



NAMRS FFY 2017

Report 1: Agency Component

September 27, 2018



Acknowledgements

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Disclaimer

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Executive Summary

The statistics in this report are based on data submitted to NAMRS, which is a voluntary reporting system that was developed by the U.S. Department of Health and Human Services, Administration for Community Living. In FFY 2017, 55 APS reporting jurisdictions volunteered to participate by providing information and data. For NAMRS, a reporting jurisdiction is the officially designated APS office in the state, territory, or district. States choose to submit Agency Component only or Agency Component and either Key Indicators Component or Case Component.

Much information can be gleaned from reviewing the initial year of NAMRS data submissions in conjunction with the FFY 2017 data. Both years' reports can be accessed on [ACL's NAMRS site](#).

- **NAMRS Background Report:** This report discusses the development of the NAMRS data system, provides an overview of the data elements and the data submission process, and discusses the known limitations and future directions of NAMRS.
- **Report 1: Agency Component:** This report provides highlights of APS agency profile information and investigation data, including statutes, policies and procedures; investigative practices; data systems; intake processes; staffing; training; and client assessments.
- **Report 2: Key Indicators Component:** This report consists of aggregated data on key statistics of investigations and victims, clients, and perpetrators provided by states that are unable to provide case-level data.
- **Report 3: Case Component:** This report consists of case level data on investigations, client, maltreatment allegations, perpetrator, and client-perpetrator relationship.

A final note on limitations of the FFY 2016 and FFY2017 data reports. For a new national reporting system, care was taken to explain how many states were able to submit information; the percentage of individual data elements provided; and to describe limitations discovered when reviewing data. No state could provide all Case Component, nor all Key Indicators, data elements, and no two states reported on all of the same data elements. Data contained in the exhibit tables will not always total 100%. Agency and Key Indicator data have aggregate totals, which contain duplicate counts of clients, victims, and perpetrators. The Case Component data, conversely, are unique. Case Component data consists of client characteristics, services, and perpetrator characteristics, provided by states that have report-level tracking systems. For these reasons, readers are cautioned against attempting to compare or combine data reported in Agency, Key Indicator, or Case Components.

Introduction

The National Adult Maltreatment Reporting System (NAMRS) Federal Fiscal Year (FFY) 2017 Agency Component report offers an overview of policies and practices of state adult protective services (APS) agencies. States submitted the information in calendar year 2018. However, the FFY2017 reporting period was October 1, 2016 through September 30, 2017. Data contained in this report reflects this period.

For NAMRS, a reporting jurisdiction is the officially designated APS office in the state, territory, or district. Throughout the report the terminology of “states” is used in place of “state, territory or district.” In FFY2017, 55 states submitted Agency Component. One territory was unable to submit data for FFY2017. Two states did not participate in FFY2016 reporting but did submit Agency Component in FFY2017. The NAMRS Agency Component has 12 data elements that include numerical fields and/or narrative fields. The data elements in this report are individually identified with a narrative, data exhibit, and data table.

States provided optional comments regarding statutes, policies and procedures, investigative practices, data systems, intake processes, staffing, training, and client assessments. States may provide additional information if they choose to do so in the comment boxes that accompany each data element. This report includes some examples of states’ comments, especially if a comment was helpful in clarifying particular data elements. The three narrative fields: population served, population served-setting, and perpetrators are summarized in this report. For definitions of these narrative fields, see the NAMRS Appendix.

Because this is a new national reporting system, explanations are provided showing how many states were able to submit information, the percentage of individual data elements provided, and limitations discovered when reviewing data. NAMRS was developed to allow maximum flexibility for states to be able to report data in a way that did not increase their burden.

A review of data comparisons was conducted between the two reporting years and the differences were negligible. The factors of additional states reporting Agency Component and submitting more data and information contributed to the small differences in data between reporting years.

AC-1a States' Submission of Components

“Exhibit AC-1a States’ Submission of Components” provides an overview of how many states submitted NAMRS component submission details and comparisons between FFY2016 and FFY2017. The components are Agency, Key Indicators, and Case. This exhibit indicates an increase in the number of participating states between FFY2016 and FFY2017 reporting years. In FFY2017, all 50 states, D.C., and four territories provided Agency Component. One territory was unable to participate in reporting for FFY2017. In addition to Agency Component, states chose to submit either Key Indicator Component or Case Component data. States could have submitted Case Component if their automated information system allowed for extraction of investigation-specific, case-level data. If unable to provide case-level detailed data, states submitted aggregated counts via the Key Indicators Component. More states participated in FFY2017 reporting than did in FFY2016: two states submitted Agency Component, one state submitted Key Indicators Component, and two states submitted Case Component that had previously submitted Key Indicators Component.

Exhibit AC-1a States’ Submission of Components FFY2016-FFY2017

	2016	2017
Component	# of States (N=56)	# of States (N=56)
Agency and Case	24	26
Agency and Key Indicators	20	21
Agency Only	10	8
Did Not Participate	2	1

AC-1b Agency Component Submission

The Agency Component has 12 data elements that include narrative fields. The following exhibit reflects response rates for the data elements. The optional narrative fields allow states to describe unique state statutes, policies, populations served, and methods of data collection. “Exhibit AC-1b Agency Component Submission” provides the percentage of states able to submit information for specific data elements in the reporting of FFY2017 data.

Exhibit AC-1b Agency Component Submission FFY2017

Data Element	# of States that Submitted	% of All States (N=56)	% of States that Submitted (N=55)
Intake Model	55	98.20%	100.00%
Maltreatment Types	54	96.40%	98.20%
Data Source	53	94.60%	96.40%
Investigator FTEs Filled	52	92.90%	94.50%
Reports Accepted for Investigation	52	92.90%	94.50%
Assessment Tool	52	92.90%	94.50%
Standard of Evidence	51	91.10%	92.70%
Supervisor FTEs Filled	50	89.30%	90.90%
Response Time	46	82.10%	83.60%
Reports Not Accepted or I&R/I&RA	44	78.60%	80.00%
Completion Time	40	71.40%	72.70%
Service Gaps	24	42.90%	43.60%

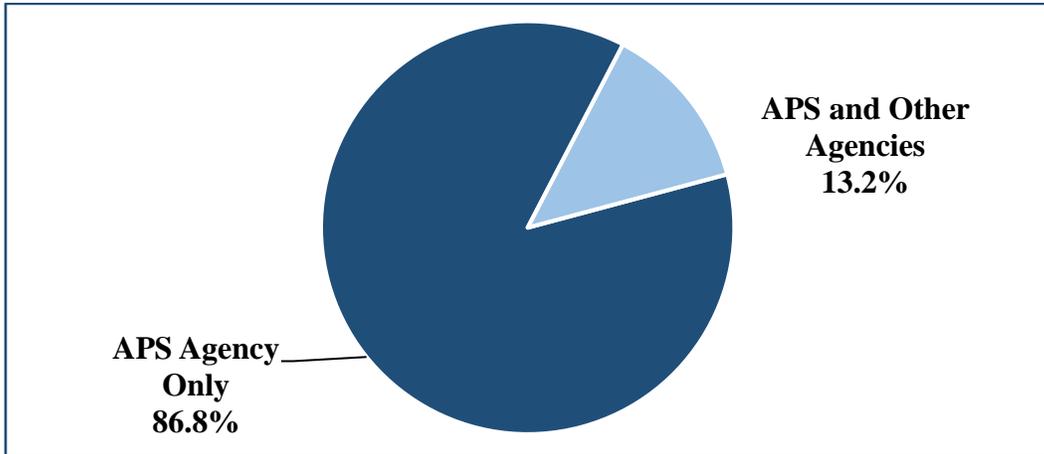
AC-2 Agency Component - Data Source

The data source represents the entity from which the data was gathered. The reporting agency data are APS Agency Only or APS and Other Agencies. Examples of APS and Other Agencies include, but are not limited to, agencies responsible for maltreatment investigations, licensing and certification agencies, and regulatory authorities. States’ statutory authority varies for investigations and which population groups may be served. Population groups include older adults, adults with disabilities, and the person’s place of residence (includes the client’s home), a licensed facility or an unlicensed facility. For example, investigation maltreatment reports for adults 60 years and older may be investigated by the Department of Aging; the Department of Behavioral Health and Developmental Disabilities may investigate adults 18 to 59 years with a disability; and the facility licensing and certification agency may investigate adults 18 years and older living in licensed or unlicensed long-term care facilities.

The state point of contact for reporting to NAMRS was the APS program. If the APS program was able to report adult maltreatment data from other state agencies also responsible for investigating incidents of maltreatment, they worked with the other agencies to submit one state report to

NAMRS. “Exhibit AC-2 Agency Component Data Source” shows that 86.8% of the data came from the APS agency only, and 13.2% of the data came from a combination of APS and other agencies.

Exhibit AC-2 Agency Component Data Source FFY2017

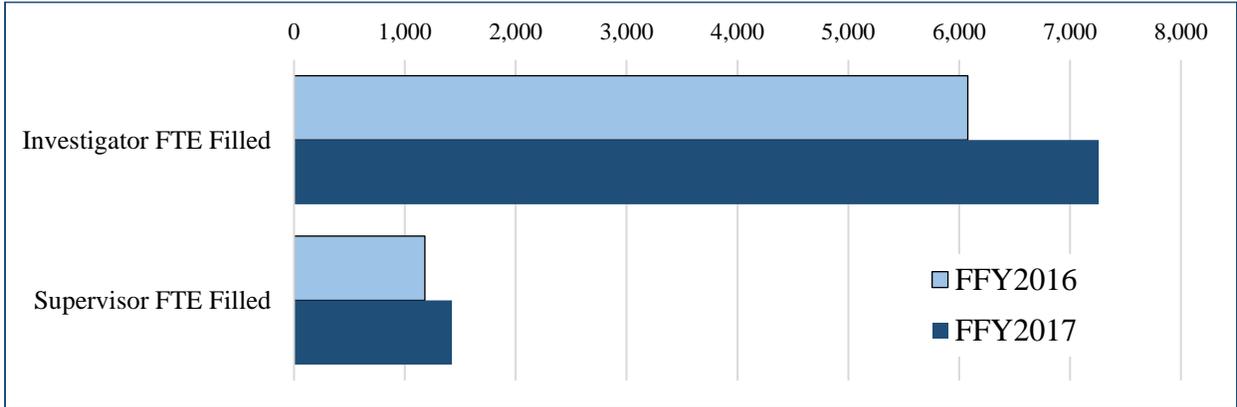


Data Source	# of States that Submitted	% of States (N=53)
APS Agency Only	46	86.8%
APS and Other Agencies	7	13.2%

AC-3 Agency Component - Staff

States contributed information about filled full-time equivalent (FTE) staff positions and supervisory positions. Some of the state comments helped to explain these data. They included the following: (a) supervisors carry an investigative caseload, (b) staff counts are estimated because the county-level staffing and budgeting information is not fully known to the state APS program, and (c) point-in-time data on staffing was provided. “Exhibit AC-3 Agency Component - Staff” indicates the count of FTEs for investigators and supervisors.

Exhibit AC-3 Agency Component – Staff FFY2016-FFY2017

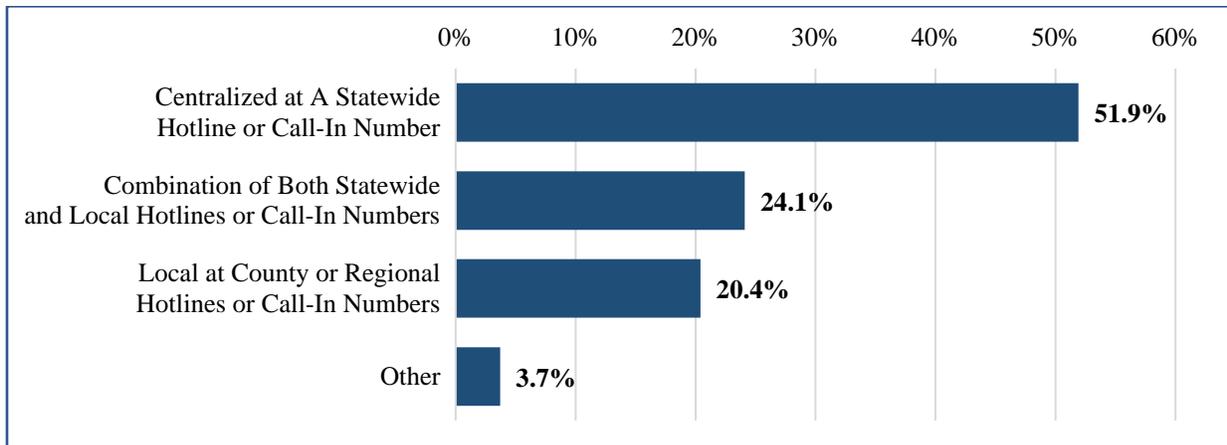


	2016	2017	2016	2017
Staff	# of States that Submitted	# of States that Submitted	FTE Count	FTE Count
Investigator FTE Filled	47	52	6,079	7,259
Supervisor FTE Filled	44	50	1,180	1,426

AC-4 Agency Component - Intake Model

APS programs receiving reports alleging adult maltreatment utilize different intake models for the receipt of reports. In some states, a centralized intake hotline or call-in number provides a single point of entry for reports of maltreatment. In other states, decentralized options include regional or county hotlines or call-in numbers. “Exhibit AC-4 Agency Component - Intake Model” displays 2017 data about states’ systems for receipt of reports of adult maltreatment.

Exhibit AC-4 Agency Component - Intake Model FFY2017



Intake Model	# of States that Submitted	% of States (N=54)
Centralized at a Statewide Hotline/Call-In Number	28	51.9%
Combination of Both Statewide/Local Hotlines/Call-In Numbers	13	24.1%
Local at County or Regional Hotlines/Call-In Numbers	11	20.4%
Other	2	3.7%

AC-5 Agency Component - Reports

When an APS program receives a report of maltreatment, they assess for next steps by doing one of the following: (a) accept the report for investigation and assessment for intervention and services; or (b) only provide information, assistance, and referral. States have different policies for the triaging of reports of maltreatment. “Exhibit AC-5 Agency Component - Reports” data for 817,325 reports were accepted for investigation by 52 states. The exhibit also reveals that 44 states received 965,383 reports of maltreatment that were not accepted for investigation but, instead received information, assistance, and referral only.

Exhibit AC-5 Agency Component – Reports FFY2017

Reports	# of States that Submitted	Count of Reports (N=1,782,708)
Accepted for Investigation	52	817,325
Not Accepted or I&R/I&RA	44	965,383

AC-6 Agency Component -Time (Days)

The Response Time is the length of time in days from receipt by APS of a report of alleged maltreatment to the time that APS makes contact with the client. The Completion Time is the length of time in days from the start of an investigation to its closure. “Exhibit AC-6 Agency Component Time (Days)” reflects in FFY2017 the average number of days was 4.5 days for Response Time and 47.4 days for the completion of an investigation.

Exhibit AC-6 Agency Component - Time (Days) FFY2017

Time (Days)	# of States that Submitted	Average Days
Response Time	46	4.5
Completion Time	40	47.4

AC-7 Agency Component - Maltreatment Types

Each state has distinct laws and policies defining what types of adult maltreatment the APS program will investigate or assess. “Exhibit AC-7 Agency Component - Maltreatment Types” lists the types of maltreatment requested by NAMRS. Nineteen states reported additional maltreatment types under the type of Other. Examples of other maltreatment types include abduction, confinement/isolation, coercion, and treatment without consent. See definitions of maltreatment types in the Appendix.

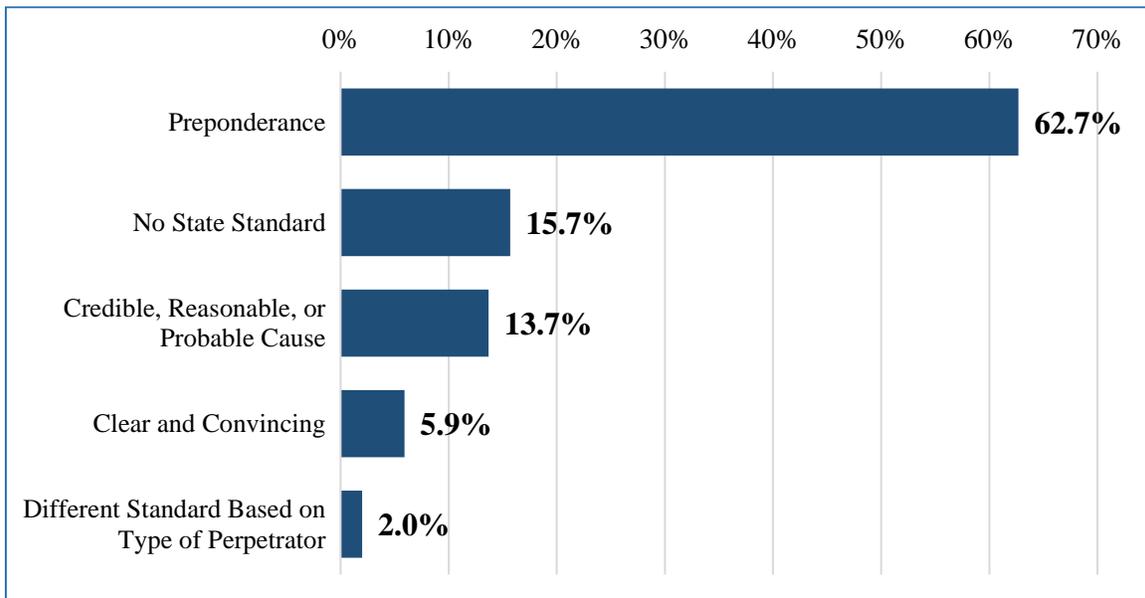
Exhibit AC-7 Agency Component - Maltreatment Types FFY2017

Maltreatment Types	# of States that Submitted	% of States that Submitted (N=54)
Neglect	54	100.0%
Physical Abuse	52	96.3%
Self-Neglect	50	92.6%
Sexual Abuse	49	90.7%
Financial Exploitation	45	83.3%
Emotional Abuse	41	75.9%
Exploitation (Non-Specific)	27	50.0%
Abandonment	23	42.6%
Other Exploitation	22	40.7%
Other Type	19	35.2%
Suspicious Death	9	16.7%

AC-8 Agency Component - Standard of Evidence

States have distinct laws and policies defining what standard of evidence is used for substantiating (determining) an allegation of maltreatment. Based on their statutes, a few states do not “investigate” and/or make a substantiation of alleged maltreatment reports. Instead, staff assesses a person for risk of maltreatment and need for protective services. See definitions of maltreatment types in Appendix A. “Exhibit AC-8 Agency Component - Standard of Evidence” indicates that states use the following standards of evidence in ranking order: Preponderance (62.7%); No State Standard (15.7%); Credible, Reasonable, or Probable Cause (13.7%); Clear and Convincing (5.9%); and Different Standard Based on Type of Perpetrator (2%).

Exhibit AC-8 Agency Component - Standard of Evidence FFY2017

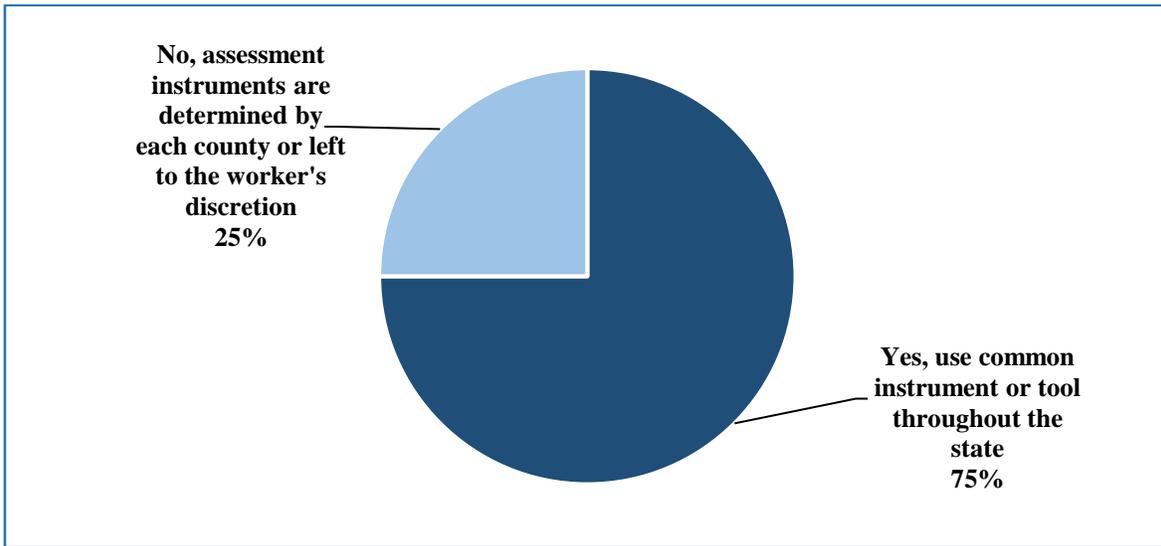


Standard of Evidence	# of States that Submitted	% of States (N=51)
Preponderance	32	62.7%
No State Standard	8	15.7%
Credible, Reasonable, or Probable Cause	7	13.7%
Clear and Convincing	3	5.9%
Different Standard Based on Type of Perpetrator	1	2.0%

AC-9 Agency Component - Assessment Tools

States have policies defining whether APS personnel use standard assessment tools throughout the state. Assessment tools gauge client safety, at-risk factors, or behavioral health conditions and are commonly used. Unless specifically qualified or authorized by state law, an APS worker does not carry out clinical health or capacity assessments, but rather screens for indications of impairment, and, as needed, refers the client on to qualified professionals (physicians, neuropsychologists, etc.) to administer thorough evaluations. “Exhibit AC-9 Agency Component - Assessment Tools” displays information about states’ use of assessment tools. In FFY2017, 75% of states use a common instrument or tool, while 25% do not.

Exhibit AC-9 Agency Component - Assessment Tools FFY2017



Assessment Tool	# of States that Submitted	% of States (N=52)
Yes, use common instrument or tool throughout the state	39	75.0%
No, assessment instruments are determined by each county or left to the worker's discretion	13	25.0%

AC-10 Agency Component - Service Gaps

The information provided on client service gaps reflects the APS programs’ efforts to arrange, provide, or make referrals for needed services for clients/victims. Service gaps are an indication that services are limited or may not be available. Some states provided helpful explanatory comments about service gaps. Common statements included the following: (a) waiting lists for receipt of services; (b) services available in urban areas but not the rural areas of the state; and (c) lack of transportation, especially in rural areas, make the services inaccessible. “Exhibit AC-10

Agency Component - Service Gaps” indicates the degree to which the reporting states considered each specific service type to be limited or unavailable for their clients.

Exhibit AC-10 Agency Component - Service Gaps FFY2017

Service Gaps	# of States that Submitted	% of States that Submitted (N=24)
Housing and Relocation Services	18	75.0%
Transportation Services	16	66.7%
Mental Health Services	15	62.5%
Legal Services	12	50.0%
Financial Planning Services	11	45.8%
Caregiver Support Services	10	41.7%
Community Day Services	10	41.7%
Emergency Assistance and Material Aid Services	10	41.7%
In-Home Assistance Services	10	41.7%
Medical and Dental Services	10	41.7%
Nutrition Services	10	41.7%
Substance Use Services	10	41.7%
Other Services	10	41.7%
Care/Case Management Services	9	37.5%
Victim Services	8	33.3%
Education, Employment, and Training Services	7	29.2%
Medical Rehabilitation Services	7	29.2%
Public Assistance Benefits Services	5	20.8%

Summaries of Narrative Information

In addition to the data elements, the Agency Component has three narrative fields. States may share information about the population groups served, the settings in which investigations are conducted, and whether any perpetrator information is collected.

Population Served

The Agency Component includes a data field where states can describe the population served. APS programs use age and the concept of disability, dependency, or vulnerability to define the populations they serve. In some programs, being elderly (ages 60 or 65) is the only criterion for whom they serve; in others, it is a combination of age and disability, dependency, or vulnerability. State programs that serve non-elderly individuals (i.e., 18 to 60 or 65 years of age) always require disability, dependency, or vulnerability as a criterion.

The definition of disability, dependency or vulnerability varies greatly from state to state. Some examples of how state policies define vulnerable adult with these parameters are:

- “A vulnerable adult means an individual who is 18 years of age or older and who is unable to protect himself/herself from abuse, neglect or exploitation by others because of a physical or mental impairment.”
- “A vulnerable adult is a person 18 years of age or older whose ability to perform the normal activities of daily living or to provide for his or her own care or protection is impaired due to a mental, emotional, sensory, long-term physical, or developmental disability or dysfunction.”
- “A vulnerable adult is an individual 18 years of age or older who is at risk of self-harm or harm from another individual due to physical, emotional or mental impairments that severely limit his/her ability to manage his/her home, or personal or financial affairs.”
- “An adult with a disability is a person aged 18 to 64 with a mental, physical, or intellectual or developmental disability that substantially impairs the person's ability to provide adequately for his or her own care or protection.”

State statutes and policies for APS determine the age, disability, and parameters for who is eligible for an investigation and potential services. Examples of APS programs' eligibility criteria include:

- Adults ages 18 to 60 or 65 with a disability, and ages 60 or 65 and older.
- Adults ages 60 or 65 or older only. Younger adults with disabilities not served by APS.
- Adults ages 60 or 65 or older with no disability. Age and not disability is a criteria.
- Minors with disabilities if they are emancipated.

Population Served Settings

Some APS programs investigate allegations in residential care communities and/or nursing facilities. Among those that do, there is variation regarding the types of providers that are

investigated. Also, various APS programs investigate allegations of maltreatment by people other than staff or providers that occur in the facility. Highlights include:

- In 38 states, APS investigates allegations of maltreatment when they occur in at least some types of residential facilities. Some state policies specify which types of facilities (e.g., licensed or unlicensed), while others are more general.
- In 14 states, APS never investigates allegations of maltreatment in facilities. Other agencies are responsible for such investigations.
- Four states did not provide information about investigations within facilities.

Perpetrator Information

Thirty-seven states reported collecting some perpetrator information in a data system or in the narrative record. Eighteen states do not collect any perpetrator information. Additional information shared by some states included:

- Two states began collecting perpetrator information in calendar year 2017.
- Two states collect information for those perpetrators associated with a client who is 18-59 years of age, but do not collect perpetrator information for other ages.
- Three states collect perpetrator information when there is a kinship relationship between the perpetrator and the victim.
- One state only collects perpetrator information as it relates to whether or not the perpetrator is a caregiver of the victim.
- One state collects perpetrator information, but only maintains perpetrator data for a very specific time period.

End of NAMRS FFY 2017 Report 1: Agency Component

For more information about NAMRS please direct inquiries to
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