OMB Control Number 0985-0054

Expiration Date: 02/29/2020

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**CASE COMPONENT DATA**

*Updated June 9, 2016*

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 150 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

*Case: The Case Component data is submitted by uploading a data file to the NAMRS website annually. Specific instructions will be provided to states on the data file formatting. The reporting period is the federal fiscal year (October–September).*

**Table 1–Investigation Entity**

Each reporting period submission may have multiple investigations.

| **Element No.** | **Element Name** | **Element Description** | **Required** | **Cardinality** | **Type/Format** | **Code Values** |
| --- | --- | --- | --- | --- | --- | --- |
| Inv1 | Investigation ID | The unique identifier used by the state for each investigation. The identifier is assigned to a specific investigation and is only used once. The Investigation ID is encrypted by the state for purposes of data submission. | Yes | Single | Encoded ID | Not applicable |
| Inv2 | Report date | The month, day, and year the agency was notified of the suspected adult maltreatment. | No | Single | Dateyyyy-mm-dd | Not applicable |
| Inv3 | Report source | The role or profession of the person who made the report of the suspected adult maltreatment. Multiple report source code values can be submitted for the client. | No | Multiple | Enumeration (code) | 1 = substitute decision maker2 = in-home caregiver3 = nursing home staff4 = residential care community staff5 = education professional6 = financial professional7 = law enforcement, judicial, or legal professional8 = medical or health professional9 = mental and behavioral health professional10 = social services professional11 = other professional 12 = relative13 = neighbor, friend, other nonrelative, other nonprofessional 14 = self15 = no role identified |
| Inv4 | State/county FIPS code of investigative agency | The Federal Information Processing Series for state (2 digits) and county code (3 digits) of the APS agency. (*Primary agency responsible for the determination of the investigation)* | No | Single | FIPS (#####) | Code is the unique identification number assigned to each state and county under the Federal Information Processing Standards (FIPS) guidelines. See http://www.census.gov/geo/www/fips/fips.html |
| Inv5 | Investigation start date | The date the investigation is assigned to an investigation worker. If the agency uses another date to indicate the start of an investigation, that date is used. | No | Single | Dateyyyy-mm-dd | Not applicable |
| Inv6 | Investigation disposition date | The date that the agency completed dispositions on the allegations of maltreatment associated with the investigation. | No | Single | Dateyyyy-mm-dd | Not applicable |
| Inv7 | Case closure date | The date that the agency completed all activities related to the investigation of the case. | Yes | Single | Dateyyyy-mm-dd | Not applicable |

**Table 2–Client Entity**

Each investigation may have multiple clients. Each client can be associated with more than one investigation but a separate client entity is required for each investigation.

| **Element No.** | **Element Name** | **Element Description** | **Required** | **Cardinality** | **Type/Format** | **Code Values** |
| --- | --- | --- | --- | --- | --- | --- |
| Clt1 | Client ID | The unique identifier used by the state for each client. The identifier is assigned to a specific client and is used identify the same client across investigations and reporting periods. The client ID is encrypted by state for purposes of data submission. Data on multiple clients can be submitted for the investigation. | Yes | Single | Encoded ID | Not applicable |
| Clt2 | Maltreatment setting | The location where the alleged maltreatment occurred. | No | Single | Enumeration (code) | 10 = own residence or private residence of relative or caregiver20 = residential care community (non-specific) 21 = licensed residential care community 22 = unlicensed residential care community30 = nursing home (non-specific) 31 = licensed nursing home 32 = unlicensed nursing home40 = adult day services center (non-specific) 41 = licensed adult day services center 42 = unlicensed adult day services center50 = place of business or other services60 = other |
| Clt3 | State/county FIPS code of client | The Federal Information Processing Series for state (2 digits) and county code (3 digits) of the client’s residence at the start of the investigation. | No | Single | FIPS (#####) | Code is the unique identification number assigned to each state and county under the Federal Information Processing Standards (FIPS) guidelines. See http://www.census.gov/geo/www/fips/fips.html |
| Clt4 | Case closure reason | The primary reason why the case was closed. | No | Single | Enumeration (code) | 10 = investigation completed 20 = investigation completed and protective services case completed 30 = investigation unable to be completed (non-specific) 31 = investigation unable to be completed due to death of client during investigation 32 = investigation unable to be completed due to refusal of client40 = protective services case opened but not completed (non-specific) 41 = protective services case closed due to death of client 42 = protective services case closed due to client decision to not continue50 = other |
| Clt5 | Age | The age of the client in years (at investigation start date). | No | Single | Enumeration (code) | 18,19…74 = actual age75 = 75 through 84 85 = 85 and older |
| Clt6 | Gender identity | The actual or perceived gender-related characteristics of the client. | No | Single | Enumeration (code) | 1 = male2 = female 3 = transgender |
| Clt7 | Sexual orientation | The client’s enduring pattern of or disposition to experience sexual or romantic desires for, and relationships with, people of one’s same sex, the other sex, or both sexes. | No | Single | Enumeration (code) | 1 = straight2 = gay/lesbian3 = bisexual4 = questioning5 = other |
| Clt8 | Race | The population(s) or group(s) that the client identifies as being a member. A client may have more than one race (multi-racial). For example, if a client is Asian and White, the client should be reported with both race values. If specific races cannot be identified for a multiracial client, the client is reported as “Other”.  | No | Multiple | Enumeration (code) | 10 = American Indian or Alaska Native 20 = Asian (non-specific) 21 = Asian Indian 22 = Chinese  23 = Filipino  24 = Japanese  25 = Korean  26 = Vietnamese  27 = Other Asian 30 = Black or African American 40 = Native Hawaiian or Other Pacific Islander (non-specific) 41 = Native Hawaiian  42 = Guamanian or Chamorro  43 = Samoan  44 = other Pacific Islander50 = White60 = Other |
| Clt9 | Ethnicity | The affiliation of the client as Hispanic or Latino/a or non-Hispanic or Latino/a. Multiple ethnicity code values can be submitted for the client. | No | Multiple | Enumeration (code) | 10 = yes, Hispanic or Latino/a, or Spanish origin (non-specific) 11 = Mexican, Mexican American, Chicano/a  12 = Puerto Rican  13 = Cuban  14 = other Hispanic, Latino/a, or Spanish origin 20 = no, not Hispanic or Latino/a, or Spanish origin |
| Clt10 | Primary language | The primary language or method that the client uses for written and verbal communication.  | No | Single | Enumeration (code) | 1 = Arabic2 = Chinese3 = English4 = French5 = German6 = Korean7 = Russian8 = Spanish or Spanish Creole9 = Tagalog10 = Vietnamese11 = sign language12 = assistive technology13 = other |
| Clt11 | Marital status | The client’s status based on state residency laws. | No | Single | Enumeration (code) | 1 = never married2 = married3 = domestic partner, including civil union4 = divorced5 = separated6 = widowed7 = other |
| Clt12 | Schooling level | The highest educational degree attained by the client. | No | Single | Enumeration (code) | 1 = less than high school2 = high school diploma or equivalent3 = associate’s degree or bachelor’s degree4 = advanced degree |
| Clt13 | Employment status | The involvement of the client in the labor force. | No | Single | Enumeration (code) | 1 = employed2 = unemployed3 = not in labor force4 = other |
| Clt14 | Income level | The level of annual income of the client including all sources of income. | No | Single | Enumeration (code) | 1 = less than $25,0002 = $25,000-$49,9993 = $50,000-$74,9994 = $75,000-$99,9995 = $100,000 or more |
| Clt15 | Benefits | The federal and state benefits received by the client during the investigation. Multiple benefit code values can be submitted for the client. | No | Multiple | Enumeration (code) | 1 = Medicaid2 = Medicare3 = publicly-subsidized housing4 = Social Security Disability Insurance (SSDI)5 = Social Security retirement benefits6 = Supplemental Security Income (SSI)7 = Temporary Assistance for Needy Families (TANF)8 = veterans’ disabled benefits9 = other |
| Clt16 | Veteran status | The client’s status related to the US Armed Forces. | No | Single | Enumeration (code) | 1 = veteran2 = non-veteran |
| Clt17 | Disabilities | The client’s physical, emotional, and mental health issues that result in limitation in activities and restrictions to fully participate at school, work, or in the community. Multiple disability code values can be submitted for the client. | No | Multiple | Enumeration (code) | 1 = ambulatory difficulty2 = cognitive difficulty3 = communication difficulty4 = hearing difficulty5 = independent living difficulty6 = self-care difficulty 7 = vision difficulty8 = other9 = none |
| Clt18 | ADL score | The client’s score on the Katz Index of Independence in Activities of Daily Living (ADL). | No | Single | Numeric (6 integers) | Permissible values are  0-6 |
| Clt19 | IADL score | The client’s score on the Lawton Instrumental Activities of Daily Living (IADL). | No | Single | Numeric (6 integers) | Permissible values are 0-8 |
| Clt20 | Behavioral health screenings or diagnoses | The results of assessments on the client, conducted by the APS agency. Multiple behavioral health code values can be submitted for the client. | No | Multiple | Enumeration (code) | 1 = alcohol use disorder2 = anxiety3 = bipolar disorder4 = dementia5 = depression6 = schizophrenia and other psychotic disorders7 = substance use disorder8 = traumatic brain injury9 = other10 = none |
| Clt21 | Living setting at start | The primary residential environment of the client at the start of investigation. | No | Single | Enumeration (code) | 10 = own residence or residence of relative or caregiver20 = residential care community (non-specific) 21 = licensed residential care community  22 = non-licensed residential care community 30 = nursing home (non-specific) 31 = licensed nursing home 32 = non-licensed nursing home40 = other |
| Clt22 | Living setting at close | The primary residential environment of the client at the time of case closure. | No | Single | Enumeration (code) | 10 = own residence or residence of relative or caregiver20 = residential care community (non-specific) 21 = licensed residential care community  22 = non-licensed residential care community 30 = nursing home (non-specific) 31 = licensed nursing home 32 = non-licensed nursing home40 = other |
| Clt23 | Substitute decision makers at start | The authorizations that are in effect related to health, personal, or financial decision making for the client at the start of the investigation. Multiple substitute decision maker code values can be submitted for the client. | No | Multiple | Enumeration (code) | 10 = health care proxy in effect20 = financial proxy in effect30 = guardianship or conservatorship (non-specific) 31 = guardianship or conservatorship of person 32 = guardianship or conservatorship of property40 = representative payee50 = none |
| Clt24 | Substitute decision makers at close | The authorizations that are in effect related to health, personal, or financial decision making for the client at time of case closure. Multiple substitute decision maker code values can be submitted for the client. | No | Multiple | Enumeration (code) | 10 = health care proxy in effect20 = financial proxy in effect30 = guardianship or conservatorship (non-specific) 31 = guardianship or conservatorship of person 32 = guardianship or conservatorship of property40 = representative payee50 = none |
| Clt25 | Services at start | The services known to the agency that the client was already receiving at the start of the investigation. Multiple service code values can be submitted for the client. | No | Multiple | Enumeration (code) | 1 = care/case management services2 = caregiver support services3 = community day services4 = education, employment, and training services5 = emergency assistance and material aid services6 = financial planning services7 = housing and relocation services8 = in-home assistance services9 = legal services10 = medical and dental services11 = medical rehabilitation services12 = mental health services13 = nutrition14 = public assistance benefits15 = substance use services16 =transportation17 = victim services18 = other services 19 = none |
| Clt26 | Services APS | The services that the agency provided on behalf of the client during the investigation or while the agency kept an open case. Multiple service code values can be submitted for the client. | No | Multiple | Enumeration (code) | 1 = care/case management services2 = caregiver support services3 = community day services4 = education, employment, and training services5 = emergency assistance and material aid services6 = financial planning services7 = housing and relocation services8 = in-home assistance services9 = legal services10 = medical and dental services11 = medical rehabilitation services12 = mental health services13 = nutrition14 = public assistance benefits15 = substance use services16 =transportation17 = victim services18 = other services 19 = none |
| Clt27 | Services referred | The services for which the agency referred the client. Multiple services code values can be submitted for the client. | No | Multiple | Enumeration (code) | 1 = care/case management services2 = caregiver support services3 = community day services4 = education, employment, and training services5 = emergency assistance and material aid services6 = financial planning services7 = housing and relocation services8 = in-home assistance services9 = legal services10 = medical and dental services11 = medical rehabilitation services12 = mental health services13 = nutrition14 = public assistance benefits15 = substance use services16 =transportation17 = victim services18 = other services 19 = none |
| Clt28 | Services at close | The services known to the agency that the client was receiving at the time of case closure. Multiple services code values can be submitted for the client. | No | Multiple | Enumeration (code) | 1 = care/case management services2 = caregiver support services3 = community day services4 = education, employment, and training services5 = emergency assistance and material aid services6 = financial planning services7 = housing and relocation services8 = in-home assistance services9 = legal services10 = medical and dental services11 = medical rehabilitation services12 = mental health services13 = nutrition14 = public assistance benefits15 = substance use services16 =transportation17 = victim services18 = other services 19 = none |
| Clt29 | Interagency coordination | The agencies to which the client was referred. Multiple interagency coordination code values can be submitted for the client. | No | Multiple | Enumeration (code) | 1 = law enforcement or prosecutorial offices2 = Protection and Advocacy or Client Advocacy Program (CAP)3 = state licensing agency4 = State Medicaid Fraud Control Unit (MFCU)5 = Long Term Care Ombudsman Program6 = other7 = none |
| Clt30 | Previous report | The indication that the agency has information that the client was the subject of a previous report. | No | Single | Enumeration (code) | 1 = yes2 = no |

**Table 3–Maltreatment Allegation Entity**

Each client may have multiple maltreatment allegation entities within a specific investigation but only one of a particular maltreatment type. Each maltreatment allegation entity is associated with only one client. Each maltreatment allegation entity must be composed of a maltreatment type and maltreatment disposition.

| **Element No.** | **Element Name** | **Element Description** | **Required** | **Cardinality** | **Type/Format** | **Code Values** |
| --- | --- | --- | --- | --- | --- | --- |
| Mal1 | Maltreatment type | The alleged maltreatments that are investigated. | Yes | Single (per entity) | Enumeration (code) | 10 = abandonment20 = emotional abuse30 = exploitation (non-specific) 31= financial exploitation 32= other exploitation 40 = neglect50 = physical abuse60 = sexual abuse70 = suspicious death80 = self-neglect90 = other |
| Mal2 | Maltreatment disposition | The disposition of each alleged maltreatment. | Yes | Single (per entity) | Enumeration (code) | 1 = substantiated2 = inconclusive3 = unsubstantiated4 = other |

**Table 4–Perpetrator Entity**

Each investigation may have zero, one, or more than one perpetrator. A perpetrator must be associated with at least one substantiated maltreatment investigation that is associated with a specific client within the investigation. A perpetrator may be associated with more than one investigation but a separate perpetrator entity is required for each of the associated investigations.

| **Element No.** | **Element Name** | **Element Description** | **Required** | **Cardinality** | **Type/Format** | **Code Values** |
| --- | --- | --- | --- | --- | --- | --- |
| Per1 | Perpetrator ID | The unique identifier used by the state for the person who is found to be responsible for substantiated maltreatment(s). The identifier is assigned to a specific perpetrator and is used to identify the same perpetrator across investigations and reporting periods. The Perpetrator ID is encrypted by the state for purposes of data submission. | Yes | Single | Encoded ID | Not applicable |
| Per2 | Age | The age of the perpetrator in years (at investigation start date). | No | Single | Enumeration (code) | 17 = 17 and younger 18,19…74 = actual age75 = 75 through 84 85 = 85 and older |
| Per3 | Gender identity | The actual or perceived gender-related characteristics of the perpetrator. | No | Single | Enumeration (code) | 1 = male2 = female 3 = transgender |
| Per4 | Race | The population(s) or group(s) that the perpetrator identifies as being a member. A perpetrator may have more than one race (multi-racial). For example, if a perpetrator is Asian and White, the perpetrator should be reported with both race values. If specific races cannot be identified for a multiracial perpetrator, the perpetrator is reported as “Other”.  | No | Multiple | Enumeration (code) | 10 = American Indian or Alaska Native 20 = Asian (non-specific) 21 = Asian Indian  22 = Chinese  23 = Filipino  24 = Japanese  25 = Korean  26 = Vietnamese  27 = Other Asian 30 = Black or African American 40 = Native Hawaiian or Other Pacific Islander (non-specific) 41 = Native Hawaiian  42 = Guamanian or Chamorro  43 = Samoan  44 = other Pacific Islander50 = White60 = Other |
| Per5 | Ethnicity | The affiliation of the perpetrator as Hispanic or Latino/a or non-Hispanic or Latino/a. Multiple ethnicity code values can be submitted for the perpetrator. | No | Multiple | Enumeration (code) | 10 = yes, Hispanic or Latino/a, or Spanish origin (non-specific) 11 = Mexican, Mexican American, Chicano/a  12 = Puerto Rican  13 = Cuban  14 = other Hispanic, Latino/a, or Spanish origin 20 = no, not Hispanic or Latino/a, or Spanish origin |
| Per6 | Disabilities | The perpetrator's physical, emotional, and mental health issues that result in limitation in activities and restrictions to fully participate at school, work, or in the community. Multiple disability code values can be submitted for the perpetrator. | No | Multiple | Enumeration (code) | 1 = ambulatory difficulty2 = cognitive difficulty3 = communication difficulty4 = hearing difficulty5 = independent living difficulty6 = self-care difficulty 7 = vision difficulty8 = other9 = none |
| Per7 | Behavioral health screenings or diagnoses | The results of assessments on the perpetrator, conducted by the APS agency. Multiple behavioral health code values can be submitted for the perpetrator. | No | Multiple | Enumeration (code) | 1 = alcohol use disorder2 = anxiety3 = bipolar disorder4 = dementia5 = depression6 = schizophrenia and other psychotic disorders7 = substance use disorder8 = traumatic brain injury9 = other10 = none |

**Table 5–Client Perpetrator Relationship Entity**

Each client and perpetrator can have a designated relationship if data on one or more of the entity attributes is provided. A client and perpetrator have only one relationship entity within an investigation.

| **Element No.** | **Element Name** | **Element Description** | **Required** | **Cardinality** | **Type/Format** | **Code Values** |
| --- | --- | --- | --- | --- | --- | --- |
| CPR1 | Cohabitation at start | The indication if the perpetrator and client are cohabitating at the start of the investigation. | No | Single | Enumeration (code) | 1 = yes2 = no |
| CPR2 | Cohabitation at close | The indication if the perpetrator and client are cohabitating at the time of case closure. | No | Single | Enumeration (code) | 1 = yes2 = no |
| CPR3 | Kinship relationship | The indication if the perpetrator is related to the client by affinity (blood, adoption, marriage, etc.). | No | Single | Enumeration (code) | 10 = yes (non-specific)  11 = spouse 12 = domestic partner, including civil union 13 = parent 14 = child 15 = sibling 16 = grandparent 17 = grandchild 18 = other relative20 = none |
| CPR4 | Perpetrator association at start | The indication if the perpetrator has a caregiving relationship to the client at the start of the investigation. | No | Single | Enumeration (code) | 10 = nursing home staff20 = residential care community staff30 = relative caregiver (non-specific) 31 = paid relative caregiver 32 = unpaid relative caregiver40 = nonrelative caregiver (non-specific) 41 = paid nonrelative caregiver 42 = unpaid nonrelative caregiver50 = other relationship60 = none |
| CPR5 | Perpetrator association at close | The indication whether the perpetrator has a caregiving relationship to the client at time of case closure. | No | Single | Enumeration (code) | 10 = nursing home staff20 = residential care community staff30 = relative caregiver (non-specific) 31 = paid relative caregiver 32 = unpaid relative caregiver40 = nonrelative caregiver (non-specific) 41 = paid nonrelative caregiver 42 = unpaid nonrelative caregiver50 = other relationship60 = none |
| CPR6 | Perpetrator substitute decision maker at start | Authorizations that the perpetrator has in relation to the client, and that are in effect, related to health, personal or financial decision making at the start of the investigation. Multiple substitute decision maker code values can be submitted for the client perpetrator relationship. | No | Multiple | Enumeration (code) | 10 = health care proxy in effect20 = financial proxy in effect30 = guardianship or conservatorship (non-specific) 31 = guardianship or conservatorship of person 32 = guardianship or conservatorship of property40 = representative payee50 = none |
| CPR7 | Perpetrator substitute decision maker at close | Authorizations that the perpetrator has in relation to the client, and that are in effect, related to health, personal or financial decision making at the time of case closure. Multiple substitute decision maker code values can be submitted for the client perpetrator relationship. | No | Multiple | Enumeration (code) | 10 = health care proxy in effect20 = financial proxy in effect30 = guardianship or conservatorship (non-specific) 31 = guardianship or conservatorship of person 32 = guardianship or conservatorship of property40 = representative payee50 = none |
| CPR8 | Perpetrator legal remedy recommendation | The legal remedies that were recommended or sought by the APS agency regarding the status of the perpetrator. Multiple legal remedy recommendation code values can be submitted for the client perpetrator relationship. | No | Multiple | Enumeration (code) | 1 = removal of guardianship rights2 = restraining order on perpetrator regarding the client3 = eviction of perpetrator4 = restitution by perpetrator5 = other legal remedy6 = none |