

MR-03

Abuse Prevention Plans: the APP and the IAPP

Participant Guide

72-Hour Maltreatment Reporting · Audience: DSPs · PCAs · CNAs · HHAs · 245D Direct Support Staff · CE Hours: 0.25

Abuse Prevention Plans: the APP and the IAPP

Minn. Stat. 626.557, subd. 14, requires a licensed program to do more than report maltreatment after it happens — it requires the program to plan against it, with a facility-wide abuse prevention plan and an individual abuse prevention plan for each vulnerable adult served. For 245D providers, Minn. Stat. 245D.071, subd. 2, adds that the license holder must develop, document, and implement an abuse prevention plan under Minn. Stat. 245A.65, subd. 2, prior to or upon initiating services.

Those plans are not filed away for the licensor. The individual plan describes the specific vulnerabilities of the specific person you support, the risk they may pose to others, and the measures that reduce both. If you do not know what is in it, you cannot follow it.

Learning Objectives — by the end of this module you will be able to:

- Distinguish the facility abuse prevention plan from the individual abuse prevention plan
- State the three things an individual plan's assessment must address
- Explain that 'abuse' in an individual plan includes self-abuse
- Identify the direct support professional's role in carrying out a plan
- Recognize when a person's plan needs to be revisited

Section 1: Two Plans, Two Purposes

There are two plans, and people mix them up. The facility abuse prevention plan (the APP) covers the setting as a whole: Minn. Stat. 626.557, subd. 14, requires it to assess the physical plant, the environment, and the population, identifying the factors that may encourage or permit abuse — and then to state the specific measures taken to minimize that risk.

The individual abuse prevention plan (the IAPP) is written for each vulnerable adult served. For 245D providers, Minn. Stat. 245D.071, subd. 2, requires the license holder to develop and implement this plan under Minn. Stat. 245A.65 prior to or upon initiating services.

Section 2: What an Individual Plan Must Assess

The individual plan has three required elements under Minn. Stat. 626.557, subd. 14, and the second one surprises people. First, the person's susceptibility to abuse by other individuals — including by other vulnerable adults, not only by staff. Second, the person's own risk of abusing other vulnerable adults. That is in the statute, and it is not a judgment about anybody's character; it is a recognition that people who live and receive services together can hurt each other, and a plan that only protects one direction is half a plan. Third, the specific measures to minimize the risk of abuse to that person and to other vulnerable adults.

Section 3: Abuse Here Includes Self-Abuse

One more thing the statute says explicitly: for individual abuse prevention plans, abuse includes self-abuse by the vulnerable adult. A plan that addresses only what other people might do to the person is incomplete.

If someone is at risk of harming themselves

That belongs in the plan, with the measures that reduce it — the same as any other identified risk.

Section 4: Measures Have to Be Usable

This is where plans succeed or fail. A plan that says ‘staff will be attentive’ is not a plan. A plan that names the specific risk and the specific response is.

What an adequate measure looks like

Not: ‘Staff will be attentive.’

But: ‘This person has been financially exploited before and cannot manage purchases unassisted. All purchases are logged and receipts retained and reconciled weekly by the DC.’

Something a person can follow, and a licensor can check.

Section 5: Written, Reviewed, Revisited

The plan is developed prior to or upon initiating services (Minn. Stat. 245D.071, subd. 2), reviewed at least annually, and revisited whenever the person's needs or risks change — after an incident, after a hospitalization, when their condition changes, or when who has access to them changes.

A separate, related requirement

Minn. Stat. 245D.09, subd. 4a, requires that before you have unsupervised direct contact with a person, you are oriented to that person's needs — including their individual abuse prevention plan where one exists. That is separate from the 72-hour training you are taking now.

Section 6: Your Part in It

Your part is four things. Know what is in the plan for each person you support — ask for it if you have not seen it, and remember you are entitled to be oriented to it before unsupervised contact. Follow the measures it specifies; they are not suggestions, they are the agency's documented answer to a known risk. Tell your supervisor when something in the plan no longer fits the person. And raise a new risk when you see one, even if the plan does not mention it yet. You are with them. The person who wrote the plan is not.

Key Terms

Term	What it means
Facility abuse prevention plan (APP)	An assessment of the physical plant, environment, and population, identifying factors that may encourage or permit abuse, and the measures taken to minimize that risk.
Individual abuse prevention plan (IAPP)	A plan written for each vulnerable adult served, assessing their susceptibility to abuse, their risk of abusing others, and the measures to reduce both — including self-abuse.
Self-abuse	Harm a vulnerable adult may cause to themselves; explicitly included in what an individual plan must address.

Term	What it means
Person-specific orientation	Required under Minn. Stat. 245D.09, subd. 4a, before unsupervised direct contact — includes orientation to the person's IAPP.

Check Your Understanding

1. What is the difference between the facility plan and the individual plan?
2. What three things must an individual abuse prevention plan assess?
3. For individual abuse prevention plans, does 'abuse' include self-abuse?
4. What makes a plan measure adequate rather than just a good intention?

What's Next

Looking ahead

Next, MR-04: Your Agency's Procedure and Your Protections covers how internal reporting works, what happens after a report, and the 72-hour rule itself.

Legal References

Minn. Stat. 626.557 subd. 14 (abuse prevention plans); Minn. Stat. 245A.65 subd. 2; Minn. Stat. 245D.071 subd. 2 (abuse prevention plan, intensive support services); Minn. Stat. 245D.09 subd. 4a (person-specific orientation before unsupervised direct contact).

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