies for Summary Notes. For each allegation, the APS Specialist shall identify the defining elements met from the CIF Matrix and summarize the following:

1. The reported concern;
2. Evidence and facts collected that support the defining elements and allegation statuses;
3. Interventions offered to address the allegations; and
4. Unmet needs or insufficient support(s) requiring protective services.

Note: The numbering used in each case note is for illustration purposes only and is not required. It represents all the required Summary Note elements. These are examples and are not how Summary Case Notes must be written as long as all the required elements are present.

Substantiated Example ①

(1). Received a report of self-neglect on Marcia Bennett. Ms. Bennett was reportedly unable to clean her home. (2). I have substantiated the allegation of self-neglect based on the defining element of “eligible adult is unable to meet their basic needs of care, health, safety, wellness, and financial security.” After I visited Ms. Bennett, I observed multiple piles of items such as trash, novelties (glassware, bottles, used and broken toys), and broken furniture littering the floor to the extent that I couldn’t find a pathway to Ms. Bennett’s easy chair. Ms. Bennett was unkempt and disheveled. She wore stained clothes, her hair was greasy with dirt, and her hands/fingernails were stained. The home smelled of body odor and rotten food. Ms. Bennett has grocery and prescription delivery and working electric, heat, and air. She doesn’t cook and buys easy microwave items or things she can boil in a pot. Ms. Bennett admits her situation has gotten “out of control” since she fell and broke her hip two years ago. (3). I offered several resources to Ms. Bennett to resolve the situation: AAA services to help clean and alternative housing resources. While I was in the home, Ms. Bennett applied for Medicaid. Based on her assets and income, she should be eligible. I gave Ms. Bennett the information for HCBS as she doesn’t wish to leave her home currently. (4). Ms. Bennett will continue to have issues with self-neglect if she refuses resources. She has several unmet needs with housekeeping and personal care.

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Substantiated Example ②

Alternative Summary Case Note: I received a report of self-neglect on Marcia Bennett. Ms. Bennett was reportedly unable to clean her home. I have substantiated the allegation of self-neglect based on the defining element of “eligible adult is unable to meet their basic needs of care, health, safety, wellness, and financial security.” After I visited Ms. Bennett, I observed:

- Piles of items (trash, novelties, and broken furniture) making walking through the home difficult
- No easy pathway to Ms. Bennett’s easy chair
- Ms. Bennett was unkempt and disheveled
- Ms. Bennett wore stained clothes, had greasy hair and stained fingernails

Ms. Bennett did have working utilities, grocery delivery, and prescription delivery. She doesn’t cook but can heat items in the microwave and make sandwich-type items. I offered several resources to Ms. Bennett to resolve the situation: AAA services to help clean and alternative housing resources. While I was in the home, Ms. Bennett applied for Medicaid. Based on her assets and income, she should be eligible. I gave Ms. Bennett the information for HCBS as she doesn’t wish to leave her home currently. Ms. Bennett will call the number if her Medicaid is approved. Ms. Bennett will continue to have issues with self-neglect if she refuses to follow through. She has several unmet needs with housekeeping and personal care.

Suspected

(1). Received a report of financial exploitation on Gaylord Fiennes. Gaylord is a 67-yearold man. Gaylord Fiennes’ son, Ralph Fiennes, reportedly took \$760 out of Gaylord’s bank account without permission to pay a personal debt. **(2).** I am suspecting this allegation. The unmet defining element was “used the eligible adult’s credit, debit, or benefits card without permission.” Mr. Fiennes initially reported that \$760 was used out of his bank account by debit transaction without his permission, but Mr. Fiennes then stated that he was unsure if his son had taken the money or if Mr. Fiennes had given Ralph permission to use the debit and forgotten. Mr. Fiennes stated that his son was a good person and would not steal from him. Mr. Fiennes made several excuses for his son and said multiple times this must be an accident; maybe he’s getting forgetful in his old age.

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Suspected Continued

I reviewed Gaylord's bank records (see photos of statements) and saw a payment to ABC Payday Loans for \$760. According to Gaylord Fiennes, he has no relationship with the ABC Payday Loan company. Mr. Fiennes seemed to be able to communicate and make decisions for himself. He demonstrated knowledge of his finances, meds, and everyday activities. **(3).** This withdrawal did not negatively impact Mr. Fiennes. He has more than adequate finances to cover his needs. I recommended that Mr. Fiennes hire a professional fiduciary to pay bills so he doesn't have to rely on his son for this. I provided local transport service referrals as well. **(4).** Mr. Fiennes has no unmet needs at this time.

Suspected and Referred to OSI

(1). Received a report of physical abuse on Truman Dias by Jim Jones. Mr. Dias is a 48-year-old person with cerebral palsy and seizures. **(2).** I have suspected the allegation of physical abuse and created an INV report for the Office of Special Investigations to review. The defining element met was "eligible adult presents with or reports bodily injury, physical pain, or impairment" and "the AP likely caused injury, pain, or impairment by non-accidental means." I visited Truman Dias and his guardian, Sherry Stine. Sherry Stine stated Mr. Dias is low-functioning and cannot protect himself from others who want to exploit him. Sherry Stine has been his guardian for over 3 years. She pays the bills and makes sure Mr. Dias has his medicine and food delivered. If given enough time, Mr. Dias can complete his daily activities (bathing, dressing, grooming, basic cooking, and household chores). Last week, Mr. Dias got into a verbal altercation with his neighbor, Jim Jones. The altercation escalated, and Jim Jones attacked Mr. Dias, knocking him over and causing scrapes, bruises, and pain to Mr. Dias's right leg. Mr. Dias refused medical treatment and would not file a police report, so Sherry Stine filed one on his behalf. There is video evidence. The incident happened outside the residence and was recorded on Mr. Dias's Ring doorbell camera.

Examples of Investigation Summary Case Notes

Suspected and Referred to OSI Continued

Sherry is unaware of any charges filed yet but shared Kansas City Police Dept. report #A1652-2352. With Sherry's permission, I photographed Mr. Dias's leg, which had multiple lacerations and bruises on it from the fall and concrete sidewalk. **(3).** Mr. Dias required no interventions. **(4).** Mr. Dias has no unmet needs.

Unsubstantiated

(1). Received a report of self-neglect on George Santini. George Santini was reportedly not checking his blood sugars, and his diabetes was becoming detrimental to his health due to this neglect. **(2).** I am unsubstantiating this report. The defining element(s) of "the eligible adult is unable to meet their basic needs of care, health, safety, wellness, and financial security" and "the eligible adult is at risk of serious harm in the foreseeable future or has been harmed" were not met. Mr. Santini checked his blood sugar previously without incident and did not know he could request a different size lancet and test strip. After visiting with Mr. Santini, he explained that he had been religiously checking his blood sugars until three months ago. When he ordered new lancets and test strips, they didn't fit his glucose monitor, and he could no longer use them. **(3).** I educated Mr. Santini about new supplies and DME companies. Once Mr. Santini understood he could get different supplies, he agreed to resume his blood sugar checks upon receipt. Upon follow-up, Mr. Santini told me he had ordered new supplies for his monitor. He was grateful for the assistance. **(4).** Mr. Santini has no other unmet needs.

Examples of Investigation Summary Case Notes

Two Allegations: Substantiated and Unsubstantiated

(1). Received a report of financial exploitation and caregiver neglect on Anna Washington. Anna Washington reportedly cannot care for herself at home any longer. The reporter wants Anna Washington to be admitted to a nursing home because her daughter, Missy Cook, cannot handle the caregiving needs of Ms. Washington. Additionally, Missy Cook may be financially exploiting Ms. Washington.

(2). I am substantiating the allegation of caregiver neglect and unsubstantiating the allegation of financial exploitation. The defining element of caregiver neglect substantiated was "AP assumed responsibility for "basic care" and services through verbal agreement" and "there is a risk of severe negative impact to the eligible adult, including physical harm, suffering from lack of primary care, significant emotional harm, unreasonable discomfort, or loss of personal dignity." The defining elements of financial exploitation unsubstantiated was "the AP is wrongfully taking or has wrongfully taken eligible adult's money, belongings, or property by deception, coercion, undue influence, or force." After visiting Ms. Washington and Ms. Cook, I noted that Ms. Washington has had mid-stage dementia for the past three years and requires total care for all her personal care needs, including dressing, grooming, cooking, and bathing. Ms. Washington speaks but cannot follow the conversation. Ms. Cook moved her mother into the home with the intent of being a full-time caregiver. Ms. Cook admits to being overwhelmed by these issues and underestimating the amount of work. Ms. Cook is Ms. Washington's only caregiver (daughter) and has no siblings. Ms. Cook works from home, so that isn't an issue. However, Ms. Cook leaves her mother at home for up to three hours when she must go to the grocery store, doctor, or other appointments. Ms. Washington "hasn't suffered from being left on her own;" Ms. Cook leaves her food, and Ms. Washington can "mostly" go to the bathroom alone. Ms. Cook does lock the doors so Ms. Washington doesn't leave or get lost. Ms. Washington sits and watches TV and eats what Ms. Cook leaves by her chair. Ms. Cook doesn't want to acknowledge that this is unsafe for Ms. Washington. For example, Ms. Washington can't call for help or leave the house in an emergency. Elopement also poses a risk for Ms. Washington as she lives near a busy road and could be harmed if she left the home. Ms. Washington has a limited income of \$1,000 per month, and Ms. Cook uses that income to pay Ms. Cook's medications (\$465 per month) and some credit cards (\$200 a month). Ms. Cook showed me the most recent bank statement (attached to MoAPSS), which verified the information she provided. Ms. Cook was very emotional during the visit and seemed determined not to put her mom "in the nuthouse."

Examples of Investigation Summary Case Notes

Two Allegations: Substantiated and Unsubstantiated Continued

(3). We discussed HCBS for respite and personal care. I made a referral for HCBS and received Ms. Cook's agreement that she wouldn't leave Ms. Washington alone until the HCBS was either approved or denied. We also discussed a memory care facility and what those were like. Ms. Cook agreed to look at the local facilities. (4). Ms. Washington has multiple unmet needs. She requires round-the-clock care. Emergency HCBS was approved for advanced respite and personal care. Ms. Cook agreed to continued visits through protective service monitoring; the goal is to ensure Ms. Washington's continued safety through HCBS or some private care in place and/or nursing facility placement.